

# Application Form for opening additional Securities and/ or Futures and/ or Stock Options Trading Account(s) for Existing Client

## 現有客戶開立額外證券及/或期貨及/或股票期權交易帳戶申請表

To: Yuanta Securities (Hong Kong) Company Limited  
致：元大證券(香港)有限公司

Please post your completed form in original to our company or by visiting our company, 23/F, Tower 1, Admiralty Centre, 18 Harcourt Road, Admiralty, Hong Kong. For inquiries, please do not hesitate to contact us at (852) 3555 7878. 請將已填妥的表格正本郵寄至或交回本公司，香港金鐘夏慤道18號海富中心1座23樓。如欲查詢，請致電(852) 3555 7878 與客戶服務部聯絡。

I/We hereby notify you of opening an additional account(s) as the following: <b>Account Type 帳戶類別</b>	<b>Trading Platform 交易系統 (Please Select One Only 請只選一項)</b>
(Please Select One Only 請只選一項) <input type="checkbox"/> Securities Cash Account 證券現金帳戶 <input type="checkbox"/> Securities Margin Account 證券保證金帳戶 <input type="checkbox"/> Stock Options Account 股票期權帳戶 <input type="checkbox"/> Futures Account 期貨帳戶	<input type="checkbox"/> Offline 離線 <input type="checkbox"/> Web Trading System 網上交易系統 (For charges details, please refer to schedule fee 收費詳情請參閱收費表) <input type="checkbox"/> eWinner Series 點金靈系統 (For monthly fee details, please refer to schedule fee 申請需付月費，詳情請參閱收費表) <input type="checkbox"/> SP Trader 專業版交易系統 <input type="checkbox"/> SP Trader 專業版交易系統 <input type="checkbox"/> Super 8 超八

### Account Opening supplementary information 客戶開戶補充資料：

Reason(s) for opening the additional account(s)? (Applicable to open same type of account only) 客戶開立額外帳戶的原因? (只適用於開立同類型帳戶)	
Have you ever undergo training or attend courses on derivative products with general knowledge of the nature and risks of derivatives? 客戶是否曾接受有關衍生產品性質和風險的一般知識培訓或修讀相關課程?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
Are you currently or previously working in relation to derivative products? 客戶現時或過去是否從事與衍生產品有關的工作?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
Have you traded at least 5 transactions in any derivative products (whether traded on an exchange or not) with in the past 3 years? 客戶是否在過去三年曾買賣過至少五次任何衍生產品的交易(不論是否在交易所買賣)?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否

#### Notes 注意事項：

- Please tick where applicable. 請在適當的地方加上剔號。
- For opening an additional Securities Margin Account, Client must sign the "Authorization to dispose of, lend or deposit securities and/ or securities collateral under the Securities and Futures (Client Securities) Rules". 如欲開立額外證券保證金帳戶，客戶需簽署“根據證券及期貨(客戶證券)規則有關出售、借出或存放證券及/或證券抵押品的授權”。
- For Corporate Client, board resolution is required for opening additional account and client authorization shall be provided. 法人戶需連同董事會決議的核證副本 - 有關開立戶口事宜並註明所有授權簽名人士(須包括授權人全名簽名式樣以及獲授予之權力)。
- Discretionary arrangement, or third party authorization arrangement, or Smart Deposit Service of the existing account will not be carried to the additional account(s). 客戶開立的額外帳戶並不附帶任何於現有帳戶已生效的全權委託、或第三者交易授權、或《易存款》服務功能。

