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A corporation licensed for Type I regulated activity under the Securities and Futures Ordinance (SFC CE Number # ARK249)

根據《證券及期貨條例》就第一類受規管活動獲發牌的持牌法團 (證監會中央編號 # ARK249)

ACCOUNT APPLICATION FORM (CORPORATE ACCOUNT)

帳戶申請書 (公司帳戶)

Account Type 帳戶類型 ☐ CASH SECURITIES ACCOUNT 證券現金帳戶 ☐ MARGIN SECURITIES ACCOUNT 證券保證金帳戶

Require Electronic Trading Service ? 需要電子交易服務 ? ☐ REQUIRE 需要 ☐ NOT REQUIRE 不需要

This form must be read in conjunction with Agreement for Securities Trading Account. 此表格須與證券交易帳戶協議書內的條款及細則一併閱讀

1 CLIENT INFORMATION 客戶資料

1.1 BASIC INFORMATION 基本資料

CLIENT

IDENTIFICATION

客戶身份

☐ Listed Company 上市公司

☐ Unlisted Limited Company 非上市有限公司

☐ Overseas Company 海外公司

☐ Unlimited Company 無限公司

☐ Sole Proprietorship 獨資企業

☐ Partnership 合夥企業

☐ Trust Company 信託公司

☐ Others 其他 (Please specify 請註明) : _____

English Name

英文名稱

Chinese Name

中文名稱

Registered Address

註冊地址

Principal Business Address

主要營業地址

Nature of Business

業務性質

Office Telephone Number

公司電話號碼

Office Facsimile Number

公司傳真號碼

Office E-mail Address

公司電郵地址

Country of Incorporation

註冊國家

Certificate of Incorporation Number

公司註冊證號碼

Date of Incorporation (dd/mm/yyyy)

公司註冊日期 (日/月/年)

Business Registration Certificate Number

商業登記證號碼

1.2 FINANCIAL BACKGROUND 財務背景

Paid-Up Share Capital (HKD)

繳足股本 (港幣)

Authorized Share Capital (HKD)

註冊股本 (港幣)

Net Asset Value (HKD) 資產淨值 (港幣) _____	Latest Annual Profit (HKD) 最近年度利潤 (港幣) _____
Source of Funds 資金來源	Liquid Assets (HKD) 流動資金 (港幣) _____
☐ Shareholders Capital 股東資本 ☐ Investment Profits 投資溢利 ☐ Business Profits 營業溢利 ☐ Rental Income 租金收入 ☐ Loan from Financial Institution 金融機構貸款 ☐ Others 其他 (Please specify 請註明) : _____	

1.3 CORPORATE STRUCTURE 公司結構

A/ Particular of Corporate Major Shareholders (i.e. NOT Applicable for the "Public Listed Company")

公司主要股東相關資料 (註: 「上市公司」無需填寫此部份)

(Note: "MAJOR SHAREHOLDER" means any "Individual" or "Company" holding 5% or More of the Specific Company's Shares.)

(註解: 「主要股東」指任何持有該公司百分之五或以上股權的「個人」或「公司」)

A1/ MAJOR SHAREHOLDER – INDIVIDUAL 主要股東 – 個人

Seq 排序	Name of Shareholder (Individual) 股東名稱 (個人)	ID Card / Passport Number 身份證 / 護照號碼	Residential Address (PO Box is NOT accepted) 住宅地址 (不接受郵政信箱)	Percentage (%) 百分率
1/	_____	_____	_____	_____%
2/	_____	_____	_____	_____%
3/	_____	_____	_____	_____%
4/	_____	_____	_____	_____%
5/	_____	_____	_____	_____%

A2/ MAJOR SHAREHOLDER – CORPORATE 主要股東 – 公司

Seq 排序	Name of Shareholder (Corporate) 股東名稱 (公司)	Certificate of Incorporation Number 公司註冊證號碼	Registered Address (PO Box is NOT accepted) 註冊地址 (不接受郵政信箱)	Percentage (%) 百分率
1/	_____	_____	_____	_____%
2/	_____	_____	_____	_____%
3/	_____	_____	_____	_____%
4/	_____	_____	_____	_____%

A3/ RELEVANT INFORMATION OF DIRECTOR 董事相關資料

Seq 排序	Name of Director 董事名稱	ID Card / Passport Number 身份證 / 護照號碼	Residential Address (PO Box is NOT accepted) 住宅地址 (不接受郵政信箱)
1/	_____	_____	_____
2/	_____	_____	_____
3/	_____	_____	_____

B/ AUTHORIZED PERSON(S) 獲授權人士

Information of the Person(s) authorized to give instruction on Client's behalf.

The Account may be operated on Instruction(s) of any _____ of the following Person(s) (Each an Authorized Person)

All Instructions shall rely on the Client's provided "Board Resolution" (Latest)

代表公司給予指示的獲授權人士資料。

帳戶將根據以下所列人士中 _____ 人的指令所運作 (每一位均為獲授權人士)

所有指示均以客戶提供之「董事決議文件」為準 (最新)

Seq 排序	Name of Authorized Person 獲授權人士名稱	ID Card / Passport Number 身份證 / 護照號碼	Position 職稱	Phone/Mobile Number 電話 / 手提電話號碼	Signature Specimen 簽名樣式
1/	_____	_____	_____	_____	_____
2/	_____	_____	_____	_____	_____
3/	_____	_____	_____	_____	_____
4/	_____	_____	_____	_____	_____
5/	_____	_____	_____	_____	_____

1.4 STANDING SETTLEMENT BANK ACCOUNT 常設交收銀行帳戶

Please provide the "Official Corporate Bank Account Information" for all Settlement Purposes :

請提供「有效公司銀行帳戶資料」以作交收用途：

Seq 排序	Bank Name 銀行名稱	Bank Account No. 銀行帳戶號碼	Account Currency Type 帳戶貨幣類別	Settlement Bank Branch Address (If Applicable) 交收銀行分行地址 (如適用)
1/	_____	_____	HKD / 港幣	_____
2/	_____	_____	CNY / 人民幣	_____
3/	_____	_____	USD / 美元	_____

