



大聖證券有限公司
Monmonkey Group Securities Limited

綜合開戶表格 / 個人

Integrated Accounts Opening Form / Individual

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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網址 Website: www.monmonkeygroup.com

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)

證券交易賬戶類別 Type of Account : <input type="checkbox"/> 現金賬戶 Cash Account <input type="checkbox"/> 保證金賬戶 Margin Account			
客戶資料表 CLIENT INFORMATION STATEMENT			
1. 戶口持有人個人資料 Personal Information for First applicant			
姓名： Full Name:	<input type="checkbox"/> 先生 Mr. <input type="checkbox"/> 太太 Mrs. <input type="checkbox"/> 小姐 Miss	(中文 Chinese)	(英文 English)
出生日期（日/月/年） Date of Birth (DD / MM / YYYY)		出生地 Place of birth	
身份證 ID Card		護照號碼 Passport No	
國籍 Nationality		電郵地址 E-mail Address	
住宅電話號碼 Home Phone No		手提電話號碼 Mobile Phone No	
住宅地址 Residential Address			
教育程度 Education Level	<input type="checkbox"/> 小學或以下 Primary or below <input type="checkbox"/> 中學 Secondary <input type="checkbox"/> 大專 Diploma <input type="checkbox"/> 學士 Bachelor <input type="checkbox"/> 碩士或以上 Master or Above		
受雇資料 Employment Information	<input type="checkbox"/> 受雇 Employed <input type="checkbox"/> 自雇 Self-employed <input type="checkbox"/> 全職學生 Full-time Student <input type="checkbox"/> 退休 Retired <input type="checkbox"/> 家庭主婦/夫 Homemaker <input type="checkbox"/> 待業 Unemployed <input type="checkbox"/> 其他 Other _____		
受雇或自雇人士,須填寫下列的職業資料 Employed or self-employed person shall fill in the following career information			
僱主名稱 Employer Name		業務性質 Business Nature	
職銜 Position		任職年期 Year(s) Employed	
公司電話 Office Phone		傳真號碼 Fax No	
公司地址 Office Address			

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 A/C	其他貨幣戶口 Other Currency A/C :
銀行名稱 Bank Name		
賬戶號碼 Account No.		
賬戶名稱 Account Name		

