



大聖證券有限公司

Monmonkey Group Securities Limited

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Monmonkey Group Securities limited

機構專業投資者

Institutional Professional Investor

證券開戶表格

Securities Account 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 : _____

ACCOUNT OPENING INFORMATION FORM – INSTITUTIONAL PROFESSIONAL INVESTOR
開戶資料表格 - 機構專業投資者

下述資料是提供予簽署人(“機構客戶”)於大聖證券有限公司(“大聖”)開立賬戶(“本賬戶”)。客戶茲聲明在本開戶申請表內的資料屬實, 完正及正確, 且除非大聖收到任何變更的書面通知外, 大聖得信賴前述資料及聲明。

The following information is being provided by the undersigned (the “Institutional Client”) for the purpose of opening accounts (the “Account (s)”) with Monmonkey Group Securities Limited (“Monmonkey Group”). The Client represents that the information is true, complete and correct and Monmonkey Group is entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any change.

A. Client Information 客戶資料			
Name of Company (English and Chinese) 公司名稱 (英文及中文)			
Account Name (if different from “Company Name”) 賬戶名稱 (如有別於公司名稱)			
Business Registration No. in Hong Kong 香港商業登記號碼	Date and Country of Incorporation 註冊日期及國家	Nature of Business 業務性質	
Certificate of Incorporation No. 註冊證書號碼	Address of Registered Office in Country of Incorporation 在成立國家之註冊地址		
Correspondence Address (if different from Registered Office Address) 通訊地址 (如有別於註冊地址)			
Business Phone No. 辦事處電話	Contact Person Phone No. 聯絡人電話	Fax No. 傳真號碼	Email Address 電郵地址
Legal Entity Identifier (if any): 全球法人機構識別編碼 (如有):		Location where Major Business is Operated: 主要業務營運地區:	
Communication Method (for Daily / Monthly Statements) 通訊方式 (用作發送日/月結單)			
<input type="checkbox"/> Post to Correspondence Address 郵寄至通訊地址 <input type="checkbox"/> Email Address 電郵地址 * Paper Statement will be subject to an Annual Fee (Please refer to Fee Table) 郵寄紙張結單需收取年費 (請參閱收費表)			
Is this Client regulated by relevant authorities (e.g. SFC, etc)? 客戶是否受相關的監察機構監管(例如:香港證券及期貨監察委員會等)?			
<input type="checkbox"/> Yes 是 The Client is regulated by, 監管機構為: _____ <input type="checkbox"/> No 不是 Website of Regulator 監察機構網址: _____			
Assets Under Management (HK\$) (if applicable): 資產管理規模(港幣) (如適用):	Total Net Asset Value (for Collective Investment Scheme only) 資產淨值總額 (僅用於集體投資計劃): HKD 港幣/USD 美金 _____ as at 截止 _____		
Paid Up Capital (HK\$): 實收資本(港幣):	Total Assets (HK\$): 總資產(港幣):	Annual Revenue (HK\$): 全年營業額(港幣):	Net Profit after taxation for the last year (HK\$): 去年稅後淨利潤(港幣):
Identity of the ultimate beneficial owner(s) of the Account(s) 請確認賬戶之最終受益人身份:			
<input type="checkbox"/> House 自營 <input type="checkbox"/> Client Account 客戶賬戶 <input type="checkbox"/> 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: _____			

Source of Fund 資金來源:	
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Settlement Details 交收資料

Custodian Bank 保管銀行: _____

Account Name 賬戶名稱: _____

Account No 賬戶號碼: _____

CCASS No. (if applicable) 香港中央結算有限公司號碼 (如適用): _____

Bank Details 銀行資料

Unless otherwise instructed by Company, all monies payable to Company are to be credited to the bank account you provided.
 除非客戶另行通知, 所有客戶應收款項將存入以下由客戶提供的銀行賬戶內。

Bank Name 銀行名稱: _____

Bank Account No 銀行賬戶: _____

Bank Account Holder's Name 賬戶持有人名稱: _____

Authorized Person(s) 獲授權人

The following person(s) is/are authorized on behalf of the Company to give written and /or oral instructions in relation to the trading of the account:
 本公司授權以下人士以書面和/或口頭指示在本賬戶進行交易事宜:

<u>Name (English and Chinese)</u> 姓名 (英文及中文)	<u>HKID No./Passport No. and Country of Issue</u> 香港身份證號碼/ 護照號碼及簽發國家	<u>Contact Phone Number</u> 聯絡電話號碼	<u>Specimen Signature</u> 授權簽名式樣
1 _____	_____	_____	_____
2 _____	_____	_____	_____
3 _____	_____	_____	_____
4 _____	_____	_____	_____
5 _____	_____	_____	_____
6 _____	_____	_____	_____

(If there is insufficient space to complete, please continue on a separate sheet. 如空位不敷應用, 請另加紙填寫。)

Please attach a Letter of Authorization and an Information Statement of the Authorized Person for each of the Authorized Person(s) mentioned above. 請就上述每位獲授權人附上授權書及獲授權人資料表。

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的身份**

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

最終負責發出交易指示人士資料如下:

Name 姓名 _____

HKID/Passport No. 香港身份證/護照號碼 _____

Address 地址 _____

Occupation 職業 _____

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

賬戶持有人與最終負責發出交易指示人士之關係 _____

B. Treatment as a "professional investor" (according to the professional investor rules define in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (Cap. 571) ("SFO").

申請視為專業投資者(根據《證券及期貨條例》(香港法例第571章)附表1第1部“專業投資者”的定義第(a)至(i)段所描述的的定義)。

We are 我們是:

- Exchange company / clearing house / automated trading services provider
交易所 / 結算所 / 自動化交易服務提供者
- Intermediary or investment services provider regulated outside Hong Kong
仲介人或受香港以外地方規管的投資服務提供者
- Authorized financial institution / bank regulated outside Hong Kong
經認可的財務機構 / 受香港以外地方規管的銀行
- Authorized insurer or insurer regulated outside Hong Kong
經認可的保險人 / 受香港以外地方規管的保險人
- Authorized/regulated collective investment scheme or persons operating them
經認可 / 受規管的集體投資計畫或其營辦人
- Registered retirement scheme/constituent fund/ approved trustee/service provider regulated under the Mandatory Provident Fund Schemes Ordinance/ investment manager of the registered retirement scheme or constituent fund regulated under the Mandatory Provident Fund Schemes Ordinance
經註冊的退休計畫 / 成分基金 / 經核准的受託人 / 受《強制性公積金計畫條例》規管的服務提供者 / 屬經註冊的退休計畫或成份基金投資經理
- Registered occupational retirement scheme/ regulated offshore scheme/its administrator defined under the Occupational Retirement Schemes Ordinance
經註冊的職業退休計畫 / 受其本籍當地規管的離岸計畫 / 其管理人
- Government (other than municipal government) / central bank/multilateral agency
政府 (市政府除外) / 中央銀行 / 多邊機構
- Wholly owned subsidiary of an intermediary / authorized financial institution / bank or investment services provider regulated outside Hong Kong
仲介人 / 認可財務機構 / 受香港以外地方規管的銀行 / 或投資服務提供者的全資附屬公司
- (i) Holding Company which wholly owns an intermediary/authorized financial institution / bank or investment services provider regulated outside Hong Kong
(i) 仲介人 / 認可財務機構 / 受香港以外地方規管的銀行 / 或投資服務提供者的全資擁有控股公司
- Other wholly owned subsidiary of a holding company referred to in (i)
(i) 提述的控股公司的其他的全資附屬公司

C. SIGNATURE AND ACKNOWLEDGEME 簽署及確認

We hereby declare and confirm that the information contained in this Customer Information Statement and the supporting documents provided by us as set out in Note below are true, complete and correct in all aspects and authorize Monmonkey Group Securities Limited ("MGSL") to verify it with any source that it may deem necessary.

We are a Professional Investor as defined under paragraphs (a) to (i) of the definition of "professional investor" in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (Cap. 571) ("SFO"), an extract of which is set out in Note 1) and agree to be treated as

such. We shall inform MGSL immediately if we no longer qualify as a Professional Investor. We agree and acknowledge that MGSL is not required to provide us with contract notes, statements of accounts or receipt pursuant to the Securities and Futures (Contracts Notes, Statements of Accounts and Receipts) Rules, unless we instruct otherwise.

The Terms and Conditions for Client Trading Agreement have been made available to us on MGSL's website at www.monmonkeygroup.com We confirm that we have read and fully understand this Customer Information Statement, the notes to this Customer Information Statement (including the consequence of being treated as professional investor as set out in Note 2), the Terms and Conditions for Client Trading Agreement together with any Addendum in relation to the services provided by MGSL (if applicable). This Customer Information Statement, together with the Terms and Conditions for Client Trading Agreement and the Addendum (if applicable) are collectively referred to as the "Agreement".

