



# SORRENTO SECURITIES LIMITED 擎天證券有限公司

Account Opening Form (Individual / Joint Account)  
開戶表格 (個人 / 聯名帳戶)

Account Number 帳戶號碼 : \_\_\_\_\_

Client Name 客戶姓名 : \_\_\_\_\_

**Sorrento Securities Limited 擎天證券有限公司**

Rm 1208, 12/F, Wing On Centre, 111 Connaught Rd Central, Sheung Wan, Hong Kong

香港上環干諾道中111號永安中心12樓1208室

Tel 電話 : 852-3959-9800 Fax 傳真 : 852-3959-9819

Sorrento Securities Limited ("SSL" or the "Company") carries on the business of dealing in securities is licensed to carry on Type 1 (dealing in securities) regulated activities under the Securities and Futures Ordinance (Cap. 571) (CE No. BHG995).

擎天證券有限公司 ("擎天" 或 "本公司") 經營的是證券交易的業務，並根據證券及期貨條例 (第571章) 獲發牌經營第一類 (證券交易) 受規管活動 (中央編號: BHG995)。

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擎天證券有限公司（“擎天”或“本公司”）經營的是證券交易的業務，並根據證券及期貨條例（第 571 章）獲發牌經營第一類（證券交易）受規管活動（中央編號：BHG995）。

<b>1. Account Type 帳戶類別</b>		
<b>Securities Trading Account 證券交易帳戶</b>		
Account No. 帳戶號碼		
Type of Account 帳戶類別	<input type="checkbox"/> Individual Account 個人戶口	Joint Account 聯名戶口 <input type="checkbox"/> Primary A/C Holder <input type="checkbox"/> Secondary A/c Holder
	<input type="checkbox"/> Margin 保證金	<input type="checkbox"/> Cash 現金 <input type="checkbox"/> Stock Option 股票期權
Account Service 戶口服務	<input type="checkbox"/> Internet trading 網上交易	

Please complete in BLOCK LETTERS 請用正楷填寫

<b>2. Client information 個人資料</b>			
Name 姓名	<input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Ms. 女士		
English 英文:	Chinese 中文:		
Nationality 國籍:		I.D. / Passport No. 身份證/護照號碼:	
Place of Birth 出生地點:		Date of Birth (yyyy/mm/dd) 出生日期(年年年/月/日):	
Residential Address 住址:			
Residential Phone 住宅電話號碼:		Mobile Phone 手提電話:	
Email Address 電郵地址:			

<b>3. Employment Status 職業 / 就業情況</b>			
Name of Employer 僱主名稱:			
Position Held 職位:			
Years with employer 受僱年期:		Occupation/Nature of Business 職業/業務性質:	
Business Tel. No. 工作電話號碼:		Fax No. 傳真號碼:	
Employer Address 僱主地址:			

<b>4. Financial Profile 財務狀況</b>	
i) Income Source 收入來源	
<input type="checkbox"/> Salary / Commission 薪金/佣金	<input type="checkbox"/> Rent 租金 <input type="checkbox"/> Dividend / Interest 股息/利息 <input type="checkbox"/> Business Profit 營業利潤 <input type="checkbox"/> Others 其他: _____
Annual Income 每年收入	
<input type="checkbox"/> Below 少於\$120,000 <input type="checkbox"/> \$120,000~\$360,000 <input type="checkbox"/> \$360,001~\$600,000 <input type="checkbox"/> \$600,001~\$1,200,000 <input type="checkbox"/> Above 多於\$1,200,000	
*If Client is presently a housewife, retired or an unemployed person, please state the job details before being a housewife, retired or an unemployed person. 如客戶現時為家庭主婦、退休或待業人士，請填寫成為家庭主婦、退休或待業人士之前的工作資料	
Industry/Business Nature 行業/業務性質: _____ Positon 職位: _____	

ii) Asset Items 資產項目:

☐ Property

房產

☐ Cash / Deposit

現金/存款

☐ Valuable Stock

有價證券

☐ Others(please specify)

其他(請列明): \_\_\_\_\_

Asset Net Worth 資產淨值:

☐ Below 少於\$100,000

☐ \$100,000-\$500,000

☐ \$500,001-\$1,000,000

☐ \$1,000,001-\$8,000,000

☐ Above 多於\$8,000,000

**5. Investment Experience 投資經驗**

i) Products 產品

☐ Stocks/Investment Funds

股票/投資基金

☐ Bonds

債券

☐ Derivatives(Futures/Options/Warrants)

衍生工具(期貨/期權/認股權證)

☐ Foreign Currencies

外幣

☐ Others其他:

\_\_\_\_\_

ii) Experience (in year(s)) 經驗(年)

☐ Less than 1 year 少於一年

☐ 1-5 years 一至五年

☐ 6-10 years 六至十年

☐ More than 10 years 多於十年

**6. Investment Objectives and Risk Tolerance 投資目的及可承受風險**

i) Investment Objective 投資目的:

☐ Capital Gain 資本增值

☐ Hedging 對沖

☐ Income 收入

☐ Speculation 投機

☐ Others其他: \_\_\_\_\_

ii) Estimated investment amount 估計投資金額

☐ Below 少於\$100,000

☐ \$100,000-\$500,000

☐ \$500,001-\$1,000,000

☐ \$1,000,001-\$8,000,000

☐ Above 多於\$8,000,000

iii) Investment horizon 投資年期

☐ Short Term 短線

☐ Medium Term 中線

☐ Long Term 長線

iv) Risk Tolerance 可承受風險

☐ Low 低風險

☐ Medium 中等風險

☐ High 高風險

**7. Client's Knowledge of Derivative Products 客戶對衍生產品的認識**

The Client acknowledges and understands the Company will assess whether the Client has adequate knowledge on derivative products according to the information the Client provided.

客戶知悉及明白公司將根據以下的資料以評估客戶是否對衍生工具產品有認識。

☐ 1. The Client underwent training or attended courses on derivative products.

客戶曾接受有關衍生產品的培訓或修讀相關課程。

☐ 2. The Client has current or previous work experience related to derivative products.

客戶現時或過去擁有與衍生產品有關的工作經驗。

☐ 3. The Client has executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, Commodities, Structured Products, and Exchange Traded Funds, etc.

客戶於過去3年曾執行5次或以上有關衍生產品的交易，例如：衍生權證、牛熊證、股票、期權、期貨及期權、商品、結構性產品及易所買賣基金等。

☐ 4. The Client has **NOT** acquired knowledge of derivative products.

客戶沒有衍生工具之認識。

**8. Settlement Account Information 結算帳戶資料**

The Client hereby instructs and authorizes that the following bank account will be used as the settlement. (the account must be your name)

客戶謹此指示及授權使用以下的銀行帳戶，作為結算帳戶。(必須與客戶名稱相同)

Currency 貨幣

Name of Bank 銀行名稱

Account No. 戶口號碼

HKD 港幣

USD 美元

CNY 人民幣

**9. Method of Communication and Language of Statement 通訊方法及結單語言**

Please select one of the following method of communication 請選擇以下其中一項通訊方法:

☐ E-mail Address 電郵地址

☐ Residential address 住宅地址

☐ Business address 工作地址

☐ Other address, please specify (其他地址，請說明) \_\_\_\_\_

Language of Statement 結單語言: ☐ Traditional Chinese 繁體中文

☐ English 英文

☐ Simplified Chinese 簡體中文

## DECLARATION 聲明

### 10. Disclosure of Related Account(s) 披露關連帳戶

i) Are you, authorized person or ultimate beneficial owner related to any employee or director of the Company or its associated companies?

