

Southwest Securities (HK) Brokerage Limited (SFC CE No. ACB501)
 西證(香港)證券經紀有限公司 (證監會中央編號: ACB501)
 Southwest Securities (HK) Futures Limited (SFC CE No. AAZ149)
 西證(香港)期貨有限公司 (證監會中央編號: AAZ149)
 40/F., Lee Garden One, 33 Hysan Avenue,
 Causeway Bay, Hong Kong
 香港銅鑼灣希慎道 33 號利園一期 40 樓

For office use only

Account No.: _____
 AE Name.: _____
 AE Code : _____
 Comm. Rate: _____
 By Internet: _____ By Phone: _____
 Interest Rate: _____
 Ref. No.: SW- _____

This form shall be read with Terms and Conditions of the Client Agreement.
 此表格須與客戶協議內的條款及條件一併閱讀。

Please tick the appropriate box 請在適當空格加 <input checked="" type="checkbox"/> *Please delete whichever is inapplicable 請刪去不適用者	Account Opening Date 開戶日期	(fill in by Company 由公司填寫)
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Account Type 帳戶類別

Company Nature 公司性質:	<input type="checkbox"/> Listed Company 上市公司 <input type="checkbox"/> Unlisted Limited Company 非上市有限公司 <input type="checkbox"/> Overseas Company 海外公司 <input type="checkbox"/> Others (Please specify) 其他 (請說明): _____
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Southwest Securities (HK) Brokerage Limited 西證 (香港) 證券經紀有限公司

Account Type 帳戶類別	<input type="checkbox"/> Cash Securities Account 證券現金帳戶 <input type="checkbox"/> Margin Securities Account 證券保證金帳戶 <input type="checkbox"/> Stock Options Account 股票期權帳戶
Other Securities Markets Trading Services 其他證券市場交易服務	<input type="checkbox"/> Shanghai and Shenzhen Stock Connect 滬深港通 <input type="checkbox"/> U.S. Stock 美股 (please sign Form W-8BEN-E 請簽署 W-8BEN-E 表格)

Southwest Securities (HK) Futures Limited 西證 (香港) 期貨有限公司

Account Type 帳戶類別	<input type="checkbox"/> HK Futures & Index Option Account 香港期貨及指數期權帳戶 <input type="checkbox"/> Oversea Futures Account 海外期貨帳戶
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Electronic Trading Services 電子交易服務	<input type="checkbox"/> Required 需要 <input type="checkbox"/> Not Required 不需要
Way of Receiving OTP 收取「一次性驗證碼」方式 (please choose one only 請選取其中一種)	<input type="checkbox"/> SMS 短訊 _____ <input type="checkbox"/> E-mail 電郵 _____

Business Data 業務資料

Company Name (English) 公司名稱(英文)			
Company Name (Chinese) 公司名稱(中文)			
Trading Name (if different from Company Name) 營業名稱 (如異於公司名稱)			
Country of Incorporation 註冊國家		Date of Incorporation 公司註冊日期	
Certificate of Incorporation No. 公司註冊證號碼		Business Registration Cert. No. 商業登記證號碼	
Address of Registration 註冊辦事處地址			
Principal Business Address 主要營業地址			
Correspondence Address* 通訊地址*	(if different from above 如與上址不同)		
(*P.O.Box not accepted 不接受郵件信箱)			

Nature of Business 業務性質			
<input type="checkbox"/> Business Services 商業服務	<input type="checkbox"/> Finance 金融業	<input type="checkbox"/> Legal 法律服務	<input type="checkbox"/> Retail 零售業
<input type="checkbox"/> Communication 通訊業	<input type="checkbox"/> Gambling 博彩業	<input type="checkbox"/> Logistics 物流業	<input type="checkbox"/> Restaurants 餐飲業
<input type="checkbox"/> Construction 建築業	<input type="checkbox"/> Healthcare/Beauty 醫護/美容	<input type="checkbox"/> Manufacturing 製造業	<input type="checkbox"/> Trading 貿易
<input type="checkbox"/> Entertainment 娛樂行業	<input type="checkbox"/> Hotels 酒店業	<input type="checkbox"/> Money Exchange 貨幣兌換	<input type="checkbox"/> Transportation 運輸業
<input type="checkbox"/> Engineering 工程	<input type="checkbox"/> Insurance 保險業	<input type="checkbox"/> Real Estate 房地產	<input type="checkbox"/> Wholesale 批發業
<input type="checkbox"/> Others (Please specify) 其他 (請說明): _____			

Telephone No. 電話號碼	Facsimile No. 傳真號碼	E-mail Address 電郵地址
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Corporate Structure 公司結構

(1) Particular of ultimate beneficial owner(s) of the account (not applicable to Listed Company) 帳戶最終實益擁有人資料細節 (不適用於上市公司)

Name 姓名	ID/Passport No. and Nationality 身份證/護照號碼及國籍	Current Residential Address 現時住址	Contact No. 聯絡電話	% of Holding 持股百分比

(2) Particular of Major Shareholders (Shareholding more than 25%) 主要股東資料細節 (持有百分之二十五以上股權)

Shareholder(s) Name 股東名稱	ID Card / Passport / CI No. and Nationality 身份證/護照/註冊證書 號碼及國籍	Current Residential Address / Current Address 現時住址/現時地址	Contact No. 聯絡電話	% of Holding 持股百分比

(3) Particular of Directors of the Company 董事資料細節

Director(s) Name 董事名稱	ID Card / Passport / CI No. and Nationality 身份證/護照/註冊證書 號碼及國籍	Current Residential Address/ Current Address 現時住址/現時地址	Contact No. 聯絡電話