2. 財務資料簡要 Financial Summary	
資金來源 Source of wealth	<input type="checkbox"/> 薪金/佣金 Salary <input type="checkbox"/> 業務收入 Business Income <input type="checkbox"/> 個人儲蓄 Personal Saving <input type="checkbox"/> 資產繼承 Inheritance <input type="checkbox"/> 投資收益 Return on Investment <input type="checkbox"/> 其他 Others : _____
個人每年收入 Annual Income	<input type="checkbox"/> 低於 Below HK\$200,000 <input type="checkbox"/> HK\$200,001 – HK\$400,000 <input type="checkbox"/> HK\$400,001 – HK\$800,000 <input type="checkbox"/> HK\$800,001 – HK\$1,200,000 <input type="checkbox"/> 高於 Above HK\$1,200,000
資產類別 Asset Type	<input type="checkbox"/> 房地產 Property <input type="checkbox"/> 現金 Cash <input type="checkbox"/> 虛擬資產 Virtual Assets <input type="checkbox"/> 上市證券 Listed Securities <input type="checkbox"/> 債券 Bonds <input type="checkbox"/> 基金 Fund <input type="checkbox"/> 其他 Others : _____
估計資產淨值 Estimated Total Net Asset worth	<input type="checkbox"/> 低於 Below HK\$1,000,000 <input type="checkbox"/> HK\$ 1,000,001 – HK\$3,000,000 <input type="checkbox"/> HK\$ 3,000,001 – HK\$ 5,000,000 <input type="checkbox"/> HK\$ 5,000,001 – HK\$ 8,000,000 <input type="checkbox"/> HK\$ 8,000,001 – HK\$ 15,000,000 <input type="checkbox"/> 高過 Above HK\$15,000,000
3. 投資狀況目的及經驗 Investment Profile, Objective and Experience	
投資經驗年期 Years of Investment Experience	<input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於一年 (Less than 1 year) <input type="checkbox"/> 一年至三年 (1 – 3 years) <input type="checkbox"/> 三年至七年 (3 -7 years) <input type="checkbox"/> 七年至十年 (7 -10 years) <input type="checkbox"/> 超過十年 (More than 10 years)
曾經投資過的產品 Types of product(s) you have previously invested	<input type="checkbox"/> 股票 Stocks <input type="checkbox"/> 期貨/期權 Futures/Options <input type="checkbox"/> 外匯/貴金屬 Forex/ Billion <input type="checkbox"/> 衍生工具 Derivatives <input type="checkbox"/> 債券/存款證 Bonds/CD <input type="checkbox"/> 單位信託基金 Unit Trusts <input type="checkbox"/> 基金 Fund <input type="checkbox"/> 虛擬資產 Virtual Assets <input type="checkbox"/> 結構性產品 Structural Products <input type="checkbox"/> 其他 Others : _____
過往每年平均投資金額 Yearly Average Investment Amount in the Past	<input type="checkbox"/> <1,000,000 <input type="checkbox"/> 1,000,001 – 3,000,000 <input type="checkbox"/> 3,000,001 – 5,000,000 <input type="checkbox"/> 5,000,001 – 8,000,000 <input type="checkbox"/> 8,000,001 – 10,000,000 <input type="checkbox"/> >10,000,000
投資目標(可選多項) Investment Objectives (one or more item(s))	<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 <input type="checkbox"/> 投機 Speculation <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 其他 Others : _____
可承受風險 Risk Tolerance*	<input type="checkbox"/> 低風險 Low <input type="checkbox"/> 中等風險 Medium <input type="checkbox"/> 高風險 High <*證券保證金賬戶屬於“中等風險”及/或“高風險”類別> <Securities Margin Account belongs to Medium and/or High risk categories>
4. 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"/> 港股 H.K Stocks <input type="checkbox"/> 中華通北向交易 Northbound China Connect Orders <input type="checkbox"/> 美股 U.S. Stocks	
5. 對衍生產品的認識 Knowledge of Derivatives	
<input type="checkbox"/> 有 Yes <input type="checkbox"/> 沒有 No	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)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. 曾交易產品Product(s) invested: <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 <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 其他: _____
<input type="checkbox"/> 有 Yes <input type="checkbox"/> 沒有 No	曾接受有關介紹衍生產品之性質及風險培訓或課程 By undergoing training or attending courses that provide general knowledge of the nature and risk of derivatives.
<input type="checkbox"/> 有 Yes <input type="checkbox"/> 沒有 No	現時或過去曾從事衍生產品有關的工作經驗 Current or previous work experience related to derivative products.
<input type="checkbox"/> 本人對衍生產品有認識，並有意進行衍生產品交易 I have knowledge of derivative products and intend to trade derivative products。	
<input type="checkbox"/> 本人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。 I have no knowledge of derivative products; but I have understood the risks associated with derivative products and intend to trade derivative products.	
<input type="checkbox"/> 本人對衍生產品沒有認識。I do NOT have any knowledge of derivative products.	

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

1. 客戶本人是否財務行動特別組織的成員的公民?(財務行動特別組織成員包括：阿根廷、澳洲、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、印度、愛爾蘭、意大利、日本、南韓、盧森堡、馬來西亞、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)
Are you a citizen of a place which is 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, India, Ireland, Italy, Japan, South Korea, Luxembourg, Malaysia, 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, please elaborate 否，請詳述：_____

2. 客戶本人是否居住在一個已有現行法律或條例立以制止洗黑錢的活動的地方?
Do you live in a place with established laws / regulations designed to prevent money laundering?

Yes 是 No, please elaborate 否，請詳述：_____

3. 客戶本人與政界人士並沒有聯繫?(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、政府屬下企業高級官員和重要政黨官員等)
Are you free from links with 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, please elaborate 否，請詳述：_____

4. 客戶本人的工作性質並不是特別容易蒙受洗黑錢的風險?(舉例：不是會接觸大量現金往來的找換業或博彩業等)
Is the nature of your job not particularly susceptible to money laundering risk? (For example: not money changer or casino business that handles large amount of cash etc.)

Yes 是 No, please elaborate 否，請詳述：_____

5. 客戶本人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”?
Have you maintained a “no conviction record” for anti-money laundering or anti-terrorist financing legislation?

Yes 是 No, please elaborate 否，請詳述：_____

如閣下工作的公司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 who works in a company with business involving the handling of third party assets (e.g. fund manager, stockbrokers), please answer the following questions.

6. 客戶本人工作的公司(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，以打擊洗黑錢的行動?
Has the company you work for (including foreign branches and subsidiaries, if any) established written policies and implemented internal procedures and controls to combat money laundering?

Yes 是 No, please elaborate 否，請詳述：_____

7. 客戶本人工作的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?
In the company you work for, are there documented procedures for reporting suspicious activities and transactions to the appropriate authorities?