閣下、獲授權人或帳戶最終權益擁有人是否與本公司或其聯營公司之任何僱員或董事有任何親屬關係？

☐ No 否 ☐ Yes 是 (Please provide details below 請填寫以下資料)

Name of employee / director 僱員/董事姓名 : \_\_\_\_\_ Relationship 關係 : \_\_\_\_\_

ii) Is your spouse a margin client of Sorrento Securities Limited?

閣下的配偶是否擎天證券有限公司的保證金客戶？

☐ No 否 ☐ Yes 是 (Please provide details below 請填寫以下資料)

Name of the spouse 配偶名稱: \_\_\_\_\_ Account No. 帳戶號碼: \_\_\_\_\_

iii) Are you whether individually or jointly with your spouse control 35% or more of the voting rights of any margin client of the Company?

閣下是否個人或與閣下的配偶共同控制本公司任何保證金客戶的 35% 或以上的表決權？

☐ No 否 ☐ Yes 是 (Please provide details below 請填寫以下資料)

Name of the controlled client 受控制客戶名稱 : \_\_\_\_\_ Account No. 帳戶號碼 : \_\_\_\_\_

### 11. Disclosure of Identity 披露身份

i) Are you acting as an intermediary for the account?

閣下是否以中介人身份操作帳戶？

☐ No 否 ☐ Yes, the ultimate beneficial owner(s) as follows 是，戶口的最終權益擁有人是：

Name 姓名: \_\_\_\_\_ ID Card/Passport No. 身份證 / 護照號碼: \_\_\_\_\_

Residential Address 住宅地址: \_\_\_\_\_

ii) Are you, the ultimate beneficial owner(s) of the Account, a licensed person or a director or an employee of any licensed corporation/authorized institution registered with the Securities and Futures Commission?

閣下，戶口最終受益人是否證券及期貨事務監察委員會註冊的持牌人士或持牌法團/註冊機構的董事或僱員？

☐ No 否 ☐ Yes 是 (Please provide details below 請填寫以下資料)

Name of the licensed person or licensed corporation/registered institution

持牌人士或持牌法團/註冊機構名稱 : \_\_\_\_\_

iii) Are you, your spouse, partner, child(ren), parent(s), spouse(s) or partner(s) of his child(ren), or a close associate(s) of you entrusted or has been entrusted with a prominent public function, includes a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a stated-owned corporation and an important political party official?

閣下、閣下之配偶、伴侶、子女或父母，或閣下的子女的配偶或伴侶，或與閣下關係密切的人，是否擔任或曾擔任重要公職，包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事？

☐ No 否 ☐ Yes 是 (Please provide details below 請填寫以下資料)

### 12. United States Status Certification 美國身分聲明

i) Is the Client or the Client's ultimate beneficial owner a United State Person ("U.S. Person") defined under the Foreign Account Tax Compliance Act ("FATCA")?

根據海外帳戶稅收合規法案定義，客戶或其最終受益人是不是美國人？

☐ No 否 / ☐ Yes 是, TIN is 美國聯邦納稅人識別碼是: \_\_\_\_\_

ii) For individual Client who has the below particular(s), please tick the appropriate box(es). 對於具以下明細的個人客戶，請剔取合適的方格。

☐ U.S. place of birth 出生地為美國

☐ U.S. mailing or residence address (including a U.S. post office box) 郵寄或永久地址為美國

☐ U.S. telephone number 美國電話號碼

☐ Standing instruction to transfer funds to an account maintained in the United States 常設授權將資金轉至設在美國的帳戶

☐ Power of attorney or signatory authority granted to a person with a U.S. address 授予擁有美國地址的人士代理權或簽名權

☐ An "in-care-of" or "hold mail" address that is the sole address 提供一個轉交地址或代存郵件地址

☐ None of the above 以上全部不是

### 13. Client's Declaration for Data Protection 客戶個人資料保障聲明

The Client has carefully read, fully understood and agreed to accept and be bound by the Personal Data (Privacy) Ordinance in SSL's Terms and Conditions.