Process Agent 法律程序代理人 (for the use of Overseas Company 海外公司客戶必須填寫)

For Client who does not have a registered office or place of business in Hong Kong, the Client hereby appoints _____
 (Name), _____ (address)
 as its authorized agent to receive service of process in Hong Kong on its behalf.
 客戶在香港如無註冊辦事處或營業地點，客戶謹此委任 _____ (姓名)， _____
 _____ (地址) 為其獲授權代理人，代為在香港收取法律文件。

Account Operation Authorization 帳戶操作授權

Any _____ of the undersigned individuals are authorized to deposit/withdraw fund/shares to/from the account, give settlement instructions and any other instructions on behalf of client and the specimen signatures appearing against their names are the true signatures of the authorized individuals:

以下任何 _____ 位授權人士簽署均可代表公司對帳戶進行資金／股票存入或提取，發出結算指示和其他帳戶有關指示，而授權人士之真實簽名樣本已於其姓名旁邊註明。

(1) Particular of Authorized Person 授權人士資料					
Name 姓名	ID Card /Passport No. and Nationality 身份證/護照號碼及國籍	Current Residential Address 現時住址	Position 職位	Contact No. 聯絡電話	Specimen Signature 簽署式樣

Each of the following authorized person specified is authorized to give verbal instructions and/or instruction through the Electronic Services and / or other means (where applicable) in relation to the purchase or sale of any securities and/or futures and/or options contracts for the Account(s) from time to time.

以下每一授權人士均有權為帳戶買賣任何證券及／或期貨及／或期權合約而不時發出口頭指示及／或透過電子服務及／或其他方式（如適用）發出的指示。

(2) Particular of Authorized Person 授權人士資料					
Name 姓名	ID Card /Passport No. and Nationality 身份證/護照號碼及國籍	Current Residential Address 現時住址	Position 職位	Contact No. 聯絡電話	Specimen Signature 簽署式樣

Please provide board resolution with the arrangement of Account opening, authorized signatories, oral Instructions and other relevant Instruction. 請提供董事決議案列明開戶、授權簽署、口頭指示及其他有關指示之安排。

SPECIMEN OF BUSINESS CHOP (if applicable) 公司印章式樣 (如適用)

Financial Background 財務資料背景

Authorized Share Capital (HK\$) 註冊資本 (港元)		Paid-up Share Capital (HK\$) 繳足股本 (港元)	
Source(s) of Funds (may choose more than one option) 資金來源 (可選擇一項或多項)	<input type="checkbox"/> Shareholders Fund 股東資金 <input type="checkbox"/> Business income/ profit 業務收入/收益 <input type="checkbox"/> Return on Investments 投資回報	<input type="checkbox"/> Shareholders Loan 股東貸款 <input type="checkbox"/> Loans 借貸 <input type="checkbox"/> Others (Please specify) 其他 (請說明): _____	
Source(s) of Wealth (may choose more than one option) 財富來源 (可選擇一項或多項)	<input type="checkbox"/> Business income/ profit 業務收入/收益 <input type="checkbox"/> Sale of Investment 投資回報 <input type="checkbox"/> Saving 儲蓄	<input type="checkbox"/> Sale of Property/ Asset 出售物業/資產 <input type="checkbox"/> Inheritance 遺產繼承 <input type="checkbox"/> Others (Please specify) 其他 (請說明): _____	
Profit after tax (HK\$) 除稅後盈利 (港元)		Net Asset Value (HK\$) 資產淨值 (港元)	
<input type="checkbox"/> Less than or equal to HK\$1,000,000 或以下 <input type="checkbox"/> HK\$1,000,001 – HK\$3,000,000 <input type="checkbox"/> HK\$3,000,001 – HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 – HK\$10,000,000 <input type="checkbox"/> HK\$10,000,001 – HK\$20,000,000 <input type="checkbox"/> Over HK\$20,000,000 以上		<input type="checkbox"/> Less than or equal to HK\$1,000,000 或以下 <input type="checkbox"/> HK\$1,000,001 – HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 – HK\$10,000,000 <input type="checkbox"/> HK\$10,000,001 – HK\$30,000,000 <input type="checkbox"/> HK\$30,000,001 – HK\$50,000,000 <input type="checkbox"/> Over HK\$50,000,000 以上	

Account Transaction Information 帳戶交易資料

1	Estimated Amount for Investment at Account Opening 開戶時預計用作投資的金額 <input type="checkbox"/> Less than or equal to HK\$2,000,000 或以下 <input type="checkbox"/> HK\$2,000,001 – HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 – HK\$10,000,000 <input type="checkbox"/> HK\$10,000,001 – HK\$20,000,000 <input type="checkbox"/> Above HK\$20,000,000 以上
2	Approximate Account Transaction Frequency Per Month 預期每月帳戶交易筆數 <input type="checkbox"/> ≤ 100 <input type="checkbox"/> 101 – 200 <input type="checkbox"/> 201 – 500 <input type="checkbox"/> 501 -1000 <input type="checkbox"/> > 1000

