



大聖證券有限公司
Monmonkey Group Securities Limited

法團開戶表格
Corporate Accounts Opening Form

開戶日期: Account Open Date:	
現金賬戶號碼 Cash A/C No	
保證金賬戶號碼 Margin A/C No	
賬戶名稱 A/C Name	
賬戶分類 A/C Classified	<input type="checkbox"/> 本公司 House <input type="checkbox"/> 經紀A E / 客戶主任姓名 Name of A E : _____ 經紀編號 Code of A E : _____

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大聖證券有限公司 (中央編號 : BHP 423) 為獲證券及期貨事務監察委員會發牌的持牌法團，可經營第 1 類 (證券交易，及第 4 類 (就證券提供意見) 之受規管活動及為香港聯合交易所有限公司的交易所參與者 (經紀號碼 : 0172 / 0973 / 1143) 。

MONMONKEY GROUP SECURITIES LIMITED (CE No: BHP 423) licensed corporations by Securities and Futures Commission for carrying on Type 1 (Dealing in Securities) and Type 4 (Advising on Securities), regulated activity and is an exchange participant of The Stock Exchange of Hong Kong Limited. (Broker No : 0172 / 0973 / 1143)

請開設以下非全權委託賬戶 Please open the following type of non-discretionary account			
《大聖證券有限公司 MONMONKEY GROUP SECURITIES LIMITED》下稱“大聖” here in after “MGSL” (中央編號 CE No: BHP 423)			
證券交易賬戶 Securities Trading Account - 所需服務 Service(s) Required			
客戶類別 Type of Client	<input type="checkbox"/> 法團賬戶 Corporate Account	*網上電子交易 Electronic Trading <input type="checkbox"/> YES <input type="checkbox"/> NO	
賬戶類別 Type of Account	<input type="checkbox"/> 現金賬戶 Cash Account <input type="checkbox"/> 保證金賬戶 Margin Account		
客戶資料 CLIENT INFORMATION			
※ 請用正楷填寫，在適當的方格內加上「 <input type="checkbox"/> 」號，並於不適用處填上「不適用」。 Please complete in BLOCK LETTERS and tick 「 <input type="checkbox"/> 」 where is appropriate and insert “N.A.” if not applicable.			
1. 機構資料 Corporate Information			
公司名稱 Client Name	(中文 Chinese) (英文 English)		
經營年期 Years of Business		註冊地點 Place of Incorporation	
註冊日期 Date of Incorporation		營業地點 Place of Business	
公司註冊編號 Cert. of Incorporation No.		商業登記編號 Business Registration No.	
全球法人機構識別編碼 (如有): Legal Entity Identifier (if any):		業務性質 Nature of Business	
公司性質 Nature of Entity	<input type="checkbox"/> 獨資 Sole Proprietorship <input type="checkbox"/> 合夥 Partnership <input type="checkbox"/> 私人有限公司 Private Limited Company <input type="checkbox"/> 上市公司 Public Listed Company <input type="checkbox"/> 離岸公司 Off-shore Company <input type="checkbox"/> 其他 Others: _		
公司電話號碼 Office Telephone No.		傳真號碼 Fax. No.	
電郵地址 E-mail Address		網址 Website	
聯絡人名稱 Name of Contact Person		聯絡人電話號碼 Phone No. of Contact Person	
註冊地址 Registered Office Address			
主要營業地址 Principal Business Address			
通訊位址 Correspondence Address	<input type="checkbox"/> 與註冊位址相同 Same as Registered Office Address <input type="checkbox"/> 與主要營業地址相同 Same as Principal Business Address		
客戶是否證券及期貨事務監察委員會之持牌法團/註冊機構? Is the Client a licensed corporation/registered institution registered with the Securities and Futures Commission?		<input type="checkbox"/> 不是 No <input type="checkbox"/> 是 Yes, 中央編號 CE No: _____	