1.5 INVESTMENT PROFILE 投資概況

A/ Investment Objectives (Use TICK ☒ choose one or more option(s)) 投資目標 (可使用 ☒ 選擇一項 或 多項)

- ☐ Dividend Yield 股息收益 ☐ Capital Appreciation 資本增值 ☐ Long-Term Investment 長線投資
☐ Short-Term Trading 短線買賣 ☐ Hedging Investment 對沖投資 ☐ Others 其他 (Please specify 請註明) : _____

B/ Risk Tolerance (Use TICK ☒ choose ONLY one option) 風險承受能力 (可使用 ☒ 選擇其中一項)

- ☐ LOW 低 ☐ MEDIUM 中 ☐ HIGH 高

C/ Investment Experience & Products Type (Use TICK ☒ choose one or more option(s)) 投資產品類型及相關經驗
(可使用 ☒ 選擇一項 或 多項)

- | | | | | |
|---|------------------------------------|--------------------------------------|---------------------------------------|--------------------------------------|
| ☐ Securities Trading 上市證券 | ☐ <1yr 少於一年 | ☐ 1-5yrs 一至五年 | ☐ 6-10yrs 六至十年 | ☐ >10yrs 多於十年 |
| ☐ CBBC / Warrants 牛熊證 / 窩輪 | ☐ <1yr 少於一年 | ☐ 1-5yrs 一至五年 | ☐ 6-10yrs 六至十年 | ☐ >10yrs 多於十年 |
| ☐ ETF 交易所買賣基金 | ☐ <1yr 少於一年 | ☐ 1-5yrs 一至五年 | ☐ 6-10yrs 六至十年 | ☐ >10yrs 多於十年 |
| ☐ Futures / Options 期貨 / 期權 | ☐ <1yr 少於一年 | ☐ 1-5yrs 一至五年 | ☐ 6-10yrs 六至十年 | ☐ >10yrs 多於十年 |
| ☐ Commodities 商品 | ☐ <1yr 少於一年 | ☐ 1-5yrs 一至五年 | ☐ 6-10yrs 六至十年 | ☐ >10yrs 多於十年 |
| ☐ Bonds, Mutual Funds or Unit Trust
債券, 互惠基金或單位信託 | ☐ <1yr 少於一年 | ☐ 1-5yrs 一至五年 | ☐ 6-10yrs 六至十年 | ☐ >10yrs 多於十年 |
| ☐ Leveraged Forex 槓桿式外匯 | ☐ <1yr 少於一年 | ☐ 1-5yrs 一至五年 | ☐ 6-10yrs 六至十年 | ☐ >10yrs 多於十年 |
| ☐ REITS 房地產投資信託基金 | ☐ <1yr 少於一年 | ☐ 1-5yrs 一至五年 | ☐ 6-10yrs 六至十年 | ☐ >10yrs 多於十年 |
| ☐ Others 其他 | ☐ <1yr 少於一年 | ☐ 1-5yrs 一至五年 | ☐ 6-10yrs 六至十年 | ☐ >10yrs 多於十年 |

(Please specify 請註明) : _____

1.6 DERIVATIVE AND STRUCTURED PRODUCTS KNOWLEDGE ASSESSMENT 衍生及結構性投資產品認識評估

- I. Please state whether the Corporation has employed **At Least One (1)** of the Person(s) responsible for “Making Investment Decisions” on behalf of the Corporation and understand(s) the “Nature” and “Risks” of “Derivatives and Structured Products” ?
請問貴公司有否聘請最少一位具有了解「衍生及結構性投資產品」的「性質」及「風險」知識，並能夠代表貴公司「作出投資決定的人士」？
☐ YES 有 ☐ NO 否
- II. If the answer is “YES”, please state the “Source(s)” of this / (these) Person(s) who make(s) the “Investment Decisions” on behalf of the Corporation and acquired knowledge on “Derivatives and Structured Products” by the following ways ? ?
若選擇答案「有」，這位 / 這些代表貴公司作出投資決定的人士是從那些途徑取得及得悉相關「衍生及結構性投資產品」的知識？
☐ This / (These) Person(s) is / (are) undergoing relevant training or attended courses or seminars on “Derivative and Structured Products”
公司代表 / 代表們曾接受「衍生及結構性投資產品」的培訓或修讀相關課程
☐ Current employment and/or Previous work experience of this / (these) Person(s) which is/was related to “Derivative and Structured Products”
公司代表 / 代表們現時的工作 / 以往的工作經驗與「衍生及結構性投資產品」有關
☐ Relevant investment experience of this / (these) Person(s) (with **At Least 5 Transactions** in the **Recent 3 Years** in products which described in “Investment Experience and Products Type” in # Part 1.5C as aforementioned)
公司代表 / 代表們相關的投資經驗（見上述 # 1.5C部份有關「投資產品類型及相關經驗」中描述的產品，於最近三年、最少有五次或以上之交易）
☐ Others 其他 (Please specify 請註明) : _____
- III. Client accepted QMIS Securities explanation on the relevant risks with “Derivative and Structured Products” and completed the questionnaire prior to arrange buying of any “Exchange Traded Derivative Products” through QMIS Securities.
客戶在買入「交易所買賣的衍生產品」前，已接受華亞證券就相關「衍生及結構性投資產品」所作出的風險解釋及完成相關問卷調查
- DATE OF COMPLETION 完成日期 : _____

2 ULTIMATE BENEFICIAL OWNER(S) 最終實益擁有人

(i.e. NOT Applicable for the “Public Listed Company”, please visit # PART 3) (「上市公司」無須填寫此部份，請瀏覽第3部份)

NAME OF SOLE PROPRIETOR / PARTNER / ULTIMATE SHAREHOLDER 獨資企業 / 合夥人 / 最終股東名稱

Name of Proprietor OR Partner

OR Ultimate Shareholder (Please specify)

Seq 排序	獨資企業 或 合夥人 或 最終股東 名稱 (請註明)	ID Card / Passport Number 身份證 / 護照號碼	Residential Address (PO Box is NOT accepted) 住宅地址 (不接受郵政信箱)	Percentage (%) 百分率
1/	_____	_____	_____	_____%
2/	_____	_____	_____	_____%
3/	_____	_____	_____	_____%
4/	_____	_____	_____	_____%
5/	_____	_____	_____	_____%

3 METHOD OF COMMUNICATION 通訊方式

Please choose **one** of the following Method of Communication :

請選擇以下其中一項通訊方式：

☐ BY MAIL to Corporate Registered Address (PO Box is not accepted) 郵遞方式 至 公司註冊地址 (不接受郵政信箱)

☐ BY E-MAIL to Designated Corporate Email Address 電郵方式 至 指定公司電郵地址

* If Client choose for “Mail Service”, HKD 20/statement shall be imposed by QMIS Securities.

