



萬基證券有限公司
MORTON SECURITIES LIMITED

ACCOUNT APPLICATION
(Joint Account)
開戶申請表
(聯名帳戶)

www.mortonsec.hk

1804-5, 18th Floor, Allied Kajima Building, 138 Gloucester Road, Wanchai, HK.

香港灣仔告士打道 138 號聯合鹿島大廈 18 樓 1804 至 5 室

電話 : (852) 2652 7100

傳真 : (852) 2652 7199

ACCOUNT APPLICATION (Joint Account) 開戶申請表 (聯名帳戶)

Note: This is an important document. You (the “**Applicant**”) should carefully read and fully understand the contents of this Account Application and depending on the account(s) and the services (if applicable) chosen by you immediately below, the attached Client Agreement(s) and Schedules and Appendix(ces) (if any) and Supplement(s) (if any) thereto (collectively “**Client Agreement**”) in respect of Cornerstone Securities Limited (“**MSL**”) and the Application for Electronic Services (as defined in Clause (16) of Section H), (if any), as well as other related documents as specified by MSL. The foregoing documents are together hereinafter referred to as the “**Documents**”. Before signing the Documents, the Applicant should first seek independent legal and other professional advice as necessary. In case of discrepancies between the English and Chinese versions of this Account Application, the English version shall prevail.

註：此乃重要文件。閣下（即「**申請人**」）應仔細閱讀並充份理解本開戶申請表及依據閣下以下選擇之一個或多個帳戶及服務（若適用）而隨本文件附上有關萬基證券有限公司（「**萬基證券**」）之客戶協議及其／其等附件及附錄（若有）及補充（若有）（統稱「**客戶協議**」）及電子服務申請書（釋義按H項第(16)條）（若有）以及萬基證券（釋義見下）不時指定的其他相關文件。上述文件以下統稱為「**文件**」。申請人在簽署文件前，必須徵求帳戶獨立法律及（如需要）其他專業意見。倘若本開戶申請表的中英文本有任何歧異，概以英文本為準。

To MSL : Please open and maintain the following type(s) of non-discretionary Joint account(s) (“**Account**”)

(Please see Clause (1) of Section H of this Account Application):

致萬基證券：請開設及維持以下非全權代客買賣的聯名帳戶（「**帳戶**」）

（請參閱本開戶申請表 H 項第(1)條）：

(Please check the appropriate box(es) 請選擇合適者)

☐ Cash Securities Trading Account 現金證券交易帳戶

☐ Margin Securities Trading Account 孖展證券交易帳戶

Electronic Service 電子服務：☐ Internet Trading 網上交易

For official use only	
Account No. :	
Opened Date :	

SECTION A THE APPLICANT'S PARTICULARS 申請人資料		
Personal Information of the First Applicant 第一申請人的個人資料		
Name (In English) : <input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. Surname : _____ Given Name : _____ Full name shown on your identity document		姓名 (中文) : <input type="checkbox"/> 先生 <input type="checkbox"/> 太太 <input type="checkbox"/> 女士 姓 : _____ 名 : _____ 您身份證明文件上的全名
ID Card No. or Passport No. 身份證號碼或護照號碼 : _____	Country issue 簽發地 : _____	Nationality 國籍 : _____
Type 類別 : <input type="checkbox"/> HKID 香港身份證 <input type="checkbox"/> CNID 中國身份證 <input type="checkbox"/> Passport 護照 <input type="checkbox"/> Others (Please specify) 其他 (請註明) : _____		Date of Birth 出生日期 : _____ DD(日) MM(月) YYYY(年)
Marital Status 婚姻狀況 : <input type="checkbox"/> Single 未婚 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Divorced 離婚		
Education Level 學歷 : <input type="checkbox"/> Primary or below 小學或以下 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Post-secondary 預科/專上學院 <input type="checkbox"/> University or above 大學或以上		
Home Tel No. 住宅電話號碼 : _____	Mobile Phone No. 手提電話號碼 : _____	
Email Address 電子郵件地址 : _____		
Employer (If not employed, please state previous employment and the relevant trading/company name) 僱主 (如沒有受聘，謹請提供以往職業及相關的經營 / 公司名稱) : _____		
Nature of Business of Employer 僱主業務性質 : _____	Position 職位 : _____	Years of Service with Employer 服務僱主年期 : _____
Business/Office Address 營業 / 辦公地址 : _____		
Business Phone No. 公司電話 : _____	Fax No. 傳真號碼 : _____	
Residential Address 住宅地址 (Please provide address proof within the recent 3 months 請提供最近 3 個月的地址證明) _____ Flat 室 _____ Floor 樓數 _____ Block 座數 _____ House 樓/Building 大廈 _____ Estate 屋邨/Garden 花園 _____ No. and Name of Street 門牌號數及街道名稱 _____ District 分區/Area 地區 _____ Country 國家		

Nature of Occupancy 住宅類別：

- ☐ Owned 自置 ☐ Rented 租用 ☐ Family property 家人物業 ☐ Quarter 宿舍
☐ Others (Please specify) 其他 (請說明) : _____