We agree and acknowledge that if we carry on or continue to carry on business with MGSL, we will be deemed to accept and abide by the terms and conditions set out in the Agreement regardless of whether MGSL has received from us an executed copy of this Customer Information Statement, and that the Agreement shall constitute a legally binding contract between MGSL and us with effect from the date upon which we first transact any business with MGSL. In the event of discrepancy between the English version and Chinese version of this Customer Information Statement (including the notes hereto) the English version shall prevail.

我們謹此聲明及確認，本客戶資料表格和我們以下提供的附加檔(如批註所列)所載的資料在各方面均是真實、完整和正確的，並授權大聖證券有限公司("大聖證券")通過其認為必要的任何途徑加以核實。

我們是符合《證券及期貨條例》(香港法例第571章)附表1第1部"專業投資者"的定義第(a)至(i)段所描述的專業投資者(其摘錄載於批註1)並同意被視為專業投資者。如我們不再符合專業投資者資格，我們將立即通知大聖證券。除非我們另有指示，我們同意並承認大聖證券不需要根據證券及期貨(成交單據，戶口結單及收據)規則向我們提供成交單據，戶口結單及收據。

客戶買賣協定之條款和條件已載列於大聖證券的網址 www.monmonkeygroup.com 供我們參閱。我們確定已經閱讀本客戶資料表格及其中的批註(包括批註2所載被視為專業投資者的後果)、客戶買賣協定之條款和條件連同與大聖證券提供的服務有關的附錄(如適用)，並完全明白其中內容。本客戶資料表格連同客戶買賣協定之條款和條件及附錄(如適用)合稱"協議"。

我們同意並承認如我們與大聖證券經營業務或繼續與其經營業務，我們將被視為接受並同意遵守協議所載的條款和條件，不論大聖證券有否收到我們的一份本客戶資料表格的簽署文本，而自我們首次與大聖證券進行任何業務之日起，協議應構成大聖證券與我們之間具法律約束力的合約。如本客戶資料表格(包括其注解)的中，英文版本有任何分歧，概以英文版本為準。

Client's Authorized Signature & Company Chop

客戶授權簽署及公司蓋章

Name of Client's Authorized Signature

客戶授權簽署姓名:

Date

日期:



Witness Signature 見證人簽署

本人乃大聖的*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，本人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.

*請刪去不適用者 Please delete as appropriate

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

地址 Address:

中央編號(如適用)

CE No. (if applicable):

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): _____

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.

授權簽署 Authorized Signature:

姓名(正楷) Name (Block Letter):

職銜 Job Title

大聖證券有限公司授權人

Duly authorized for and on behalf of MONMONKEY GROUP
SECURITIES LIMITED

日期 Date:

本公司專用 For Office Use Only		
佣金 Brokerage	信貸限額 Credit Limit	交易限額 Trading Limit:
資料審核 Audited By:	資料輸入 Inputted By:	資料核對 Checked By:
姓名 Name:	姓名 Name:	姓名 Name:
日期 Date:	日期 Date:	日期 Date:

Notes:

1. Extract from Schedule 1 of the SFO:

Professional Investor means

- (a) Any recognized exchange company, recognized clearing house, recognized exchange controller or recognized investor compensation company, or any person authorized to provide automated trading services under section 95(2) of this Ordinance;
- (b) any intermediary, or any other person carrying on the business of the provision of investment services and regulated under the law of any place outside Hong Kong;
- (c) any authorized financial institution, or any bank which is not an authorized financial institution but is regulated under the law of any place outside Hong Kong;
- (d) any insurer authorized under the Insurance Companies Ordinance (Cap 41), or any other person carrying on insurance business and regulated under the law of any place outside Hong Kong;
- (e) any scheme which-
 - (i) is a collective investment scheme authorized under section 104 of this Ordinance; or
 - (ii) is similarly constituted under the law of any place outside Hong Kong and, if it is regulated under the law of such place, is permitted to be operated under the law of such place, or any person by whom any such scheme is operated;
- (f) any registered scheme as defined in section 2(1) of the Mandatory Provident Fund Schemes Ordinance (Cap 485), or its constituent fund as defined in section 2 of the Mandatory Provident Fund Schemes (General) Regulation (Cap 485 sub.leg. A), or any person who, in relation to any such registered scheme, is an approved trustee or service provider as defined in section 2(1) of that Ordinance or who is an investment manager of any such registered scheme or constituent fund;
- (g) any scheme which-
 - (i) is a registered scheme as defined in section 2(1) of the Occupational Retirement Schemes Ordinance (Cap 426); or
 - (ii) is an offshore scheme as defined in section 2(1) of that Ordinance and, if it is regulated under the law of the place in which it is domiciled, is permitted to be operated under the law of such place, or any person who, in relation to any such scheme, is an administrator as defined in section 2(1) of that Ordinance;
- (h) any government (other than a municipal government authority), any institution which performs the functions of a central bank, or any multilateral agency;
- (i) except for the purposes of Schedule 5 to this Ordinance, any corporation which is-
 - (i) a wholly owned subsidiary of-
 - (a) an intermediary, or any other person carrying on the business of the provision of investment services and regulated under the law of any place outside Hong Kong; or
 - (b) an authorized financial institution, or any bank which is not an authorized financial institution but is regulated under the law of any place outside Hong Kong;
 - (ii) a holding company which holds all the issued share capital of-
 - (a) an intermediary, or any other person carrying on the business of the provision of investment services and regulated under the law of any place outside Hong Kong; or
 - (b) an authorized financial institution, or any bank which is not an authorized financial institution but is regulated under the law of any place outside Hong Kong; or
 - (iii) any other wholly owned subsidiary of a holding company referred to in subparagraph (ii).

2. Pursuant to the Code of Conduct for Person Licensed by or Registered with the Securities and Futures Commission (the "Code") of the Securities and Futures Commission ("SFC"), MGSL is not required to fulfil certain regulatory requirements under the Code when dealing with a customer who is classified as a "Professional Investor" under paragraphs (a) to (i) of the definition of the definition of Licensed by or Registered with the Securities and SFO; in particular but without limitation, the protection available to non-Professional Investor in the following areas will not apply:

- (a) Information about clients
 - (i) MGSL will not be required to establish such customer's financial situation, investment experience and investment objectives, nor to ensure the suitability of any recommendation or solicitation that MGSL may make.
 - (ii) MGSL will not be required to assess such customer's knowledge of derivatives and characterize the client based on his knowledge of derivatives
- (b) Client agreement
MGSL will not be required to enter into a written agreement and the provision of the relevant risk disclosure statements.
- (c) Discretionary accounts
MGSL will not be required to obtain from such customer written authorization prior to effecting transactions for such customer on a discretionary basis nor to comply with the requirements to explain to such customer the terms of any such written authorization or renew it on an annual basis.
- (d) Information for clients
MGSL will not be required to:
 - (i) inform the customer about MGSL or the identity or status of its employees or others acting on its behalf;
 - (ii) confirm promptly with such customer the essential features of a transaction after effecting a transaction for the customer; or
 - (iii) provide the customer with any documentation on the Nasdaq-Amex Pilot Program.

If a customer believes that it does not or no longer qualify as a Professional Investor described in the SFO, MGSL should be informed immediately thereof.

3. Please provide Certified copy of :

- (a) The board Resolution authorizing the execution of this Account Opening Information Form and signing of the relevant documents;
- (b) ID copies of the authorizers of the opening and dealing of the institutional account
- (c) Copy of register of directors and shareholders
- (d) Copy of HKID / Passport for all shareholders and directors;

- (e) Certified copy of license certificate
- (f) W-8 IMY Form
- (g) Self-Certification Form – Entity (CRS-E)
- (h) Self-Certification Form – Controlling Person (CRS-CP)
- (i) Know Your Client / Anti-Money Laundering Questionnaire
- (j) Latest audited accounts : and
- (k) Client Identity Undertaking (Intermediaries) Form (if upon request)

MGSL reserves the right to request for other additional document any proof for the account opening of the Customer, and the opening of the accounts is subject to the reasonable satisfaction of MGSL.