若客戶選擇以「郵遞方式」收取，華亞證券將向客戶收取每份港幣20元。

4 AUTHORIZED PERSON 獲授權人士

Is this account operated by an "Authorized Person(s)" ?

☐ YES 是

☐ NO 否

此帳戶是否由「授權人士」所操作？

ACCOUNT HOLDER DECLARATION 帳戶持有人聲明

The Corporation hereby declares that the Corporation shall be fully responsible for any instruction given or purported to be given by the Authorized Person(s) (including but not limiting to the "Verbal Instruction(s)" and/or "Written Instruction(s)"), and the Corporation shall fully indemnify QMIS Securities against all damages, losses, costs and expenses whatsoever incurred as a result of any act, inactivity or omission of the Authorized Person(s).

本公司茲聲明對由本公司獲授權人士或聲稱為獲授權人士所發出之任何指示（包括但不限於「口頭指示」或「書面指示」）承擔全部責任，並會就華亞證券因該等授權人士之任何行為、不作為或遺漏而引致的一切賠償、損失、費用及開支向華亞證券作出全部彌償。

When the Corporation, the Authorized Person(s) listed, after signing in the signature column herein below, indicated that the Corporation accepts the aforementioned Client's Authorization to become the Account's Authorized Person(s). The Corporation hereby agrees that the Corporation shall be fully responsible for all liabilities arising from the Corporation relevant Account(s) with QMIS Securities and the Corporation shall fully indemnify QMIS Securities against all damages, losses, costs and expenses whatsoever incurred as a result of any act, inactivity or omission of the Account Holder(s) and/or the Corporation.

當本公司獲授權人士於下列簽署欄內簽署後，即表示本公司同意接受客戶授權中成為其授權人士，並同意承擔本公司帳戶內之一切責任，亦須就華亞證券因授權人士及/或本公司之任何行為、不作為或遺漏而引致的一切賠償、損失、費用及開支向華亞證券作出全部彌償。

Name of Authorized Person

獲授權人士名稱

ID / Passport Number of Authorized Person

獲授權人士身份證 / 護照號碼

Accepted and Signed by Authorized Person

獲授權人士接納及簽署

Relationship Between Authorized Person and Account Holder 帳戶持有人與獲授權人士之關係

Authorized Person Contact Number

獲授權人士聯絡電話號碼

Confirmed and Signed by Account Holder

由帳戶持有人確認及簽署

5 DISCLOSURE OF INFORMATION 資料披露

- I. Is any Director, Substantial Shareholder or the Ultimate Beneficial Owner (UBO) of the Corporate Account, or such Corporate Account's Director, Substantial Shareholder or the Ultimate Beneficial Owner (UBO) Spouse, Partner, Child, Parent, Spouse or Partner of the Corporate Account's Child, or a Closely Associate with the Client Account entrusted or has been entrusted with a Prominent Public Function, which includes a Head of State, Head of Government, Judicial or Military Official, Senior Executive of a State-Owned Corporation or an Important Political Party Official ?

此公司帳戶的董事、大股東或最終實益擁有人，或其公司帳戶的董事、大股東或最終實益擁有人的配偶、伴侶、子女或父母，或其公司帳戶的董事、大股東或最終實益擁有人的子女的配偶或伴侶，或與其關係密切的人，是否擔任或曾擔任重要公職，包括國家元首、政府首長、司法或軍事官員、國有企業高級行政人員或政要？

☐ NO 否

☐ YES 是 (Please specify 請註明) : _____

- II. Is the Corporation, any of the Corporation's Shareholder, Director, the Authorized Person, the Ultimate Beneficial Owner (UBO) of the Corporate Account and/or the person ultimately responsible for giving instructions for the Account, a Licensed or Registered Person, or a Director or an employee of any Licensed or Registered Person of the Securities and Futures Commission (SFC) in Hong Kong ?
- 貴公司、其任何一位公司股東、董事或授權人士、此公司帳戶最終實益擁有人及/或就此帳戶進行交易的最終負責發出指示人士，是否香港「證券及期貨事務監察委員會」（「證監會」）的持牌或註冊人士，或任何持牌或註冊人士之董事或職員？

☐ NO 否

☐ YES 是

Licensed Corporation / Registered Institution Name

持牌法團/註冊機構名稱 _____

Job Title and SFC CE Number (If Any)

職稱 _____ 證監會中央編號 (如有) : _____

Employer CE Number (聘任公司中央編號) _____

Employer SFC CE Number (聘任公司證監會中央編號) _____

(Remarks : Client MUST provide the "Written Consent Letter" from your Accredited Licensed Corporation or Registered Financial Institution) (備註：客戶必須提供所屬持牌法團或註冊機構之「授權信」)

- III. Is the Corporation, any of the Corporation's Shareholder, Director, the Authorized Person, the Ultimate Beneficial Owner (UBO) of the Corporate Account and/or the person ultimately responsible for giving instructions for the Corporate Account have any relationship with any Director or Employee of QMIS Securities or its Affiliates ?