2. 財務資料簡要 Financial Summary	
資金來源 Source of Funds	<p><可選擇一項或多項 Can choose one or more></p> <p> <input type="checkbox"/> 經營利潤 Business Profit <input type="checkbox"/> 貸款 Loans </p> <p> <input type="checkbox"/> 投資收益 Return on Investment <input type="checkbox"/> 股東資金 Funds from Shareholders </p> <p> <input type="checkbox"/> 其他 Others: _____ </p>
資金來源國家 Origin of Funds	
法定股本 Authorized Share Capital	<p>股份數目 No. of Shares: _____</p> <p>股份總值 Total Share Value: _____</p>
繳足股本 Paid-up Share Capital	<p>股份數目 No. of Shares: _____</p> <p>股份市值 Market Share Value: _____</p>
最近的除稅後盈利(港元): The Latest Audited Profit After Tax(HKD)	<p> <input type="checkbox"/> < 1,000,000 <input type="checkbox"/> 1,000,001 - 5,000,000 </p> <p> <input type="checkbox"/> 5,000,001 - 10,000,000 <input type="checkbox"/> 10,000,001 - 15,000,000 </p> <p> <input type="checkbox"/> 15,000,001 - 20,000,000 <input type="checkbox"/> > 20,000,000 </p>
最近經審計的資產淨值(港元) The Latest Audited Net Asset Value (HKD)	<p> <input type="checkbox"/> < 5,000,000 <input type="checkbox"/> 5,000,001 - 10,000,000 </p> <p> <input type="checkbox"/> 10,000,001 - 15,000,000 <input type="checkbox"/> 15,000,001 - 20,000,000 </p> <p> <input type="checkbox"/> 20,000,001 - 25,000,000 <input type="checkbox"/> > 25,000,000 </p>
3. 投資目的及經驗 Investment Objective and Experience	
投資年期 Years of Investment Experience	<p> <input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於一年 (Less than 1 year) </p> <p> <input type="checkbox"/> 一年至三年 (1 – 3 years) <input type="checkbox"/> 四年至七年 (4 – 7 years) </p> <p> <input type="checkbox"/> 八年至十年 (8 – 10 years) <input type="checkbox"/> 超過十年 (More than 10 years) </p>
過往每年平均投資金額(港元) Yearly Average Investment Amount in the Past (HKD)	<p> <input type="checkbox"/> < 1,000,000 <input type="checkbox"/> 1,000,001 - 5,000,000 </p> <p> <input type="checkbox"/> 5,000,001 - 10,000,000 <input type="checkbox"/> 10,000,001 - 15,000,000 </p> <p> <input type="checkbox"/> 15,000,001 - 20,000,000 <input type="checkbox"/> > 20,000,000 </p>
投資目的 Investment Goals	<p><可選擇一項或多項 Can choose one or more></p> <p> <input type="checkbox"/> 保本 Capital Preservation <input type="checkbox"/> 資本增值 Capital Growth <input type="checkbox"/> 股息回報 Dividend Yield </p> <p> <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 套戥 Arbitrage <input type="checkbox"/> 投機 Speculation </p>
承受風險 Risk Tolerance*	<p> <input type="checkbox"/> 低風險 Low <input type="checkbox"/> 中等風險 Medium <input type="checkbox"/> 高風險 High </p> <p><*證券保證金賬戶屬於“中等風險”及/或“高風險”類別></p> <p><Securities Margin Account belongs to Medium and/or High risk categories></p>
補回差額的能力 Capacity to Top-Up	<p>客戶確認擁有足夠能力作定期注資並滿足提供額外抵押品的要求 (如適用)。</p> <p><只適用於使用新股上市融資服務或證券保證金之客戶></p> <p>Client confirm we have the capacity to make regular contributions and meet extra collateral requirements, where appropriate * <For use Initial Public Offering (IPO) Margin Financing or Margin Client Only></p> <p> <input type="checkbox"/> 有 Yes <input type="checkbox"/> 沒有 No </p>
流動資金要求 Liquidity Requirement	<p>客戶確認不依賴將會用於賬戶投資或交易的流動資產 / 現金，來滿足任何現有或預計的注資要求。</p> <p>Client confirm I am not dependent on the liquid asset/cash that you will be using for investments or trading with or through the Account to meet any current or anticipated payment requirements</p> <p> <input type="checkbox"/> 有 Yes <input type="checkbox"/> 沒有 No </p>
曾經投資過的產品 Types of product(s) you have previously invested	<p><可選擇一項或多項 Can choose one or more></p> <p> <input type="checkbox"/> 股票 Stocks <input type="checkbox"/> 衍生工具 Derivatives <input type="checkbox"/> 期貨/期權 Futures/Options </p> <p> <input type="checkbox"/> 外匯/貴金屬 Forex/Bullion <input type="checkbox"/> 債券/存款證 Bonds/CD <input type="checkbox"/> 單位信託基金/基金 Unit Trusts/Fund </p> <p> <input type="checkbox"/> 其他 Others: _____ </p>

4. 客戶對衍生產品的認識 Knowledge of Derivatives

<input type="checkbox"/> 有 Yes <input type="checkbox"/> 沒有 No	<p>吾等曾接受有關介紹衍生產品之性質及風險培訓或課程。</p> <p>We by undergoing training or attending courses that provide general knowledge of the nature and risk of derivatives (e.g. relevant online or classroom course offered by academic institutions or financial institutions).</p>
<input type="checkbox"/> 有 Yes <input type="checkbox"/> 沒有 No	<p>吾等過去三年內已進行了五次或以上有關衍生產品之交易(如:衍生權證、牛熊證、股票/指數期貨及期權、商品結構性產品及交易所基金等、無論是否於交易所進行交易)</p> <p>We executed five or more transactions in derivative products (e.g. Derivatives Warrants, Callable Bull/Bear Contracts, Stock/Index Futures and Options, Structural Products of Commodities, and ETF, whether traded on exchange or not) within the past three years).</p> <p>曾交易產品Product(s) invested:</p> <p><input type="checkbox"/>牛熊證CBBC <input type="checkbox"/> 衍生權證(窩輪) Derivative Warrants <input type="checkbox"/>股票/指數期貨及期權 Stock/Index Futures and Options</p> <p><input type="checkbox"/> 商品結構性產品 Structural Products of Commodities <input type="checkbox"/>交易所買賣基金ETF <input type="checkbox"/> Others 他:_____</p>
<input type="checkbox"/> 有 Yes <input type="checkbox"/> 沒有 No	<p>吾等現時或過去曾從事衍生產品有關的工作經驗</p> <p>We Current or previous work experience related to derivative products.</p>

☐ 對衍生產品有認識，並有意進行衍生產品交易

we have knowledge of derivative products and intend to trade derivative products。

☐ 吾等對衍生產品沒有認識; 但已明白衍生產品的相關風險，並有意進行衍生產品交易。

we have no knowledge of derivative products; but I have understood the risks associated with derivative products and intend to trade derivative products。

5. 客戶投資意向 Client Investment Interest

請選擇以下有意欲交易之產品(可選多項) Please tick the below product(s) if you have interest in trading of (one or more items) :

<input checked="" type="checkbox"/> 主板 Main Board	<input type="checkbox"/> 創業板 Growth Enterprise Market (GEM).
<input type="checkbox"/> 衍生權證(窩輪)/牛熊證 Derivative Warrants/ Callable Bull/Bear Contracts	<input type="checkbox"/> 中華通北向交易 Northbound China Connect Orders
<input type="checkbox"/> 交易所買賣基金(ETF)/信託基金 Exchange Traded Funds / Trust	<input type="checkbox"/> 美股 U.S Stock

6. 董事資料 Directors Information *(請填寫附件《客戶資料表》Please fill in APPENDIX “CLIENT INFORMATION SHEET”)

	董事姓名 Director Name	身份證/護照號碼 I.D. Card/Passport No.	聯絡電話及地址 Contact Number & Address
(1)			
(2)			
(3)			
(4)			