Yes 是 No, please elaborate 否，請詳述：_____

8. 客戶本人工作的公司是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，並將有關資料於指定時限內予以保留?
In the company you work for, are there 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 specified period of time?

Yes 是 No, please elaborate 否，請詳述：_____

客戶資料披露 PART A1. DISCLOSURE OF INFORMATION

1. 關連賬戶 Related Account(s)

客戶本身或與其「有關的賬戶」有否於大聖證券有限公司或大聖集團(下稱“大聖”)操作/持有其他賬戶?

Is the client or all “related accounts” operate/own other accounts opened with Monmonkey Group Securities Limited or MONMONKEY GROUP (stated as “MGSL”)?

< “有關的賬戶”一詞包括有關客戶的未成年子女的賬戶及有關客戶擁有實益權益的賬戶 “related accounts” includes accounts of their minor children and accounts in which the client hold beneficial interests >

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: _____

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) 客戶的配偶是否持有“大聖”任何相關保證金融資賬戶?

Does spouse of the Client maintain any related margin financing 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: _____

(ii) 客戶及/或其配偶是否單獨或共同控制“大聖”之其他保證金融資賬戶35%或以上之表決權?

Does the client alone or jointly with his/her spouse control 35% or more of the voting rights of another 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: _____

(iii) 客戶是否有以客戶旗下之公司於“大聖”開立保證金融資賬戶?

Does the client have a margin financing account opened with “MGSL” by one of the companies of the Client?

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

“財政資源規則”所定義的「一組關連保證金客戶」是指：(a) 如該組只有2名保證金客戶，其中一名保證金客戶是另一名的配偶；(b) 如該等保證金客戶中有一名或多於一名是法團，其中一名保證金客戶單獨或與其配偶控制其餘的一名或每名保證金客戶的35%或以上的表決權；或(c) 如該等保證金客戶均為法團，該等保證金客戶是同一公司集團的成員。 “Group of Related Margin Client” as defined in FRR: (a) where it is a group of two margin clients, one is the spouse of the other; (b) where one or more of the margin clients are corporations, one is in control, either alone or with his/her spouse, of 35% or more of the voting rights of that other margin client or each of the other margin clients; or (c) where the margin clients are corporations, they are members of the same group of companies

3. 賬戶最終受益人 The ultimate beneficial owner(s) of the Account

客戶本人 The Client

4. 美國人身份 Identity of U.S. Person

(如: 美國公民/美國居民/美國護照/綠卡持有人 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): _____

5. 身份聲明 Identity Declaration

(i) 客戶本人、此賬戶最終受益人或獲授權操作此賬戶人士(“有關人士”)是否香港證監會的持牌或註冊人士或任何持牌或註冊人士之董事或雇員? Is/Are the client(s), the ultimate beneficial owner(s) of the Account or the authorized person(s) ultimately responsible for giving instructions for the Account (“Relevant Person(s)”), a licensed or registered person, or a director or an employee of any Licensed or Registered Person of Securities and Futures Commission in 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/註冊的中介人名稱 Name of the licensed/ registered intermediary: _____;

(請提供雇主之同意書 Please provide the employees consent letter 提供 Provide 不提供 Not provide)

(ii) 客戶本人、此賬戶最終受益人或獲授權操作此賬戶人士(“有關人士”)是否為上市公司之高級職員、董事或大股東?

Is/Are the client(s), the ultimate beneficial owner(s) of the Account or the authorized person(s) ultimately responsible for giving instructions in relation to transactions to be conducted through the Account (“Relevant Person(s)”), a senior officer or director or in control of any company whose shares are traded on any exchange or market?

不是 No 是 Yes, 請詳述 Please specify :

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

公司名稱 Company Name : _____; 股票編號 stock code: _____

持股份額(Share Holding%): _____

(iii) 客戶本人、此賬戶最終受益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/Are the client(s), the ultimate beneficial owner(s) of the Account or the authorized person(s) ultimately responsible for giving instructions in relation to transactions to be conducted through the Account (“Relevant Person(s)”), an employee, a relative or an associate of any employee/agent of “MGSL”
 不是 No 是 Yes,請詳述 Please specify :

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

雇員/經紀姓名 Name of the employee/agent: _____ ; 職位 Position : _____

(iv) 客戶本人、此賬戶最終受益人或獲授權操作此賬戶人士(“有關人士”)是否為任何國家/地方之政界人士，例如：客戶本人或其家人為政府高級官員、政黨領袖之類?

Is/Are the client(s), 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 (“Relevant Person(s)”), the holder of senior public position of any countries/districts e.g. senior government official, political party leaders, etc. or their family members?