貴公司、其任何一位公司股東或董事、授權人士、此公司帳戶最終實益擁有人及/或就此公司帳戶進行交易的最終負責發出指示人士，與華亞證券或其聯屬公司之董事或僱員是否有任何關係？

☐ NO 否

☐ YES 有 (Please specify 請說明) Name of Director OR Employee 董事或僱員名稱 Relationship 關係

- IV. Is the Corporation in control of Thirty-Five Percents (35%) or More of the "Voting Rights" of any Corporation, or is the Corporation belonged to the same group of Corporations as another Corporation, which maintains a Margin Account of QMIS Securities or its Affiliates, or is any of the Corporation's Shareholder or Director, the Authorized Person, the Ultimate Beneficial Owner (UBO), and/or Ultimate Responsible Person(s) for originating instruction or any related person of the Corporation maintained a Margin Account with QMIS Securities or its Affiliates ?

貴公司是否於某一間公司，或是華亞證券或其聯屬公司持有保證金帳戶的公司中持有 百分之三十五 (35%) 或以上 的股權及/或表決權及/或，貴公司是否於某一間公司，或是華亞證券或其聯屬公司持有保證金帳戶的公司同屬一個集團及/或貴公司之任何一位股東或董事、授權人士、作為此帳戶最終權益擁有人，及/或此帳戶進行交易的最終負責發出指示人士及/或任何貴公司相關連人士，於華亞證券或其聯屬公司持有保證金帳戶？

☐ NO 否

☐ YES 有 (Please specify 請說明) Name of Account 帳戶名稱 Account Number 帳戶號碼

- V. Is the Corporation maintained a Cash and/or Margin Account(s) with QMIS Securities or its Affiliates ?

貴公司現時是否為華亞證券或其聯屬公司之現金 及/或 保證金帳戶？

☐ NO 否

☐ YES 有 (Please specify 請說明)

Account Name 帳戶名稱 Account Type 帳戶類別 Account Number 帳戶號碼

- VI. Is the Corporation incorporated in U.S. and/or "Generated Income" of U.S. for Tax Purpose ?

貴公司是否在美國註冊成立及/或以美國稅務目的「產生收入」？

☐ NO 否

☐ YES 有 (Please fill in Form W-9 請填寫W-9 表格)

- VII. Is any "Substantial Shareholder" of the Corporation (i.e. "Ten Percents (10%) or More Shareholding") an "U.S. Citizen" (i.e. holding a "U.S. Passport") or residents of the U.S. for tax purposes (i.e. holding "U.S. Green Card") ?

貴公司的任何一位「主要股東」（如「持有10% 或以上股權」）是否為「美國公民」（即持有「美國護照」）或就稅務目的而言的「美國居民」（即持有「美國綠卡」）美國公民或居民？

☐ NO 否

☐ YES 有 (Please fill in Form W-9 請填寫W-9 表格)

- VIII. Is any "Shareholder" of the Corporation (i.e. "Ten Percents (10%) or More Shareholding") an "U.S. Citizen" (i.e. holding a "U.S. Passport") or residents of the U.S. for tax purposes (i.e. holding "U.S. Green Card") ?
貴公司的任何一位「股東」(如「持有10%或以上股權」)是否為「美國公民」(即持有「美國護照」)或就稅務目的而言的「美國居民」(即持有「美國綠卡」)美國公民或居民?
☐ NO 否
☐ YES 有 (Please fill in Form W-9 請填寫W-9 表格)
- IX. Is any "Ultimate Beneficial Owner (UBO)" of the Corporation (i.e. "Ten Percents (10%) or More Shareholding") an "U.S. Citizen" (i.e. holding a "U.S. Passport") or residents of the U.S. for tax purposes (i.e. holding "U.S. Green Card") ?
貴公司的任何一位「最終實益擁有人」(如「持有10%或以上股權」)是否為「美國公民」(即持有「美國護照」)或就稅務目的而言的「美國居民」(即持有「美國綠卡」)美國公民或居民?
☐ NO 否
☐ YES 有 (Please fill in Form W-9 請填寫W-9 表格)
- X. Is any "Authorized Person" of the Corporation (i.e. "Ten Percents (10%) or More Shareholding") an "U.S. Citizen" (i.e. holding a "U.S. Passport") or residents of the U.S. for tax purposes (i.e. holding "U.S. Green Card") ?
貴公司的任何一位「獲授權人士」(如「持有10%或以上股權」)是否為「美國公民」(即持有「美國護照」)或就稅務目的而言的「美國居民」(即持有「美國綠卡」)美國公民或居民?
☐ NO 否
☐ YES 有 (Please fill in Form W-9 請填寫W-9 表格)

6 OTHER INFORMATION 其他資料

Please state the reason for choosing QMIS Securities to open the Securities Account :

請提供客戶選擇於華亞證券開立證券帳戶之原因：

- ☐ Website, Newspapers, Magazines ☐ Referral ☐ Walk-in ☐ Others 其他
互聯網、報章、雜誌 親友轉介 未經預約 (Please specify 請註明) : _____

7 SELF CERTIFICATION 自我證明

IMPORTANT NOTES 重要提示:

- ◇ Under Foreign Account Tax Compliance Act ("FATCA") and Common Reporting Standard ("CRS"), QMIS Securities Limited ("QMIS Securities") and its Affiliates is/are required to determine the tax residence status of its Clients.
根據外國帳戶稅務合規法案 ("FATCA") 及共同申報標準 ("CRS") 相關規定, 華亞證券有限公司 (「華亞證券」) 及其聯繫公司需要確定其客戶帳戶持有人的稅務居民狀況。
- ◇ This is a Self-Certification provided by an Account Holder to QMIS Securities for the purpose of complying with FATCA, and with CRS for the automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Hong Kong Inland Revenue Department ("IRD") for transfer to the tax authority of another jurisdiction.
這是由帳戶持有人向華亞證券申報並提供自我證明, 以符合外國帳戶稅務合規法案及共同申報標準當中的自我交換財務帳戶資料用途。申報財務機構有權將收集所得的資料交給香港稅務局 (「稅務局」), 稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- ◇ An Account Holder should report **ALL Changes** in his / her tax residency status to the reporting QMIS Securities.
若帳戶持有人的稅務居民身分有所改變, 應盡快將所有變更通知華亞證券。