7. 股東資料 Shareholder Information <不適用於上市公司 Not applicable to Listed Company>

	主要股東姓名 (10% 持股或以上) Major Shareholder Name (10% holding or above)	身份證/護照號碼 I.D. Card/Passport No.	持股比例 Shareholding %	聯絡電話及地址 Contact Number & Address
(1)				
(2)				
(3)				
(4)				

交易安排

TRADING ARRANGEMENT

1. 買賣單據/結單遞送方法 Contract Notes/Statements to be delivered to <請選擇其中一項 Please select one>

日結單/月結單/買賣單據/一般函件收取方式 Method of Daily Statements/Contract Notes/General Correspondence Collection

☐ 電郵 By Email☐ 郵寄至通訊地址 By Post to Correspondence Address

2. 賬戶操作 Account Operation

須於董事會決議案內詳細列明授權交易人士(可簽署及就賬戶進行交易)·授權交收人士(可簽署及就賬戶進行交易的清算指示)及簽名安排。
Trading Authorized Person (sign and effect transaction(s) in the account), Settlement Authorized Person (sign and effect settlement in the account) and Signing Arrangement shall be set out in the Board Resolution.

3. 最終負責發出交易指示人士的身份

Identity of Persons Ultimately Responsible for Originating the Instructions in relation to a Transaction

最終負責發出交易指示人士資料如下:

Details of the person who is ultimately responsible for originating the instructions in relation to a transaction are as below:

姓名 Name _____ 香港身份證/護照號碼 HKID/Passport No.: _____

地址 Address _____ 職業 Occupation _____

賬戶持有人與最終負責發出交易指示人士之關係:

Relationship between the Account Holder(s) and the person who is ultimately responsible for originating the instructions in relation to a transaction : _____

4. 銀行戶口資料 Bank Account Information

款項將根據客戶的提款指示轉入以下銀行賬戶

Funds will be transferred to the following bank accounts pursuant to your fund withdrawal instruction.

	港幣戶口 HK Dollar Account	其他貨幣戶口 Other Currency Account
銀行名稱 Bank Name		
賬戶號碼 Account No.		
賬戶名稱 Account Name		

防止洗黑錢及防止恐怖份子籌資活動問卷

Anti-Money Laundering And Anti-Terrorist Financing Questionnaire

(i) 本地客戶(如客戶公司屬香港登記) For Local Client (i.e. Company registered in Hong Kong)

- 貴公司並非與政界人士有聯繫? (政界人士:指目前或以往曾經擔任重要公職的人士, 如國家或政府的首長, 資深政客, 政府高級官員和重要政黨官員等)
Is your company not linked to politically exposed persons? (Politically exposed person - individual who is or has been entrusted with prominent public function, e.g. head of state/government, senior politician, senior executive of government-owned corporation, important political party official, etc)
☐ Yes 是 ☐ No 否, Please elaborate below 請於詳述: _____
- 貴公司的業務性質是不是特別容易蒙受較高的洗黑錢風險? (舉例:如會接觸大量現金往來的找換業或博彩業)
Is the nature of your company's business not particularly susceptible to money laundering risk? (For example, money changer or casino business that handles large amount of cash)
☐ Yes 是 ☐ No 否, Please elaborate below 請於詳述: _____
- 貴公司的金錢來源不是源於或涉及非法所得?
Does your company's money might not be arising from or related to proceeds of crimes?
☐ Yes 是 ☐ No 否, please elaborate below 請於詳述: _____

(ii) 海外客戶(如客戶公司屬海外登記) For Overseas Client (i.e. Company registered outside Hong Kong)

- 貴公司的註冊國家是否財務行動特別組織的成員? (財務行動特別組織成員包括:阿根廷、澳大利亞、奧地利、比利時、巴西、加拿大、中國、丹麥、芬蘭、法國、德國、希臘、香港、冰島、愛爾蘭、意大利、日本、盧森堡、墨西哥、荷蘭、紐西蘭、挪威、葡萄牙、俄羅斯聯邦、新加坡、南非、西班牙、瑞典、瑞士、土耳其、英國、美國、歐洲委員會及海灣合作理事會)
Is the country that your company registered from a member of the Financial Action Task Force ("FATF")? (Members of FATF include: Argentina, Australia, Austria, Belgium, Brazil, Canada, China, Denmark, Finland, France, Germany, Greece, Hong Kong, Iceland, Ireland, Italy, Japan, Luxembourg, Mexico, Netherlands, New Zealand, Norway, Portugal, Russian, Federation, Singapore, South Africa, Spain, Sweden, Switzerland, Turkey, United Kingdom, USA, European Commission, and the Gulf Cooperation Council)
Updated List for the Members of FATF 最新財務行動特別組織成員名單: <http://www.fatf-gafi.org/countries/#FATF>
☐ Yes 是 ☐ No 否, Please elaborate below 請於詳述: _____
- 貴公司的註冊國家是否已有現行的法律或條例立以制止洗黑錢的活動?
Are you located in a country with established laws/regulations designed to prevent money laundering?
☐ Yes 是 ☐ No 否, Please elaborate below 請於詳述: _____
- 如貴公司於第(5)題的答案選擇“是”, 貴公司是否受到現行的法律或條例所管制?
If the answer to (5) is YES, is your company subject to such laws/regulations?
☐ Yes 是 ☐ No 否, Please elaborate below 請於詳述: _____
- 貴公司是否就反洗黑錢條例或反恐怖分子籌資活動條例維持著“無罪紀錄”?
Has your company maintained a "no conviction record" for anti-money laundering or anti-terrorist financing legislation?
☐ Yes 是 ☐ No 否, Please elaborate below 請於詳述: _____

(iii) 如貴公司的業務涉及處理第三者的資產(如基金經理、股票經紀), 請回答以下的問題。

For client whose business involves handling third party assets (e.g. fund manager, stockbrokers), please answer the following questions.