### Declaration and Signature 聲明及簽署

- I/We declare that my/our current personal information is same as the latest record filed with Yuanta Securities (Hong Kong) Company Limited ("YSHK"). I/We consent to the use of the personal information of my/our existing account in YSHK for the purpose of opening the additional account(s). I/we authorize Yuanta Securities (Hong Kong) Company Limited ("YSHK") to confirm this from any source YSHK considers appropriate, including the conduct of any credit checks on me/us. I/We understand that I/we may be required to provide additional information or submit documentary proof as to the information provided in this form when requested by YSHK. I/We confirm that I/we will update YSHK immediately on any changes. 本人/吾等聲明本人/吾等現時之個人資料與最新留存於元大證券(香港)有限公司("元大(香港)")之紀錄一樣，並同意將本人/吾等於元大(香港)之現有帳戶之個人資料用作開設額外帳戶之用。本人/吾等授權元大證券(香港)有限公司("元大證券(香港)")向任何元大證券(香港)認為適當的資料來源查證，包括進行任何對於本人/吾等的信貸檢查。除上述提供的資料外，本人/吾等清楚元大證券(香港)也許要求本人/吾等提供更多相關的資料或證明文件。本人/吾等確認如所提供之資料有任何更改，均會立刻通知元大證券(香港)。
- I/We confirm that I am/we are acting for my/our own account(s) and as principal in relation to each transaction entered into with YSHK, and I/we shall also be the beneficiary of any of the transaction entered into with YSHK. 本人/吾等確認本人/吾等本身之帳戶及以當事人身份與元大證券(香港)訂立每一項交易，本人/吾等亦為所有本人/吾等與元大證券(香港)訂立有關交易之最終實益擁有人。
- I/We confirm that I/we have received, read and understood the "Terms and Conditions for Securities/Futures/Options Trading Accounts" ("Terms and Conditions") and this Account Opening Form applicable to me/us including but not limited to the relevant Risk Disclosure Statements, General Terms and Disclaimers, Additional Terms for Securities Cash/Securities Margin/Futures/Options Trading Account(s), which may be entered into in writing between YSHK and me/us from time to time, including any letters of authorization relating to securities margin financing. 本人/吾等證實已收取、閱讀及明白“證券/期貨/期權交易帳戶條款及條件”(“條款及條件”)及此開戶表格，包括但不限於有關風險披露聲明、一般條款及免責聲明、證券現金或證券孖展及/或期貨及/或股票期權交易帳戶之附加條款及任何由本人/吾等與元大證券(香港)不時訂立之書面補充條款及條件，包括任何有關證券保證金帳戶之抵押品授權書。
- I/We hereby accept and agree to be bound by the Terms and Conditions. YSHK may amend the Terms and Conditions from time to time by giving me/us notice of such amendment. Unless YSHK has received my/our request to close the account(s), if I/we continue to use the account(s) I/we shall be deemed to have accepted such changes. 本人/吾等特此接納及同意受條款及條件約束。元大證券(香港)有權不時修訂條款及條件，並向本人/吾等發出通知。除非元大證券(香港)收到本人/吾等通知取消帳戶，否則本人/吾等繼續使用帳戶即表示本人/吾等接納該修訂條款及條件。
- I/We hereby confirm that the above information provided in relation to "Knowledge of Derivatives Product" is true and complete. I/We also understand that YSHK will rely on the above information provided to assess whether I/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 and Futures Commission. 本人/吾等確認上述有關“衍生產品之認識”之資料完全真實及完整，並明白元大證券(香港)將根據上述資料判定本人/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或註冊人操守準則之有關要求。
- I/We hereby declare and acknowledge that if I/we maintain more than one Securities Cash/Securities Margin/Futures/Options Trading Account(s) with YSHK and do not specifically request that the transaction(s) be executed under a specific account of mine/us, YSHK can have absolute discretion in deciding the allocation method unless I/we instruct YSHK to the contrary. 本人/吾等特此接納及同意如本人/吾等於元大證券(香港)持有超過一個之證券現金或證券孖展及/或期貨及/或股票期權交易帳戶且並未特別要求透過本人/吾等之其中一個指定帳戶進行交易，則元大證券(香港)有絕對酌情權決定在本人/吾等未有發出指示時交易之分配方法。
- I/We hereby declare and acknowledge that I/we have fully understood the risk disclosure statement in the language of my/our choice. I/We have been invited to read the risk disclosure statement, and to ask questions and take independent advice if I/we wish. 本人/吾等現聲明及確認已獲得提供按照本人/吾等選擇之語言之風險披露聲明書，本人/吾等已獲邀閱讀風險披露聲明，提出問題及徵求獨立意見(如本人/吾等有意願)。
- I/We understand that YSHK reserves the unconditional right to reject my/our application. 本人/吾等明白元大證券(香港)保留無條件拒絕本人/吾等開立額外帳戶申請之權力。