7.1 JURISDICTION OF INCORPORATION AND TAXPAYER IDENTIFICATION NUMBER OR ITS FUNCTIONAL EQUIVALENT ("TIN") 留司法管轄區公司及其稅務編號 或 具有等同功能的識別編號 (以下簡稱「稅務編號」)

- ◇ Complete the following table indicating (A) the jurisdiction of incorporation (including Hong Kong) where the Account Holder is a Corporation for tax purposes and (B) the "Account Holder's TIN" for each jurisdiction indicated. Indicate all (Not Restricted to Five (5)) jurisdictions of incorporated.
公司客戶提供以下資料, 列明 (A) 帳戶持有人公司的司法管轄區, 亦即帳戶持有人公司的稅務管轄區 (包括香港在內) 及 (B) 該公司司法管轄區發給公司客戶「帳戶持有人的稅務編號」。列出所有 (不限於5個) 公司的司法管轄區。

◇ If the Account Holder is a Tax Resident in Hong Kong, the “TIN” is the Business Registration Certificate Number.

若帳戶持有人是香港稅務公司，「稅務編號」便是其香港商業登記證號碼。

If a “TIN” is **UNAVAILABLE**, please provide the appropriate REASONS A, B or C :

若沒法提供「稅務編號」，請客戶提供合適的理由：

REASON 理由 A – The jurisdiction where the Account Holder is a Corporation for tax purposes does not issue “TINs” to its Corporation.
公司帳戶持有人的司法管轄區並沒有向其公司發出「稅務編號」。

REASON 理由 B – The Corporate Account Holder is unable to obtain a “TIN”. Explain why the Corporate Account Holder is unable to obtain a “TIN” if the Corporate Client has selected this reason.
公司帳戶持有人不能取得「稅務編號」。若選取此作為理由，請公司帳戶持有人解釋其不能取得「稅務編號」的原因。

REASON 理由 C – “TIN” is not required. Select this reason only if the authorities of the jurisdiction of the Corporation does not require the “TIN” to be disclosed.
公司帳戶持有人毋須提供「稅務編號」。公司的司法管轄區主管機關不需要公司帳戶持有人披露「稅務編號」。

Jurisdiction of Corporation 公司司法管轄區	TIN 「稅務編號」	Enter REASON A, B or C if no TIN is available 如沒法提供「稅務編號」 填寫理由A、B 或C	Explain why the Corporate Account Holder is unable to obtain a TIN if the Corporation has selected REASON B 若選取理由B，請解釋公司帳戶持有人不 能取得「稅務編號」的原因
1/			
2/			
3/			
4/			
5/			

7.2 DECLARATIONS AND SIGNATURE 聲明及簽署

The Corporate Account Holder hereby acknowledges and agrees that :

公司帳戶持有人特此知悉及同意：

(A) The information contained in this Corporate Account Application Form is collected and may be kept by QMIS Securities Limited (“QMIS Securities”) or its Affiliates for the purpose of automatic exchange of financial account information; and
華亞證券有限公司（「華亞證券」）或其聯屬公司於本帳戶申請表格收集公司帳戶持有人所載資料並可備存作自動交換財務帳戶資料用途 及

(B) Such information and information regarding the Corporate Account Holder and any reportable account may be reported by the financial institution to the Hong Kong Inland Revenue Department (“IRD”) of the Government of the Hong Kong Special Administrative Region of People’s Republic of China (the “HKSAR Government”) and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the Corporate Account Holder may be incorporated for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Chapter 112).
該等資料及關於公司帳戶持有人及任何須向中華人民共和國香港特別行政區政府（「香港特區政府」）之香港稅務局（「稅務局」）申報該公司帳戶持有人的資料，從而把相關資料轉交到公司帳戶持有人的居留司法管轄區的稅務當局。

The Corporate Account Holder hereby declares that the Corporate Account Holder authorized to sign for the Corporate Account Holder of all the Account to which this Account Application Form relates.

公司帳戶持有人特此證明，就與本帳戶申請表格所有相關的帳戶，公司是該公司帳戶持有人及獲授權簽署本公司帳戶申請表格。

The Corporate Account Holder hereby undertakes to advise QMIS Securities of any change in circumstances which affects the tax incorporation status of the Corporate Account Holder identified in **Part # 7.1** of this Account Application Form or causes the information contained herein to become incorrect, and to provide QMIS Securities with a suitably updated “Self-Certification Form” within **Thirty(30) Business Days** of such change in circumstances.

公司帳戶持有人特此承諾，若公司帳戶持有人的情況出現任何改變，以致影響本表格 **# 7.1 部份** 所述公司帳戶持有人的稅務公司身份，或引致本申請表格內所載的資料不正確，公司帳戶持有人須於情況發生改變後 **30個工作日內**，向華亞證券提交一份已適當更新的「自我證明表格」。

The Corporate Account Holder hereby declares that the information given and statements made in this Account Application Form is, to the best of the Corporation knowledge and belief, true, correct and complete.

公司帳戶持有人特此聲明就公司所知所信，於本表格內所填報的所有資料及聲明均屬真實、正確及完備。

CORPORATION ACCOUNTHOLDER'S SIGNATURE 公司帳戶持有人簽署 _____

NAME OF

CORPORATION 公司名稱 _____ DATE (dd/mm/yyyy) 日期 (日/月/年) _____

Delete where not Applicable # 請刪去不適用者

WARNING: It is an OFFENCE under section 80(2E) of the Inland Revenue Ordinance if any corporation or person, in making a Self-Certification, makes a statement that is Misleading, False or Incorrect in a material particular AND knows, or is reckless as to whether, the statement is Misleading, False or Incorrect in a material particular. A corporation or person which/who commits the OFFENCE is liable on Conviction to a Fine at Level 3 (i.e. HK\$10,000).