- 貴公司(包括外國的分行及子公司)是否已制訂書面政策, 並執行內部程序和管理, 以打擊洗黑錢的活動?
Has your company (including foreign branches and subsidiaries, if any) established written policies and implemented internal procedures and controls to combat money laundering?
☐ Yes 是 ☐ No 否, Please elaborate below 請於詳述: _____
- 貴公司就舉報可疑的活動和交易是否已確立程序向適當的監控組織報告?
Are there documented procedures of your institution for reporting suspicious activities and transactions to the appropriate authorities?
☐ Yes 是 ☐ No 否, Please elaborate below 請於詳述: _____
- 貴公司有否已制訂政策與程序, 確保已採用合理方法去取得客戶真正身份的資料, 並將有關資料於適用的法律所規定時限內予以保留?
Has your company established policies and procedures to ensure that reasonable measures are taken to obtain information about the true identity of your customers, and are these records retained for a period of time specified by the applicable law?
☐ Yes 是 ☐ No 否, Please elaborate below 請於詳述: _____

資料披露

DISCLOSURE OF INFORMATION

1. 關連賬戶 Related Account(s)

客戶之董事、主要股東、最終權益擁有人或獲授權操作此賬戶人士(“有關人士”)是否於大聖操作/持有其他賬戶?

Does the director, substantial shareholder, ultimate beneficial owner(s), authorized person of the client operate/own other accounts opened with MGSL

☐ 沒有 No

☐ 有 Yes, 請詳述 Please specify :

賬戶名稱 Account Name: _____ ; 賬戶號碼 Account No.: _____ ; 關係 Relationship: _____

若客戶為集合投資計畫、全權委託賬戶及/或全權委託信託, 請於本欄填寫有關計畫、賬戶及/或信託之名稱。

If the Client is a collective investment scheme, discretionary account and/or discretionary trust, please fill in the name of the scheme, account and/or trust.

2. 相關保證金融資賬戶 Related Margin Financing Account(s) (只適用於保證金賬戶 For Margin Account Only)

(i) 客戶之集團公司是否持有大聖任何相關保證金融資賬戶?

Is any of the Client's group companies a margin client of MGSL?

☐ 不是 No

☐ 是 Yes, 請詳述 Please specify: 賬戶名稱 Account Name: _____ ; 賬戶號碼 Account No.: _____

(ii) 客戶是否控制大聖之其他公司保證金融資賬戶35%或以上之投票權?

Does the client control 35% or above of the voting rights of another corporate financing margin account with MGSL?

☐ 不是 No

☐ 是 Yes, 請詳述 Please specify:

賬戶名稱 Account Name: _____ ; 賬戶號碼 Account No.: _____

3. 賬戶最終受益人 The Ultimate Beneficial Owner(s) of the Account

☐ 客戶本身 The Client

☐ 其他 Others, 請詳述 Please specify : _____

姓名 Name: _____ ; 身份證/護照號碼 I.D. Card/Passport No.: _____ ; 關係 Relationship: _____ ;

簽發國家 Issuing Country: _____ ; 住宅地址 Home Address: _____

4. 身份聲明 Identity Declaration

(i) 客戶之董事、主要股東、最終權益擁有人或獲授權操作此賬戶人士(“有關人士”)是否為證券及期貨條例(香港法例第571章)中所定義的持牌/註冊人士或持牌法團/註冊機構(如經紀行/銀行等)之董事、雇員或代表?

Is any director, substantial shareholder, ultimate beneficial owner or the authorized person (“Relevant Person(s)”) of the account, a licensed/registered person, or a director, an employee or a representative of a licensed corporation/registered institution (e.g. brokerage firm/ bank) as defined under the Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong)?

☐ 不是 No

☐ 是 Yes, 請詳述 Please specify :

“有關人士”姓名 Name of the “Relevant Person”: _____

“有關人士”中央編號 CE No. of the “Relevant Person”: _____

“持牌/註冊的仲介人名稱 Name of the licensed/registered intermediary: _____

(*請提供雇主之同意書 Please provide the employer's approval letter ☐ 提供 Provide ☐ 不提供 Not provide

(ii) 客戶之董事、主要股東、最終權益擁有人或獲授權操作此賬戶人士(“有關人士”)是否為已上市公司之高級職員、董事或大股東?

Is any director, substantial shareholder, ultimate beneficial owner or the authorized person (“Relevant Person(s)”) of the Account, a senior officer, a director or major shareholder of any listed company?

☐ 不是 No

☐ 是 Yes, 請詳述 Please specify:

"有關人士" 姓名 Name of the "Relevant Person": _____ ;

公司名稱及股份編號 Company Name and Stock Code: _____ ;

職位 Position: _____ ; 占股份額 Share Holding (%): _____

(iii) 客戶之董事、主要股東、最終權益擁有人或獲授權操作此賬戶人士(“有關人士”)是否為大聖之雇員/經紀或其他任何董事/雇員的親屬?

Is any director, substantial shareholder, ultimate beneficial owner or the authorized person (“Relevant Person(s)”) of the Account, an employee/account executive, a relative or an associate of any director/employee of MGSL?

☐ 不是 No

☐ 是 Yes, 請詳述 Please specify:

"有關人士" 姓名 Name of the "Relevant Person": _____ ;

雇員/經紀姓名 Name of the employee/account executive: _____ ;

關係 Relationship: _____

(iv) 客戶之董事、主要股東、最終權益擁有人或獲授權操作此賬戶人士是否為任何國家/地方之政界人士(例如: 國家/政府元首、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或政黨領袖等)或其家人(包括其配偶、伴侶、子女、父母或其子女的配偶或伴侶)或與其關係密切的人?

Is any director, substantial shareholder, the ultimate beneficial owner(s) of the Account or the authorized person ultimately responsible for giving instructions in relation to transactions to be conducted through the Account, the holder of senior public position of any countries/districts e.g. head of state/government, senior government, judicial or military officials, senior executive of a state-owned corporation and important political party leaders, etc. or their family members (including spouse, partner, children), parent or his/her spouse or partner of his/her children) or his/her close associate?

