



矩陣證券有限公司 (即「本公司」) 獲香港證券及期貨事務監察委員會發牌 (中央編號為ABS418) 按證券及期貨條例經營第一類 (證券交易) 受規管活動。此外，本公司為香港聯合交易所有限公司參與者，亦為香港中央結算有限公司參與者。

Matrix Securities Limited (the "Company") has been licensed by the Securities and Futures Commission in Hong Kong (with CE no. ABS418) to carry on Type 1 (dealing in securities) regulated activities under the Securities and Futures Ordinance. In addition, the Company is an Exchange Participant of The Stock Exchange of Hong Kong Limited, as well as a Clearing House Participant of Hong Kong Securities Clearing Company Limited.

備註：此乃重要文件。閣下 (即「客戶」) 應仔細閱讀並充份理解本協議之內容包括開戶申請表與條款及條件 (連同所有附表) 有關於本公司開立及持有一個或多個之交易帳戶 (即「帳戶」)。客戶在簽署本開戶申請表前，如有所需，應先尋求獨立法律或其他專業意見。倘若本開戶申請表的中英文版本有任何歧異，一概以英文版本為準。

Note: This is an important document. You (the "Client") should carefully read and fully understand the contents of the Agreement comprised of this Account Opening Application and the Terms and Conditions (with all Schedules thereto) for one or more trading accounts (the "Account(s)") to be opened and maintained with the Company. Before signing the Account Opening Application, the Client should firstly obtain independent legal or other professional advice as the Client may deem necessary. In case of any discrepancy between the English and Chinese versions of this Account Opening Application, the English version shall prevail.

請附上以下經簽署作實之公司文件副本：

- 客戶的公司註冊證書的核實副本(或商業登記證書或其他顯示妥當註冊的任何證據)、組織章程大綱及章程細則(或其他憲章性文件)。
- 客戶過去兩年的經審計賬目之核實副本及不超過本開戶表日期前兩個月的資產負債表或其他本公司不時同意的財務資料。
- 公司組織章程及細則
- 董事擔保人財政狀況證明 例如：銀行存摺
- 所有獲授權代理人、董事及本賬戶最終實質權益的人士之香港身份證或護照副本。
- 通過在矩陣證券有限公司開設戶口的董事會決議案
- 客戶的董事名冊核實副本。
- 客戶的股東名冊核實副本。

A Certified true copy of the following corporate documents to be provided herewith:

- Certified true copy of the Certificate of Incorporation (or Business Registration Certificate or other evidence of due incorporation), Memorandum and Articles of Association (or other constitutional documents) of Client.
- Certified true copies of the audited accounts of the Client for the last two years and a balance sheet at a date not more than two months before the date of this Form, or such other financial information as Matrix Securities Ltd may from time to time agree.
- Memorandum and Articles of Association
- Letter of Guarantee attached with the Guarantor's financial support (eg. Bank account passbook)
- Copies of the Hong Kong ID Card(s) or Passport(s) of all Authorised Persons, Directors and Ultimate Beneficial owner(s).
- Board Resolution to open an account with Matrix Securities Limited
- Certified true copy of the Register of Directors of the Client.
- Certified true copy of the Register of Members of the Client.



開戶申請表 ACCOUNT OPENING APPLICATION
(公司帳戶 CORPORATE ACCOUNT)

帳戶號碼：
Account No.:

| | |
|------------------------------|--------------------|
| 申請開戶日期： Application Date: | 客戶主任編號 AE code: |
|------------------------------|--------------------|

帳戶類別 ACCOUNT TYPE

帳戶類別 Account Type(s)

證券帳戶 (現金) Securities Account (Cash)

落盤方式 Method of Placing Order

電話專人落盤 By Telephone (Manual)