警告: 根據《稅務條例》第 80(2E) 條，若任何公司或人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，最高可判處第 3 級（即港幣 10,000）之罰款。

8 USE OF DATA (CLIENT CONSENT LETTER) 資料使用 (帳戶同意書)

The Corporation has carefully read, fully understood and agreed to accept and be bound by the Data Privacy Policy's notice and statement relating to the "Personal Data (Privacy) Ordinance (PDPO)" (Chapter 486 of the Laws of Hong Kong) as set as in # Part 5 of the "Agreement for Securities Trading Account". In particular:

本公司已經仔細閱讀，完全理解並同意接受及遵守載於「證券交易帳戶協議書」中的第五部份「私隱政策」有關《個人資料（私隱）條例》（香港法例第486章）的通知及聲明，由其是：

- ☐ The Corporation hereby consents to the use of the Corporation's Information for direct marketing directly related to the opening or continuation of the Corporation Account(s) with QMIS Securities or its Affiliates and the provision of financial services by QMIS Securities to the Corporation.

本公司特此同意使用本公司客戶資料作為與本公司於華亞證券或其聯屬公司開立或繼續維持本公司及華亞證券向本公司提供金融服務有關的直接促銷之用途。

- ☐ The Corporation hereby consents to the use of the Corporation's Information for direct marketing by QMIS Securities, any of its Affiliates or other carefully selected financial or other service provider(s) of other financial and/or services not directly related to the opening or continuation of the Corporation Account(s) with QMIS Securities and the provision of financial services by QMIS Securities to the Corporation.

本公司特此同意華亞證券、其任何聯屬公司或其他仔細挑選之金融或產品供應商，使用本公司資料作為直接促銷與本公司於華亞證券開立或繼續維持帳戶及華亞證券向本公司提供金融服務無關的其他金融或產品供應商之用途。

☐ SMS 短信

☐ Phone 電話

☐ Email 電郵

☐ Mail 郵寄

9 DECLARATION, ACKNOWLEDGEMENT & CONSENT 聲明、確認及承諾

APPLICATION OF ACCOUNT OPENING & INFORMATION PROVIDED 帳戶開立申請 及 資料提供

The Corporation hereby represents that the information on this Corporate Account Application Form and relevant Forms is/are **True, Complete and Accurate** and that the Corporation has not willfully withheld any material fact. The Corporation requests QMIS Securities Limited ("QMIS Securities") to open a Corporate Cash Securities / Margin Securities Account (the "Account") and agrees to all Terms and Conditions of the Agreement and to abide by the Agreement (including the "Agreement for Securities Trading Account"), the rules and regulations of the Securities and Futures Ordinance ("SFO"), the Hong Kong Exchange and Clearing Limited ("HKEx") or any other regulatory bodies as amended from time to time governing the transaction(s) in the Corporate Client Account. QMIS Securities is entitled to rely fully on such information and representations for all purposes, unless QMIS Securities receives notice **In Writing** of any change. QMIS Securities is authorized at any time to contact anyone, including the Corporation's Bank(s), Broker(s) or any Credit Agency for the purpose of verifying the information provided on this Corporate Account Application Form. The Corporation also understands that QMIS Securities will rely on the above information of the Investment Experience and Products Knowledge provided to assess whether the Corporation has acquired knowledge of "Derivative and Structured Products", in order to comply with relevant requirements of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission ("The Code").

本公司特此聲明在公司開戶申請書及相關表格所提供之資料全部為真實、完整及正確及本公司並未刻意隱瞞任何重要事實。本公司向華亞證券有限公司（「華亞證券」）申請開立公司現金證券帳戶 / 保證金證券帳戶（「該帳戶」）及同意遵守協議書（包括「證券交易帳戶協議書」之一般條款）的所有條款並同意遵守證券及期貨條例（「證券條例」）、香港交易所有限公司（「港交所」）及其他監管機構不時修定以規管於該公司帳戶進行的交易之條例及規則。除非華亞證券接到更改有關本公司開戶申請書內容的書面通知，否則華亞證券有權完全依賴此等提供資料及聲明作一切有關用途。華亞證券獲授權可隨時就核對本資料事宜，與任何人包括本公司之銀行、經紀或任何信用機構進行諮詢。本公司亦明白華亞證券根據上述公司的投資經驗及對產品認識的資料介定本公司是否擁有對「衍生及結構性投資產品」之認識，以符合證券及期貨事務監察委員會持牌人或註冊人操守準則（「操守準則」）之有關要求。

AGREEMENT AND RISK DISCLOSURE STATEMENT 風險披露聲明及協議

The Corporation hereby acknowledges and confirms that the “Agreement for Securities Trading Account”, including but not limited to the “Corporate Account Application Form”, the “General Terms and Conditions”, the “Additional Terms and Conditions”, the “Personal Data (Privacy) Ordinance Statement (PDPO)”, the “Disclaimers” and the “Risk Disclosure Statement” has provided to the Corporation in a language of the Corporation's choice (in English or in Chinese), and the Corporation has been invited to read the “Risk Disclosure Statement” carefully, ask question(s) and seek independent and professional advice if the Corporation so wishes. The Corporation also confirms that the Corporation has retained a copy of the “Agreement for Securities Trading Account” for the Corporation reference.

本公司謹此承認並確認本公司已獲得按照本公司所選擇的語言（英文或中文）的「證券交易帳戶協議書」，當中包括，但不限於本「公司開戶申請表格」、「一般條款」、「附加條款」、「個人資料(私隱)條例聲明」、「免責聲明」及「風險披露聲明」，及本公司已獲邀請細閱該「風險披露聲明」，提出問題及徵求獨立及專業的意見（若公司有此意願）。本公司確認本公司已經保留本「證券交易帳戶協議書」的副本，以作備考之用途。

If services are to be provided to the Corporate Client in relation to any “Derivative and Structured Products”, QMIS Securities will provide to the Corporate Client upon request product specifications and any prospectus or other offering documents covering such product(s) and a full explanation of margin procedures and the circumstances under which a Corporate Client's position may be liquidated without the Corporate Client's consent.