☐ 不是 No

☐ 是 Yes, 詳述 Please specify:

公職/國家機構 Position/Authority: _____ ;

政界人士名稱 Name of PEP: _____ ;

關係 Relationship: _____

(v) 客戶的任何(“有關人士”)是否為美國公民?(如: 美國公民/美國居民/美國護照/綠卡持有人)

Is any of the Relevant Person, a Citizen of the UNITED STATES? (i.e. U.S. Citizen/U.S. Resident/U.S. Passport/Green Card Holder)

☐ 不是 No

☐ 是 Yes, 稅務身份號碼 Tax Identification Number (TIN): _____

常設授權 (客戶款項)

STANDING AUTHORITY (CLIENT MONEY)

致 To : 大聖證券有限公司 MONMONKEY GROUP SECURITIES LIMITED

本授權涵蓋爾等在香港代表吾等開立的一個或多個獨立賬戶中，持有或收到的款項(包括因持有並非屬於爾等的款項而產生之任何利息)(下稱「款項」)。

除非另有定義，本授權內使用的術語應與不時修訂的《證券及期貨條例》及《證券及期貨(客戶款項)規則》中的定義相同。

This letter of 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 our behalf ("Monies"). Unless otherwise defined, all the terms used in this authorization letter shall have the same meanings as the Securities and Futures Ordinance and the Securities and Futures (Client Money) Rules as amended from time to time.

本授權書授權貴爾等

This Authority authorizes you to:

1. 組合或合併爾等，即大聖證券有限公司(下稱“大聖”)所維持的任何或全部獨立賬戶，此等組合或合併活動可以個別地或與其他賬戶聯合進行，爾等可將該等獨立賬戶內任何數額之款項作出轉移，以解除吾等對大聖內任何成員的義務或法律責任，不論此等義務和法律責任是確實或或然的、原有或附帶的、有抵押或無抵押的、共同或分別的；及

Combine or consolidate any or all segregated accounts, of any nature whatsoever and either individually or jointly with others, maintained by you, i.e. MONMONKEY GROUP SECURITIES LIMITED ("MGSL") and you may transfer any sum of Monies to and between such segregated account(s) to satisfy our obligations or liabilities to any member of the MGSL, whether such obligations and liabilities are actual or contingent, primary or collateral, secured or unsecured, or joint or several; and

2. 從大聖任何成員於任何時候維持的任何獨立賬戶之間來回調動任何數額之款項；及

Transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by any member of the MGSL; and

3. 將大聖任何數額之款項轉往大聖於其代理經紀及/或清算代理開立的任何證券交易/清算/交收賬戶以作吾等買賣證券之用。

Transfer any sum of Monies to any securities trading/clearing/settlement account(s) maintained by MGSL with its agent broker(s) and/or clearing agent(s) for purpose of dealing in securities transactions for and on behalf of us.

吾等確認並同意，爾等可不通知吾等而採取上述行動。

We acknowledge and agree that the Company may do any of these things set out above without giving us prior notice.

自本常設授權書於開戶生效日期起計算，有效期為12個月。

This Authority is valid for a period of 12 months from the date hereof.

吾等可以向爾等客戶服務部位於此開戶表格所列明之位址發出書面通知，撤回本授權書。該等通知之生效日期為爾等真正收到該等通知後之14日起計。

This authority may be revoked by giving you written notice addressed to the Customer Service Department at your address specified in this Account Opening Form. Such notice shall take effect upon the expiry of two weeks from the date of your actual receipt of such notice.

吾等明白爾等若在本授權書的有效期限滿前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書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被視為已續期。爾等須於授權屆滿日起的一星期內，以書面形式通知吾等本授權已被續期。

We understand that this Authority shall be deemed to be renewed on a continuing basis without ours written consent if you issue us a written reminder at least fourteen (14) days prior to the expiry date of this Authority, and we do not object to such deemed renewal before such expiry date. You shall give a written confirmation of the renewal of the standing authority to us within one week after the date of expiry.

吾等謹此同意賠償貴公司及使貴公司因根據本常設授權進行任何交易而可能蒙受及/或招致的一切損失、賠償、利息、費用、開支、律行動、付款要求、申索或訴訟獲得賠償。

We hereby agree to indemnify the Company and the Company may suffer and/or all losses incurred due to any transaction under this standing authority, compensation, interest, costs, expensed, actions, demands, claims or litigation to obtain compensation.

常設授權 (客戶證券) STANDING AUTHORITY (CLIENT SECURITIES)

《只適用於證券保證金客戶 For Securities Margin Client Only》

致 To : 大聖證券有限公司 MONMONKEY GROUP SECURITIES LIMITED

根據《證券及期貨(客戶證券)規則》第6(1)條所設立的常設授權:

Standing Authority under section 6 (1) of Securities and Futures (Client Securities) Rules:

本常設授權書是有關處置吾等證券或證券抵押品，詳列如下：

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

除非另有說明，本常設授權之名詞與《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。

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

本常設授權是授權貴爾等：

This standing authority authorizes you to:

1. 依據證券借貸協議運用任何吾等的證券或證券抵押品；
apply any of our securities or securities collateral pursuant to a securities borrowing and lending agreement;
2. 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；
deposit any of our securities collateral with an authorized financial institution as collateral for financial accommodation provided to you;
3. 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」)，作為解除貴公司在清算上的義務和清償貴公司在清算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；
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 settlement obligations and liabilities;
4. 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仲介人，作為解除貴公司在清算上的責任和義務和清償貴公司在清算上的法律責任的抵押品；及
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
5. 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。
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 me/us in the course of any other regulated activity for which you are licensed or registered.
6. 貴公司可不向吾等發出事前通知而採取上述行動。吾等確認本常設授權不影響貴公司為解除由吾等或代吾等對貴公司、貴公司之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。
You may do any of these things without giving us prior notice. We acknowledge that this standing authority shall not affect your right to dispose or initiate a disposal by your associated entity of our securities or securities collateral in settlement of any liability owed by or on behalf of us to you, the associated entity or a third party.
7. 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 understand that a third party may have rights to our securities, which you must satisfy before our securities can be returned to us.
8. 此賦予貴公司之授權乃鑒於貴公司同意繼續維持吾等之證券保證金賬戶。
This standing authority is given to you in consideration of your agreeing to continue to maintain the securities margin account(s) for us.
9. 自本常設授權書於開戶生效日期起計算，有效期為12個月。
This standing authority is valid for a period of 12 months from the date hereof.
10. 吾等可以向爾等客戶服務部位於此開戶表格所列明之位址發出書面通知，撤回本常設授權。該等通知之生效日期為爾等真正收通知後之14日起計。
This standing authority may be revoked by giving you written notice addressed to the Customer Service Department at your address specified in this Account Opening Form. Such notice shall take effect upon the expiry of two weeks from the date of your actual receipt of such notice.
11. 吾等明白爾等若在本常設授權的有效期屆滿前14日之前，向吾等發出書面通知，提醒吾等本常設授權即將屆滿，而吾等沒有在授權屆滿前反對此常設授權續期，本常設授權應當作在不需要吾等的書面同意下被視為已續期。爾等須於授權屆滿日起的一星期內，以書面形式通知吾等本常設授權已被續期。
We understand that this standing authority shall be deemed to be renewed on a continuing basis without our written consent if you issue us a written reminder at least fourteen (14) days prior to the expiry date of this standing authority, and we do not object to such deemed renewal before such expiry date. You shall give a written confirmation of the renewal of the standing authority to us within one week after the date of expiry.

客戶有關個人資料收集及使用《（私隱）條例》 Data Privacy Policy circular relating to Personal Data (Privacy) Ordinance

確認和同意 Acknowledgement and Consent : <如不同意，請勿在以下空格加上「✓」號> <Please don't tick 「✓」 the following box if you do not agree>

使用個人資料作直接促銷 CONSENT TO USE OF PERSONAL DATA FOR DIRECT MARKETING PURPOSE

- ☐ 吾等已仔細閱讀、完全理解及同意接受遵守載於協議書第四節有關個人資料(私隱)條例的通知，吾等明白吾等的個人資料可能會提供“大聖”作直接促銷之用。 We have carefully read, fully understand and agreed to accept and be bound by the CIRCULAR RELATING TO PERSONAL DATA (PRIVACY) ORDINANCE as set out in Section IV to the Client Agreement and understand that my personal data may be provided to “MGSL” for the use in direct marketing..
- ☐ 吾等可以隨時透過書面方式，向“大聖”更改指示。 We can change my instructions at any time by providing a written notice to “MGSL”

中華通北向交易 - 個人資料收集 PERSONAL INFORMATION COLLECTION - NORTHBOUND CHINA CONNECT ORDERS

- ☐ 吾等在此確認已閱讀並理解《客戶賬戶協議書》所載的“收中華通北向交易個人資料收集聲明”之內容，亦同意“大聖”將吾等之個人資料用於《客戶賬戶協議書》的中華通北向交易個人資料收集聲明所載的目的。
- We hereby acknowledge I have read and understand the content of the Personal Information Collection Statement Concerning Northbound China Connect Orders for the Client Account Agreement. and also agree that “MGSL” use of my personal data for the purposes set out in the Personal Information Collection Statement Concerning Northbound China Connect Orders of the Client Account Agreement. 。

《「投資者識別碼制度」及「場外證券匯報制度」客戶同意書》

Client consent under the Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR)

- ☒ 吾等明白並同意，“大聖”為了向吾等提供與在香港聯合交易所(聯交所)上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會(證監會)的規則和規定，“大聖”可收集、儲存、處理、使用、披露及轉移與吾等有關的個人資料(包括吾等的客戶識別信息及券商客戶編碼)。
- We acknowledge and agree that : “MGSL” may collect, store, process, use, disclose and transfer personal data relating to myself (including my CID and BCAN(s)) as required for us to provide services to me in relation to securities listed or traded on the Stock Exchange of Hong Kong (SEHK) and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (SFC) in effect from time to time.
- ☒ 吾等亦同意，即使吾等其後宣稱撤回同意，我們在吾等宣稱撤回同意後，仍可繼續儲存、處理、使用、披露及轉移吾等的個人資料以作上述用途。
- We also agree that despite any subsequent purported withdrawal of consent by me, my personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

客戶確認及簽署

CLIENT'S ACKNOWLEDGEMENT AND SIGNATURE

吾等聲明、確認及同意 We declare, confirm and agree that:

- 吾等確認本開戶申請表所載的資料和陳述乃真實、完整及正確，除非大聖接獲吾等發出關於任何變更的書面通知，否則大聖有權就一切目的，全面信賴該等資料及陳述。大聖獲授權隨時聯絡任何人士，包括銀行或任何信用調查機構，以查核此開戶表格所提供之資料。
We confirm that the information and representations contained in this Account Opening Form are true, complete and correct, and that MGSL is entitled to rely fully on such information and representations for all purposes, unless and until MGSL receives notice in writing from us of any change. MGSL is authorized at any time to contact anyone, including banks, or any credit agency, for purposes of verifying the information provided in this Account Opening Form.
- 吾等確認已閱讀及明白有關大聖之證券交易賬戶協議書(“協議書”)及此開戶表格，而吾等接納並同意受該等條款約束。大聖有權不時更改協議書之條款，並向吾等發出通知，除非大聖收到吾等取消戶口通知，否則表示吾等接納該更改條款。吾等亦知道在大聖網頁內會刊載了有關協議書最新版本，以供吾等閱覽或下載。
We confirm that we have read and understood the Client Trading Agreement (the “Agreement”) of MGSL and this Account Opening Form, and we hereby accept and agree to the bound by the terms and conditions. MGSL may amend the terms and conditions of the Agreement(s) from time to time by giving us notice of such amendment. Unless MGSL has received our request to close the account, if we continue to use the account we shall be deemed to have accepted such changes. We also know that we are able to read or download the up-to-date version of the Agreement from the MGSL website.
- 吾等知悉及確認已獲得提供按照吾等所選擇的語言(中文或英文)之風險披露聲明，吾等已獲邀閱讀此風險披露聲明，並提出問題及徵求獨立的意見(如吾等有此意願)。
We hereby acknowledge and confirm that we have received the risk disclosure statements in the language of our choice (Chinese or English). We were invited to read the risk disclosure statements, ask questions and take independent advice if we wish.
- 吾等確認上述有關“衍生產品的認識”之資料完全真實及完整，並明白大聖將根據上述資料界定吾等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士或註冊人士操守準則之有關要求。
We hereby confirm that the above information provided in relation to “Knowledge of Derivatives” is true and complete. We also understand that MGSL will rely on the above information 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.