Investment Experience and Product Knowledge 投資經驗及對產品認識

1	Investment Experience of Products (may choose more than one option) 產品投資經驗 (可選擇一項或多項) <input type="checkbox"/> HK Listed Stocks 香港上市股票 <input type="checkbox"/> Overseas Listed Stocks 海外上市股票 <input type="checkbox"/> China A-shares 中國 A 股 <input type="checkbox"/> HK Futures & Options 香港期貨及期權 <input type="checkbox"/> Overseas Futures & Options 海外期貨及期權 <input type="checkbox"/> Mutual Funds or Unit Trust 互惠基金或單位信託 <input type="checkbox"/> Bonds 債券 <input type="checkbox"/> Others (Please specify) 其他 (請說明): _____ <input type="checkbox"/> None 沒有
2	Years of Experience in Securities Investment 證券投資經驗年期： <input type="checkbox"/> Nil 沒有 <input type="checkbox"/> 1-3 years 一至三年 <input type="checkbox"/> 3-5 years 三至五年 <input type="checkbox"/> 5-10 years 五至十年 <input type="checkbox"/> Over 10 years 超過十年
3	Investment Objectives (may choose more than one option) 投資目標 (可選擇一項或多項) <input type="checkbox"/> Capital appreciation 資本增值 <input type="checkbox"/> Dividend 股息收益 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Long-term investment 長線投資 <input type="checkbox"/> Short-term trading 短線買賣 <input type="checkbox"/> Others (Please specify) 其他 (請說明): _____

4 Derivative Products Knowledge 對衍生產品的認識

a) Has any of your previous trading experience ever been related to structured or derivative product(s)?
您以往曾否有買賣結構性或衍生產品的經驗?

No 否 Yes 是, please state the structured or derivative product(s) you traded (may choose more than one option)
請提供有關的產品名稱 (可選擇一項或多項)

Exchange Traded Convertible Bonds 交易所買賣換股債券
 Derivative Warrants 衍生認股證
 Callable Bull/Bear Contracts (CBBC) 牛熊證
 Exchange Traded Funds (ETF) 交易所買賣基金
 Rights 供股權
 Futures and Options 期貨或期權合約交易
 Stock Options 股票期權
 Equity Linked Instruments / Notes (ELI/ELN) 股票掛鉤產品
 Others (Please specify) 其他 (請說明): _____

b) Have you executed five or more than five transactions in any structured or derivative product (whether traded on an Exchange or not) within the past three years?
您是否曾在過去三年執行過五次或以上有關任何結構性或衍生產品的交易 (不論是否在交易所買賣) 的交易?

No 否 Yes 是

c) Have you ever attended any trainings or courses in relation to structured and/or derivative product(s)?
您曾否接受有關結構性及/或衍生工具產品的培訓或相關課程?

No 否
 Yes 是, please state the name and date of the trainings or courses : _____
請提供培訓或修讀課程之名稱及日期 :

d) Has any of your **current or previous** work experience been related to structured or derivative products(s)?
您**現時或以往**的工作經常是否與結構性或衍生產品有關?

No 否 Yes 是 (Please specify 請說明): _____

For clients who do not have any of the above-mentioned derivative products knowledge and experience, such clients will be considered as without knowledge of structured and / or derivatives product(s). Before trading in structured and/ or derivative product(s), the Client has read and understood the risks disclosure statements of Derivatives traded on Exchange included in the Client Agreement and agree to bear the risks involved.
如客戶沒有以上任何一項結構性及/或衍生工具產品的經驗及認識, 客戶將被視作沒有結構性及/或衍生工具產品認識。在客戶買賣結構性及/或衍生工具產品之前, 客戶就此確認已閱讀及理解包括於客戶協議中有關在交易所買賣的衍生產品的風險披露聲明, 並同意承擔有關風險。

Disclosure of Information 資料披露

1 Is you Company ultimately responsible for originating instructions for the Account(s)?
貴公司是否此帳戶進行交易的最終負責發出指示人士?

Yes 是
 No, detail of the person ultimately responsible for giving instructions is (if more than one, please specify on an additional paper),
否, 帳戶進行交易的最終負責發出指示人是 (如多於一位, 請另紙說明):

Name of ultimate responsible for giving instructions 最終負責發出指示人士姓名	ID/Passport No 身份證 / 護照號碼	Place of Birth 出生地區	Nationality 國籍	Occupation 職業
		Date of Birth 出生日期 (DD/MM/YYYY) (日/月/年)		

Current Residential Address 現時住址 Contact No. 聯絡號碼 Relationship with account holder(s)
與帳戶持有人的關係

2 Is/Are any director(s), shareholder(s), authorized person(s), the ultimate beneficial owner(s) of the Account and/or the person ultimately responsible for giving instructions for the Account(s) of the client, a director, representative or an employee of any Licensed or Registered Institution of the Securities and Futures Commission in Hong Kong?
客戶之任何董事、股東、獲授權人士、最終實益擁有人及/或最終負責就帳戶發出指示的人士, 是否香港證監會註冊之持牌法團或註冊機構之董事、代表或職員?

No 否 Yes 是*, Name of the Licensed or Registered Person(s) 持牌或註冊人士姓名:

***If yes, please provide the written consent from the employer of your account(s) opening with Southwest
如是, 請務必提供僱主確認同意於西證開立此帳戶之同意書**

3 Does/Do any director(s), shareholder(s), and authorized person(s), the ultimate beneficial owner(s) of the Account and/or the person ultimately responsible for giving instructions for the Account(s) of the client has/have any relationship with any director or employee of Southwest Securities (HK) Brokerage Limited or Southwest Securities (HK) Futures Limited or its Affiliates?
 客戶之任何董事、股東、獲授權人士、最終實益擁有人及/或最終負責就帳戶發出指示的人士，與西證(香港)證券經紀有限公司或西證(香港)期貨有限公司或其聯屬公司之董事或職員是否有親屬關係?
 No 否 Yes 是 (Please specify 請說明) : Name of Director/Employee 董事或職員姓名: Relationship 關係:

4 Is/Are any director(s), shareholder(s), authorized person(s), the ultimate beneficial owner(s) of the Account and/or the person ultimately responsible for giving instructions for the Account(s) of the client, or his spouse, partner, child, parent, spouse or partner of his child, or a close associate with him a political exposed person, 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, an important political party official and senior management of an international organization, i.e. directors, deputy directors and members of the board or equivalent functions?
 客戶之任何董事、股東、獲授權人士、最終實益擁有人及/或最終負責就帳戶發出指示的人士，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的政治人物，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、重要政黨幹事及國際組織的高級管理層，即董事會的董事、副董事及成員或對等職位?
 No 否 Yes 是 (Please specify 請說明) : _____

5 Is the nature of the client's business particularly susceptible to money laundering risk? (e.g. money service, gambling business, the production of or trade in arms / war material)?
 客戶的業務性質是否特別容易蒙受較高的洗黑錢風險 (如金錢服務業、博彩業、武器/戰爭物資的生產或貿易等行業)?
 No 否 Yes 是 (Please specify 請說明) : _____

6 Does the Company allow issuing bearer shares or nominee shareholder?
 貴公司有否容許代名人股東或發行持票人股份 (Bearer Shares)?
 No 否
 Yes, please provide details 是，請提供詳細資料:
 Name of ultimate beneficial owner(s) 最終實益擁有人名稱: No. of Shares held 持股數量: Relevant document 有關文件:

7 Does/ Do any shareholder(s) in control of 35% or more of the voting right of the client maintain account(s) with Southwest Securities (HK) Brokerage Limited and/or Southwest Securities (HK) Futures Limited?
 控制客戶 35%或以上投票權的股東在西證(香港)證券經紀有限公司及/或西證(香港)期貨有限公司是否持有帳戶?
 No 否 Yes 是 (Please specify 請說明) : Account Name 帳戶名稱: Account No. 帳戶號碼:

8 Does the Company maintain any other account(s) with Southwest Securities (HK) Brokerage Limited or Southwest Securities (HK) Futures Limited?
 貴公司現時是否已持有西證(香港)證券經紀有限公司或西證(香港)期貨有限公司之帳戶?
 No 否 Yes, please provide details 是，請提供詳細資料:
 Account Name 帳戶名稱: Account Type 帳戶類別: Account No. 帳戶號碼:

Bank Account 銀行帳戶 (For direct deposit 直接存款之用)

Account Type 帳戶類別	Name of Receiving Bank 收款銀行名稱	Account Number 帳戶號碼	Address of Receiving Bank 收款銀行地址	T/T SWIFT Code 銀行國際代碼

**Proof of Bank account*) 需附銀行帳戶證明

Delivery of Statements 結單寄發

Mailing Address* 郵寄地址* (P.O.Box not accepted 不接受郵政信箱)	<input type="checkbox"/> Business Address 營業地址	<input type="checkbox"/> Correspondence Address 通訊地址	<input type="checkbox"/> E-mail Address 電郵地址
	(For securities account, Electronic trading clients can examine statement by using Web Statement at www.swsc.hk) (所有電子交易證券帳戶客戶可於西證網頁 www.swsc.hk 查閱結單) Please note that Administrative Fee will be charged monthly if receiving statement by post. 若以郵遞方式收取結單，每月將收取行政費用，敬請注意。		
Choice of Language 語言選擇	<input type="checkbox"/> English 英文	<input type="checkbox"/> Traditional Chinese 繁體中文	<input type="checkbox"/> Simplified Chinese 簡體中文

Other Information 其他資料

Reason for Choosing Southwest for Account opening 閣下選擇西證開戶的原因

Friend or relative referral 親友轉介 Walk-in 自薦 Seminar 講座 Others 其他：_____

Personal Data Arrangement(s) 個人資料安排 (Applicable to Securities Account Client only 只適用於證券帳戶之客戶)

We hereby authorize / do not authorize Southwest Securities (HK) Brokerage Limited to send our contact information to Hong Kong Securities Clearing Company Limited to receive the publication of corporate communication documents by the Issuer(s).

本公司 授權 / 不同意西證(香港)證券經紀有限公司將本公司聯絡資料轉介至香港中央結算有限公司以收取發行人的公司通訊。

Please provide English address for receiving information (if not stated in previous section) :

請提供英文地址以收取資料(如之前部份未有提述)：_____

Use of Personal Data in Direct Marketing Consent Letter 使用個人資料作直接促銷同意書

Southwest Securities (HK) Brokerage Limited ("SWSB") / Southwest Securities (HK) Futures Limited ("SWSF") intends to use your company's personal data in direct marketing. Such personal data includes the name, contact details, financial background and statistical data which are provided to SWSB / SWSF under this Account Opening Form and obtained by SWSB / SWSF from time to time. SWSB / SWSF proposes to obtain your company's consent.

西證(香港)證券經紀有限公司(「西證證券」)/西證(香港)期貨有限公司(「西證期貨」)擬使用貴公司的個人資料作直接促銷，該等個人資料包括貴公司在本開戶申請書中向西證證券/西證期貨提供及西證證券/西證期貨不時獲得的姓名、聯絡詳情、財務背景、統計資料等的個人資料。為此須取得貴公司的同意。

We agree to receive promotional and direct marketing information from SWSB / SWSF in respect of financial, insurance, securities, investment services and products of SWSB / SWSF may offer. We also agree that SWSB / SWSF can share our company's personal data with its group companies for marketing and promotional purposes. We understand and accept that SWSB / SWSF and its group companies may, from time to time, engage third parties to provide direct marketing services unless we indicate an objection herein below:

本公司同意西證證券/西證期貨向本公司的個人資料發放關於財務、保險、證券、投資的服務和產品的推廣資料。本公司亦同意西證證券/西證期貨及其集團公司分享本公司的個人資料作促銷用途。本公司亦明白和接受西證證券/西證期貨及其集團公司可能不時聘請第三方代表西證證券/西證期貨及其集團公司提供直接促銷服務，除非本人在下方表示反對：

We object to SWSB / SWSF use or transfer, whether for gain or not, of all kinds of our company's personal data to all classes of data transferees, for direct marketing of all classes of marketing subject.