批註：

1. 摘錄自證券及期貨條例附表一：

"專業投資者"指 -

- (a) 認可交易所、認可結算所、認可控制人或認可投資者賠償公司，或根據本條例第 95(2)條獲認可提供自動化交易服務的人；
- (b) 仲介人，或經營提供投資服務的業務並受香港以外地方的法律規管的其他人；
- (c) 認可財務機構，或並非認可財務機構但受香港以外地方的法律規管的銀行；
- (d) 根據《保險公司條例》(第 41 章)獲授權的保險人，或經營保險業務並受香港以外地方的法律規管的其他人；
- (e) 符合以下說明的計畫 -
 - (i) 屬根據本條例第 104 條獲認可的集體投資計畫；或
 - (ii) 以相似的方式根據香港以外地方的法律成立，並(如受該地方的法律規管)根據該地方的法律獲准許營辦，或營辦任何該等計畫的人；
- (f) 《強制性公積金計畫條例》(第 485 章)第 2(1)條界定的註冊計畫，或《強制性公積金計畫(一般)規例》(第 485 章，附屬法例 A)第 2 條界定的該等計畫的成分基金，或就任何該等計畫而言屬該條例第 2 (1) 條界定的核准受託人或服務提供者或屬任何該等計畫或基金的投資經理的人；
- (g) 符合以下說明的計畫 -
 - (i) 屬《職業退休計畫條例》(第 426 章)第 2(1)條界定的註冊計畫；或
 - (ii) 屬該條例第 2(1)條界定的離岸計畫，並(如以某地方為本籍而受該地方的法律規管)根據該地方的法律獲准許營辦，或就任何該等計畫而言屬該條例第 2(1)條界定的管理的人；
- (h) 任何政府(市政府當局除外)、執行中央銀行職能的任何機構，或任何多邊機構；
- (i) (除為施行本條例附表 5 外)符合以下說明的法團 -
 - (i) 屬下述者的全資附屬公司 -
 - (A) 仲介人，或經營提供投資服務的業務並受香港以外地方的法律規管的其他人；或 (B) 認可財務機構，或並非認可財務機構但受香港以外地方的法律規管的銀行；
 - (ii) 屬持有下述者的所有已發行股本的控股公司 -
 - (A) 仲介人，或經營提供投資服務的業務並受香港以外地方的法律規管的其他人；或 (B) 認可財務機構，或並非認可財務機構但受香港以外地方的法律規管的銀行；或
 - (iii) 屬第(ii)節提述的控股公司的任何其他全資附屬公司 -

2. 依照證券及期貨事務監察委員會("證監會")持牌人或註冊人操守準則("準則")，當客戶根據《證券及期貨條例》(香港法例第 571 章)附表 1 第 1 部"專業投資者"的定義第(a)至(i)段被界定的"專業投資者"，則大聖證券不需要履行準則下的某些規管要求，特別是，但不僅限於此，涉及到非專業投資者保障的以下幾個方面，將不適用於專業投資者：

- (a) 客戶資料
 - (i) 大聖證券不需要確認客戶的財務狀況、投資經驗及投資目標，也不需要保證由大聖證券作出的任何建議或招攬的合適性。
 - (ii) 大聖證券不需要評估客戶對衍生工具的認識，並根據客戶對衍生工具的認識將客戶分類
- (b) 客戶協議書

大聖證券不需要與客戶簽訂協定書及提供相關的風險披露聲明。
- (c) 委託賬戶

大聖證券不需要在為客戶處理全權處理賬戶的交易前取得客戶的書面授權，也不需要向客戶解釋此類授權條款的含義和不需要每年續簽該類授權。
- (d) 為客戶提供資料

大聖證券不需要：

 - (i) 就大聖證券，或其雇員的本身及狀況，或其他被授權代表其行事的事件通知客戶；
 - (ii) 在完成客戶的一個交易後立即向客戶確定該交易的主要情況；或
 - (iii) 為客戶提供關於納斯達克-美國證券交易所試驗計畫的資料檔案。

如客戶認為其不符合或不再符合證券及期貨條例所述的專業投資者的資格，則應立即通知大聖證券。

3. 請提供經證實為真實副本之以下檔的影印本：

- (a) 授權開立證券賬戶及簽署開立賬戶的董事會決議；
- (b) 經授權為機構賬戶之開戶負責人及交易人士的身份證副本；
- (c) 股東和董事名冊影印本
- (d) 所有股東和董事之身份證或護照影印本
- (e) 牌照證書副本
- (f) W-8 IMY 表格
- (g) 自我證明表格- 實體 (CRS-E)
- (h) 自我證明表格- 控權人 (CRS-CP)
- (i) 瞭解您的客戶 / 防止洗錢問卷
- (j) 最近期經審計的財務報表；及
- (k) 提供客戶身分擔保書（根據請求）。

大聖證券保留在開立賬戶時要求客戶提交其它證明檔的權利，並且賬戶的開立需要滿足大聖證券合理的要求。