

Account Name: _____ Account No.: _____

CES Capital International (Hong Kong) Co., Ltd.

東航國際金融 (香港) 有限公司

(香港證監會中央編號AGT955持牌法團)

Account Opening Forms
綜合開戶表



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Wan Chai, Hong Kong

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www.cescapital.com

東航國際金融(香港)有限公司 CES Capital International (Hong Kong) Co., Ltd (下稱"東航金融(香港)" hereinafter "CES Capital(HK)")

東航金融為獲准從事第1類(證券交易)、第2類(期貨交易)、第3類(槓桿式外匯交易)、第4類(就證券提供意見)、第5類(就期貨合約提供意見)、第9類(提供資產管理)受規管活動之持牌法團(證監會中央編號: AGT955)和香港聯合交易所有限公司的交易參與者。

CES is a licensed corporation to carry on Type 1 (Dealing in Securities), Type 2 (Dealing in Futures Contracts), Type 3 (Leveraged Foreign Exchange Trading), Type 4 (Advising on Securities), Type 5 (Advising on Futures Contracts), Type 9 (Asset Management) regulated activities (SFC CE No: AGT955) and an Exchange Participant of the Stock Exchange of Hong Kong Limited.

開戶表格 - (個人戶口) Account Opening Form (Individual Account)

1. 申請開通賬戶 Account Opening Application

請在您所選擇申請開通的賬戶的方格加上"✓" Please indicate the type of account you want by ticking "✓" the appropriate boxes

賬戶類型 Account Type(s)	適用的客戶協議 Applicable Client Agreement	簽署確認已閱讀並明白相關適用的客戶協議之條款，并接受這些條款的約束 Sign to confirm that you have read and understood the provisions of the applicable client's agreements and accept to be bound by the same
證券賬戶(現金) Securities Account(Cash) 證券賬戶(保證金/孖展) Securities Account(Margin)	證券交易賬戶標準條款 Standard Terms For Securities Trading Account	×
期貨/期權賬戶 Futures&Options Account	期貨及期權交易標準條款資料、免責聲明及披露 Standard Terms and Conditions for Futures and Options Trading Information, Disclaimer & Disclosures	×
槓桿式外匯賬戶 Leveraged Foreign Exchange Account	槓桿式外匯交易標準條款 Standard Terms and Conditions for Leveraged Foreign Exchange Trading	×

是否開通網上服務(含網上交易) Do you register for internet services (include internet trading)?

是，適用於賬戶類型: Yes, for the account(s):	證券賬戶(現金) Securities Account(Cash)	證券賬戶(保證金/孖展) Securities Account(Margin)	期貨/期權賬戶 Futures&Options Account	槓桿式外匯賬戶 Leveraged Foreign Exchange Account	否 No
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2. 個人資料 Individual Information

先生 Mr.	中文姓名 Chinese Name	國籍 Nationality
女士 Ms.	英文姓名(先寫姓氏), 姓名必須與閣下的身份證/護照相符	出生地點 Place of Birth
小姐 Miss	English name (Surname First) as per your identity card / passport	出生日期 Date of Birth
身份證號碼 / 護照號碼(請附副本) Identity Card Number / Passport Number (Please enclose copy)		婚姻狀況 Marital Status 單身 Single 已婚 Married 離婚 Divorced
學歷 Education Level	小學 Primary 中學 Secondary 預科 / 專上學院 Post Secondary 大學或以上 University or above	
職業 Occupation	受僱 Employed 自僱 Self-employed 退休 Retired 其他 Others: _____	
業務性質 Business Industry	公司名稱 Name of Employer	職位 Position 任職年期 Year of Service
住宅電話 Residential Phone No.	手機號碼 Mobile Phone No.	電郵 Email Address 辦公室電話 Office Phone No. 傳真號碼 Fax No.
住宅地址 Residential Address		
通訊地址, 如與住宅地址不同, 請列明 Correspondence Address, please specify if different from Residential Address		

3. 通訊方式 Correspondence Methods

戶口結單收取方式(請選擇一項) Method of Account Statement Collection (please Tick one)

