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A corporation licensed for Type 1 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 ( INDIVIDUAL / JOINT ACCOUNT )

### 帳戶申請書 ( 個人 / 聯名帳戶 )

**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 PERSONAL PARTICULARS 個人資料

##### INDIVIDUAL / PRIMARY JOINT ACCOUNT HOLDER

個人 / 第一聯名帳戶持有人

Title 稱謂 (  Mr. 先生 /  Miss 小姐 /  Mrs. 太太 )

English Name

英文名稱 \_\_\_\_\_

Chinese Name

中文名稱 \_\_\_\_\_

Date of Birth (dd/mm/yyyy)

出生日期 (日/月/年) \_\_\_\_\_

Place of Birth

出生地點 \_\_\_\_\_

Nationality / Citizenship

國籍 / 公民身份 \_\_\_\_\_

Home Phone Number

住宅電話號碼 \_\_\_\_\_

Mobile Phone Number

流動電話號碼 \_\_\_\_\_

Office Phone Number

辦公室電話號碼 \_\_\_\_\_

Facsimile Number

傳真號碼 \_\_\_\_\_

E-mail Address

電郵地址 \_\_\_\_\_

##### PERSONAL IDENTIFICATION 個人身份證明

Identity Card Number 身份證號碼\* \_\_\_\_\_

Passport Number 護照號碼 \_\_\_\_\_

##### SECONDARY JOINT ACCOUNT HOLDER

第二聯名帳戶持有人

Title 稱謂 (  Mr. 先生 /  Miss 小姐 /  Mrs. 太太 )

English Name

英文名稱 \_\_\_\_\_

Chinese Name

中文名稱 \_\_\_\_\_

Date of Birth (dd/mm/yyyy)

出生日期 (日/月/年) \_\_\_\_\_

Place of Birth

出生地點 \_\_\_\_\_

Nationality / Citizenship

國籍 / 公民身份 \_\_\_\_\_

Home Phone Number

住宅電話號碼 \_\_\_\_\_

Mobile Phone Number

流動電話號碼 \_\_\_\_\_

Office Phone Number

辦公室電話號碼 \_\_\_\_\_

Facsimile Number

傳真號碼 \_\_\_\_\_

E-mail Address

電郵地址 \_\_\_\_\_

##### PERSONAL IDENTIFICATION 個人身份證明

Identity Card Number 身份證號碼\* \_\_\_\_\_

Passport Number 護照號碼 \_\_\_\_\_

**Place of Issue 簽發地點**

\* Please provide Passport Number (For Non-Permanent HK Resident Only)

\* 請提供護照號碼 (只供非永久性香港居民)

**Residential Address ( PO Box is not accepted )**

住宅地址 (不接受郵政信箱)

**Correspondence Address ( PO Box is not accepted )**

通訊地址 (不接受郵政信箱)

(If different from Residential Address above 如與住宅地址不同)

**Ownership of Residence 住宅業權**

- Self-Owned 自置       Live with Family 與家人同住  
 Mortgaged 按揭       Rented 租用  
 Others 其他 (Please specify 請註明) : \_\_\_\_\_

**Education Level 學歷程度**

- Not Applicable 不適用       Primary or below 小學或以下  
 Secondary or Post-Secondary 中學或專上學院  
 University (Finance) 大學 (財經)  
 University (Non-Finance) 大學 (非財經)

**1.2 EMPLOYMENT / BUSINESS STATUS 工作/業務狀況****Employment Status 就業狀況**

- Self-Employed 自僱  
 Full-Time Employed 全職  
 Part-Time Employed 兼職  
 Retired 退休  
 Others 其他 (Please specify 請註明) : \_\_\_\_\_

**Employer Name**

僱主名稱 \_\_\_\_\_

**Occupation**

行業 \_\_\_\_\_

**Job Position**

職稱 \_\_\_\_\_

**Years of Service**

服務年資 \_\_\_\_\_ Year(s) 年 \_\_\_\_\_ Month(s) 月

**Business Address 公司地址****Place of Issue 簽發地點**

\* Please provide Passport Number (For Non-Permanent HK Resident Only)