客戶已仔細閱讀，完全理解並同意接受並遵守載於擎天條款及條件中關於《個人資料(私隱)條例》致客戶的解釋說明。

The Client hereby consents to the contents and the use of the data by SSL in direct marketing.

客戶謹此同意該內容及同意擎天使用其個人資料作直接促銷用途。

Please tick the box below if disagree: 如不同意，請在以下空格加上「✓」號

- ☐ I/We DISAGREE that Sorrento Securities Limited and/or any member of the Group to use my/our personal data in direct marketing via personal call, mail, E-mail, SMS, fax or others. 本人/吾等不同意擎天證券有限公司及或其集團任何成員使用本人/吾等的個人資料透過專人電話、郵寄、電郵、電話短訊、傳真或其他的途徑作直接促銷。

### 14. Client's Declaration and Signature 客戶聲明和簽署

The Client represents that the information contained in this Account Opening Information Form is true, complete and correct and that the representations in the attached current version of the Standard Terms and Conditions for Securities Trading of Sorrento Securities Limited (the "Agreement") are accurate. Sorrento Securities Limited ("SSL") is entitled to rely fully on such information and representations for all purposes, unless SSL receives notice in writing of any change. SSL is authorized at any time to contact anyone, including my / our banks, brokers and credit agency, for the purpose of verifying the information provided on this Account Opening Information Form.

客戶茲聲明在本開戶資料表內的資料均屬真實，完整及正確，而附上擎天證券有限公司最新版本的證券交易標準條款(“該協議書”)一切內容準確。除非擎天證券有限公司(“擎天”)收到有關更改開戶資料表內容的書面通知，擎天有權在任何用途上完全依賴這些資料及聲明。擎天有權隨時聯絡任何人，包括客戶之銀行、經紀或任何信貸機構，以求證實此開戶資料表所載之內容。

I/We, the undersigned Client(s), hereby apply to open Securities Account. I/We have read and understood the provisions of the Agreement of which this document forms a part and agree to be bound by the agreement (receipt of a copy whereof is hereby acknowledged by me/us) as the same may be amended from time to time.

I/We acknowledge and confirm that SSL has provided the Risk Disclosure Statements and Disclaimers annexed hereto in a language of my/our choice (English or Chinese) and I/we have been invited to read the same, to ask questions and take independent advice if I/we wish.

本人/吾等，下述簽署客戶，現申請開立證券買賣帳戶。本人/吾等已閱讀過及明白附上的該協議書，而本文件乃該協議書的一部份，並同意接受可不時被修改的該協議書(謹此聲明本人/吾等已收妥其副本)所約束。

本人/吾等確認擎天證券已按照本人/吾等選擇的語言(中文或英文)獲提供附於本表的風險披露聲明及免責聲明，及已獲邀閱讀該等聲明、提出問題及徵求獨立的意見(如本人/吾等有此意願)。

**Individual / Primary Joint Account Holder's Signature**  
個人主要戶口申請人簽署



**Secondary Joint Account Holder's Signature**  
聯名戶口第二申請人簽署

Date(dd/mm/yy)日期(日日/月月/年年):

For Joint Account only 聯名戶口適用:

- ☐ All written instruction of the account should be jointly signed by both account holders  
所有帳戶的書面指示須由兩位帳戶持有人同時簽署

Witness Name 見證人姓名:

Witness Signature 見證人簽署:

ID No./Passport No. 身份證/護照號碼:

Date(dd/mm/yy)日期(日日/月月/年年):

### 15. Declaration by the licensed or registered staff 持牌或註冊人員之聲明

The Client has been provided with the relevant risk disclosure statements and disclaimers in a language of the Client's choice. The undersigned licensed or registered staff has invited the Client to read the risk disclosure statements, disclaimers and explained the relevant risks associated with the derivative products based on the client's knowledge of derivatives as set out in the Terms and Conditions, ask questions and take independent advice if the Client wishes.