以電郵地址收取 by Email 郵寄至住宅地址 Mail to Residential Address 郵寄至通訊地址 Mail to Correspondence Address

是否需要合同(開戶文件)副本? Do You Want to Receive the Copy of Account Opening Forms? 否 No 是 Yes

若是, 擇一收取方式 If Yes, Select One Mailing Method: 電郵 Email 住宅地址 Residential Address 通訊地址 Correspondence Address

4. 結算安排 - 所有交易款項及股息等將存放在閣下於本公司之交易戶口內, 直至另行通知

Settlement Arrangement - All monies from settlement and dividend will be deposited at your trading account(s) opened at our company until further notice

除客戶另行指示, 客戶的款項將會被轉入下列多幣種賬戶 Unless otherwise to be instructed by you, all monies payable to you are to be credited to the following multi-currency account.

銀行名稱 Bank Name: _____ 戶口姓名 Account Holder's Name: _____

開戶行所在地 Bank Location: _____ 戶口號碼 Account Number: _____

5. 財政狀況及投資經驗 Financial Situation And Investment Experience

資產淨值 Net Worth

<HK\$500,000 HK\$500,000 - HK\$1,500,000 HK\$1,500,001 - HK\$5,000,000 HK\$5,000,001 - HK\$10,000,000 >HK\$10,000,000

流動資產, 例如現金、股票、短期存款 Liquid Asset, for example, cash, stock, short-term fixed deposit

< HK\$500,000 HK\$500,000 - HK\$1,500,000 HK\$1,500,001 - HK\$5,000,000 HK\$5,000,001 - HK\$10,000,000 >HK\$10,000,000

年薪 Annual Income

HK\$0 - HK\$120,000 HK\$120,001 - HK\$300,000 HK\$300,001 - HK\$600,000 HK\$600,001 - HK\$1,200,000 >HK\$1,200,000

投資習慣 Investment Habits

短線 Short-term 中線 Medium term 長線 Long-term

其他, 請註明 Others, please specify _____

投資目標 Investment Objectives

投機 Speculation 對沖 Hedging 套利 Arbitrage

其他, 請註明 Others, please specify _____

承受風險程度 Risk Tolerance Level

低風險 Low

中等風險 Medium

高風險 High

(注: 低風險不宜投資含有保證金性質之產品, 例如期貨、外匯、或證券孖展 Note: Low risk tolerance is not suitable for margin trading such as futures, forex or securities margin)

6.對各類產品的一般性質及風險的認識及經驗 General knowledge on the nature and risks of different products and years of experience

各類產品 Types of Products	對產品無認識 No knowledge	在過去三年內完成了 五次或以上之交易 Executed 5 or more trades within the past three years	瞭解此產品的 性質及風險 Understand product's nature and risks	如何瞭解此產品性質及風險Way to understand product's nature & risks	
				曾參加培訓/課程 Attended training / course	擁有相關工作經驗 (請寫公司名稱) Have relevant working experience Please state the name of employer
(a) 股票(香港/美國/ 海外) Stock (Hong Kong/USA/Overseas)		是 Yes	是 Yes	是 Yes	是, 僱主名稱 _____
(b) 認股權證/牛熊證 Derivative Warrant / Callable Bull/Bear Contracts		是 Yes	是 Yes	是 Yes	是, 僱主名稱 _____
(c) 交易所基金Exchange Trade Funds (ETF)		是 Yes	是 Yes	是 Yes	是, 僱主名稱 _____
(d) 期貨及期權 Futures & Options		是 Yes	是 Yes	是 Yes	是, 僱主名稱 _____
(e) 股票期權 Stock Options		是 Yes	是 Yes	是 Yes	是, 僱主名稱 _____
(f) 槓杆式外匯交易 Leverage Foreign Exchange Trading		是 Yes	是 Yes	是 Yes	是, 僱主名稱 _____
(g) 互惠基金 / 單位信託基金 Mutual Fund / Unit Trust		是 Yes	是 Yes	是 Yes	是, 僱主名稱 _____
(h) 其他 Others (請註明產品及交易經驗 Please specify products and investment experience)					