\* 請提供護照號碼 (只供非永久性香港居民)

**Residential Address ( PO Box is not accepted )**

住宅地址 (不接受郵政信箱)

**Correspondence Address ( PO Box is not accepted )**

通訊地址 (不接受郵政信箱)

(If different from Residential Address above 如與住宅地址不同)

**Ownership of Residence 住宅業權**

- Self-Owned 自置       Live with Family 與家人同住  
 Mortgaged 按揭       Rented 租用  
 Others 其他 (Please specify 請註明) : \_\_\_\_\_

**Education Level 學歷程度**

- Not Applicable 不適用       Primary or below 小學或以下  
 Secondary or Post-Secondary 中學或專上學院  
 University (Finance) 大學 (財經)  
 University (Non-Finance) 大學 (非財經)

**RELATIONSHIP WITH PRIMARY JOINT ACCOUNT HOLDER****與第一聯名帳戶持有人之關係**

- Immediate Family 直系親屬       Relatives 親屬  
 Friends 朋友  
 Others 其他 (Please specify 請註明) : \_\_\_\_\_

**Employment Status 就業狀況**

- Self-Employed 自僱  
 Full-Time Employed 全職  
 Part-Time Employed 兼職  
 Retired 退休  
 Others 其他 (Please specify 請註明) : \_\_\_\_\_

**Employer Name**

僱主名稱 \_\_\_\_\_

**Occupation**

行業 \_\_\_\_\_

**Job Position**

職稱 \_\_\_\_\_

**Years of Service**

服務年資 \_\_\_\_\_ Year(s) 年 \_\_\_\_\_ Month(s) 月

**Business Address 公司地址**

### 1.3 STANDING SETTLEMENT BANK ACCOUNT 常設交收銀行帳戶

Please provide the "Bank Account Information" for all settlement purposes.

請提供「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	

### 1.4 FINANCIAL PROFILE 財政狀況

#### A/ Source of Income 收入來源

- Salary / Wages 薪金 / 工資
- Savings / Family 儲蓄 / 家庭
- Rental 租金
- Dividend / Interest 股息 / 利息
- Business Profit 業務溢利
- Others 其他 ( Please specify 請註明 ) : \_\_\_\_\_

#### A/ Source of Income 收入來源

- Salary / Wages 薪金 / 工資
- Savings / Family 儲蓄 / 家庭
- Rental 租金
- Dividend / Interest 股息 / 利息
- Business Profit 業務溢利
- Others 其他 ( Please specify 請註明 ) : \_\_\_\_\_

#### B/ Annual Income ( HKD ) 每年總收入 ( 港幣 )

- < 100,000
- 100,000 - 200,000
- 200,001 - 500,000
- 500,001 - 999,999
- ≥ 1,000,000

#### B/ Annual Income ( HKD ) 每年總收入 ( 港幣 )

- < 100,000
- 100,000 - 200,000
- 200,001 - 500,000
- 500,001 - 999,999
- ≥ 1,000,000

#### C/ Asset Type 資產類別

- Cash / Bank Deposit 現金 / 銀行存款
- Land and Property 房地產
- Company Shares 公司股份
- Inheritance 遺產
- Listed Securities 上市證券
- Funds 基金
- Bonds / Debentures 債券 / 債權證
- Foreign Exchange 外匯資金
- Others 其他 ( Please specify 請註明 ) : \_\_\_\_\_

#### C/ Asset Type 資產類別

- Cash / Bank Deposit 現金 / 銀行存款
- Land and Property 房地產
- Company Shares 公司股份
- Inheritance 遺產
- Listed Securities 上市證券
- Funds 基金
- Bonds / Debentures 債券 / 債權證
- Foreign Exchange 外匯資金
- Others 其他 ( Please specify 請註明 ) : \_\_\_\_\_

