

## MARGIN / CASH SECURITIES ACCOUNT OPENING FORM

### 保證金 / 現金證券交易賬戶開立表格

Account(s) 賬戶:	<input type="checkbox"/> Individual Account 個人賬戶	<input type="checkbox"/> Joint Account 聯名賬戶	<input type="checkbox"/> Corporate Account 公司賬戶
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To: **ARTA Global Markets Limited**, a licensed corporation to carry on Type 1 (Dealing in securities) regulated activities for the purposes of the Securities and Futures Ordinance (Cap. 571) (CE No.: APR560) and an Exchange Participant of The Stock Exchange of Hong Kong Limited of 13/F, Fortis Tower, 77-79 Gloucester Road, Wanchai, Hong Kong (the "Company").

致: **裕承環球市場有限公司**，為一間獲發牌從事證券及期貨條例（香港法例第 571 章）中第一類（證券交易）受規管活動之持牌法團（中央編號：APR560）和香港聯合交易所有限公司的交易所參與者，通訊地址位於香港灣仔告士打道 77-79 號富通大廈 13 樓（下稱「貴公司」）。

#### 1. Account Opening Application 開戶申請

I/We 本人 / 吾等為 ..... ("Client") hereby request the Company to open and maintain a cash securities trading account and/or a margin securities trading account as indicated in Part 2 below (the "Account") on the terms and conditions set out in the Client Trading Agreement for Margin/Cash Securities Trading Account (the "Agreement") and to provide me/us with a password and user ID in order to access the electronic trading services provided by the Company ("Electronic Trading Services"). (下稱「客戶」)，謹此要求貴公司依照客戶買賣協議（供保證金 / 現金證券交易賬戶之用）所載之條款及條件（下稱「該協議」）為本人 / 吾等開立並維持一個保證金 / 現金證券交易賬戶（下稱「該賬戶」）及為本人 / 吾等提供一個使用貴公司所提供的電子交易服務（下稱「電子交易服務」）的密碼及登入名稱。

#### 2. Type of Services Required 要求的服務類別

Margin Securities Trading Account 保證金證券交易賬戶       Cash Securities Trading Account 現金證券交易賬戶

I/We wish to open the above Account(s) with the Company for the purchase or sale of securities. (Applicable to Margin Securities Trading Account only) I/We understand that the Company may, in its absolute discretion, from time to time on the terms and conditions of the Agreement and other terms as the Company may think fit, provide me/us with financial accommodation in respect of transactions in securities effected by the Company on my/our behalf.

本人 / 吾等希望在貴公司開立上述賬戶，以便買賣證券。（只適用於保證金證券交易賬戶）本人 / 吾等理解及同意，貴公司有絕對酌情權可不時依照該協議的條款及條件以及貴公司認為適當的其他條款及條件，就貴公司代表本人 / 吾等進行之證券交易向本人 / 吾等提供財務通融。

#### Important Note For Margin Account 重要提示（保證金賬戶）

The company has practice to repledge clients' securities collateral. Margin trading is classified as high-risk investment. Please ensure you understand the nature of margin trading and carefully consider in light of your experience, objective, financial resources and the extent of your exposure to risk before signing this Account Opening Form.

本公司會再質押客戶證券抵押品。保證金買賣定性為高風險投資，閣下必須確保已了解保證金買賣的特性，仔細權衡閣下的投資經驗、目標、財政狀況及所能承擔的風險後，方簽署此賬戶開立表格。

#### 3. Signing Instruction (Joint Account Only) 簽署指示（只適用於聯名賬戶）

- 3.1 Each of the joint account holders specified above is authorized to give verbal instruction and/or instruction through the Electronic Trading Services in relation to the purchase or sale of any securities from time to time singly; and  
以上每一聯名賬戶持有人均各自有權不時以口頭及/或通過電子交易服務發出指令為該賬戶買賣任何證券；及
- 3.2  Either one joint account holder signing singly.  
其中一位聯名賬戶持有人單獨簽署。
- All joint account holders signing jointly, validates any written instruction relating to operation of the Account(s).  
所有聯名賬戶持有人共同簽署，任何就該賬戶運作之書面指令，方為有效。

#### 4. Internet Trade Execution Notification 互聯網交易執行通知

I/We agree to opt out from receiving any notifications related to the trade execution through my/our internet trading account. I/We further acknowledge that I/we understand the risks involved in opting out, including but not limited to not detecting unauthorised access to my/our internet trading account. Unless and until AGML and/or AGFL receives my/our request to resume receiving such notifications, I/we assume full responsibilities of all trades executed through my/our internet trading account.

本人 / 吾等同意取消收取經本人 / 吾等互聯網交易帳戶執行交易之所有通知。本人 / 吾等確認本人 / 吾等明白取消交易通知涉及風險，包括但不限於未能偵測未經授權而接達本人 / 吾等互聯網交易帳戶的情況。除非及直至裕承環球市場及/或裕承環球期貨收到本人 / 吾等要求重啟收取互聯網交易帳戶之交易執行通知，本人 / 吾等對經本人 / 吾等互聯網交易帳戶執行之所有交易承擔全部責任。

(Default to receive trade execution notifications for internet trades if no otherwise instructions are given 如無其他指示，則預設接收交易執行通知)

#### 5. Confirmation and Acknowledgement 確認及承認

I/We acknowledge my / our receipt of (i) the Agreement; and (ii) the Fees and Charges Table for securities trading services.