Permanent Address 永久地址：

- ☐ Same as residential address 與住址相同
☐ Other address, please specify 其他地址，請說明：(Please provide address proof within the recent 3 months 請提供最近 3 個月的地址證明)

_____ Flat 室 _____ Floor 樓數 _____ Block 座數 _____ House 樓/Building 大廈
_____ Estate 屋邨/Garden 花園 _____ No. and Name of Street 門牌號數及街道名稱
_____ District 分區/Area 地區 _____ Country 國家

Correspondence Address 通訊地址：

- ☐ Same as residential address 與住址相同 ☐ Same as business/office address 與營業 / 辦公地址相同
☐ Other address, please specify 其他地址，請說明：(Please provide address proof within the recent 3 months 請提供最近 3 個月的地址證明)

_____ Flat 室 _____ Floor 樓數 _____ Block 座數 _____ House 樓/Building 大廈
_____ Estate 屋邨/Garden 花園 _____ No. and Name of Street 門牌號數及街道名稱
_____ District 分區/Area 地區 _____ Country 國家

Financial Profile of the First Applicant 第一申請人的財務狀況

Annual Income(HK\$) (Note#) 每年收入 (以港元計) (註#)：

- | | | |
|---|--|---|
| <input type="checkbox"/> ≤\$250,000 | <input type="checkbox"/> \$250,001 – \$500,000 | <input type="checkbox"/> \$500,001 – 1,000,000 |
| <input type="checkbox"/> \$1,000,001 – \$10,000,000 | <input type="checkbox"/> \$10,000,001 – 50,000,000 | <input type="checkbox"/> \$50,000,001 – 100,000,000 |
| <input type="checkbox"/> > \$100,000,000 | | |

Net Assets (HK\$) (Note#) 資產淨值 (以港元計) (註#)：

- | | | |
|--|---|---|
| <input type="checkbox"/> <\$50,000 | <input type="checkbox"/> \$50,001 – \$200,000 | <input type="checkbox"/> \$200,001 – 500,000 |
| <input type="checkbox"/> \$500,001 – 1,000,000 | <input type="checkbox"/> \$1,000,001 – \$5,000,000 | <input type="checkbox"/> \$5,000,001 – \$20,000,000 |
| <input type="checkbox"/> \$20,000,001 – \$50,000,000 | <input type="checkbox"/> \$50,000,001 – \$100,000,000 | <input type="checkbox"/> >\$100,000,000 |

Liquid Assets (HK\$) (Note#) 流動資產 (以港元計) (註#)：

- | | | |
|--|---|---|
| <input type="checkbox"/> <\$50,000 | <input type="checkbox"/> \$50,001 – \$200,000 | <input type="checkbox"/> \$200,001 – 500,000 |
| <input type="checkbox"/> \$500,001 – 1,000,000 | <input type="checkbox"/> \$1,000,001 – \$5,000,000 | <input type="checkbox"/> \$5,000,001 – \$20,000,000 |
| <input type="checkbox"/> \$20,000,001 – \$50,000,000 | <input type="checkbox"/> \$50,000,001 – \$100,000,000 | <input type="checkbox"/> >\$100,000,000 |

Initial Source(s) of Wealth (e.g. Accumulated Return on Investments) 最初財富來源 (例如，累積投資回報)：

- | | | |
|--|---|---|
| <input type="checkbox"/> Salary and/or bonus 薪金及／或花紅 | <input type="checkbox"/> Savings 儲蓄 | <input type="checkbox"/> Business income 業務收入 |
| <input type="checkbox"/> Return on investment 投資回報 | <input type="checkbox"/> Retirement funds 退休金 | |
| <input type="checkbox"/> Inheritance or gift 遺贈或禮物 | <input type="checkbox"/> Others (Please specify) 其他 (請說明)：_____ | |

Ongoing Source(s) of Wealth 持續財富來源：

- ☐ Same as Initial Source(s) of Wealth 與最初財富來源相同
☐ Others (Please specify) 其他 (請說明)：_____

Initial/Ongoing Source(s) of Funds 最初 / 持續資金來源：

(a) Means of fund transfer(s) 資金轉移的方式：

- ☐ Cash 現金 ☐ Cheque/Bank draft 支票 / 銀行匯票 ☐ Local bank transfer 本港銀行轉賬
☐ Overseas remittance 海外匯款 ☐ Others (Please specify) 其他 (請說明)：_____

(b) Country(ies) of Origin(s) of Funds 資金來源地：

- ☐ Hong Kong 香港 ☐ Mainland China 中國內地 ☐ Macau 澳門 ☐ Singapore 新加坡
☐ United States 美國 ☐ Canada 加拿大 ☐ Others (Please specify) 其他 (請說明)：_____