#### D/ Estimated Total Net Worth ( HKD ) 估計總資產淨值 ( 港幣 )

- < 500,000
- 500,000 - 999,999
- 1,000,000 - 4,999,999
- 5,000,000 - 7,999,999
- ≥ 8,000,000

#### D/ Estimated Total Net Worth ( HKD ) 估計總資產淨值 ( 港幣 )

- < 500,000
- 500,000 - 999,999
- 1,000,000 - 4,999,999
- 5,000,000 - 7,999,999
- ≥ 8,000,000

### 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)

- |   |                                    |                                      |                                       |                                      |
|---|------------------------------------|--------------------------------------|---------------------------------------|--------------------------------------|
| <input type="checkbox"/> Foreign Currency Deposits / Precious Metals 外幣存款 / 貴金屬買賣 | <input type="checkbox"/> <1yr 少於一年 | <input type="checkbox"/> 1-5yrs 一至五年 | <input type="checkbox"/> 6-10yrs 六至十年 | <input type="checkbox"/> >10yrs 多於十年 |
| <input type="checkbox"/> Securities/ETFs 證券/交易所買賣基金                               | <input type="checkbox"/> <1yr 少於一年 | <input type="checkbox"/> 1-5yrs 一至五年 | <input type="checkbox"/> 6-10yrs 六至十年 | <input type="checkbox"/> >10yrs 多於十年 |
| <input type="checkbox"/> Bonds 債券   | <input type="checkbox"/> <1yr 少於一年 | <input type="checkbox"/> 1-5yrs 一至五年 | <input type="checkbox"/> 6-10yrs 六至十年 | <input type="checkbox"/> >10yrs 多於十年 |
| <input type="checkbox"/> Mutual Funds / Unit Trusts 互惠基金 / 單位信託                   | <input type="checkbox"/> <1yr 少於一年 | <input type="checkbox"/> 1-5yrs 一至五年 | <input type="checkbox"/> 6-10yrs 六至十年 | <input type="checkbox"/> >10yrs 多於十年 |
| <input type="checkbox"/> Derivatives 衍生性金融商品                                      | <input type="checkbox"/> <1yr 少於一年 | <input type="checkbox"/> 1-5yrs 一至五年 | <input type="checkbox"/> 6-10yrs 六至十年 | <input type="checkbox"/> >10yrs 多於十年 |
| <input type="checkbox"/> Fixed Income Securities 定息債券                             | <input type="checkbox"/> <1yr 少於一年 | <input type="checkbox"/> 1-5yrs 一至五年 | <input type="checkbox"/> 6-10yrs 六至十年 | <input type="checkbox"/> >10yrs 多於十年 |
| <input type="checkbox"/> Structured/Leveraged Products 結構性 / 構桿產品                 | <input type="checkbox"/> <1yr 少於一年 | <input type="checkbox"/> 1-5yrs 一至五年 | <input type="checkbox"/> 6-10yrs 六至十年 | <input type="checkbox"/> >10yrs 多於十年 |
| <input type="checkbox"/> Others (Please specify)                                  | <input type="checkbox"/> <1yr 少於一年 | <input type="checkbox"/> 1-5yrs 一至五年 | <input type="checkbox"/> 6-10yrs 六至十年 | <input type="checkbox"/> >10yrs 多於十年 |

其他 (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 if the Client has adequate knowledge on "Derivatives and Structured Products" ?

請問客戶對「衍生及結構性投資產品」有沒有足夠認識？

YES 有                    NO 沒有

II. If the answer is "YES", please state whether the Client acquired knowledge on "Derivatives and Structured Products" by the following ways ?