電子落盤 By Electronics

1. CLIENT INFORMATION 客戶資料

公司資料 Company Details

| | | |
|---|-----|----------|
| 公司名稱 (客戶名稱) Company Name (Customer Name) | 中文: | English: |
|---|-----|----------|

| |
|---|
| 公司性質 (例如私人有限公司等) Nature of Entity (e.g. Private limited company, etc.) |
|---|

| | |
|----------------------------|---------------------------|
| 商業性質 Nature of Business | 業務範圍 Scope of Business |
|----------------------------|---------------------------|

| | |
|------------------------------------|-------------------------------|
| 註冊成立國家 Country of Incorporation | 註冊日期 Date of Incorporation |
|------------------------------------|-------------------------------|

| | |
|---|--------------------------------------|
| 註冊證書號碼 Certificate of Incorporation No.: | 商業登記號碼 Business Registration No.: |
|---|--------------------------------------|

| |
|-------------------------|
| 註冊地址 Registered address |
|-------------------------|

| |
|------------------------------------|
| 主要辦事處地址 Principal business address |
|------------------------------------|

| | | |
|----------------------|-------------|---------------------|
| 辦公室電話 Office Tel No. | 傳真號碼 Fax No | 電郵地址 E-mail address |
|----------------------|-------------|---------------------|

| | | |
|--|--------------------------------|-------------------------------|
| 主要聯絡人姓名 Contact Person Name 先生/女士 Mr / Ms | 聯絡人電話號碼 Contact Person Tel No. | 聯絡人電郵地址 Contact Person E-mail |
|--|--------------------------------|-------------------------------|

Method of Communication 通訊方法

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

* 郵遞 By Mail : 業務地址 Business Address

* 須繳交行政費: 每年港幣一百元

其他 Others :

* Administrative Fee : HKD100 per annum

(請留意結單將以郵遞方式寄往客戶 Please note that the statement will be sent to Client by post)

By E-mail 電子郵件

無論客戶選擇以郵遞或電子郵件作為通訊方法，矩陣證券有限公司有最終決定權使用任何其認為適當的通訊方式與客戶進行通訊。

Please be noted that Matrix Securities Limited reserve the rights, at their sole discretion to change or modify the method of communication to the Client that Matrix Securities Limited deemed appropriate at any time.

擁有 / 控制該公司5%或以上的股票及/或股本之客戶 All Directors/Major Shareholders (Shareholding of 5% or more)

| 姓名 Names | 董事 / 股東 Director / Shareholder | 國籍/公民身份 Nationality / Citizenship | 護照 / 身份證號碼 / 簽發地方 Passport / ID No. / Pl. of Issue | 住址 Residential Address |
|-----------------|-----------------------------------|--------------------------------------|---|---------------------------|
| Mr / Ms 先生 / 女士 | | | | |
| Mr / Ms 先生 / 女士 | | | | |
| Mr / Ms 先生 / 女士 | | | | |
| Mr / Ms 先生 / 女士 | | | | |

| | | | |
|---|--------------------------|--------------------------------------|--------------------------|
| 法定股本 Authorised Share Capital | 每股面值 Value of Each Share | 已發行股本 Issue Share Capital | 每股面值 Value of Each Share |
| 最終控股公司 / 最終個人股東 Ultimate holding company / Ultimate individual holder of shares | | 註冊地址 Registered Address | |
| 公司的最大股東 Substantial Shareholder | | 註冊地址 Registered Address | |
| 最終權益擁有人 Name of Ultimate beneficial owner(s) | | | |
| 居住地址 Residential Address | | | |
| 身分證或護照號碼 ID Card No. / Passport No. | | 國籍/公民身份 Nationality / Citizenship | 電話號碼 Tel No. |

代表公司給予指示的獲授權人士資料

Information of the person(s) authorised to give an instructions on company's behalf:

| 姓名 Names | 職位/電話/手提電話號碼 Position / Phone / Mobile no. | 身份證號碼/護照/簽發地方 ID Card./Passport no./Place of Issue | 國籍/公民身份 Nationality / Citizenship | 簽名 Signature |
|-----------------|---|---|--------------------------------------|-----------------|
| Mr / Ms 先生 / 女士 | | | | |
| Mr / Ms 先生 / 女士 | | | | |
| Mr / Ms 先生 / 女士 | | | | |