不是 No 是 Yes,請詳述 Please specify :

國家機構 Authority : _____ ; 政界人士名稱 Name of PEP: _____

擔任及曾擔任之公職 Position entrusted or has entrusted: _____ ; 關係 Relationship : _____

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

本人已仔細閱讀、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，本人明白本人的個人資料可能會提供“大聖”作直接促銷之用。

I 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.

本人可以隨時透過書面方式，向“大聖”更改指示。

I 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

本人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”將本人之個人資料用於《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。

I 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)

本人明白並同意，“大聖”為了向本人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、披露及轉移與本人有關的個人資料(包括本人的客戶識別信息及券商客戶編碼)。

I 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.

本人亦同意，即使本人其後宣稱撤回同意，我們在本人宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移本人的個人資料以作上述用途。I 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.

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，以解除本人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 any of its subsidiaries from time to time ("MGSL") and you may transfer any sum of Monies to and between such segregated account(s) to satisfy my/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/交收賬戶以作本人買賣證券之用。

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.

4. 本人確認並同意，爾等可不通知本人而採取上述行動。

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

5. 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.

6. 本人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日內。

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.

7. 本人明白爾等若在本授權書的有效期限滿前14日，向本人發出書面通知，提醒本人本授權書即將屆滿，而本人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本人以書面同意下被視為已續期。爾等須於授權屆滿日起計的一星期內，以書面形式通知本人本授權經已被自動續期。

I understand that this 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 Authority, and I 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 me within one week after the date of expiry.

8. 本人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、法律行動、付款要求、申索或訴訟獲得賠償。

I 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）PART D. 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本人證券或證券抵押品，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.

本常設授權乃授權貴爾等： This standing authority authorizes you to:

1. 依據證券借貸協議運用任何本人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. 將任何本人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. 將任何本人的證券抵押品存放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。本人明白中央結算公司因應貴公司的責任和義務而對本人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. I/I understand that HKSCC will have a first fixed charge over our securities to the extent of your settlement obligations and liabilities;

4. 將任何本人的證券抵押品存放於任何其他的認可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本人提供財務通融，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本人的證券抵押品。

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. 貴公司可不向本人發出事前通知而採取上述行動。本人確認本常設授權不影響貴公司為解除由本人或代本人/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本人之證券或證券抵押品的權利。

You may do any of these things without giving us prior notice. I 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. 本人明白本人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，方可將本人的證券退回本人/吾等。

I 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本人之證券保證金賬戶。

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. 本人可以向爾等客戶服務部位於此開戶表格所列明之地址發出書面通知，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. 本人明白爾等若在本常設授權的有效期限屆滿前14日之前，向本人發出書面通知，提醒本人本常設授權即將屆滿，

而本人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本人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，以書面形式通知本人本常設授權經已被續期。

I 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.

客戶確認及簽署 CLIENT'S ACKNOWLEDGEMENT AND SIGNATURE

本人聲明、確認及同意 I declare, confirm and agree that:

1.	<p>本人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。</p> <p>I 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.</p>
2.	<p>本人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，並向本人發出通知，除非“大聖”收到吾等取消戶口通知，否則表示本人接納該更改條款。本人亦知道在“大聖”網頁(www.monmonkeygroup.com)內會刊載了有關協議書最新版本，以供吾等閱覽或下載。</p> <p>I confirm that I have read and understood the Terms and Conditions for Securities Trading (the “Agreement”) of “MGSL” and this Account Opening Form, and I hereby accept and agree to be bound by the terms and conditions. “MGSL” may amend the terms and conditions of the Agreement(s) from time to time by giving me notice of such amendment. Unless “MGSL” has received our request to close the account, if I continue to use the account I shall be deemed to have accepted such changes. I also know that we are able to read or download the up-to-date version of the Agreement from the “MGSL” website : www.monmonkeygroup.com</p>
3.	<p>本人知悉及確認已獲得提供按照本人所選擇的語言(中文或英文)之風險披露聲明，本人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(如本人有此意願)。</p> <p>I hereby acknowledge and confirm that I have fully read the risk disclosure statements in the language of my choice (Chinese or English).</p> <p>I was invited to read the risk disclosure statements, and ask questions and take independent advice if I wish.</p>
4.	<p>本人確認上述有關“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本人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或註冊人操守準則之有關要求。</p> <p>I hereby confirm that the above information provided in relation to “Knowledge of Derivatives” is true and complete. I also understand that “MGSL” will rely on the above information provided to assess whether I 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 and Futures Commission. .</p>
5.	<p>“大聖”獲授權(但無義務)接受本人或授權人不論是親身、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。倘若本人希望撤回根據客戶協定中作出的授權，本人應以書面方式通知“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本人的指示，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項下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，本人同意彌償他們，但由於“大聖”的疏忽或違約而導致的損失或責任則除外。</p> <p>“MGSL” shall be authorized (but not obliged) to accept and act in accordance with any Instructions given by me 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 I wish to withdraw the authorization under the Agreement, I 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 me by telephone, fax transmission or other electronic means, I 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” .</p>