若選擇答案「有」，請問客戶從那些途徑認識「衍生及結構性投資產品」？

Undergoing relevant training or attending courses or seminars on "Derivatives and Structured Products"

接受「衍生及結構性投資產品」培訓或修讀相關課程

Current employment and/or previous work experience for which relates/related to "Derivatives and Structured Products"

現時的工作或及以往的工作經驗與「衍生及結構性投資產品」有關

Client's relevant investment experience (with At Least 5 Transactions in the Recent 3 Years in products which described in "Investment Experience and Product Type" in # Part 1.5C as aforementioned)

客戶相關投資經驗（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 "Derivatives 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 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 Residential Address\* 郵遞方式 至 住宅地址\*

BY MAIL to Correspondence Address\* 郵遞方式 至 通訊地址\*

BY E-MAIL to Designated E-mail Address 電郵方式 至 指定電郵地址

\* Please notice that all statement will be sent to the Primary Joint Account Holder By Post. 請留意全部結單將郵寄往第一聯名帳戶持有人

\* 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。

### 3 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「獲授權人士」所操作？

#### ACCOUNT HOLDER DECLARATION 帳戶持有人聲明

I / (We) hereby declare that I / (we) 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 I / (we) 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).  
本人 / (吾等) 茲聲明對由本人 / (吾等) 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 I / (We), the Authorized Person(s) listed, after signing in the signature column herein below, indicated that I / (we) accept the aforementioned Client's Authorization to become the Account's Authorized Person(s). I / (We) hereby agree that I / (we) shall be fully responsible for all liabilities arising from my / (our) relevant Account(s) with QMIS Securities and I / (we) 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 myself / (ourselves).

當本人 / (吾等) 獲授權人士於下列簽署欄內簽署後，即表示本人 / (吾等) 同意接受客戶授權中成為其授權人士，並同意承擔本人 / (吾等) 帳戶內之一切責任，亦須就華亞證券因授權人士 及/或 本人 / (吾等) 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

### 4 DISCLOSURE OF INFORMATION 身份聲明

I. Is the Client and/or the Ultimate Beneficial Owner (UBO) of the Account, or the Client's Spouse, Partner, Child, Parent, Spouse or Partner of the Client's Child, or a Closely Associate with the Client 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 ?

客戶及/或帳戶的最終實益擁有人，或其配偶、伴侶、子女或父母，或其子女的配偶或伴侶，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 Client an employee of a Licensed Corporation under the "Securities and Futures Ordinance" ("SFO"), OR a Registered Institution under the "Banking Ordinance" ("BO") (whether the Client is currently a "SFC Licensed Representative" ("LR") OR "HKMA Registered Person" ("RP") or not) ?

客戶是否為根據《證券及期貨條例》（「證券條例」）下之註冊持牌法團 或《銀行業條例》（「銀行業條例」）下之註冊機構的僱員？

（包括客戶現時為證監會註冊持牌代表（「持牌代表」）或 金管局註冊人員（「註冊人員」））

NO 否

YES 是



## 6 ULTIMATE BENEFICIAL OWNER (UBO) 最終實益擁有人

Are you the "Ultimate Beneficial Owner" ("UBO") in relation to this Account ?

(i.e. Are you acting for your own account and NOT for a "Third Party" ? )

客戶是否此帳戶的「最終實益擁有人」？( 即客戶是否為本身而並非為「第三者」運作此帳戶？ )

YES 是

NO 否 (Please provide details of the Account's Ultimate Beneficial Owner) (請客戶提供此帳戶之最終實益擁有人資料)

Name of Ultimate Beneficial Owner  
最終實益擁有人名稱

ID Card / Passport Number  
身份證 / 護照號碼

Correspondence Address  
通訊地址

## 7 JOINT ACCOUNT SIGNATURES ARRANGEMENT 聯名帳戶簽署安排

- I. Each of the above joint account holder(s) specified is/are authorized to give "Verbal Instructions" and/or "Instruction through the Electronic Service" (where applicable) in relation to the purchase or sell of any Security for the Account from time to time; and  
以上每一位聯名帳戶持有人均有權利為此帳戶進行買賣任何證券而不時發出「口頭指示」及/或「透過電子服務」(如適用)發出指示；及
- II.  Either One Joint Account Holder signing "Singly" 其中一位 聯名帳戶持有人「單獨」簽署  
 Both Joint Account Holders signing "Jointly" 兩位 聯名帳戶持有人「共同」簽署  
validates any "Written Instruction" relating to the operation of the Account. 任何就帳戶運作之「書面指示」方為有效。