本公司反對西證證券/西證期貨使用或轉移，不論是否為得益，本公司的所有個人資料的種類，給予所有資料承轉人的類別以用作所有促銷產品/服務/設施的類別的直接促銷用途。

In the future, if your company does not wish SWSB / SWSF to use or provide your company's personal data to other persons for the use in direct marketing, your company may exercise your opt-out right by notifying SWSB / SWSF at (852) 2238 9238.

如貴公司將來不希望西證證券/西證期貨使用或提供貴公司的個人資料給他人作直接促銷，請致電 (852) 2238 9238 通知我們。

Application of Account Opening and Information Provided 帳戶開立申請及資料提供

We represent that the information on this Account Opening Form and relevant Forms is true, complete and correct and that we have not willfully withheld any material fact(s). We request you to open a Cash Securities / Margin Securities / Stock Options / Futures Account ("the Account") and agree to all the terms of the Client Agreement and to abide by the Client Agreement (including the General Terms and Conditions and the applicable Additional Terms and Conditions of the Client Agreement), the rules and regulations of Securities and Futures Ordinance, Hong Kong Exchange and Clearing Limited or any other regulatory body(ies) as amended from time to time governing the transactions in the Account. Southwest Securities (HK) Brokerage Limited ("SWSB") and / or Southwest Securities (HK) Futures Limited ("SWSF") is / are entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any change. SWSB and / or SWSF is / are authorized at any time to contact anyone, including our banks, brokers or any credit agency for the purpose of verifying the information provided on this Account Opening Form. We also understand that SWSB and SWSF will rely on the above information of Investment Experience and Product Knowledge provided to assess whether 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.

本公司茲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，本公司並未刻意隱瞞任何重要事實。本公司向貴公司申請開立現金證券帳戶／保證金證券帳戶／股票期權／期貨帳戶（“該帳戶”）和同意遵守客戶協議的所有條款，並同意遵守證券及期貨條例、香港交易所有限公司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。除非西證(香港)證券經紀有限公司（「西證證券」）及／或西證(香港)期貨有限公司（「西證期貨」）接到更改有關本開戶申請書內容的書面通知，否則上述公司有權完全依賴此等資料及聲明作一切用途。上述公司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。本公司亦明白西證證券及西證期貨根據上述投資經驗及對產品認識內的資料介定本公司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之有關要求。

Agreement and Risk Disclosure Statement 協議及風險披露聲明

We hereby acknowledge and confirm that the Client Agreement, including but not limited to the Account Opening Form, the General Terms and Conditions, Additional Terms and Conditions, Data Privacy Policy, Disclaimers and the Risk Disclosure Statement was provided to me/us in a language of our choice (English or Chinese), and we have been invited to read the Risk Disclosure Statement carefully, ask questions and seek independent advice if we so wish. We also confirm that we have retained a copy of the Agreement for our reference.

本公司謹此承認並確定本公司已獲得按照本公司所選擇的語言（英文或中文）的客戶協議，當中包括，但不限於本開戶表、一般條款、附加條款、私隱政策、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的意見（如本公司有此意願）。本公司確認本公司已經保留本協議的副本，以作備考之用。

Foreign Account Tax Compliance Act (FATCA) 海外帳戶稅收合規法案

We hereby declare that We am/are not a United States resident for Foreign Account Tax Compliance Act (FATCA) purposes, and the income to which the said Account(s) related is not subjected to tax under FATCA. We undertake to notify SWSB and/or SWSF within 30 days for any change of circumstances stated in the SELF-CERTIFICATION OF U.S. RESIDENT / CITIZEN. We shall fully indemnify and hold harmless SWSB and/or SWSF from and against all claims, damages, losses, costs and expenses whatsoever incurred as a result of such non-compliance or omission.

本公司謹此聲明本公司並非《海外帳戶稅收合規法案》下所定義的美國人士，而且此帳戶下之相關的收入依《海外帳戶稅收合規法案》毋須扣繳稅款。本公司的美國居民/公民自我證明的狀況資料如有變更，本公司承諾於三十日內主動通知西證證券及／或西證期貨。本公司亦同意悉數對西證證券及／或西證期貨因本公司違規或遺漏而蒙受的任何索償、損害、損失、費用及開支作出彌償並保證其利益不受損害。

Common Reporting Standard 共同匯報標準

We agree to inform SWSB and/or SWSF within 30 days upon any changes in the information of the Self-Certification of Common Reporting Standard status supplied to SWSB and/or SWSF. We shall fully indemnify and hold harmless SWSB and/or SWSF from and against all claims, damages, losses, costs and expenses whatsoever incurred as a result of such non-compliance or omission;

本公司承諾若本公司的共同匯報標準自我證明的狀況資料如有變更，會於三十日內主動通知西證證券及／或西證期貨。本公司亦同意悉數對西證證券及／或西證期貨因本公司違規或遺漏而蒙受的任何索償、損害、損失、費用及開支作出彌償並保證其利益不受損害；

SWSB and/or SWSF will request a self-certification and/or other relevant documentation in order to establish our tax residence for automatic exchange of financial account information purposes. If there is any change in circumstances that would affect our tax residence or there is reason for SWSB and/or SWSF to know that the self-certification is incorrect or unreliable SWSB and/or SWSF reserves the right to request and we have the obligation to provide a new self-certification and/or additional documentation. As account holder(s) of SWSB and/or SWSF, we shall be deemed to acknowledge that further information may need to be provided to SWSB and/or SWSF. SWSB and/or SWSF's compliance with the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112) and/or guidance may result in gathering, storing, using, and processing our information. Our information may also be disclosed to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region, which is further exchanged with tax authorities of another jurisdiction or jurisdictions in which we may be resident for tax purposes. Where we fail to provide any requested information (regardless of the consequences), SWSB and/or SWSF reserves the right to take any action and/or pursue all remedies at its disposal including, without limitation to restrict or terminate the operation of the account;