公司印章式樣

Specimen Impression of Company's Chop:

就上述獲授權簽署人而言，本公司有權假定任何上述有關人士具有全面及不受限制之權力及授權但受列明於第二部之權限所約束，可代閣下執行上文所列作為，並無任何責任核實有關人士的指示或身份是否真確。閣下同意上述人士代閣下所發出的指示約束。

With respect to the above named Authorised Signatories, the Company shall be entitled to assume that any of them has full and unrestricted powers and authority subject to the Account Mandate set out in Section 2 below to perform the acts listed above on behalf of you and shall not be under any duty to verify the authenticity of the instructions or identity of such person(s). You agree to be bound by instructions given on behalf of you by the above named Authorised Signatories.

2. 帳戶授權書 ACCOUNT MANDATE

閣下之獲授權人已被授權可按照下列權限發出指示予本公司以運作閣下之帳戶（*請刪去不適用者）：

The Authorised Signatories of the Client have been authorised to issue instructions to the Company subject to the following mandate for operation of the Account(s) (*Delete where not applicable) :-

| 權限 Extent of Authority | 指示種類 Type of Instructions | |
|---|------------------------------|--|
| 〈請選擇以下一項〉 (Please choose one below) | 買賣指示 Trading Instructions | 其他指示（如：提取現金及/或轉賬） Other Instructions (e.g. fund withdrawal and/or transfer) |
| 列於第一部份之任何一位獲授權人 單獨發出 Issued singly by any one of the Authorised Signatories named in Section 1 above | 是 Yes / 否 No * | 是 Yes / 否 No * |
| 列於第一部份之任何 ____ 位獲授 權人聯合發出 Issued jointly by any ____ of the Authorised Signatories named in Section 1 above | 不適用 N/A | 是 Yes / 否 No * |
| 其他（請說明）： Others (please specify): | | |

3. 銀行資料 Bank Reference

此戶口將用作交收銀行戶口，而本公司發出之支票將依據以下之戶口名稱。

This account will be used as the settlement bank account and the cheque issued by the Company will be accorded to the account name below.

銀行帳戶紀錄（只供存款用途）BANK ACCOUNT RECORD (For fund deposit only)

除客戶另行指示外，客戶的款項將會被轉入下列銀行帳戶：

Unless otherwise to be instructed by you, all monies payable to you are to be credited to the following bank account:

(須與客戶於此表格上的名稱相符)

| | | |
|---|---|-----------|
| 銀行名稱 _____ | 帳戶持有人名稱 _____ | |
| Bank Name: | Account Holder's Name: (Name on this form should match) | |
| 分行 _____ | 帳戶號碼 _____ | 貨幣 _____ |
| Branches: | Account Number: | Currency: |
| 帳戶類別 Account Type(s): <input type="checkbox"/> 儲蓄 Saving <input type="checkbox"/> 往來 Current <input type="checkbox"/> 其他 Others _____ | | |