6.	<p>本人明白本人遞交此開戶文件及“大聖”接納此開戶檔並非表示“大聖”同意開立賬戶予本人，而“大聖”保留無條件拒絕本人開戶申請之權力；本人知悉“大聖”或會要求本人就將買入之證券或期貨及/或期權先存入款項。</p> <p>I understand that my submission of this document and the acceptance of such document by “MGSL” in no way implied approval for opening of the account for me and that “MGSL” reserves the unconditional right to reject my application. I further understand that I may be required to place a deposit on the value of the securities and/or futures and/or options to be purchased requested by “MGSL” .</p>
7.	<p>本人已參閱“大聖”給予客戶有關《個人資料（私隱）條例》的通知（載於協議書內），並明白且同意其條款。</p> <p>I have read the “MGSL” Data Privacy Policy circular relating to Personal Data (Privacy) Ordinance (as contained in the Agreement), understand and agree to its term stated therein.</p>
8.	<p>本人就常設授權書(客戶款項)的內容已獲得解釋，並且本人明白及同意常設授權書(客戶款項)的內容。本人[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]本人明白及同意常設授權書(客戶證券)的內容。</p> <p>The contents of Standing Authority (Client Money) have been explained to me and I understand and agree with the contents of Standing Instruction (Client Money). The contents of Standing Authority (Client Securities) have been explained to me [only if I am Securities Margin Client] and [if applicable] I understand and agree with the contents of Standing Authority (Client Securities).</p>
9.	<p>本人知悉及確認本人必須(i)遵守因本人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，包括根據本人居住的或居籍所在地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。</p> <p>I acknowledge and confirm that I must (i) observe any possible tax consequences arising from my 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 I reside, am domiciled or am a citizen.</p>
10.	<p>本人知悉本開戶檔及協議書擬定中英文版本，兩種語言版本均具有同等效力，但應以英文版本解譯並視為確實及具最終效力</p> <p>I acknowledge that this document and the Agreement are drawing up in English and Chinese Languages, all two versions being equally authenticated. However, the English Language version shall deem to be conclusive and prevail.</p>
<input type="checkbox"/>	<p>本人確認已閱讀、接受及同意以上客戶聲明之條款。如任何一項聲明與本人資料不符，本人將填妥相關表格並交予大聖證券有限公司。</p> <p>I have confirmed that I 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, I will complete and return the relevant form(s) to Monmonkey Group Securities Limited.</p>
<p>此簽署將被視作簽署式樣 This Signature will be treated as specimen signature</p>	
<p>申請人簽署 Account Client Signature :</p>	<p>客戶姓名 Client Name :</p>
<p>茲見證本人簽署本開戶檔於：_____年_____月_____日。</p> <p>IN WITNESS WHEREOF I have signed this account opening document day of: _____</p>	

見證人簽署 Witness Signature	
見證人簽署 Signed By :	姓名 (正楷) : Name (Block Letter) :
見證人之中央編號(如適用) CE No. of the certifier (if applicable):	身份證/護照號碼 ID / Passport No:
日期 Date :	地址 Address:

持牌代表聲明 Declaration By Licensed Representative

本人為大聖證券有限公司的持牌代表，謹此聲明及確認本人已於_____ (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)

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 has invited the client to ask questions and take independent advice (if the Client wishes).

客戶 _____ 已於 _____ ; 收聽完持牌人風險披露錄音 / 閱讀完持牌人風險披露聲明。

The client _____ ; has listened to the licensee's risk disclosure recording / has read the licensee's risk disclosure ; on _____ .

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 :

高 HIGH 中 NEUTRAL 低 LOW.

Signed by licensed representative

CE Number

持牌代表簽署 : _____ 中央編號 : _____

Name of licensed representative

Date

持牌代表姓名 : _____ 日期 : _____

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.

授權簽名及公司印章 Authorized Signature(s) with Company Chop _____	姓名(正楷) Name (Block Letter) : _____ 職銜 Job Title _____ 日期 Date : _____
正式獲授權代表大聖證券有限公司人士 Duly authorized for and on behalf of Monmonkey Group Securities Limited	

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 :