Note#: Please choose one of the options only

註#：請只選擇其中一項

Personal Informational of the Second Applicant 第二申請人的個人資料		
Name (In English) : <input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. Surname : _____ Given Name : _____ <small>Full name shown on your identity document</small>		姓名 (中文) : <input type="checkbox"/> 先生 <input type="checkbox"/> 太太 <input type="checkbox"/> 女士 姓 : _____ 名 : _____ <small>您身份證明文件上的全名</small>
ID Card No. or Passport No. <small>身份證號碼或護照號碼 : _____</small>	Country issue <small>簽發地 : _____</small>	Nationality <small>國籍 : _____</small>
Type 類別 : <input type="checkbox"/> HKID 香港身份證 <input type="checkbox"/> CNID 中國身份證 <input type="checkbox"/> Passport 護照 <input type="checkbox"/> Others (Please specify) 其他 (請註明) : _____		Date of Birth <small>出生日期 : _____ DD(日) MM(月) YYYY(年)</small>
Marital Status 婚姻狀況 : <input type="checkbox"/> Single 未婚 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Divorced 離婚		
Education Level 學歷 : <input type="checkbox"/> Primary or below 小學或以下 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Post-secondary 預科/專上學院 <input type="checkbox"/> University or above 大學或以上		
Home Tel No. 住宅電話號碼 : _____		Mobile Phone No. 手提電話號碼 : _____
Email Address 電子郵件地址 : _____		
Employer (If not employed, please state previous employment and the relevant trading/company name) <small>僱主 (如沒有受聘, 謹請提供以往職業及相關的經營 / 公司名稱) :</small>		
Nature of Business of Employer <small>僱主業務性質 : _____</small>	Position <small>職位 : _____</small>	Years of Service with Employer <small>服務僱主年期 : _____</small>
Business/Office Address <small>營業 / 辦公地址 : _____</small>		
Business Phone No. 公司電話 : _____		Fax No. 傳真號碼 : _____
Residential Address 住宅地址 (Please provide address proof within the recent 3 months 請提供最近 3 個月的地址證明) _____ Flat 室 _____ Floor 樓數 _____ Block 座數 _____ House 樓/Building 大廈 _____ Estate 屋邨/Garden 花園 _____ No. and Name of Street 門牌號數及街道名稱 _____ District 分區/Area 地區 _____ Country 國家 Nature of Occupancy 住宅類別 : <input type="checkbox"/> Owned 自置 <input type="checkbox"/> Rented 租用 <input type="checkbox"/> Family property 家人物業 <input type="checkbox"/> Quarter 宿舍 <input type="checkbox"/> Others (Please specify) 其他 (請說明) : _____ Permanent Address 永久地址 : <input type="checkbox"/> Same as residential address 與住址相同 <input type="checkbox"/> Other address, please specify 其他地址, 請說明 : (Please provide address proof within the recent 3 months 請提供最近 3 個月的地址證明) _____ Flat 室 _____ Floor 樓數 _____ Block 座數 _____ House 樓/Building 大廈 _____ Estate 屋邨/Garden 花園 _____ No. and Name of Street 門牌號數及街道名稱 _____ District 分區/Area 地區 _____ Country 國家 Correspondence Address 通訊地址 : <input type="checkbox"/> Same as residential address 與住址相同 <input type="checkbox"/> Same as business/office address 與營業 / 辦公地址相同 <input type="checkbox"/> Other address, please specify 其他地址, 請說明 : (Please provide address proof within the recent 3 months 請提供最近 3 個月的地址證明) _____ Flat 室 _____ Floor 樓數 _____ Block 座數 _____ House 樓/Building 大廈 _____ Estate 屋邨/Garden 花園 _____ No. and Name of Street 門牌號數及街道名稱 _____ District 分區/Area 地區 _____ Country 國家		

Financial Profile of the Second Applicant 第二申請人的財務狀況

Annual Income(HK\$) (Note#) 每年收入 (以港元計) (註#):

- | | | |
|---|--|---|
| <input type="checkbox"/> ≤\$250,000 | <input type="checkbox"/> \$250,001 – \$500,000 | <input type="checkbox"/> \$500,001 – 1,000,000 |
| <input type="checkbox"/> \$1,000,001 – \$10,000,000 | <input type="checkbox"/> \$10,000,001 – 50,000,000 | <input type="checkbox"/> \$50,000,001 – 100,000,000 |
| <input type="checkbox"/> > \$100,000,000 | | |

Net Assets (HK\$) (Note#) 資產淨值 (以港元計) (註#):

- | | | |
|--|---|---|
| <input type="checkbox"/> <\$50,000 | <input type="checkbox"/> \$50,001 – \$200,000 | <input type="checkbox"/> \$200,001 – 500,000 |
| <input type="checkbox"/> \$500,001 – 1,000,000 | <input type="checkbox"/> \$1,000,001 – \$5,000,000 | <input type="checkbox"/> \$5,000,001 – \$20,000,000 |
| <input type="checkbox"/> \$20,000,001 – \$50,000,000 | <input type="checkbox"/> \$50,000,001 – \$100,000,000 | <input type="checkbox"/> >\$100,000,000 |

Liquid Assets (HK\$) (Note#) 流動資產 (以港元計) (註#):