西證證券及／或西證期貨須本公司提供自我證明或其他文件以揭示本公司納稅所在地，以作自動交換財務帳戶資料用途。如本公司因任何情況而影響本公司的納稅所在地，或令西證證券及／或西證期貨有理由相信本公司之自我證明有不正確或不可靠時，西證證券及／或西證期貨保留權利可要求本公司遞交新的自我證明及／或額外文件。作為西證證券及／或西證期貨的帳戶持有人，本公司承諾及同意向西證證券及／或西證期貨提供進一步的資料。西證證券及／或西證期貨為遵守香港《稅務條例》（第112章）有關交換財務帳戶資料的法律條文及／或指引，可能導致收集，儲存，使用及處理本公司的資料。本公司的資料亦可向香港特別行政區政府稅務局披露，從而把資料轉交到本公司的居留司法管轄區的稅務當局。如果本公司未能提供任何所要求的資料，西證證券及／或西證期貨保留採取任何補救措施的權利，包括（但不限於）限制及終止帳戶的運作；

Client Consent on the Northbound Investor ID Model (For Northbound Trading Service)**北向交易投資者識別碼模式客戶同意聲明（只用於北向交易投資服務）**

We hereby understand and agree that for Northbound trading under China Connect Service, it will entail the collection and use of our data by the SEHK and its subsidiaries, as well as its transfer to the Mainland exchanges and the CSRC so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets.

本公司明白及同意就中華通證券服務的滬股通及深股通交易，香港聯交所及其附屬公司將收集和使用本公司資料，以及向內地交易所及中國證監會轉交有關資料，以配合其履行關於中國大陸金融市場的監管、監察及執法職能。

We acknowledge and agree that in providing SWSB's China Connect securities trading service to us, SWSB will be required to:
本公司明白及同意，西證證券為本公司提供中華通證券交易服務時，西證證券須要：

- (a) tag each of the Client's orders submitted to the China Stock Connect System ("CSC") with a Broker-to-Client Assigned Number ("BCAN") that is unique to us; and
在提交每一客戶交易指令予中華通買賣盤訂單傳遞系統時，在交易指令中附上本公司唯一的券商客戶編碼；及
- (b) provide to the Exchange our assigned BCAN and such identification information ("Client Identification Data" or "CID") relating to us as the Exchange may request from time to time under the Rules of the Exchange.
向交易所提供本公司唯一的券商客戶編碼及一切交易所按照其規則不時要求索取的關於本公司的身份識別資料。

By instructing SWSB in respect of any transaction relating to China Connect Securities, we acknowledge and agree that SWSB may use Our data for the purposes of complying with the requirements of the Exchange and its rules as in force from time to time in connection with the Stock Connect Northbound trading. We also acknowledge that despite any subsequent purported withdrawal of consent by us, our data may continue to be stored, used, disclosed, transferred and otherwise processed for the above purposes, whether before or after such purported withdrawal of consent.

當本公司指示西證證券進行任何中華通證券的交易時，本公司明白及同意，西證證券可以使用本公司的資料以遵守交易所的要求及其對中華通北向交易不時生效的規則。本公司也明白，即使未來本公司計劃撤消同意，本公司的資料（不論本公司撤消同意前或後）會繼續被儲存、使用、披露、轉移或以其他方式處理，以達至上述目的。

We acknowledge and agree that failure to provide SWSB with our data or consent as described above may mean that SWSB will not, or no longer be able, as the case may be, to carry out our trading instructions or provide us with SWSB's China Connect securities trading service.

本公司明白及同意，如本公司不能如上述向西證證券提供本公司資料或同意，將可能導致西證證券（按情況）不會或不可繼續執行本公司的交易指示或向本公司提供中華通證券交易服務。

Notice and Statement Relating to the Personal Data (Privacy) Ordinance 個人資料(私隱)條例的通知及聲明

We have carefully read, fully understood and agreed to accept and be bound by the Notice and Statement Relating to the Personal Data (Privacy) Ordinance (Cap. 486) as set out in Part V of the Client Agreement.

本公司已仔細閱讀，完全理解並同意接受並遵守載於客戶協議第五部份有關個人資料(私隱)條例 (第 486 章) 的通知及聲明。

Standing Authority under "Securities and Futures (Client Money) Rules" (For Securities Account and Futures Account)

『證券及期貨(客戶款項)規則』下之常設授權 (適用於證券帳戶及期貨帳戶)

We hereby agreed, acknowledge and confirm that we have given the standing authority to authorize you to deal with our money and the contents of the standing authority under Securities and Futures (Client Money) Rules of Client Agreement Part III Schedule E clause 9 have been explained to me / us and we understand and agreed the contents of it.

本公司謹此同意、承認及確定本公司已授予貴公司常設授權以處置本公司的款項，並且本公司就該客戶協議內的第三部份附表 E 第 9 項的證券及期貨 (客戶款項)規則下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)

We hereby agreed, acknowledge and confirm that we have given the standing authority to authorize you to deal with our securities collateral and the contents of the standing authority under Securities and Futures (Client Securities) Rules of Client Agreement Part III Schedule A clause 5 have been explained to me/us and we understand and agreed the contents of it.