4. 財政狀況 Financial Profile

| | | | |
|---|---|---|---|
| 每年稅前純利（港幣） Annual Net Profit Before Tax (HKD) | <input type="checkbox"/> < HKD120,000 (I1) | <input type="checkbox"/> HKD120,001 - HKD360,000 (I2) | <input type="checkbox"/> HKD360,001 - HKD600,000 (I3) |
| | <input type="checkbox"/> HKD600,001 - HKD1,200,000 (I4) | <input type="checkbox"/> > HKD1,200,000 (I5) | |
| 資產淨值（港幣） Net Assets (HKD) | <input type="checkbox"/> < HKD500,000 | <input type="checkbox"/> HKD500,000 - HKD999,999 | <input type="checkbox"/> HKD1,000,000 - HKD4,999,999 |
| | <input type="checkbox"/> HKD5,000,000 - HKD9,999,999 | <input type="checkbox"/> > HKD 10,000,000 | |
| 流動資產（港幣） Liquid Assets (HKD) | <input type="checkbox"/> < HKD200,000 | <input type="checkbox"/> HKD200,000 - HKD499,999 | <input type="checkbox"/> HKD500,000 - HKD999,999 |
| | <input type="checkbox"/> HKD1,000,000 - HKD4,999,999 | <input type="checkbox"/> > HKD5,000,000 | |
| 收入來源（可 <input checked="" type="checkbox"/> 多項） Source of income (<input checked="" type="checkbox"/> one or more) | <input type="checkbox"/> 營業溢利 Trading Profits | <input type="checkbox"/> 生產利潤 Manufacturing Profits | |
| | <input type="checkbox"/> 股息/利息 Dividend/Interest | <input type="checkbox"/> 服務收入 Service Income | |
| | <input type="checkbox"/> 租金收入 Rental Income | <input type="checkbox"/> 其他 Others: _____ | |

5. 投資經驗及衍生產品認識 Investment Experience & Derivative Products Knowledge

| | | | | | |
|------------------------------|--|---|--|--|---------------------------------------|
| 投資目標 Investment Objective | <input type="checkbox"/> 股息收入 Dividend Income | <input type="checkbox"/> 資本增值 Capital Appreciation | <input type="checkbox"/> 對沖 Hedging | <input type="checkbox"/> 投機 Speculation | <input type="checkbox"/> 其他 Others |
|------------------------------|--|---|--|--|---------------------------------------|

投資經驗 Investment Experience

| | | | | |
|---|--------------------------------|---|--------------------------------|-----------|
| 證券交易 Securities Trading | <input type="checkbox"/> 沒有 No | / | <input type="checkbox"/> 有 Yes | 年 year(s) |
| 股票期權交易 Stock Options | <input type="checkbox"/> 沒有 No | / | <input type="checkbox"/> 有 Yes | 年 year(s) |
| 期貨/期權交易 Futures/Options Trading | <input type="checkbox"/> 沒有 No | / | <input type="checkbox"/> 有 Yes | 年 year(s) |
| 外匯/商品期貨交易 Forex/Commodity Futures Trading | <input type="checkbox"/> 沒有 No | / | <input type="checkbox"/> 有 Yes | 年 year(s) |
| 貴金屬交易 Bullion Trading | <input type="checkbox"/> 沒有 No | / | <input type="checkbox"/> 有 Yes | 年 year(s) |
| 房地產/物業投資 Real Estate/Property Investment | <input type="checkbox"/> 沒有 No | / | <input type="checkbox"/> 有 Yes | 年 year(s) |
| 衍生權證交易 Derivative Warrants | <input type="checkbox"/> 沒有 No | / | <input type="checkbox"/> 有 Yes | 年 year(s) |
| 牛熊證交易 Callable Bull/Bear Contracts | <input type="checkbox"/> 沒有 No | / | <input type="checkbox"/> 有 Yes | 年 year(s) |
| 交易所買賣基金交易 Exchange Traded Funds | <input type="checkbox"/> 沒有 No | / | <input type="checkbox"/> 有 Yes | 年 year(s) |
| 股票掛鉤票據交易 Equity Linked Instruments | <input type="checkbox"/> 沒有 No | / | <input type="checkbox"/> 有 Yes | 年 year(s) |
| 互惠基金/單位信託基金 Mutual Funds/Unit Trust | <input type="checkbox"/> 沒有 No | / | <input type="checkbox"/> 有 Yes | 年 year(s) |
| 固定收益證券（例如債券） Fixed Income Securities (e.g. Bonds) | <input type="checkbox"/> 沒有 No | / | <input type="checkbox"/> 有 Yes | 年 year(s) |

| | |
|---|--|
| 客戶對衍生產品的認識 Client's Knowledge of Derivative Products | 客戶知悉及明白矩陣證券有限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。 The Client acknowledges and understands Matrix Securities Ltd will assess whether the Client has adequate knowledge on derivative products according to the information the Client provided. |
| | <input type="checkbox"/> 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、結構性產品及交易所買賣基金等。 <input type="checkbox"/> 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. |