- | | | |
|--|---|---|
| <input type="checkbox"/> <\$50,000 | <input type="checkbox"/> \$50,001 – \$200,000 | <input type="checkbox"/> \$200,001 – 500,000 |
| <input type="checkbox"/> \$500,001 – 1,000,000 | <input type="checkbox"/> \$1,000,001 – \$5,000,000 | <input type="checkbox"/> \$5,000,001 – \$20,000,000 |
| <input type="checkbox"/> \$20,000,001 – \$50,000,000 | <input type="checkbox"/> \$50,000,001 – \$100,000,000 | <input type="checkbox"/> >\$100,000,000 |

Initial Source(s) of Wealth (e.g. Accumulated Return on Investments) 最初財富來源 (例如, 累積投資回報):

- | | | |
|--|--|---|
| <input type="checkbox"/> Salary and/or bonus 薪金及/或花紅 | <input type="checkbox"/> Savings 儲蓄 | <input type="checkbox"/> Business income 業務收入 |
| <input type="checkbox"/> Return on investment 投資回報 | <input type="checkbox"/> Retirement funds 退休金 | |
| <input type="checkbox"/> Inheritance or gift 遺贈或禮物 | <input type="checkbox"/> Others (Please specify) 其他 (請說明): _____ | |

Ongoing Source(s) of Wealth 持續財富來源:

- ☐ Same as Initial Source(s) of Wealth 與最初財富來源相同
- ☐ Others (Please specify) 其他 (請說明): _____

Initial/Ongoing Source(s) of Funds 最初 / 持續資金來源:

(a) Means of fund transfer(s) 資金轉移的方式:

- | | | |
|---|--|---|
| <input type="checkbox"/> Cash 現金 | <input type="checkbox"/> Cheque/Bank draft 支票 / 銀行匯票 | <input type="checkbox"/> Local bank transfer 本港銀行轉賬 |
| <input type="checkbox"/> Overseas remittance 海外匯款 | <input type="checkbox"/> Others (Please specify) 其他 (請說明): _____ | |

(b) Country(ies) of Origin(s) of Funds 資金來源地:

- | | | | |
|---|--|--|--|
| <input type="checkbox"/> Hong Kong 香港 | <input type="checkbox"/> Mainland China 中國內地 | <input type="checkbox"/> Macau 澳門 | <input type="checkbox"/> Singapore 新加坡 |
| <input type="checkbox"/> United States 美國 | <input type="checkbox"/> Canada 加拿大 | <input type="checkbox"/> Others (Please specify) 其他 (請說明): _____ | |

Note#: Please choose one of the options only

註#: 請只選擇其中一項

SECTION B IDENTITY DECLARATION 身份聲明

Is the First and/or Second Applicant 第一及/或第二申請人是否:

- (1) a senior officer or director of any (listed) company whose shares are traded on any exchange or market?
(If yes, please specify the company name and stock code)
任何其股份可在交易所或市場買賣的 (上市) 公司之高級人員或董事? (如是, 請說明公司名稱及股份編號)
- ☐ Yes 是: ☐ First Applicant 第一申請人 ☐ Second Applicant 第二申請人 ☐ First & Second Applicants 第一及第二申請人
Please specify the company name(s) and stock code(s) 請說明公司名稱及股份編號: _____
- ☐ No 否
- (2) a person licensed by or registered with the Hong Kong Securities and Futures Commission[^] or an employee of such person?
([^]If yes, please specify his/her CE No.)
香港證券及期貨事務監察委員會持牌或註冊人士[^] 或該人士之僱員? ([^] 如是, 請說明他 / 她的中央編號)
- ☐ Yes 是: ☐ First Applicant 第一申請人 ☐ Second Applicant 第二申請人 ☐ First & Second Applicants 第一及第二申請人
[^]Please specify his/her/their CE No(s) 請說明他/她/他們的中央編號: _____
- ☐ No 否
- (3) a relative of the Investment Consultant responsible for Applicant's Account(s) to be opened with MSL? (If yes, please state the relationship) 萬基證券此帳戶之負責客戶經理之親屬? (如是, 請陳述與之關係)
- ☐ Yes 是: ☐ First Applicant 第一申請人 ☐ Second Applicant 第二申請人 ☐ First & Second Applicants 第一及第二申請人
Please state the relationship(s) 請陳述與之關係: _____
- ☐ No 否
- (4) a U.S. citizen, a green card holder or residing in the U.S.?
美國公民、綠咭持有人或居住於美國?
- ☐ Yes 是: ☐ First Applicant 第一申請人 ☐ Second Applicant 第二申請人 ☐ First & Second Applicants 第一及第二申請人
- ☐ No 否

(5) born in the U.S.?