7.身份聲明 Identity Declaration

7.1 您是否此賬戶的最終實益擁有人?(即若是, 則這是您的賬戶, 並非為其他人土操作賬戶)
Are you the ultimate beneficial owner(s) in relation to the Account? (i.e. if yes, you are acting for your own account and not for a third party)

是 Yes 否, 賬戶的最終實益擁有人是 No, the ultimate beneficiary owner(s) is / are:

姓名 Name _____ 聯絡電話 Phone No.: _____
地址 Address _____
身份證/護照號碼 Identity Card/Passport No. _____ 簽發地 Place of issue _____

7.2 您或最終實益擁有人是否香港證券及期貨事務監察委員會持牌或註冊人士或該人士的僱員或董事?
Are you, or the ultimate beneficial owner(s), a person licensed by or registered with the Hong Kong Securities and Futures Commission or an employee or a director of such person?

否 No 是, 持牌人姓名 Yes, the name of licensed person _____ CE No. 中央編號 _____
已呈交僱主的同意信 Provided consent letter from Employer. 沒有僱主的同意信 No consent letter from Employer.

7.3 您或最終實益擁有人是否與東航金融(香港)的代理人或職員有親屬關係? (如是, 請註明)
Are you a relative of an agent / employee of CES Capital(HK)? (If Yes, please specify)

否 No 是, 代理人/職員姓名 Yes, Name of agent/employee _____ 關係 Relationship _____

7.4 是否有其他人使用本賬戶進行交易 Will this account be traded by someone other than above applicant(s)?

否 No 是, 請填寫第三方授權委託書 Yes, please complete power of attorney for third party trader.

7.5 您是否美國公民或居民? Are you a U.S Citizen or Resident? 否 No 是, 美國納稅人編號 Yes, U.S taxpayer identification number (TIN) _____

(僅適用於證券保證金賬戶 Only applicable for securities margin clients)

7.6 您的配偶是否東航金融(香港)的證券保證金客戶?
Is your spouse a securities margin client of CES Capital(HK)?

否 No 是, 賬戶名稱 Yes, Account Name _____ 客戶賬號 Account No. _____

7.7 您個人或與配偶是否共同控制一間公司的30%或以上投票權, 且此公司為東航金融(香港)的證券保證金客戶?
Are you, either alone or with your spouse, in control of 30% or more of the voting rights of a company which is a securities margin client of CES Capital(HK)?

否 No 是, 賬戶名稱 Yes, Account Name _____ 客戶賬號 Account No. _____

客戶聲明及簽署 Client Declaration & Signature

本人已閱讀並明白東航金融(香港)現行適用於有關本人所申請開通賬戶的一切客戶協議(該/該等協議)條款及細則而本檔乃該/該等協議的一部分, 並同意接受可不被修改的該/該等協議整體及證監會及其他監管機構不時修訂以監管進行相關交易的條例及規則所約束。
I have read and understood the provisions of the current version of all client's agreements ("the/these Agreement(s)") apply to the account(s) I require to open, and this document form a part and agree to be bound by the/these Agreement(s) as a whole as the same may be amended from time to time and the Rules and Regulations of SFC or any other regulatory body(ies) as amended from time to time governing the trading.

本人明白遞交此開戶申請表格及貴司接納此表格並非表示貴司同意開立賬戶予本人 / 吾等, 並清楚閣下保留無條件拒絕本人開戶申請之權力; 本人知悉貴司或會要求本人就將賬戶交易先存入款項。
I understand that my submission of this form and the acceptance of this form by you in no way implies approval for opening of the account for me/us and that you reserve the unconditional right to reject my application. I further understand that I may be required to place a deposit on the Leveraged Foreign Exchange Trading if requested by you.