## 8 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。

### 8.1 JURISDICTION OF RESIDENCE AND TAXPAYER IDENTIFICATION NUMBER OR ITS FUNCTIONAL EQUIVALENT ("TIN") 留司法管轄區及稅務編號 或 具有等同功能的識辨編號 (以下簡稱「稅務編號」)

- ◆ Complete the following table indicating (A) the jurisdiction of residence (including Hong Kong) where the Account Holder is a resident for tax purposes and (B) the "Account Holder's TIN" for each jurisdiction indicated. Indicate all (Not Restricted to Five (5)) jurisdictions of residence.

客戶提供以下資料，列明 (A) 帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區（包括香港在內）及 (B) 該居留司法管轄區發給「帳戶持有人的稅務編號」。列出所有（不限於5個）居留司法管轄區。

- ◆ If the Account Holder is a Tax Resident in Hong Kong, the "TIN" is the Hong Kong Identity Card Number.  
若帳戶持有人是香港稅務居民，「稅務編號」便是其香港身份證號碼。

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 resident for tax purposes does not issue "TINs" to its Residents.  
帳戶持有人的居留司法管轄區並沒有向其居民發出「稅務編號」。

REASON 理由 B – The Account Holder is unable to obtain a "TIN". Explain why the Account Holder is unable to obtain a "TIN" if Clients have selected this reason.

帳戶持有人不能取得「稅務編號」。若選取此作為理由，請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 residence do not require the "TIN" to be disclosed.

帳戶持有人毋須提供「稅務編號」。居留司法管轄區的主管機關不需要帳戶持有人披露「稅務編號」。

Jurisdiction of Residence 居留司法管轄區	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 Account Holder is unable to obtain a TIN if you have selected <u>REASON B</u> 若選取 <u>理由B</u> ，解釋帳戶持有人不能取得「稅務編號」的原因
1/			
2/			
3/			
4/			
5/			

## 8.2 DECLARATIONS AND SIGNATURE 聲明及簽署

The Account Holder hereby acknowledges and agrees that :

帳戶持有人特此知悉及同意：

(A) The information contained in this 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」）或其聯屬公司於本表格收集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 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 Account Holder may be resident 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」）之稅務局（「稅務局」）申報該帳戶持有人的資料，從而把相關資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

The Account Holder hereby declares that I am / (we are) the Account Holder and authorized to sign for the Account Holder of all the Account to which this Application Form relates.

帳戶持有人特此證明，就與本申請表格所有相關的帳戶，本人 / (吾等) 是該帳戶持有人及獲授權簽署本申請表格。

The Account Holder hereby undertakes to advise QMIS Securities of any change in circumstances which affects the tax residency status of the Account Holder identified in Part # 8.1 of this 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) Days of such change in circumstances.

帳戶持有人特此承諾，若帳戶持有人的情況出現任何改變，以致影響本表格 # 8.1 部份 所述帳戶持有人的稅務居民身分，或引致本申請表格內所載的資料不正確，帳戶持有人須於情況發生改變後 30 日內，向華亞證券提交一份已適當更新的自我證明表格。

The Account Holder hereby declares that the information given and statements made in this Application Form is/are, to the best of my / (our) knowledge and belief, true, correct and complete.

帳戶持有人特此聲明就本人 / (吾等) 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。

CLIENT'S SIGNATURE 客戶簽署 \_\_\_\_\_

NAME OF CLIENT 客戶名稱 \_\_\_\_\_

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 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 person 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。

## 9 USE OF PERSONAL DATA (CLIENT CONSENT LETTER) 個人資料使用 (帳戶同意書)

I / (We) have 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 (Chapter 486 of the Laws of Hong Kong) as set as in # Part 5 of the Agreement for Securities Trading Account. In particular :