投資者分類聲明（基於對衍生工具的知識）

本人特此聲明並承認基於本人對衍生產品的知識，本人同意於證監會所要求的投資者分類下被視為類別 _____ 及下列詳細說明。

本人進一步聲明及承認本人了解該分類的風險和後果，而持牌法團如矩陣證券有限公司將無責任向在此被分類為類別一及類別二的客戶解釋衍生產品的性質和風險。

類別一：擁有對衍生產品的知識

- 投資者於過去3年內進行5宗或以上任何衍生產品的交易。
- 中介人無須向該客戶解釋衍生產品的風險。

類別二：擁有對衍生產品的一般知識

- 一般知識可以幫助投資者了解衍生產品的性質和風險。
- 中介人無須向該客戶解釋衍生產品的風險。

類別三：對衍生產品沒有知識

- 於交易所交易的衍生產品：中介人即使僅只於執行交易亦應解釋衍生產品的性質和風險。
- 非交易所交易的衍生產品：中介人即使僅只於執行交易亦應提醒該客戶及向客戶就合適性提供的建議在所有情況下都是合理的，並將提醒及其他通訊記錄妥善保存。凡交易被評估為不適合，中介人應只在維護客戶最佳利益的行事方式的前提下執行交易。

客戶不會買任何衍生產品。

Declaration-Investor Characterization (Based on Knowledge in Derivatives)

I hereby declare and acknowledge that on the basis of my knowledge on derivative products, I consent to be treated as Category _____ under Investor Characterization as required by the Securities and Futures Commission and set out in details below.

I further declare and acknowledge that I understand the risks and consequences of such Characterization and that licensed corporations such as Matrix Securities Limited will not be obliged to explain the nature and risks of derivative products to clients classified as Category 1 and Category 2 herein.

Category 1 - have knowledge of derivatives

- Investor has executed 5 or more transactions in any derivative product within the past 3 years.
- Intermediary is not required to explain the risks of derivative products to such clients.

Category 2 - have general knowledge of derivatives

- General knowledge could assist an investor to understand the nature and risks of derivative products.
- Intermediary is not required to explain the risks of derivative products to such client.

Category 3 - have no knowledge of derivatives

- Derivative products traded on an exchange: Intermediary should explain the nature and risks even for execution-only transactions.
- Derivative products not traded on an exchange: Intermediary should **warn** such client and provide appropriate advice on **suitability** for the client in all circumstances even for execution-only transactions, with record of the warning and other communications duly kept. Where the transaction is assessed as unsuitable, Intermediary should only proceed if acting in the **best interests of the client**.

Client DOES NOT WISH to trade any derivative products.



X

客戶簽署 Signature of Client

姓名：
Name:
日期：
Date:

持牌代表簽署 Signature of licensed representative

姓名：
Name:
證監會編號及日期：
SFC CE No. & Date:

6. 客戶聲明 (Declaration by Customer)

公司是否相關帳戶的最終實益擁有人？（即你是否為公司本身而非為第三者運作此帳戶？）

Is Company the ultimate beneficial owner(s) in relation to the Account? (i.e. Are you acting for your own account and not for a third party?)

是 Yes

否，最終實益擁有人是No, details of the ultimate beneficial owner(s) is/are:

姓名 Name: _____ 護照/身份證號碼/簽發地址 Passport/ID No./Place of issue: _____

地址 Address: _____

電話號碼 Tel No: _____

貴公司是否有任何董事或股東是：（i）交易所參與者或就第1類受規管活動（證券買賣）獲發牌的中介人（持牌法團）的僱員或代理人；或（ii）就第1類受規管活動獲註冊的中介人（註冊機構）的僱員或代理人，並直接參與該受規管活動？

Is any of the Company's directors or shareholders an employee or agent of (i) an exchange participant or an intermediary (licensed corporation) licensed for Type 1 Regulated Activity (Dealing in Securities); or (ii) an intermediary (registered institution) registered for Type 1 Regulated Activity and directly involved in the Regulated Activity?