本人聲明及確認東航金融(香港)已提供適用於本人所申請開通賬戶的一切客戶協議, 而本人已獲邀閱讀該/該等協議, 提出問題及徵求獨立的意見(如本人有此意願)。本人確認, 東航金融(香港)持牌代表在本檔中之聲明(包括對該/該等代表之描述)構成適用於有關本人所申請開通賬戶的風險披露聲明之一部分。
I hereby confirm that CES Capital (HK) has provided all client's agreements apply to the account(s) I require to open and I have been invited to read the same, to ask questions and take independent advice if I wish. I confirm that the CES Capital (HK) Representative Declaration(s) in this document (including the description(s) of such Representative) forms a part of the Risk Disclosures Statements for the account(s) I apply to.

本人謹此簽署授予適用於該申請的一切常設授權(詳見客戶授權), 雖然該/該等授權書可能未經本人簽署, 但該/該等授權書應被視為已由本人有效簽署及交付。
I hereby execute and deliver in favour of you authorization(s) in form as per Standing Authority, the/these authorization(s) shall be deemed duly executed and delivered by me even though it may not be actually signed by the undersigned.

本人證實上述資料乃屬正確及完整, 並授權東航金融(香港)向任何方面查證及交換此表格上的資料, 包括信貸查詢, 以作核實開戶申請及其他目的若本人 / 吾等仍為貴司的客戶。除非東航金融(香港)收到更改資料的書面通知, 東航金融(香港)有權為任何目的而信賴這些資料。此表格不可視為對任何投資產品及服務的銷售或購買之邀請, 亦不應當為投資建議。
I confirm that the information given above is correct and complete, and authorize CES Capital(HK) to confirm and exchange this information from any source that CES Capital (HK) considers appropriate, including the conduct of any credit checks on me for the purpose of approving my application and for such other purposes as long as I shall remain an account of you. CES Capital(HK) is entitled to rely fully on such information for all purposes, unless CES Capital(HK) receives notice in writing of any change. This form is not an offer to sell or a solicitation for an offer to buy any financial products and services and they should not be considered as investment advice.

本文件、該/該等協議之英文本(相對相應之中文譯本而言)視為確實及有最終效力, 並凌駕中文譯本。
The English version of this document and the Agreement (as opposed to the Chinese translation) shall be deemed to be conclusive and definitive and prevail over the Chinese translation.

客戶簽署 Client Signature _____ 日期 Date _____

客戶授權 Standing Authority

除非另有說明，本函使用的術語應與不時修訂的《證券及期貨條例》、證券及期貨(客戶證券)和證券及期貨(客戶款項)規則中的定義相同。

Unless otherwise defined, all the terms used in this Authorization Letter shall have the same meanings as defined in the Securities and Futures Ordinance, the Securities and Futures (Client Securities) Rules and the Securities and Futures (Client Money) Rules as amended from time to time.

客戶款項常設授權 (適用於所有賬戶) Client Money Standing Authority (Apply to All Accounts)

客戶款項的常設授權範圍包括貴公司在香港代表本人開立的一個或多個獨立賬戶中持有或收到的款項(包括因持有任何不屬於貴公司的款項所獲取的利息)("款項")。

The Client Money Standing Authority covers money held or received by you in Hong Kong (including any interest derived from the holding of the money which does not belong to you) in one or more segregated account(s) on my behalf ("Monies").

本人授權貴公司 I/We authorize you to :

1. 將貴公司或任何貴公司有聯繫實體單獨或與他人共同維持的任何性質的任何或所有獨立戶口/賬戶(定義見不時修訂的有關業務條款)合併或綜合。貴公司可將款項的任何款額轉給其他獨立戶口/賬戶或在獨立戶口/賬戶之間相互轉帳，以結清本人對貴公司或任何貴公司有聯繫實體負有的債責；
combine or consolidate any or all segregated accounts, of any nature whatsoever and either individually or jointly with others, maintained by you or any your associated entities from time to time, and transfer any sum of Monies to and between such segregated account(s) to satisfy my obligations or liabilities to you or any your associated entities;
2. 將本人在任何時間在貴公司或任何貴公司有聯繫實體維持的賬戶不時的任何資金轉入戶口/賬戶和/或本人在任何時間在貴公司或任何貴公司有聯繫實體維持的任何其他戶口/賬戶；
transfer any sum of Monies interchangeably between the segregated account(s) maintained by the you or any your associated entities from time to time;
3. 可將貴公司在香港為本人持有或收到的款項轉入香港以外的賬戶；
transfer my/our Monies held or received by you in Hong Kong to an account outside Hong Kong;
4. 可將本人的款項兌換至任何貨幣。
enter into foreign exchange contracts for my account(s) to convert into other currencies.