Agreement and Risk Disclosure Statements: I/We hereby acknowledge and confirm that the Agreement, including but not limited to the Risk Disclosure Statements set out therein, was provided to me/us in a language of my/our choice (English or Chinese) and I was/we were invited to read the Risk Disclosure Statements carefully, ask questions and take independent advice if I/we wish.

Standing Authority: I/We hereby acknowledge and confirm that I/we have authorized the Company to deal with my/our monies, securities and securities collateral in accordance with the standing authorities as set out in the Agreement and the relevant provisions in relation to such standing authorities have been explained to me/us and I/we fully understand the contents of such provisions.

I/We hereby confirm that I/we have read and understood the terms and conditions set out in this Account Opening Form, the "Client Information Statement" and the Agreement. I/We acknowledge that all of these terms and conditions from the agreement made between the Company and me/us in relation to the Account(s) and agree to be bound by them.

本人 / 吾等確認收妥 (i) 該協議；及 (ii) 證券交易服務收費表。

協議和風險披露聲明：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（中文或英文）的該協議，當中包括但不限於載於該協議中的風險披露聲明，以及本人 / 吾等已獲邀請細閱該風險披露聲明、提出問題及徵求獨立的意見（如本人 / 吾等有此意願）。

常設授權：本人 / 吾等謹此承認並確認本人 / 吾等已經授權貴公司根據該協議中所載的常設授權處置本人 / 吾等的款項、證券及證券抵押品，而貴公司已向本人 / 吾等解釋有關該等常設授權的條款及條件，及本人 / 吾等完全明白該等條款及條件的內容。

本人 / 吾等謹此確認，本人 / 吾等已經閱讀並明白載於本賬戶開戶表格、客戶資料表及該協議的條款及條件。本人 / 吾等承認上述所有條款及條件構成貴公司與本人 / 吾等就該賬戶達成之協議並同意受該等條款及條件所約束。

**Northbound Trading under Stock Connect 中華通北向交易**

I/We acknowledge and agree that the Company would be required, if I/we conduct Northbound Trading under Stock Connect via the Company, to use, disclose and/or transfer your personal data to the Stock Exchange of Hong Kong Limited, its subsidiaries and/or the relevant China Connect Clearing House and process your personal data for any other purpose as set out in the Company's Policy on Personal Data in the Agreement.

本人 / 吾等謹此確認並同意如本人 / 吾等經由貴公司進行中華通北向交易，貴公司須使用、披露及/或轉移本人 / 吾等的個人資料到香港聯交所及其子公司及/或相關中華通結算所，以及根據該協議中個人資料政策（「該政策」）所指定的任何其他用途處理本人 / 吾等的個人資料。

I/We do not wish the Company to use my/our personal data for the uses stated in this clause, even if the failure to provide the Company with my/our personal data will result in failure of the Company to carry out my/our Northbound Trading instructions.

本人 / 吾等不希望貴公司把本人 / 吾等的個人資料用於本條所述用途，即使裕承環球市場將無法為本人 / 吾等執行中華通的交易指令。

<b>Name of Client</b> 客戶名稱:	(English 英文)	(Chinese 中文)	<b>ID / Passport / CI No.</b> 身份證 / 護照 / 公司註冊證書號碼:
<b>Name of Joint Client</b> 聯名客戶名稱:	(English 英文)	(Chinese 中文)	<b>ID / Passport / CI No.</b> 身份證 / 護照 / 公司註冊證書號碼:
<b>Client's or Authorized Person's Signature</b> (and Company Chop for Corporate Client) 客戶或獲授權人士簽署 (如為公司客戶，連同公司蓋章)			<b>Date</b> 日期:
<b>Name of Witness</b> 見證人名稱:	(English 英文)	(Chinese 中文)	<b>ID / Passport / CE No.</b> 身份證 / 護照號碼 / 中央編號:
<b>Address of Witness</b> 見證人地址:			
<b>Signature of Witness</b> 見證人簽署:			<b>Date</b> 日期:

**6. Declaration By Licensed Person 持牌人聲明**

I have provided the Risk Disclosure Statements to the Client in a language of his/their choice (English or Chinese) and have invited him/them to read the Risk Disclosure Statements carefully, ask questions and take independent advice if he/they wish(es).

本人已按照客戶所選擇的語言（中文或英文）提供風險披露聲明及已邀請客戶細閱該風險披露聲明，提出問題及徵求獨立的意見（如客戶有此意願）。

<b>Name of Licensed Person</b> 持牌人姓名:	(English 英文) (Block Letters 正楷)	(Chinese 中文)	<b>CE No.</b> 中央編號:
<b>Signature of Licensed Person</b> 持牌人簽署:			<b>Date</b> 日期:

**7. Acknowledgment by ARTA Global Markets Limited 裕承環球市場有限公司確認書**

We acknowledge and agree to the above. 我們確認並同意以上內容。

<b>Signature:</b> 簽署:	<b>Date</b> 日期:
Duly authorized for and on behalf of ARTA Global Markets Limited 正式獲授權為及代表裕承環球市場有限公司	

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CM No.	Commission:	Maker	Checker
	Online: % Min.\$		
	Offline: % Min.\$	Date	Date