本公司謹此同意、承認及確定本公司已授予貴公司常設授權以處置本公司的證券抵押品，並且本公司就該客戶協議內的第三部份附表 A 第 5 項的證券及期貨 (客戶證券)規則下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。

Additional Statement (For Futures Trading and Stock Option Trading Account)

附加聲明 (只適用於股票期權及期貨帳戶)

We agree to read the reporting requirements and the responsibilities of reporting set out in the Securities and Futures (Contract Limits and Reportable Position) Rules and related guidance notes issued by the Securities and Futures Commission. We agree to make the relevant notification and fulfill the responsibilities as required by the Securities and Futures (Contract Limits and Reportable Position) Rules and SFC and HKFE. We understand that we may also directly access all relevant information at the Web-site of Securities and Futures Commission or at the Web-site of HKEx.

本公司同意細閱列於證券及期貨(合約限量及須申報的持倉量)規則及由證監會發出的有關指引的申報規則及責任。本公司同意依據證券及期貨(合約限量及須申報的持倉量)規則、證監會及期貨交易所之要求作出申報及完成有關責任。本公司明白所有有關資料可以由證監會及香港交易所的網頁上獲得。

The terms in English version, as opposed to the Chinese translation, shall be deemed to be conclusive and definitive.

本開戶表之英文本 (相對中文譯本而言) 為確實及有最終效力。

Client Authorized Signature(s) with Company Chop (if applicable) 客戶授權人簽署並蓋公司印章 (如適用)	Date 日期

Declaration by Representative
of Southwest Securities (HK) Brokerage Limited/Southwest Securities (HK) Futures Limited
 由西證(香港)證券經紀有限公司／西證(香港)期貨有限公司之代表作出聲明

I, the licensed representative of SWSB / SWSF*, hereby declare and confirm that I have fully explained and provided the contents of the Client Agreement, including but not limited to this Account Opening Form, the General Terms and Conditions, the Additional Terms and Conditions, the Disclaimers, the Data Privacy Policy and the Risk Disclosure Statement to the Client in a language which the Client understand and I have invited the Client to read the Risk Disclosure Statements, ask questions and take independent advice if the Client wishes.

本人為西證證券／西證期貨*之持牌代表，謹此聲明及確認本人已經以客戶所選擇明白的語言，清楚解釋客戶協議書，當中包括但不限於本開戶表、一般條款、附加條款、免責聲明、私隱政策及風險披露聲明的內容，並已邀請客戶細閱有關風險披露聲明，並提出問題及徵求獨立意見（如客戶有此意願）。

Name of LC 持牌法團名稱	Signed by LR 持牌代表簽署	Name of LR 持牌代表姓名	CE No. 中央編號	Date 日期
SWSB 西證證券				
SWSF 西證期貨				

Witness Declaration 見證人聲明
(Only applicable to the witness who is NOT Licensed Representative of Southwest Securities (HK) Brokerage Limited/ Southwest Securities (HK) Futures Limited)
 (只適用於並非西證(香港)證券經紀有限公司／西證(香港)期貨有限公司之持牌代表使用)

I, named below, certify that I have verified the genuine copy of client identification document, address proof and other account opening document and have sighted that the client counter sign on this Account Opening Form.

本人（姓名如下）確認已驗證客戶身份證明文件、地址證明及其他文件之正本，並已見證客戶在本開戶表上簽署。

Witness Signature

見證人簽署： _____

Profession / Title

所屬專業/職位： _____

Name of Witness

見證人姓名： _____

Date of Witness

見證日期： _____

Note 注意：

- Client can choose business address, correspondence address or e-mail address as all the statements will be sent to this address. P.O. Boxes are not accepted. Please attach the address proof of the correspondence address dated within the **latest 3 months**.
 客戶可選擇以營業地址、通訊地址或電郵地址收取帳戶結單。郵政信箱恕不接受。請附上在**最近三個月內**之通訊地址證明文件。
- This form should be completed and signed by the customer in front of SWSB / SWSF's Licensed Representative, otherwise, please see below Note 4.
 客戶必須在西證證券／西證期貨的持牌代表面前填妥及簽署本表格；如非親身開戶，請參看下方的注意 4。
- Any deletion or amendment must be signed by all account holders.
 任何刪除或修改，必須由客戶簽名作實。
- If this document is not executed by the client in front of SWSB / SWSF's Licensed Representative, then the signing of Witness and sighting of related identity documents should be certified by a JP (Justice of Peace), an affiliate of SWSB / SWSF or a professional person such as a branch manager of a bank, certified public accountant, lawyer, notary public or chartered secretary.
 如開戶文件並非在西證證券／西證期貨的持牌代表面前簽署，則見證人簽署及有關身份證明文件須由太平紳士、西證證券／西證期貨的聯繫人士、銀行分行經理、執業會計師、律師、公證人或特許秘書加以驗證。

For Office Use Only 只供本公司專用

SWSB / SWSF hereby appoints the following Account Executive(s) being licensed by Securities and Futures Commission or such other licensed person as from time to time it may permit and notify the Client in writing, to be primarily responsible for the affairs of the Client in respect of the Client's account(s) with SWSB / SWSF:

Name of Account Executive:

1.	Mr./Ms.		CE No.	
2.	Mr./Ms		CE No.	

Commission Rate

Securities	/min	Futures	/min
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Name and Signature of AE/Licensed Person

Date:

Document checklist 文件查核清單 : (NOT applicable to Professional Investor 不適用於專業投資者)