出生於美國？

☐ Yes 是：☐ First Applicant 第一申請人 ☐ Second Applicant 第二申請人 ☐ First & Second Applicants 第一及第二申請人
☐ No 否

Is/Are (i) the First and/or Second Applicant; and/or (ii) spouse, partner, child(ren) and/or parent(s) of the Applicant; and/or (iii) spouse(s) or partner(s) of the child(ren) of the First and/or Second Applicant; and/or (iv) close associate(s)^{^^} of the First and/or Second Applicant:

(i)第一及/或第二；及/或(ii)第一及/或第二申請人之配偶、伴侶、子女及/或父母；及/或(iii)第一及第二申請人子女的配偶或伴侶；及/或(iv)與第一及/或第二申請人關係密切的人^{^^}是否：

(6) entrusted with prominent public functions (e.g. Head of State or of government, senior politicians/important political officials, senior government officials, senior judicial officials, senior military officials, senior executives of state owned enterprise or religious leaders)? (If yes, please specify)

被委任為重要公職（例如：國家或政府元首、重要政客、高級政府官員、高級司法人員、高級軍官、國有企業高級行政人員或宗教領袖）？（如是，請說明）

☐ Yes 是（_____） ☐ No 否

^{^^} a person is a "close associate" of an individual if the person is:

如某人符合以下說明，該人即屬與某名個人（首述個人）關係密切的人：

(a) an individual who has close business relations with the first-mentioned individual, including an individual who is a beneficial owner of a legal person or trust of which the first-mentioned individual is also a beneficial owner; or

該人是與首述個人有密切業務關係的個人（在首述個人屬某法人或信託的實益擁有人的情況下，包括同樣屬該法人或信託的實益擁有人的個人）；或

(b) an individual who is the beneficial owner of a legal person or trust that is set up for the benefit of the first-mentioned individual.

該人是屬某法人或信託的實益擁有人的個人，而該法人或信託是為首述個人的利益而成立的。

SECTION C FOR COMPLETION BY APPLICANT APPLYING FOR MARGIN SECURITIES TRADING ACCOUNT 由孖展證券交易帳戶申請人填寫

To be completed by the First Applicant 供第一申請人填寫:

(1) Is your spouse a margin client of MSL? (If yes, please provide details.)

申請人的配偶是否萬基證券的孖展客戶？（如是，請提供詳情。）

☐ Yes 是（_____） ☐ No 否

(2) Do you alone or jointly with your spouse control 35% or more of the voting rights of a corporate margin client of MSL? (If yes, please provide details.)

申請人是否單獨或與配偶共同控制萬基證券之任何一個孖展公司客戶35%或以上的表決權？（如是，請提供詳情。）

☐ Yes 是（_____） ☐ No 否

To be completed by the Second Applicant 供第二申請人填寫:

(1) Is your spouse a margin client of MSL? (If yes, please provide details.)

申請人的配偶是否萬基證券的孖展客戶？（如是，請提供詳情。）

☐ Yes 是（_____） ☐ No 否

(2) Do you alone or jointly with your spouse control 35% or more of the voting rights of a corporate margin client of MSL? (If yes, please provide details.)

申請人是否單獨或與配偶共同控制萬基證券之任何一個孖展公司客戶35%或以上的表決權？（如是，請提供詳情。）

☐ Yes 是（_____） ☐ No 否

Is/Are any or all the Applicants, or was/were any or all of the Applicants at any time during the past 12 months, directly or indirectly (e.g. through a body corporate), whether or not together with other person(s) and/or entity(ies), connected or associated with any director (including any ex-director within the past 12 months), chief executive or substantial shareholder* of any company of Cornerstone Securities Limited ("Connected Person")**? (If yes, please provide such details as requested by the Cornerstone Securities Limited.)

任何或所有申請人是否現在或於過去十二個月內任何時間，直接或間接（例如：透過一法人團體），不論是否聯同其他人士及/或實體，跟萬基證券之任何公司的任何董事（包括過去十二個月內之前董事）、行政總裁或主要股東*有所關連（「有關連人士」）**？（如是，請提供萬基證券所要求的詳情。）

☐ Yes 是（_____） ☐ No 否

* "Substantial shareholder" means, in relation to a company, a person who is entitled to exercise, or control the exercise of, 10% or more of the voting power at any general meeting of that company.

「主要股東」指，就一間公司而言，任何人士其於該公司之任何股東大會擁有權行使，或可控制行使，10%或以上之投票權。

** Examples of Connected Person include a spouse, child (legitimate or not, natural or adopted), step-child (legitimate or not, natural or adopted), parent, father-in-law, mother-in-law, son-in-law, daughter-in-law, grandparent, grandchild, uncle, aunt, cousin, brother-in-law, sister-in-law, nephew and niece of the above-mentioned director, ex-director, chief executive or substantial shareholder, a trustee of or for any of the foregoing persons and a partner of any of the foregoing persons (including any aforesaid trustee).

有關連人士例子包括上述董事、前董事、行政總裁或主要股東之配偶、子女（不論是否合法，親生或領養）、繼子女（不論是否合法，親生或領養）父母、配偶的父母、子女的配偶、祖父母、外祖父母、孫及外孫、父母的兄弟姐妹及其配偶、堂兄弟姐妹、表兄弟姐妹、兄弟姐妹的配偶、配偶的兄弟姐妹、以及兄弟姐妹的子女、任何前述人士的或為任何前述人士的受託人及任何前述人士（包括任何前述受託人）的合夥人。

SECTION D GENERAL INFORMATION 一般資料**(1) Correspondence 通訊**

Address 地址：_____ Flat 室 _____ Floor 樓數 _____ Block 座數 _____ House 樓/Building 大廈
 _____ Estate 屋邨/Garden 花園 _____ No. and Name of Street
 門牌號數及街道名稱 _____ District 分區/Area 地區 _____ Country 國家

Language used in and
method of delivering
contract notes, daily &
monthly statements of
account, confirmations
and the like.