Client Signature(s) 客戶簽署	×	Account No. 戶口號碼
Please use the signature(s) field with our company 請用留存本公司之簽署式樣		
Client Name 客戶名稱		Date 日期
		day 日 / month 月 / year 年

### Risk Disclosure Statement 風險披露聲明 (to be completed by the Company 由本公司填寫)

The above mentioned Risk Disclosure Statement(s) has/ have been provided to the Client in a language of the Client's choice (English or Chinese) and the undersigned registered person of the Company has invited the Client to read the Risk Disclosure Statements carefully, ask questions and take independent advice if the client wishes.  
上述之風險披露聲明已由本公司下列簽署之註冊人員按照客戶選擇的語言(英文或中文)提供，並邀請客戶細閱該等風險披露聲明、提出問題及徵求獨立意見(如客戶有此意願)。

- Face to Face 面對面  
 Telephone 電話

Name of Licensed Person 持牌人姓名	CE No. 中央編號	Signature of Licensed Person 持牌人簽署	Date 日期	Recorded Line No. 電話錄音號碼 Time 時間
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### For official use only 僅供職員填寫

Verified by	Inputted by	Checked by	Approved by	Risk Management	Senior Management (if applicable)
Date	Date	Date	Date	Date	Date

**【Must be signed by Securities Margin Client 證券保證金客戶必須簽署】**

To: Yuanta Securities (Hong Kong) Company Limited  
23/F, Tower 1, Admiralty Centre,  
18 Harcourt Road, Admiralty, Hong Kong

致: 元大證券(香港)有限公司  
香港夏愨道 18 號海富中心 1 座 23 樓

Dear Sirs  
敬啟者

**Authorisation to dispose of, lend or deposit securities and/or securities collateral under the Securities and Futures (Client Securities) Rules**  
根據證券及期貨(客戶證券)規則有關出售, 借出或存放證券及/或證券抵押品的授權

This letter of authorisation covers all the securities that are either listed or traded on The Stock Exchange of Hong Kong Limited (the "SEHK") or are interests in a collective investment scheme authorised by the Securities and Futures Commission (the "SFC") of which I/we am/are the beneficial owner(s), which are received or held in Hong Kong by or on behalf of you or your associated entity to facilitate the provision of financial accommodation by you (the "Securities Collateral") and/or are in relation to the conduct of dealing in securities and which do not constitute securities collateral (the "Securities") 本授權書包涵所有本人/吾等實益擁有而在香港聯合交易所有限公司("聯交所")上市或交易之證券及為香港證券及期貨事務監察委員會("證監會")認可之集體投資計劃的權益, 並且被貴公司或貴公司的聯繫實體在港收取或持有為提供財務通融之抵押品("證券抵押品")及/或就證券交易所收取或持有但並非構成證券抵押品之證券("證券")。

Without prejudice and in addition to any general lien, right of set-off or any other similar right to which you may be entitled by law or under the Agreement entered into between us on \_\_\_\_\_(Date) I/we hereby authorise you to dispose of any of the Securities or/and Securities Collateral to the extent required to settle any liability owed by me/us to you, your associated entity or a third person. 在不損害貴公司依法或根據本人/吾等在\_\_\_\_\_(日期)簽訂之合約而就本人/吾等之證券交易帳戶擁有的任何留置權、抵銷權或任何其他類似權利的情況下, 本人/吾等授權貴公司處置或出售部份或全部在本人/吾等帳戶之證券或證券抵押品以清償任何本人/吾等向貴公司, 貴公司之聯繫實體或第三者所欠之債務。