客戶已獲提供以其所選語言之有關風險披露聲明及免責聲明。以下簽署之持牌或註冊人員已邀請客戶參閱條款及條件及當中列明之風險披露聲明及免責聲明、提出問題及按其意願諮詢獨立意見，並按其對衍生產品的認識解釋相關風險。

**Signature of licensed or registered staff 持牌或註冊人員簽署**

**Name of licensed or registered staff (in block letters)**  
持牌或註冊職員姓名(正楷填寫)

Date(dd/mm/yy)日期(日日/月月/年年):

C.E. No.證監會中央編號: \_\_\_\_\_

Document(s) Check list 文件檢查清單	HK Client 香港客戶	Mainland Client 國內客戶
<input type="checkbox"/> The identity document (e.g. ID Card or passport)* 身份證明文件 (如身份證/護照)*	✓	✓
<input type="checkbox"/> Proof of residential address within 3 months (e.g. bank letters, water/electricity bills or credit card statement) 三個月內之住址證明文件 (如銀行信件、水/電費單、信用卡賬單)	✓	
<input type="checkbox"/> Proof of residential address within 3 months (e.g. bank letters, water/electricity bills or credit card statement) 三個月內之住址證明文件 (如銀行信件、水/電費單、信用卡賬單) If residential address is different from that in mainland ID card, client has to provide proof of residential address 如住址與國內身份證上不同，則必須提供住址證明		✓
<input type="checkbox"/> Exit/entry Permit for Travelling to/from HK/China (applicable to mainland client only) 往來中港之通行證		(if applicable 如適用)

For Office Use Only 內部填寫:

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For Official Use Only 只供本行使用			
Introduced by 介紹人：		How Long Known to Client 與客戶相識年期：	
Name of Account Executive 客戶主任姓名：		AE No 客戶主任號碼：	
Credit Limit Suggested by AE 客戶主任建議之信用額： Loan Limit: 借貸限額:  Trading Limit (For Margin Account only): 交易限額 (只適用於孖展戶口):		Account Executive Signature 客戶主任簽署：	
Commission Rate 佣金比率:		Debit Interest Rate 欠款利息:	
Telephone: %	(Min HK\$)	%	
Internet: %	(Min HK\$)		
Telephone: %	(Min HK\$)		
Internet: %	(Min HK\$)		
Documents Checked By 文件查核：			
Account Approved By RO 負責人批准：			
Data Input By 資料輸入:		Data Checked By 資料查核:	

**Standing Authority (For Margin Client Only) 常設授權書 (只供保證金客戶簽署)**

To 致: **Sorrento Securities Limited 擎天證券有限公司**

**Standing Authority under Securities & Futures (Client Securities) Rules 根據《證券及期貨(客戶證券)規則》所設立的常設授權**

This standing authority is in respect of the treatment of our securities collateral as set out below:

本常設授權是有關處置吾等之證券或證券抵押品，詳列如下：

Unless otherwise defined, the terms used in this standing authority shall have the same meanings as in the Securities & Futures Ordinance and Securities & Futures (Client Securities) Rules as amended from time to time.