成交單、帳戶日結單及
月結單、確認函及同類
文件所用之語言及送
遞方法。

- (a) ☐ Email* 電郵* or 或 ☐ By post to correspondence address** 郵寄往通訊址 **
 (b) ☐ English 英文發出 or 或 ☐ Chinese 中文發出

If you choose to receive electronic account statements, you can read your account statements through email. Accordingly, in the interest of environmental protection, you will not receive account statements by post.

如閣下選擇接收電子帳戶結單，您可經電郵閱覽帳戶結單。基於環境保護的考慮，閣下將不會收到以郵件寄發的帳戶結單。

* Please see Clause (9)(ii) in Section H
請參閱 H 項第(9)(ii)條

If you choose to receive contract notes, daily & monthly statements of account, confirmations and the like by email, you agree to complete and sign such further form (e.g. an Application for Electronic Services (as defined in Clause (16) of Section H)) as may be subsequently required by the MSL from time to time.

若閣下選擇經電郵收取成交單據、帳戶日結單及月結單、確認函及同類文件，閣下同意填妥及簽署萬基證券可能其後不時要求的表格（例如：電子服務申請書（釋義按 H 項第(16)條））。

** Note: The contract notes, daily & monthly statements of account, confirmations and the like will be sent to the email address(es) as designated in Section A (or where applicable, the latest email address(es) you have notified MSL). If you would like to receive these documents by post, subject to applicable legal and regulatory requirements, MSL may charge a reasonable fee which may be amended by MSL at any time and from time to time without prior notice. For details of the said fee, please refer to the fee schedule accompanying the Client Agreement of MSL or on the website of MSL.

註：成交單據、帳戶日結單及月結單、確認函及同類文件將會送至 A 項所指定的電郵地址（或當適用，閣下已通知萬基證券之最新近的電郵地址）。然而，如閣下希望透過郵寄方式收到此等文件，在受制於適用法律及規管的要求下，萬基證券可向閣下收取合理費用，萬基證券可隨時及不時修訂該費用但不會作出事前通知。就上述費用的詳情，閣下可參閱附隨於萬基證券客戶協議或於萬基證券網站上的收費表。

(2) Ultimate beneficiary 最終實益持有人 (please choose the appropriate 請選擇合適者)

- ☐ First & Second Applicants 第一及二申請人 ☐ Others (Normally MSL would not accept the Applicants who are not ultimate beneficiaries) 其他（萬基證券一般情況下不會接受非最終實益持有人之申請人）

(3) Details of the Applicant's bank account for payment of money (if any) by MSL to the Applicants (under the joint names of the Joint Applicants).

可供萬基證券用作支付任何款項（若有的話）予所有申請人之銀行帳戶詳細資料（需以申請人聯名持有）。

Further, each of the Applicants hereby agrees that if this Account Application is approved by MSL, the bank account below shall be used to receive payments (if any) to the Applicants in accordance with the Documents.

再者，每一位申請人現同意，若本開戶申請表獲萬基證券所核准，以下銀行帳戶將被用作接受按文件給予所有申請人的款項（若有的話）。

Designated bank: _____ Bank account No.: _____
指定銀行 銀行帳戶號碼

Name of bank account holders: _____
銀行帳戶持有人姓名

Applicants' Signatures: _____
申請人簽署 First Applicant 第一申請人 Second Applicant 第二申請人

SECTION E INSTRUCTIONS TYPES & METHODS 指示種類及方法

MSL is authorised to act on the instructions of the following person(s)

(*Please choose instruction method for each instruction type):

萬基證券獲授權執行以下人士的指示

(*請選擇各指示類型的指示方法):

Instruction Method (Please choose one) 指示方法 (請選擇以下一項)	Instruction Types 指示類型	
	Trading Instructions 買賣指示	Other Instructions (e.g. fund withdrawal) 其他指示 (例如: 提取資金)
Given by any one of the Applicants singly 第一或第二申請人	Yes 是 / No 否*	Yes 是 / No 否*
Given by the Applicants jointly 第一及第二申請人	N/A 不適用	Yes 是 / No 否*
Others. Please state. Is there any authorised third party? 其他, 請說明。 需要授權第三者? Yes/No 是 / 否* (If "yes", please complete "Third Party Authorisation - Individual or Joint Account" 如是, 請填寫「第三者授權表格—個人或聯名帳戶」)		

Further, each of the Applicants hereby agrees that if this Account Application is approved by MSL, MSL shall be entitled (and is hereby authorised) to continue to act in accordance with the above instruction methods until it is notified to the contrary in writing in accordance with the notice provisions of the Client Agreement. If the Client Agreement covers both instructions and offers, "instruction types", "instruction type", "instruction methods", "instruction method" and "instructions" mentioned above include "offer types", "offer type", "offer methods", "offer method" and "offers" respectively.