若華亞證券向公司客戶提供任何有關「衍生及結構性投資產品」的服務，華亞證券會先按照該公司客戶要求提供有關該產品的規格或章程或其他要約文件，及詳細解釋收取保證金的程序及在什麼情況下華亞證券可無需該公司客戶同意而將公司客戶的持倉出售或平倉。

If QMIS Securities solicits the “Sale Of” or “Recommend” any “Financial Product” to the Corporate Client, the financial product must be reasonably suitable for the Corporate Client having regard to Corporate Client's “Financial Situation”, “Investment Experience” and “Investment Objectives”. No other provision of the Agreement or any other document QMIS Securities may ask the Corporate Client to sign and no statement QMIS Securities may ask the Corporate Client to make derogates from this clause.

(Remarks: “Financial Product” means any Security, Futures Contract or Leveraged Foreign Exchange Contract as defined under the SFO.)

若華亞證券向公司客戶「招攬銷售」或「建議」任何「金融產品」，該金融產品必須是華亞證券經考慮公司客戶的「財政狀況」、「投資經驗」及「投資目標」後而認為合理地適合公司客戶。華亞證券協議書的其他條文或任何其他華亞證券可能要求公司客戶簽署的文件及華亞證券可能要求公司客戶作出的聲明概不會減損本條款的效力。

(備註：「金融產品」指《證券及期貨條例》所界定的任何證券、期貨合約或槓桿式外匯交易合約。)

RISK OF E-STATEMENT SERVICE 電子結單風險

The Corporation hereby acknowledges that access to the internet or other electronic media may be limited or unavailable during periods of peak demand, market volatility, systems upgrades or maintenance or for other reasons. Any communication through the internet or other electronic media may be subject to interruption, transmission blackout, and delayed transmission due to unpredictable traffic congestion and other reasons beyond the Licensed or Registered Person's control. Internet is, due to technical limitation, an inherently unreliable media of communication. As a result of such unreliability, there may be delayed in the transmission and receipt of information. The statement may not be sent to the designed E-mail address at all. Moreover, communications and personal data may be accessed by unauthorized third parties, and there are risks of misunderstanding or error in any communication and that such risks shall be absolutely borne by the Corporation.

本公司謹此承認互聯網及其他電子媒介的接達可能因為高峰期、市場波動、系統升級或維修或因其它原因而受到限制或未能提供。透過互聯網及其他電子媒介進行的任何通信可能會受到干擾、出現傳輸中斷，及由於未能預測的互聯網通信量或因其它不受持牌人或註冊人控制的原因而導致傳輸延誤。基於技術所限，互聯網本身為不可靠的通信媒介。因此，可能會出現資訊傳輸及接收之延誤，以及結算單未必能傳送到指定的電郵帳號。此外，未經授權第三方可能獲得通訊及個人資料，及本公司需要完全承擔任何誤解通信或通信錯誤之風險。

STANDING AUTHORITY UNDER “SECURITIES AND FUTURES (CLIENT MONEY) RULES” 「證券及期貨（客戶款項）規則」下之常設授權

The Corporation hereby agrees, acknowledges and confirms that the Corporation has given the "Standing Authority" to authorize QMIS Securities to deal with the Corporation's money and the contents of the "Standing Authority" under the Securities and Futures (Client Money) Rules of the "Agreement for Securities Trading Account" provided by QMIS Securities has been explained to the Corporation and the Corporation understands and agree the contents of it.

本公司謹此同意、承認及確定本公司已授予華亞證券「常設授權」以處置本公司的款項，並且本公司就該由華亞證券所提供的「證券交易帳戶協議書」之「常設授權」的內容已獲得解釋，及本公司明白及同意其內容。

STANDING AUTHORITY UNDER "SECURITIES AND FUTURES (CLIENT SECURITIES) RULES"

(FOR SECURITIES MARGIN ACCOUNT ONLY)

「證券及期貨（客戶證券）規則」下之常設授權（只適用於證券保證金帳戶）

The Corporation hereby agrees, acknowledges and confirms that the Corporation has given the "Standing Authority" to authorize QMIS Securities to deal with the Corporation's Securities Collateral and the contents of the "Standing Authority" under the Securities and Futures (Client Securities) Rules of the "Agreement for Securities Trading Account" provided by QMIS Securities has been explained to the Corporation and the Corporation understands and agrees the contents of it.

本公司謹此同意、承認及確定本公司已授予華亞證券「常設授權」以處置本公司的證券抵押品，並且本公司就該由華亞證券所提供的「證券交易帳戶協議書」之「常設授權」的內容已獲得解釋，及本公司明白及同意其內容。

10 SIGNATURE & COMPANY CHOP OF CORPORATE ACCOUNT HOLDER(S)

公司帳戶持有人簽署及蓋章

SIGNATURE OF CORPORATE ACCOUNT HOLDER

公司帳戶持有人簽署

COMPANY CHOP OF CORPORATE ACCOUNT HOLDER

公司帳戶持有人蓋章

NAME OF CORPORATE CLIENT (Name in CAPITAL Letter)

公司帳戶名稱 (全名及英文大楷)

SIGNING DATE (dd/mm/yyyy)

簽署日期 (日/月/年)

11 CLIENT SIGNATURE CERTIFICATION & IDENTITY PROOF (IF APPLICABLE)

見證客戶簽署及身份證明（如適用）

If this Corporate Account Application Form is not executed in front of the QMIS Securities' SFC Licensed or Registered Person or is not submitted with an appropriate cheque (i.e. HK\$10,000), a specified person, including any SFC Licensed or Registered Person, a Justice of Peace, a Branch Manager of a Bank, Certified Public Accountant or Notary Public, should be required to sign below. The specified Person should provide QMIS Securities with Self-Certified ID Copy and copy of the Professional Qualification Documents.