客戶證券常設授權 (僅適用於證券保證金 賬戶) Client Securities Standing Authority (For Margin Client Only)

客戶證券的常設授權是關於按下述方式處理客戶的證券或證券抵押品。

The Client Securities Standing Authority is in respect of the treatment of the Client's securities or securities collateral as set out below.

本人授權貴公司 I authorize you to :

1. 根據證券借貸協議使用本人的任何證券或證券抵押品；
apply any of my securities or securities collateral pursuant to the terms and Conditions of the Company;
2. 將本人的任何證券抵押品存放於一認可財務機構，作為提供予貴公司的財務通融的抵押品；
deposit any of the securities collateral with an authorized financial institution as collateral for financial accommodation provided to you;
3. 將本人的任何證券抵押品存放於獲香港證券及期貨事務監察委員會認可的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義務和清償貴公司在交收上的法律責任的抵押品；
deposit any of the securities collateral with any clearing house recognized by the Hong Kong Securities and Futures Commission or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of my / our settlement obligations and liabilities;
4. 若貴公司在進行證券交易和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本人提供財務通融，可按照以上1、2和/或3條款運用或存放本人的任何證券抵押品。
apply or deposit any of my securities collateral in accordance with I, II and/or III above if you provide financial accommodation to me in the course of dealing in securities and any other regulated activities.

本人確認並同意，貴公司可在不通知本人情況下進行上述任何事項。

I acknowledge and agree that you may do any of the things set out above without giving the Client notice.

此賦予貴公司之授權乃鑒於貴公司同意繼續維持本人之證券保證金賬戶。

This authority is given to you in consideration of CES's agreeing to continue to maintain the securities margin account for me.

貴公司仍須就根據本授權書貸出、存放或交收的任何證券的歸還向本人負責。

You are accountable to me for the return of any securities lent, deposited or delivered under this authority.

本人明白 I also understand that:

1. 客戶常設授權是在不影響貴公司或任何貴公司有聯繫實體就處理獨立賬戶中的款項可能擁有的其他授權或權利情況下授與的，不應影響貴公司或貴公司有聯繫實體行使權利處置本人的證券或證券抵押品，以償清本人或代表本人在交收上對貴公司、貴公司有聯繫實體或第三方負有的任何法律責任。

the Client Standing Authority is given without prejudice to other authorities or rights which you or your associated entities may have in the treatment of Monies of segregated account(s) and shall not affect your or your associated entities' right to dispose my securities or securities collateral for the discharge and satisfaction of my settlement obligations and liabilities to you, your associated entities or third parties.

2. 本人的證券可能受到某第三方權利的制約，而貴公司須在清償該等權利後方可將本人的證券退回。
my securities may be restricted by third parties, you should return the securities only after the obligations are settled.

3. 本授權信函自賬戶生效日起計有效，到期日為每年的3月31日，其後的延期授權期限均為12個月，並同意貴公司保留修改授權信函到期日的權利。

this standing authority is valid from the date of the completion of the account opening, and the expiry date will be 31st Mar of each year with a default extension of every 12 months. I also agree that you retains the rights for the change of the expiry date from time to time.

4. 本人可以向貴公司發出書面通知撤回本授權，該等通知之生效日期為貴公司真正收到該等通知后之14日起計。

I may revoked by giving you written notice ,such notice shall take effect upon 14 days from the date of your actual receipt of such notice.