<input type="checkbox"/> Certified true copy of Business Registration Certificate (if any) 商業登記證之核證副本 (如有) <input type="checkbox"/> Certified true copy of Certificate of Incorporation 公司註冊證書之核證副本 <input type="checkbox"/> Certified true copy of Memorandum (before March 2014) & Articles of Association 公司章程大綱及細則(在 2014 年 3 月前)之核證副本 <input type="checkbox"/> Certified true copy of the Latest Annual Return 最近週年報表核證副本 <input type="checkbox"/> Certified true copy of Certificate of Incumbency (Overseas Company) (within 6 months) 存續證明書之核證副本(海外註冊公司) (六個月內) <input type="checkbox"/> Certified true copy of Register of Member & Register of Directors (applicable to company incorporated overseas) 股東名單及董事名單之核證副本 (海外註冊之公司) <input type="checkbox"/> Certified true copy of Board Resolution / Minutes authorising the opening of securities account; execution of the account opening documents; specifying authorized personnel(s) to sign Documents, give instructions for the movement of funds or assets or place trading order on behalf of the company; and relevant authorized signature specimen 授權開立證券帳戶、執行開戶文件、簽署開立帳戶的文件、指定專人代表其公司簽署文件或發出指令調動資金或資產或交易指令及有關人士之簽署式樣董事會會議記錄或決議之核證副本 <input type="checkbox"/> Certified true copy of ID Card/Passport and residential address proof (within 3 months) of all Directors, all Authorized Persons, all Shareholders (over 25% shareholding), Ultimate Beneficial Owner(s) of the Account & all Guarantor(if any) 所有董事、獲授權人士、主要股東(持股量超過 25%)、最終實益擁有人及擔保人的身份證或護照副本及地址證明(三個月內)之核證副本	<input type="checkbox"/> Certified true copy of Business/ Registration/ Correspondence Address Proof (within 3 months) 營業/註冊/通訊地址證明之核證副本(三個月內) <input type="checkbox"/> Audited Financial Statement (within 1 year) (if required) 審計財務報表 (一年內)(如需要) <input type="checkbox"/> Ownership and structure control Chart of the Client (if any) 公司的擁有權及控制權架構圖 (如適用) <input type="checkbox"/> Guarantee of Directors 公司董事擔保書 <input type="checkbox"/> Form W-8BEN-E or Form W-8IMY W-8BEN-E 表格或 W-8IMY 表格 <input type="checkbox"/> Form W-9 (if US person) W-9 表格(如美國人士) <input type="checkbox"/> Entity Tax Residency Self-Certification Form (CRS) 實體稅務居民身分自我證明表格《通用報告準則》 <input type="checkbox"/> Controlling Person Tax Residency Self-Certification Form (CRS)(if Entity is Passive NFE) 控權人稅務居民身分自我證明表格《通用報告準則》(如實體是被動非財務實體) <input type="checkbox"/> Copy of Client's local bank's detail (if the client provided the related info in the application form) 本地銀行卡資料副本(如客戶已填寫相關資料)
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Remarks :

Document & Client Information checked by:

Name of staff & signature		Date	
Name of staff & signature		Date	

ACKNOWLEDGED AND ACCEPTED BY AN AUTHORIZED SIGNATORY(IES) FOR AND ON BEHALF OF SOUTHWEST SECURITIES (HK) BROKERAGE LIMITED/SOUTHWEST SECURITIES (HK) FUTURES LIMITED

經由西證(香港)證券經紀有限公司/西證(香港)期貨有限公司之授權代表確認及接納

Authorized Signature(s) 授權代表簽署	Name of Authorized Person 授權代表姓名	Date 日期
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CERTIFIED EXTRACT OF BOARD RESOLUTIONS

董事局決議案核證摘要

We hereby certify that the following resolutions have been passed by the board of directors (the “Board”) of _____ (the “Company”) at a meeting of the Board duly convened and held at _____ on _____ at which a quorum was present and acted throughout in accordance with the constitution of the Company and have been duly recorded in the minute book of the Company and that no action have been taken to rescind or amend the said resolutions and that the same are now in full force and effect.

本公司茲證明，下列決議案經_____（「本公司」）董事局於_____年_____月_____日在_____

正式召開之董事局會議通過，該會議有足夠法定人數出席，並自始至終按照本公司章程規定行事，且已被正式載入本公司之會議記錄冊內。並無任何人採取任何行動撤消或修改上述決議案，而該決議案正式全面生效及有效。

1. THAT the account(s) as per our choice in Account Opening Form (“the Account”) in the name of the Company be opened and maintained with Southwest Securities (HK) Brokerage Limited and / or Southwest Securities (HK) Futures Limited (“Southwest”) and operated in accordance with the terms and conditions of Southwest’s Client Agreement and Account Opening Form (collectively the “Account Opening Agreement”).

決議通過以公司的名義，在西證（香港）證券經紀有限公司及/或西證（香港）期貨有限公司（“西證”）開立一個於開戶申請書所選的帳戶（“帳戶”），並按照西證的客戶協議書及開戶申請書（統稱“開戶協議”）內之條文所約束及運作。

2. THAT the Account be operated by the Authorized Persons as specified in the Account Opening Form and the Company shall notify Southwest from time to time of any amendments thereto.

決議通過載於開戶申請書內所詳述之“授權人士”獲公司授權運作公司的帳戶，公司並需將不時有關的更改通知西證。

3. THAT the Account Opening Agreement in such forms as completed and tabled at the Meeting be and hereby accepted and approved and any Director of the Company be authorised to execute the Account Opening Agreement for and on behalf of the Company.

決議通過現時在本會議出示及填妥的開戶協議及授權公司任何董事代表公司簽署該開戶協議。

I, the undersigned, do hereby certify the above is a true extract from the minutes of the Board Meeting.

下述簽署人現茲證明上述各項乃董事局會議記錄中摘錄之正式決議案。

Director 董事

Name:

姓名：_____

Title:

職銜：_____

Date:

日期：_____