若公司帳戶持有人並非在華亞證券之指定證監會持牌人或註冊人面前簽署本公司帳戶申請開戶表格或本公司帳戶申請開戶表格並非連同符合資格的支票（如港幣 10,000）一併遞交，則以下部分應由指定人士，包括其它證監會持牌人或註冊人、太平紳士或專業人士例如銀行分行經理、執業會計師、律師或公證人，簽署驗證。而該指定人士需提供其已簽署之身份證明文件副本及專業資格證明文件副本。

The undersigned person hereby certifies the signing of this Corporate Account Application Form by the above Corporate Client and sighting of related corporate identity documents of such Corporate Client :

上述簽署人士謹此驗證上述公司客戶簽立此文件及其有關的公司身份證明文件：

NAME (Name in CAPITAL Letter) 名稱 (全名及英文大楷)

PROFESSION AND TITLE 所屬專業及職銜

CONTACT NUMBER 聯絡電話號碼

SIGNING DATE (dd/mm/yyyy) 簽署日期 (日/月/年)

CORRESPONDENCE ADDRESS 聯絡地址

SIGNED AND CERTIFIED BY 簽署及驗證

12 LICENSED REPRESENTATIVE DECLARATION 持牌代表聲明

I, _____ (Name of SFC's Licensed or Registered Person) have fully explained and provided the contents of the "Agreement for Securities Trading Account", including but not limited to this "Account Application Form", the "General Terms and Conditions", the "Additional Terms and Conditions", the "Personal Data (Privacy) Ordinance Statement (PDPO)", the "Disclaimers" and the "Risk Disclosure Statement" to the authorized representative of the Corporation named _____ (Name of the Corporation) in a language which the authorized representative of the Corporation understands and has invited the authorized representative of the Corporation to read, ask questions and take independent and professional advice if the authorized representative of the Corporation wishes.

本人, _____ (證監會持牌人或註冊人名稱), 經以此公司所委派的代表明白的語言, 向此公司所委派的代表 _____ (公司名稱), 邀請其公司所委派的代表閱讀, 提出問題及徵求獨立及專業意見 (如公司所委派的代表有此意願), 並已全部清楚解釋「證券交易帳戶協議書」, 當中包括, 但不限於本「開戶申請表格」、「一般條款」、「附加條款」、「個人資料(私隱)條例聲明」、「免責聲明」及「風險披露聲明」內的内容。

SIGNED BY LICENSED REPRESENTATIVE

持牌代表簽署

SFC CE NUMBER

證監會中央編號

DATE (dd/mm/yyyy)

日期 (日/月/年)

REMARKS 備註:

- 1/ The Terms and Conditions in English Version, as opposed to the Chinese Translation, shall be deemed to be CONCLUSIVE and DEFINITIVE.
本開戶申請書之英文版本 (相對中文譯本而言) 為確實及擁有最終效力。
- 2/ ANY Deletion or Amendment **MUST BE** signed by all Account Holder(s).
任何刪除或修改, 必須由客戶簽名作實

FOR INTERNAL USE ONLY 只供內部使用

QMIS Securities hereby appoints the following Licensed or Registered Person being licensed by the Securities and Futures Commission ("SFC") or such other Licensed Person as from time to time it may permit and notify the Corporate Account Holder Client **In Writing**, to be primarily responsible for the affairs of the Account Holder in respect of the Corporate Account Holder's Account(s) with QMIS Securities:
華亞證券謹此委任以下持有證券及期貨事務監察委員會(「證監會」)的持牌人或註冊人或其他擁有持牌許可人士, 但可不時准許並以書面通知公司帳戶持有人, 主要負責公司帳戶持有人與華亞證券之間的公司帳戶持有人帳戶事務。

NAME OF LICENSED OR REGISTERED PERSON 持牌人或註冊人名稱 SFC CE NUMBER 證監會中央編號

DOCUMENT CHECKLIST 文件查核清單

☐ Business Registration Certificate* (Copy)

公司商業登記證* (副本)

☐ Certificate of Incorporation* (Copy)

公司註冊證書* (副本)

☐ Memorandum & Articles of Association* (Copy)

公司章程大綱及細則* (副本)

☐ W-8BEN Form / W-9 Form (If Applicable)

W-8BEN表格 / W-9表格 (如適用)

☐ Register of Directors* (Copy)

公司董事記錄冊* (副本)

☐ Latest Audited Financial Report* (Copy)

最近期審計財務報表* (副本)

☐ ID / Passport and Address Proof * (Copy)

- All Director(s), Authorized Person(s) & Guarantor(s)

身份證 / 護照及地址證明* (副本)

- 全部公司董事、獲授權人仕及擔保人

☐ Client Standing Settlement Bank Account Statement* (Copy)

客戶常設交收銀行賬戶結單* (副本)

☐ Deed of Guarantee* (If Applicable)

擔保書* (如適用)

REMARKS: ("*") means the related Identity Documents shall be certified by a JP (Justice of Peace), or a Professional Person such as Certified Public Accountant, Chartered Secretary, Lawyer or Notary Public.

備註: ("*") 有關身份證明文件見證，須經由太平紳士或專業人士如特許秘書、執業會計師、律師或公證人等加以驗證

INFORMATION & DOCUMENT CHECKED BY 資料及文件核對

Name of Staff & Signature 職員名稱及簽署	Job Position 職稱	Checked Date 查核日期

COMMISSION DETAILS 佣金資料

HKD Brokerage (%) 港幣佣金 (%)		HKD Minimum Commission 港幣最低佣金	
CNY Brokerage (%) 人民幣佣金 (%)		CNY Minimum Commission 人民幣最低佣金	
USD Brokerage (%) 美元佣金 (%)		USD Minimum Commission 美元最低佣金	
Credit Limit 信用限額			
Remark 備註			

ACKNOWLEDGED AND ACCEPTED BY AN AUTHORIZED SIGNATORY(IES) FOR AND ON BEHALF OF QMIS SECURITIES LIMITED

經由華亞證券有限公司之授權代表確認及接納

AUTHORIZED SIGNATURE

授權代表簽署

NAME OF AUTHORIZED PERSON

授權代表名稱

DATE (dd/mm/yyyy)

日期 (日/月/年)