再者, 每一位申請人現同意, 若本開戶申請表獲萬基證券所核准, 萬基證券將可 (及現獲授權可) 繼續按如上指示方法行事, 直至萬基證券被書面通知 (按戶協議之通知條文) 另有所規定為止。若客戶協議包含指示及要約, 以上提及的「指示類型」、「指示方法」及「指示」各自地包括「要約類型」、「要約方法」及「要約」。

Person or entity ultimately responsible for originating instructions (trading and/or others) for the Account

為此帳戶之最終負責作出指示 (交易及 / 或其他指示) 的人士或實體:

- ☐ First Applicant 第一申請人 ☐ Second Applicant 第二申請人 ☐ First & Second Applicants 第一及第二申請人
- ☐ Others (Please complete MSL's "Declaration of person/entity ultimately responsible for originating the instruction in relation to a transaction")
其他 (請填寫萬基證券的「最終負責作出交易指示的人士聲明」)

SECTION F FACILITIES APPLICATION 額度申請

OFFICE USE: TO BE COMPLETED BY (i) BUSINESS HEAD (OR DELEGATE) OR (ii) INVESTMENT CONSULTANT
由 (i)業務部主管 (或其代表) 或 (ii)客戶經理 填寫

For Cash Securities Trading Account
現金證券交易帳戶

Proposed Settlement Limit 建議結算限額: HK\$ _____ 港元

For Margin Securities Trading Account
孖展證券交易帳戶

Proposed Credit Limit 建議貸款限額: HK\$ _____ 港元

Overdraft Interest Rate 透支利率: _____ % plus prime lending rate 加優惠利率

Security % Limit 抵押比率: _____ %
(Acceptance / Market 可接受貨值 / 市值)

SECTION G APPLICANT'S AGREEMENT & ACKNOWLEDGEMENT 申請人之承諾及確認

We have read and fully understood the contents of this Account Application and the Client Agreement and agree to be bound by them.

吾等各已閱讀並完全明白本開戶申請表及客戶協議之內容, 並同意受其等所約束。

Further, we each confirm that the Risk Disclosure Statements, Risk Disclosure Information (if applicable) and US Trader RDS & Info (if applicable), in or accompanying the Client Agreement have been provided in a language of our respective choice (English or Chinese) and that we have read, understood and accepted the nature and contents thereof. We each appreciate that they are not and cannot be taken as a comprehensive or exhaustive list of all possible risks. We each further confirm that we have been given the opportunity to ask questions and take independent advice if we so wish.

再者, 吾等各確認載於或附隨客戶協議之風險披露聲明、風險披露資料 (若適用) 及美股通風險披露聲明及資料 (若適用) 已按吾等各選擇之語言 (英文或中文) 提供予吾等, 及吾等各已閱讀、明白和接受其 / 其等 (若適用) 性質和內容。吾等各明白它們不是而且不能被當作一份完全或徹底列舉所有潛在風險的清單。此外, 吾等各已被給予機會提出問題及徵求獨立的意見 (若吾等有此意願)。

In case we execute this Account Application not before a MSL staff/ MSL licensed representative, or in case I execute this Account Application in accordance with any non-face to face procedures as may be permitted by the applicable laws and/or regulatory requirements, I confirm that I am aware that (i) MSL will contact us via telephone call ("Follow-up Call") to explain to us the Risk Disclosure Statements and, if applicable, Risk Disclosure Information before permitting us to trade under any account to be opened under this Account Application and (ii) if any one of us does not confirm that I fully understand and accept the relevant risks during such Follow-up Call, any one of us can immediately withdraw this Account Application and have this Account Application and supporting documents returned to me.

若吾等並非在一名萬基證券有限公司員工 / 萬基證券有限公司持牌代表面前簽署此開戶申請表，或吾等在適用法律及或監管規定准許的情況下根據非親身開戶程序簽署此開戶申請表，吾等確認或吾等每人知悉(i)在吾等獲准在根據此開戶申請表開立的帳戶內進行交易前，萬基證券有限公司將會電話聯絡吾等（「跟進電話」）以解釋風險披露聲明及風險披露資料（若適用）；(ii)若吾等任何一人在跟進電話中不確認吾等完全明白並接受有關的風險，吾等任何一人可以立刻取消有關申請並取回此開戶申請表及相關證明文件。

For Cash Securities Trading Account(s) and Margin Securities Trading Account(s) Only

只適用於現金證券交易帳戶及孖展證券交易帳戶

We each also confirm that the RISKS OF TRADING IN EXCHANGE-TRADED STRUCTURED PRODUCTS (e.g. Derivative Warrants, Callable Bull/Bear Contracts) and RISKS OF TRADING IN SYNTHETIC EXCHANGE TRADED FUNDS contained in the above-mentioned Risk Disclosure Statements have been explained to us and we each have understood the contents thereof.