是，有關交易所參與者或中介人的名稱是：

Yes, the name of the related exchange participant or intermediary is: _____

否 No

公司是否有董事或股東是矩陣證券有限公司或其聯營公司的職員/代理人？

Is any of the company's director or shareholders an employee or agent of Matrix Securities Limited or its associated companies?

是 · 職員名稱：

Yes, Name of Employee: _____

否 No

客戶的公司集團內任何成員是否矩陣證券有限公司或其聯營公司客戶？

Is any member of your group of companies a client of Matrix Securities Limited?

是 · 請於下方注明 Yes, please specify below

否 No

帳戶名稱 Account Name

帳戶號碼 Account No.

閣下之任何董事、主要股東、最終實益擁有人、最終主要實益擁有人或授權人是否被委任為重要公職（例如：國家或政府元首、重要政客、高級政府官員、高級司法人員、高級軍官、國家企業高級行政人員、宗教領袖或以上人士的家人或有聯繫人士）？

Is any director, substantial shareholder, ultimate beneficiary, ultimate principal beneficial owner or authorised person of the Company entrusted with prominent public functions (e.g. Head of State or government, senior politicians/ important political officials, senior government officials, senior judicial officials, senior military officials, senior executives of state owned enterprises, religious leaders, or family members or close associates of the above-mentioned parties)?

否 No

是（請說明） Yes (please specify)

7. 客戶確認及承諾 Customer Acknowledgement and Consent

1. 關於風險披露聲明 Acknowledgement regarding Risk Disclosure Statement

本公司邀請客戶參閱載於<<證券客戶協議>>附表2 的風險披露聲明及免責聲明和其他按照相關法律、規定或其他監管相關市場的交易所規定而提供附加聲明的確認。

- 客戶確認本公司以客戶選擇的語言（英文或中文）提供了本協議及其附表。
- 客戶進一步確認本公司已經邀請客戶閱讀風險披露聲明，提出問題及徵求獨立的意見（如客戶有此意願）。
- 客戶確認本公司已經邀請客戶閱讀列於港交所規則及由證監會發出的有關指引內的申報規定及責任。

The Company refers the Customer to the Risk Disclosure Statements & Disclaimers in <<Client Agreement>> Schedule 2 and any other additional statements provided pursuant to relevant laws, the Rules or the rules of the other exchanges governing the relevant market.

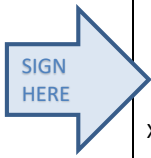
- The Customer acknowledges that the Agreement and the Schedules attached were provided in a language (English or Chinese) of the Customer's choice.
- The Customer further acknowledges that it was invited to read the Risk Disclosure Statement, ask questions and take independent advice, if the Customer wished.
- The Customer acknowledges that it was invited to read the reporting requirements and the responsibilities of reporting set out in the Rules of the SEHK and related guidance notes issued by the SFC.

2. 關於提供準確資料的確認 Acknowledgement regarding accuracy of information provided

載於本客戶資料表中的資料是真實和準確的。除非矩陣證券有限公司收到資料更改的書面通知，否則矩陣證券有限公司有權為任何目的信賴這些資料。矩陣證券有限公司獲授權隨時聯絡任何人，包括客戶的銀行、經紀或任何信用調查機構，藉以核實本客戶資料表中所提供的資料。矩陣證券有限公司的個人資料收集聲明列於附表1中。

The information contained in this Customer Information Form is true and accurate. Matrix Securities Limited is entitled to rely fully on such information for all purposes, unless Matrix Securities Limited receives notice in writing of any change. Matrix Securities Limited is authorised at any time to contact anyone, including Customer's banks, brokers or any credit agency, for the purpose of verifying the information provided on this Customer Information Form. A copy of Matrix Securities Limited's Personal Information Collection Statement is attached as Schedule 1.