本人 / (吾等) 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：

- I / (We) hereby consent to the use of my / (our) information for direct marketing directly related to the opening or continuation of my / (our) Account(s) with QMIS Securities or its Affiliates and the provision of financial services by QMIS Securities to me / (us).  
本人 / (吾等) 特此同意使用本人 / (吾等) 客戶資料作為與本人 / (吾等) 於華亞證券或其聯屬公司開立或繼續維持本人 / (吾等) 及華亞證券向本人 / (吾等) 提供金融服務有關的直接促銷之用途。
- I / (We) hereby consent to the use of my / (our) 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 my / (our) Account(s) with QMIS Securities and the provision of financial services by QMIS Securities to me / (us).  
本人 / (吾等) 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，使用本人 / (吾等) 客戶資料作為直接促銷與本人 / (吾等) 於華亞證券開立或繼續維持帳戶及華亞證券向本人 / (吾等) 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

## 10 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

I / (We) hereby represent that the information on this Account Application Form and relevant Forms is/are True, Complete and Accurate and that I / (we) have not willfully withheld any material fact. I / (We) request QMIS Securities Limited ("QMIS Securities") to open a Cash Securities / Margin Securities Account (the "Account") and agree 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 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 my / (our) Bank(s), Broker(s) or any Credit Agency for the purpose of verifying the information provided on this Account Application Form. I / (We) also understand that QMIS Securities will rely on the above information of Investment Experience and Products Knowledge provided to assess whether I / (we) have acquired knowledge of derivative 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").

本人 / (吾等) 特此聲明在開戶申請書及相關表格所提供之資料全部為真實、完整及正確及本人 / (吾等) 並未刻意隱瞞任何重要事實。本人 / (吾等) 向華亞證券有限公司（「華亞證券」）申請開立現金證券帳戶 / 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，與任何人包括本人 / (吾等) 之銀行、經紀或任何信用機構進行諮詢。本人 / (吾等) 亦明白華亞證券根據上述投資經驗及對產品認識的資料判定本人 / (吾等) 是否擁有對衍生產品之認識，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

I / (We) hereby acknowledge and confirm that the "Agreement for Securities Trading Account", including but not limited to the "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" was provided to me / (us) in a language of my / (our) choice (in English or in Chinese), and I / (we) have been invited to read the "Risk Disclosure Statement" carefully, ask question(s) and seek independent and professional advice if I / (we) so wish. I / (We) also confirm that I / (we) have retained a copy of the "Agreement for Securities Trading Account" for my / (our) reference.

本人 / (吾等) 謹此承認並確認本人 / (吾等) 已獲得按照本人 / (吾等) 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「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」，及本人 / (吾等) 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 (若本人 / (吾等) 有此意願)。本人 / (吾等) 確認本人 / (吾等) 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 Client in relation to any "Derivative Products", QMIS Securities will provide to the 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 Client's position may be liquidated without the Client's consent.

若華亞證券向客戶提供任何有關「衍生產品」的服務，華亞證券會先按照該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客戶同意而將客戶的持倉出售或平倉。

If QMIS Securities solicits the "Sale Of" or "Recommend" any "Financial Product" to the Client, the financial product must be reasonably suitable for the Client having regard to Client's "Financial Situation", "Investment Experience" and "Investment Objectives". No other provision of the Agreement or any other document QMIS Securities may ask the Client to sign and no statement QMIS Securities may ask the 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客戶簽署的文件及華亞證券可能要求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

I / (We) hereby acknowledge that access to the internet or other electronic medium 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 medium 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 medium of communication. As a result of such unreliability, there may be delay 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 me / (us).

本人 / (吾等) 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他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他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，及本人 / (吾等) 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

I / (We) hereby agree, acknowledge and confirm that I / (we) have given the "Standing Authority" to authorize QMIS Securities to deal with my / (our) 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 me / (us) and I / (we) understand and agree the contents of it.