5. 大聖獲授權（但無義務）接受吾等或獲授權人不論是親身、以書面、電話、傳真、互聯網或任何其它電信方式或電子通訊方式按照客戶協定中的規定不時作出的指示並根據該等指示行事。倘若吾等希望撤回根據客戶協定中作出的授權，吾等應以書面方式通知大聖，在收到該項書面變更通知之前，大聖可依賴任何以傳真、電話、口頭或電子方式作出的指示。另鑒於大聖同意通過電話、傳真或其它電子方式接受吾等的指示，作為對價，對於大聖及其董事、高級職員、雇員及代理人按照協議書內的任何指示行事或沒有行事而招致或遭受的任何損失或責任，吾等同意補償他們，但由於大聖的疏忽或違約而導致的損失或責任則除外。

MGSL shall be authorized (but not obliged) to accept and act in accordance with any Instructions given by us or the Authorized Person(s) either in person, in writing, by telephone, fax, the internet or any other form of telecommunications or electronic mode of communication made from time to time in accordance with the Client Agreement. In the event that we wish to withdraw the authorization under the Agreement, we shall notify MGSL in writing and until receipt of such notice of change in writing, MGSL may rely on any fax, telephone, oral and electronic Instructions given. And in consideration of MGSL agreeing to accept Instructions from us by telephone, fax transmission or other electronic means, we agree to indemnify MGSL and its directors, officers, employees and agents against any loss or liability that any of them may incur or suffer as a result of any of them acting or failing to act upon any Instruction given under the Agreement, save where due to the negligence or default of MGSL.

6. 吾等明白吾等遞交此開戶檔及大聖接納此開戶資料並非表示大聖同意開立賬戶予吾等，而大聖保留無條件拒絕吾等開戶申請之權力；吾等知悉大聖或會要求吾等就將買入之證券存入款項。

We understand that our submission of this document and the acceptance of such document by MGSL in no way implied approval for opening of the account for us and that MGSL reserves the unconditional right to reject our application. We further understand that we may be required to place a deposit on the value of the securities to be purchased requested by MGSL.

7. 吾等已細閱大聖給予客戶有關《個人資料（私隱）條例》的通知（載於客戶協定內），並明白且同意其條款。

We have read the MGSL Data Privacy Policy circular relating to Personal Data (Privacy) Ordinance (as contained in the Client Agreement), understand and agree to its term stated therein.

8. 吾等就常設授權書（客戶款項）的內容已獲得解釋，並且吾等明白及同意常設授權書（客戶款項）的內容。吾等 [若是證券保證金客戶] 就常設授權書（客戶證券）的內容已獲得解釋，[如適用] 吾等明白及同意常設授權書（客戶證券）的內容。

The contents of Standing Authority (Client Money) have been explained to us and we understand and agree with the contents of Standing Authority (Client Money). The contents of Standing Authority (Client Securities) have been explained to us [only if we are Securities Margin Client] and [if applicable] we understand and agree with the contents of Standing Authority (Client Securities).

9. 吾等知悉及確認吾等必須(i)遵守因吾等簽訂協定書及根據該協議書進行的任何交易而可能產生的任何稅務後果；及(ii)遵從不時有效的所有適用法律和規例，包括根據吾等居住的或居籍所在的或身為其公民的司法管轄區的法律之下與購買、持有及沽售證券或有關合約的資產相關的任何法律規定及外匯限制或管制規定。

We acknowledge and confirm that we must (i) observe any possible tax consequences arising from our entering into the Agreement and any transactions entered pursuant thereto; and (ii) comply with all applicable laws and regulations in force from time to time including any legal requirements and foreign exchange restrictions or exchange control requirements which are relevant to the purchase, holding or disposal of Securities or assets underlying the contract under the laws of the jurisdiction in which we reside, are domiciled or are a citizen.

10. 吾等知悉本開戶檔及客戶賬戶主協定擬定中英文版本，兩種語言版本均具同等效力，但應以英文版本解譯並視為確實及具最終效力。

We acknowledge that this document and the Client's Master Agreement are drawing in English and Chinese Languages, all two versions being equally authenticated. However, the English Language version shall deem to be conclusive and prevail.

☐ 吾等確認已閱讀、接受及同意以上客戶聲明之條款。如任何一項聲明與吾等資料不符，吾等將填妥相關表格並交予大聖證券有限公司。
We have confirm that We read, accepted and agreed the above terms stated in the Declaration by Client. If any of the terms stated in the declaration is not applicable, We will complete and return the relevant form(s) to Monmonkey Group Securities Limited.