5. 倘若貴公司在授權有效期屆滿前最少14日向本人發出有關授權將被視為續期的書面通知，並且本人在授權屆滿日前對於此方式將該授權延續不表示反對，則客戶款項常設授權和客戶證券常設授權將會在沒有本人書面同意下被視為已續期。

this standing authority shall be deemed to be renewed on a continuing basis without the Client's written consent if you issues me a written reminder at least 14 days prior to the expiry date of the relevant authority, and I does not object to such deemed renewal before such expiry date.

本人確認已經向本人解釋了本授權的內容，本人理解及同意本授權的內容。

I acknowledge that this authority has been fully explained to me, and I understand and agree with the contents of this authority.

客戶簽署 Client Signature

日期 Date

職員 / 客戶主任聲明 Declaration by Staff / Account Executive

本人，下方簽署者，確認已經提供了以客戶選擇的語言(英文或中文)之 證券 期貨 槓桿式外匯之風險披露聲明，並且本人已經邀請客戶閱讀相關風險披露聲明，提出有關問題及徵求獨立意見(如客戶有此意願)。

I, the undersigned, confirm that I have provided the Risk Disclosure Statement of Securities Futures Leveraged Foreign Exchange in a language (English or Chinese) of the client's choice and that I have invited the Client to read the Risk Disclosure Statement, ask questions and take independent advice, if the Client wishes.

職員 / 客戶主任簽署

Signature of Staff / AE

職員 / 客戶主任姓名

Name of Staff / AE

CE 編號

CE No.

日期

Date

見証人資料 Witness Information

見証人簽署

Witness signature

見証人姓名

Name of Witness

見証人所屬東航金融聯系單位

Affiliate Entity of Witness

日期

Date :

若客戶 / 聯名客戶並非在東航國際金融(香港)有限公司或聯系單位的僱員面前簽立此檔或連同適當的支票一併遞交，則以下應由指定人士¹簽署(若適用者)

IF THIS DOCUMENT IS NOT EXECUTED BY THE CLIENT(S) IN FRONT OF CES CAPITAL INTERNATIONAL (HONG KONG) CO., LTD'S EMPLOYEE OR ITS AFFILIATE OR SUBMITTED WITH AN APPROPRIATE CHEQUE¹, BELOW SHOULD BE SIGNED BY A SPECIFIED PERSON² [if applicable]

下述簽署人士謹此驗證上述客戶簽立此檔(連同上述的標準條款)及其有關的身份證明文件。

The undersigned person hereby certifies the signing of this document (together with the above Standard Terms and Conditions) by the above Client and signing of related identity documents of such Client(s).

簽署及驗證

Signed and Certified by

簽署 Signature

姓名 Name

所屬專業 / 聯屬人士 / 職銜

Profession / Affiliate Entity / Title

日期(日/月/年) Date (dd/mm/yy)

聯絡資料 Contact Details

1 客戶在香港的持牌銀行開立的賬戶並由客戶所簽發(該簽名須與此開戶表上的客戶簽名相符)並載有客戶在其身份證明文件上所顯示的姓名的劃線支票，而該支票抬頭人須為“東航國際金融(香港)有限公司”及其數額不得少於10,000 港元(或東航國際金融(香港)有限公司通知客戶的其他數額)。客戶被批核的新賬戶必須待支票兌現後才可使用。A crossed cheque bearing your name shown in your identity document and drawn on your account with a licensed bank in Hong Kong with your same signature(s) as shown on this Form in favour of "CES Capital International (Hong Kong) Co., Limited" for not less than HKD10,000 (or such other amount as may be advised by CES Capital International (Hong Kong) Co., Limited.). Your approved new account will not be activated until the cheque is cleared.

2 任何香港證監會持牌人或註冊人、其聯屬人士、太平紳士、銀行分行經理、執業會計師、律師或公證人。

Any SFC licensed or registered person, an affiliate of such person, a Justice of the Peace, a Branch Manager of a Bank, Certified Public Accountant, Lawyer or Notary Public.

獲授權代表簽署 Authorized Signature

內部使用 Internal Use

介紹人/AE

與客戶認識年期

佣金率/最低收費

身份証副本

住址註明

部門主管

輸入人員

核對人

證券

期貨

外匯

合同編號：Contract No：