本人 / (吾等) 謹此同意、承認及確定本人 / (吾等) 已授予華亞證券「常設授權」以處置本人 / (吾等) 的款項，並且本人 / (吾等) 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」之內容已獲得解釋，及本人 / (吾等) 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)

I / (We) hereby agree, acknowledge and confirm that I / (we) have given the “Standing Authority” to authorize QMIS Securities to deal with my / (our) Securities Collateral and the contents of the “Standing Authority” under Securities and Futures (Client Securities) Rules of the “Agreement for Securities Trading Account” provided by QMIS Securities has been explained to me / (us) and I / (we) understand and agree the contents of it.

本人 / (吾等) 謹此同意、承認及確定本人 / (吾等) 已授予華亞證券「常設授權」以處置本人 / (吾等) 的證券抵押品，並且本人 / (吾等) 就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，及本人 / (吾等) 明白及同意其內容。

## 11 SIGNATURE OF ACCOUNT HOLDER(S) 帳戶持有人簽署

SIGNATURE OF ACCOUNT HOLDER

帳戶持有人簽署

NAME OF CLIENT (Name in CAPITAL Letter)

客戶名稱 (全名及英文大楷)

SIGNING DATE (dd/mm/yyyy)

簽署日期 (日/月/年)

## 12 CLIENT SIGNATURE CERTIFICATION & IDENTITY PROOF ( IF APPLICABLE)

### 見證客戶簽署 及 身份證明 (如適用)

If this Account Application Form is not executed in front of 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 us with Self-Certified ID Copy and copy of the Professional Qualification Documents.

若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申請開戶表格或本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，包括其他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 Account Application Form by the above Client(s) and sighting of related identity documents of such Client(s) :

述簽署人士謹此驗證上述客戶 / 聯名客戶簽立此文件及其有關的身份證明文件 :

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

\_\_\_\_\_

## 13 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 (Mr. / Miss / Mrs.) \_\_\_\_\_ (Name of Client(s)) in a language which ((he / she) / they) understand(s) and (has) / have invited the Client(s) to read, ask questions and take independent and professional advice if the Client (s) wish(es).

本人, \_\_\_\_\_ (證監會持牌人或註冊人名稱) 經以(他 / 她 / 他們)明白的語言,向 \_\_\_\_\_ (先生 / 小姐 / 太太)(客戶名稱),邀請其閱讀,提出問題及徵求獨立及專業意見(如客戶有此意願),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」內的內容。

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 Account Holder Client In Writing, to be primarily responsible for the affairs of the Account Holder in respect of the 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仕,但可不時准許並以書面通知帳戶持有人,主要負責帳戶持有人與華亞證券之間的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

- |  |  |
|--|--|
| <input type="checkbox"/> ID Card / Passport ( Copy )<br>身份證 / 護照(副本)   | <input type="checkbox"/> Employment Consent Letter ( If Applicable )<br>僱主書面同意書(如適用)   |
| <input type="checkbox"/> Address Proof ( Within 3 Months ) ( Copy )<br>地址證明(最近三個月內)(副本)                                      | <input type="checkbox"/> Form W-8BEN / Form W-9 ( If Applicable )<br>W-8BEN表格/W-9表格(如適用)   |
| <input type="checkbox"/> Client Standing Settlement Bank Account<br>( Within 3 Months ) ( Copy )<br>客戶常設交收銀行帳戶結單(最近三個月內)(副本) | <input type="checkbox"/> Hong Kong Investor Identity Regime (HKIDR) and the<br>Over-The-Counter Transactions Reporting Regime (OTCR)<br>Customer Information |
| <input type="checkbox"/> Over-The-Counter Securities Trading Risk Disclosure Statement<br>場外證券交易風險披露聲明                       | 香港投資者識別碼制度及場外證券交易匯報制度個人資料  |

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 倂金資料

### HK SECURITIES TRADING 香港證券交易

Non-Electronic Trading 非電子交易		Minimum Trading Fee 最低交易收費	
Electronic Trading 電子交易			

### US SECURITIES TRADING 美國證券交易

Non-Electronic Trading 非電子交易		Minimum Trading Fee 最低交易收費	
Electronic Trading 電子交易			

**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 PERSON 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)