此簽署將被視作簽署式樣 This Signature will be treated as specimen signature

授權簽署 Authorized Signature(s) (附公司蓋章 With Company Chop) :

姓名(正楷) Name (Block Letter):

職銜 Job Title

茲見證吾等簽署本開戶檔於：

_____年_____月_____日。

IN WITNESS WHEREOF We have signed this account opening document day of _____

見證人簽署 Witness Signature		
<p>吾等乃大聖的*持牌人士或雇員/太平紳士/持牌銀行分行經理/執業會計師/律師/公證人/其他香港證監會持牌或註冊人士。吾等現證實已經與本表格簽署人會晤、見證其簽署及核對其身份證或護照正本。I am a *licensed person or employee of MGSL/Justice of the Peace/branch manager of a registered bank/certified public accountant (practicing)/lawyer/notary public/SFC licensed or registered person accredited to other licensed corporations. I hereby certify that I have met, verified the signature and reviewed the original of the ID card(s) or passport(s) of the person who executed this Form.</p> <p>*請刪去不適用者 Please delete as appropriate</p>		
見證人簽署 Signed by Witness:	見證人姓名 (正楷) Name of Witness (Block Letter):	
日期 Date:	職銜 Title:	
身份證/護照號碼 ID/Passport No.: _____ 中央編號(如適用) CE No. (if applicable): _____	地址 Address: _____	
見證人所隸屬之仲介團體名稱及中央編號 (如適用): Name and CE No. of the intermediary to which the certifier is accredited (if applicable): _____		
持牌代表聲明Declaration By Licensed Representative		
<p>吾等為大聖證券有限公司的持牌代表，謹此聲明及確認吾等已於_____</p> <p>_____ (進行解釋的地址) / 透過具有錄音功能的電話通話，以客戶完全明白的語言(中文或英文) 向_____ (客戶姓名)清楚解釋本協議書及相關的風險披露聲明的內容，並已邀請客戶小心及詳細閱讀本協議書及相關的風險披露聲明，提出問題及徵求獨立意見 (如客戶有此意願)</p> <p>I, licensed representative of MONMONKEY GROUP Securities Limited, hereby declare and confirm that I have fully explained the contents of this agreement and the risks and consequences of consenting to _____ (name of Client)at _____ (place where the explanation took place) / through a recording-telephone in a language (English or Chinese) which the client fully understands and have invited the client to ask questions and take independent advice (if the Client wishes).</p> <p>基於客戶提供的資料，客戶與洗黑錢及資助恐怖分子活動的風險評定為： Based on the information provided by the Client, the risk in association with money laundering and terrorist financing activity is : <input type="checkbox"/> 高 HIGH <input type="checkbox"/> 中 NEUTRAL <input type="checkbox"/> 低 LOW.</p> <p>Signed by licensed representative _____ CE Number _____ 持牌代表簽署：_____ 中央編號：_____</p> <p>Name of licensed representative _____ Date _____ 持牌代表姓名：_____ 日期：_____</p>		
開戶審批 Approval of Account Opening		
吾等確認及同意上述內容 We acknowledge and agree to the above. _____ 正式獲授權代表大聖證券有限公司人士簽署 Authorized Signature(s) for and on behalf of Monmonkey Group Securities Limited	姓名(正楷) Name (Block Letter): _____ 職銜 Job Title _____ 日期 Date: _____	
本公司專用 For Office Use Only		
佣金 Brokerage :	交易限額Trading Limit:	保證金借貸限額 Margin Limit
資料登錄 Inputted By :	資料核對 Checked By :	資料審核 Audited By :
姓名 Name :	姓名 Name :	姓名 Name :
日期 Date :	日期 Date :	日期 Date :

(董事會決議書 Board Resolution)

WRITTEN RESOLUTION OF THE BOARD OF DIRECTOR(S) OF THE COMPANY PASSED PURSUANT TO THE ARTICLES OF ASSOCIATION OF THE COMPANY.

Resolved that at a MEETING OF THE BOARD OF DIRECTOR(S) OF _____ ("the Company") held at _____ on _____ day of _____ the following matters were noted, documents tabled and resolutions duly and effectively passed :-

Present	_____ (Name of Director)	_____ (Signature)
	_____ (Name of Director)	_____ (Signature)
	_____ (Name of Director)	_____ (Signature)

ACCOUNT OPENING

RESOLVED THAT the Company will open and maintain a cash trading account (the "Account") provided by Monmonkey Group Securities Limited ("MGSL") in accordance with the documents and forms given by Monmonkey Group Securities Limited.

FURTHER RESOLVED THAT:

- (i) the Account Opening Form, terms and conditions for Cash trading Account / Margin trading Account, Client Acknowledgement, Risk Disclosure Statements and the terms and conditions of the relevant documents be and are hereby approved and accepted by the Director(s).
- (ii) any _____ signatory/signatories whose specimen signature(s) are set out in Schedule 5 — Authorization Form signing singly / jointly be and are hereby authorized to sign the account opening documents and any other relevant documents to affect the opening of the Account with Monmonkey Group Securities Limited.
- (iii) to execute, complete and deliver to Monmonkey Group Securities Limited any agreements, consents, instruction, notice or any other document as may from time to time requested by Monmonkey Group Securities Limited.
- (iv) deposit into and/or withdraw from the Account(s) any funds, securities, collateral or other assets.

The Company should from time to time notify Monmonkey Group Securities Limited in writing of any change of signing arrangement under this resolution, and to deliver to Monmonkey Group Securities Limited a certified true copy of such resolution.

To provide Monmonkey Group Securities Limited any documents as may reasonably be requested by Monmonkey Group Securities Limited for opening and operation of the Account.

Any instruction(s) given to Monmonkey Group Securities Limited pursuant to the authority granted by these resolutions of the Director(s) shall be valid with or without the Company's chop.

Director
(Name _____)

授權代表同意書**Authorization Form**

如委派授權代表電話下單，請填妥以下表格

If assign an Authorized Person for telephone place order, please fill in the below table.

	1	2	3	4
姓名 Name				
授權人簽署 Authorized Person Signature (簽名樣式 Signature Specimen)				
身份證/護照號碼 HKID / Passport no.				
職位 Position				
聯絡電話 Contact No.				

如委派授權代表文書指示
Written Instruction☐ 單簽
Anyone can sign singly☐ 任何兩人同簽
Any two must sign jointly