8. 客戶簽署 Execution by Customer

| 戶口種類 Account Type | 選擇服務 Select Service(s) |
|---|---|
| <input type="checkbox"/> 現金帳戶 Cash Account 請為我/我們開立現金帳戶。我/我們已經閱讀並明白證券客戶協議的條款，並接受這些條款的約束。 Please open a Cash Account for me/us. I/We have read and understand the provisions of the Securities Client Agreement and agree to be bound by same. | 董事代表公司簽署並蓋印 Signature of director on behalf of the Company with Company chop <div style="text-align: center; margin: 10px 0;">  </div> X _____ 董事姓名： Print name of the Director : 日期： Date: |

客戶確認 Acknowledge by Customer

我/我們同意矩陣證券或聯絡人士以各種方式提供投資或有關財務產品及服務的資料，其包括研究報告及特別優惠等。
 I/We consent to Matrix Securities or its Associates providing information about investment or financial related products and services including research reports and special offers by any means.
 是 Yes 否 No

職員/經紀聲明 Declaration by Staff /Account Executive

我確認已經以客戶選擇的語言（英文或中文）提供了載於證券客戶協定附表2內的風險披露聲明，並且我已經邀請客戶閱讀風險披露聲明，提出有關問題及尋求獨立意見（如客戶有此意願）。
 I confirm that I have provided the Risk Disclosure Statements as set out in Schedule 2 of the Securities Client Agreement in a language (English or Chinese) of the Customer's choice. I have also invited the Customer to read the Risk Disclosure Statements, ask questions and independent advice if the customer wishes.

持第1類（證券買賣）Licensed for Type 1 (Licensed Corporation)

日期 Date : _____

職員/經紀簽署
Signature of Staff /AE

職員/經紀姓名
Name of Staff/AE

CE 編號
CE No.

9. 見證客戶簽署（如適用） WITNESSING OF CLIENT SIGNATURE (if applicable)

客戶須在本公司之持牌代表面前簽立本開戶申請表，或將本開戶申請表連同恰當的支票⁺一併交回本公司，否則本開戶文件的簽立及有關的身份證明文件的見證，應由適合的證明人包括公證人、律師、會計師、特許秘書、持牌銀行分行經理、太平紳士、發出身份核實文件的國家的大使館、領事館或高級專員公署的人員或其他證監會持票人加以驗證。

If this Account Opening Application is not executed in the presence of the Company's licensed representative or is not submitted with an appropriate cheque⁺, then signing of this Account Opening Application and sighting of related identity documents should be certified by a Notary Public, Lawyer, Certified Public Accountant, a Chartered Secretary, a Branch Manager of a Bank, a JP (Justice of the Peace), an officer of an embassy, consulate of high commission of the country of the issue of documentary verification of identity or any other SFC licensed person.

本人謹此見證上述客戶簽立此開戶申請表（構成本協議之重要文件）及其有關身份證明文件之正本：

I, the undersigned hereby certify that I have witnessed the signing of the Account Opening Application (forming an integral part of the Agreement) by the Client and have seen the original of the relevant identity documents of the Client:

見證人簽署
Signature of Witness

| |
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| |
|--|

姓名
Name:

所屬專業及職銜
Profession/Title:

日期
Date:

+ 數額不少於港幣一萬元的劃線支票。支票須有客戶本人簽發予「矩陣證券有限公司」，而支票簽發人姓名及簽名模式須與本開戶申請表上之客戶名稱及簽署相符。新客戶帳戶須在支票兌現後方可使用。

+ A crossed cheque of not less than HKD10,000 in favour of "Matrix Securities Limited" bearing Client's name and signature as shown in this Account Opening Application and drawn on a licensed bank in Hong Kong. The new account cannot be activated for use until the cheque has been cleared.