I/We hereby additionally authorise you to deal with the Securities and/or Securities Collateral in the following ways 本人/吾等額外授權貴公司根據以下條款處置證券及/或證券抵押品:

1. to apply any of the Securities and/or Securities Collateral pursuant to a securities borrowing and lending agreement 依據證券借貸協議運用任何證券或證券抵押品;
2. to deposit the Securities Collateral with an authorised institution as defined in the Banking Ordinance (Cap. 155 of the Laws of Hong Kong) as collateral for financial accommodation provided to you; and 將任何證券抵押品存放於一間認可機構(根據《銀行業條例》(香港法例第155章)之定義), 作為提供予貴公司的財務通融的抵押品; 及
3. to deposit the Securities Collateral with a recognised clearing house (e.g. Hong Kong Securities Clearing Company Limited) or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of your settlement obligations and liabilities. 存放證券抵押品於認可結算所(如香港中央結算有限公司)或另一獲發牌或註冊進行證券交易的中介人作為解除貴公司在交收上的義務和清償貴公司在交收上的法律責任。

You may perform any of the above without prior notice to me/us. This letter does not cover the treatment of 貴公司可無須事先通知本人/吾等執行以上任何事情。本授權書並不包涵以下證券或證券抵押品的處理方式:

- (a) any securities or securities collateral that are held or received outside Hong Kong 任何在香港以外收取或持有之證券或證券抵押品;
- (b) any securities or securities collateral that not listed nor traded on the SEHK; nor 任何並非在聯交所上市或交易之證券或證券抵押品; 及
- (c) any interests in a collective investment scheme not authorised by the SFC 任何並非證監會認可之集體投資計劃的權益。

Those securities and securities collateral shall be dealt with according to the laws and regulations of the relevant jurisdiction where they are received or held. 該等證券及證券抵押品將根據在其收取或持有之有關海外地區的法律及規則處理。

The authority given in this letter of authorisation does not cover any consideration which I/we may pay or be paid for the lending or borrowing of securities by you. Such consideration shall be set by a separate agreement between us. 本授權書不涉及就貴公司借貸本人/吾等之任何證券或證券抵押品而須支付或收取的任何代價。該等代價均須由本人/吾等與貴公司另行協議訂明。

You are accountable to me/us for the return of any of the Securities or Securities Collateral lent or deposited under this authorisation. 貴公司仍需就根據本授權書貸出或存放的證券或證券抵押品的歸還向本人/吾等負責。

I/We understand that the Securities and/or Securities Collateral may be subject to liens or lawful claims of third parties and return of such Securities and/or Securities Collateral to me/us may be subject to satisfaction of such liens. 本人/吾等明白證券或證券抵押品可能受制於第三者之留置權或合法索償, 貴公司須於全數抵償該等留置權後, 方可將證券或證券抵押品退回本人/吾等。

The authority given to you under this letter of authorisation shall be valid for a period of 12 months from the date of this letter unless revoked by me/us by written notice given by me/us to you. Such notice of revocation shall take effect 7 business days after receipt by you. 本授權書所給予貴公司之授權的有效期限為十二個月, 除非本人/吾等提供書面通知予貴公司要求取消本授權。該等取消通知書將在貴公司收妥後 7 天方作生效。

The contents of this letter of authorisation have been fully explained to me/us and I/we understand them. 本授權書的內容已全部向本人/吾等徹底解釋, 而本人/吾等亦明白本授權書的內容。

Yours faithfully  
此致

Client's Signature 客戶簽署

Date 日期: \_\_\_\_\_