除非另有說明，本授權書之名稱與《證券及期貨條例》及《證券及期貨(客戶證券)規則》不時修訂之定義具有相同意思。

This standing authority authorizes you to 本常設授權書授權貴公司：

1. apply any of our securities or securities collateral in accordance with Terms and Conditions of Client Agreement of Margin client paragraph 19;  
依據證券保證金客戶協議之條款及守則第 19 條，貴公司可運用任何吾等的證券或證券抵押品；
2. deposit any of our securities collateral with an authorized financial institution as collateral for financial accommodation provided to you;  
將任何吾等的證券抵押品存放於認可財務機構，作為該機構向 貴公司提供財務通融之抵押品；
3. deposit any of our securities collateral with Hong Kong Securities Clearing Company Limited ( "HKSCC" ) as collateral for the discharge and satisfaction of your settlement obligations and liabilities. We understand that HKSCC will have a first fixed charge over our securities to the extent of your obligations and liabilities;  
將任何吾等的證券抵押品存於香港中央結算有限公司(「中央結算」)，作為解除 貴公司在交收上的義務和清償 貴公司在交收上的法律責任的抵押品。吾等明白中央結算因應 貴公司的責任和義務而對吾等的證券設定第一固定押記；
4. deposit any of our securities collateral with any other recognized clearing house, or another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of your settlement obligations and liabilities; and  
將任何吾等的證券抵押品存於任何其他認可結算所或任何其他獲發牌或獲註冊進行證券交易的中介人，作為解除 貴公司在交收上的責任和義務和清償 貴公司在交收上的法律責任的抵押品；及
5. apply or deposit any of our securities collateral in accordance with paragraphs 1,2,3, and/or 4 above if you provide financial accommodation to us in the course of dealing in securities and also provide financial accommodation to us in the course of any other regulated activity for which you are licensed or registered  
如貴公司在進行證券交易及貴公司獲發牌或獲註冊進行的任何其他受規管活動的過程中向吾等提供財務通融，即可按照上述第(1)、第(2)、第(3)及/或第(4)段所述運用或存放任何吾等的證券抵押品。

You may do any of these things without giving us notice. We acknowledge that this standing authority shall not affect your right to dispose or initiate a disposal by our affiliates of our securities or securities collateral in settlement of any liability owned by or on behalf of us to you, the affiliates or a third person.

貴公司可不向吾等發出事前通知而採取上述行動。吾等確認本授權書不影響 貴公司為解除由吾等或代吾等對 貴公司、貴公司之聯繫實體或第三者所負的法律責任，而處置或促使 貴公司的聯繫實體處置吾等之證券或證券抵押品的權利。

This standing authority is given to you in consideration of your agreeing to continue to maintain the securities margin account(s) for us.

此賦予 貴公司之授權乃鑑於 貴公司同意繼續維持吾等之證券保證金帳戶。吾等明白吾等的證券可能受制於第三者之權利，貴公司須全數抵償該等權利後，方可將吾等的證券退回吾等。

We under that a third party may have rights to our securities, which you must satisfy before our securities can be returned to us.

吾等明白吾等的證券可能受制於第三者之權利，貴公司須全數抵償該等權利後，方可將吾等的證券退回給吾等。

This standing authority is valid for a period of not more than 12 months until 31-December this year. We understand that this standing authority may be revoked by giving you written notice. Such notice shall take effect upon the expiry of 14 days from the date of your actual receipt of such notice.

本常設授權書的有效期限為十二個月，自本授權書之日起計有效。吾等可以向 貴公司客戶服務部位於上述所列明之地址發出書面通知，撤回本授權書。該等通知之生效日期為 貴公司真正收到該等通知後之 14 日起計。

We understand that this standing authority may be deemed to be renewed on a continuing basis without our consent if you issue us a written reminder at least 14 days prior to the expiry date of this standing authority, and we do not object to such expiry date.

吾等明白 貴公司若在本常設授權書的有效期限屆滿前 14 日之前，向吾等發出書面通知，提醒吾等本授權書即將屆滿，而吾等沒有在此授權屆滿前反對此授權續期，本授權書應當作在不需要吾等的書面同意下按持續的基準已被續期。

In the event of any difference in interpretation or meaning between the Chinese version and English version of this standing authority, we agree that the English version shall prevail.

倘若本授權書的中文本與英文本在解釋或意義方面有任何異議，吾等同意應以英文本為準。

We acknowledge that this standing authority and re-pledging practice of your Company has been fully explained to us and we understand and agree with the contents of this standing authority.

吾等就本常設授權書的內容及貴公司的轉按政策獲得解釋，並且吾等明白及同意本授權書的內容。



Client Signature 客戶簽署

Authorized Signature(s) and Business Chop 授權簽署及商業印章

Date 日期