10. 注意事項 Notes

1 客戶必須填妥及簽署本表格所附之帳戶運作一般條款，即客戶合約。

The attached general terms and conditions to the operation, that is the Client Agreement, of this account must be completed and signed by the Customer.

2 任何刪除或修改必須有客戶之授權人簽署作實。

Any deletion or amendment must be initialed by the Authorised Person(s) of the Customer.

3 客戶只可選擇註冊、辦公室地址作為郵寄地址，所有帳戶結單及其他印刷品將寄註冊地址。郵政信箱恕不接受。請附上在最近三個月內之地址證明文件。

Customer can only choose either registered address, office address as their statements will be sent to this correspondence address. And other printing matters will be sent to their Registered address. P.O. Boxes are not accepted. Please enclose the address proof dated within the latest three months.

4 不能以第三者支票交收。

Third-party cheques cannot be used to settle any trading transaction.

只供本行使用 For Official Use Only

| | |
|--|---|
| <p>文件查核列表 Document check list</p> <p>1. 已核實的身份證或護照副本 Certified I.D Card/Passport Copy <input type="checkbox"/> 是 Yes</p> <p>2. 地址證明副本 Address proof <input type="checkbox"/> 是 Yes</p> <p>3. 銀行及信貸參考（如適用） Bank and Credit Reference (if applicable) （例如：銀行結單、屋契等）（e.g. bank statement, title deeds etc.） <input type="checkbox"/> 是 Yes <input type="checkbox"/> 不適合 N/A</p> <p>4. 僱主書面同意（如適用） Employer consent letter (if applicable) <input type="checkbox"/> 是 Yes <input type="checkbox"/> 不適合 N/A</p> <p>5. 是否PEP <input type="checkbox"/> 是 Yes <input type="checkbox"/> 不適合 N/A</p> <p>6. 已核實W-8 或 W-9表格 Certified W-8 or W-9 form <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No <input type="checkbox"/> 不適合 N/A</p> | <p>Applicable to non face-to-face account opening procedure:</p> <p>Personal cheque received (if applicable)</p> <p><input type="checkbox"/> issued from a licensed bank in HK</p> <p><input type="checkbox"/> payable to Matrix Securities Limited</p> <p><input type="checkbox"/> cheque amount not less than HK\$10,000</p> <p><input type="checkbox"/> client name shown on cheque</p> <p><input type="checkbox"/> same signature on cheque and A/C Opening Form</p> <p><input type="checkbox"/> cheque copy retained</p> <p><input type="checkbox"/> cheque cleared</p> |
|--|---|

| | |
|--------------------------------|-----------------------------------|
| 港元佣金 (%) HKD brokerage (%) | 港元最低佣金 HKD Minimum Commission |
| 人民幣佣金 (%) CNY brokerage (%) | 人民幣最低佣金 CNY Minimum Commission |
| 美元佣金 (%) USD brokerage (%) | 美元最低佣金 USD Minimum Commission |

風險級別 AML Risk Category

| | | | |
|--|--------------------------------|-----------------------------------|---------------------------------|
| AML 風險級別（參考AML政策） AML risk category (refer to AML policy) | <input type="checkbox"/> 低 Low | <input type="checkbox"/> 中 Medium | <input type="checkbox"/> 高 High |
|--|--------------------------------|-----------------------------------|---------------------------------|

信貸額 Credit Limit

每日交易限額：
 Daily Trading Limit :

合規部開戶批核 Account opening approved by Compliance Department

| | | |
|--------------------------------------|-----------------------------|-----------------|
| 合規部職員姓名： Name of compliance staff | 職員簽署： Signature of Staff | 職位： Position |
|--------------------------------------|-----------------------------|-----------------|

備註：
 Remarks:

系統輸入 BOS System Input

| | | | | |
|-----------|--------------|----------------------|----------------|-------|
| Input by: | Checked by : | email add. verified: | Authorised by: | Date: |
|-----------|--------------|----------------------|----------------|-------|