吾等各別確認已獲載於以上風險披露聲明之「買賣交易所買賣之結構性產品及衍生工具（例如：衍生權證、牛熊證）的一些相關風險」及「買賣合成交易所買賣基金的風險」之講解，且吾等各別已明白其內容。

For Online Securities Trading Accounts (US Trader) Only

只適用於網上美國證券交易帳戶（美股通）

(I) In addition, we each have received the agreements of the Information Services Provider(s) (as defined in Clause 6 of the Supplement to Sixth Schedule to the Client Agreement of MSL) listed below ("ISP Agreements") and have read and fully understood the terms contained therein and agree to be bound by all the terms of the applicable ISP Agreement(s). (II) We each have received the US Trader Anti-Money Laundering Undertakings, Representations and Warranties and have read and fully understand, and hereby undertake, represent and warrant to MSL in, and agree to, the terms contained therein. (III) We each consent that MSL may, at our own risk, send our Access Codes (as defined in the Client Agreement of MSL) for US Trader to my email address(es) specified in Section D of this Account Application and we each understand and accept all the risks associated with the sending of our Access Codes for US Trader to our aforesaid email address(es) (including, without limitation, the risks arising from the unreliable and public nature of the Internet which may cause incorrect information transmission or loss of confidentiality of the information transmitted).

(I)再者，吾等各已收到以下所列資料服務供應商（定義見萬基證券有限公司的客戶協議附件六補充文件的條款6）的協議（「資料服務供應商協議」）並各已閱讀及完全明白當中所載的條款，並各同意受適用的資料服務供應商協議的所有條款所約束。(II) 吾等各已收到美股通反洗黑錢承諾、聲明及保證並已閱讀及完全明白當中所載的條款以及謹此就該等條款向萬基證券作出承諾、聲明、陳述及保證，並同意該等條款。(III) 吾等各同意：在風險由吾等獨自承擔下，萬基證券有限公司可將吾等的美股通接達密碼（定義詳於萬基證券有限公司的客戶協議）送往於本開戶申請表 D 項所指明的電郵地址處及吾等各明白及接受所有與將吾等的美股通接達密碼送往吾等前述的電郵地址（一個或多個）處相關之風險（包括但不限於因互聯網的不可靠及公眾的性質所產生之風險而這些性質可能導致傳輸不正確資料或所傳輸之資料失卻其保密性）。

The ISP Agreements:

資料服務供應商協議：

1. Agreements & Disclosures/Equities Non-Professional Market Data Agreement:
協議及披露股票非專業市場數據協議：
 - (a) NYSE and Amex Terms and General Applicability of Market Data
紐約證券交易所(NYSE)及美國證券交易所(Amex)的條款及市場數據的普遍適用性
 - (b) OPRA Exchange Agreement – Non Professional Subscriber Application and Agreement:
期權報價管理局交易協議 – 非專業用戶申請及協議
(Last Sale and Quotation Information for Personal Non-business Use Only)
(僅供個人非商業用途的最新沽售及報價資料)
2. Dow Jones Indices Terms and Conditions
道瓊斯指數條款及條件
3. Agreements & Disclosures/On-Line Nasdaq Subscriber Agreement
協議及披露網上納斯達克用戶協議

Use of Personal Data for Direct Marketing 直接促銷中個人資料的使用

We understand that MSL intends to use or transfer our personal data by or to affiliated members of MSL (e.g. name, contact details and age group, etc.) for sending promotional or other materials and direct marketing of financial services, products or goods, for which MSL may receive gain. MSL cannot do so without each of our consent. Should we disagree to such use or transfer of our personal data, we would indicate our objection by ticking the box(es) below, and we can change our instructions at any time by providing written notice to MSL. If MSL receives any conflicting instructions from us regarding the use or transfer of our personal data, the instructions given at the latest date shall prevail.

吾等明白萬基證券欲使用或由本公司關聯的成員公司內部轉移吾等的個人資料（例如姓名、聯絡資料和年齡組別等）以作傳送推廣或其他資料，及直接促銷金融服務、產品或貨品，而萬基證券可能就此獲取得益，惟萬基證券在未經吾等各自的同意時不可使用吾等的個人資料。若吾等不同意吾等的個人資料之使用或轉移，吾等將於以下方格「□」中打√以示反對。吾等可以隨時透過書面方式，向萬基證券更改指示。倘萬基證券就吾等的個人資料的使用收到本人不一致的指示，則以最後日期提供的指示為準。

First Applicant 第一申請人：

- ☐ I object to the use or transfer of my personal data by or to affiliated members of MSL for direct marketing
本人反對本人的個人資料被萬基證券或關聯成員用作直接促銷或內部轉移

Second Applicant 第二申請人：

- ☐ I object to the use or transfer of my personal data by or to affiliated members of MSL for direct marketing
本人反對本人的個人資料被萬基證券或關聯成員用作直接促銷或內部轉移

Financial services, products or goods include but are not limited to those relating to any type of investment, lending or other related areas.

金融服務、產品或貨品包括但不限於任何投資及借貸或其他相關範圍。

For definitions and details of the MSL's personal data policy, please refer to the Personal Data Schedule of the attached Client Agreement(s) or subsequent amendments (if any).

有關萬基證券個人資料政策的定義及詳情，請參閱附隨的客戶協議之個人資料附件或其後修訂（若有）。

Executed as a deed on 簽訂作契約於： _____
(Insert date) (填上日期)

Signed, sealed and delivered by 簽署、蓋印及交付：

Applicant's Signature#:
申請人簽署#：

**Witnessed by MSL staff/ MSL
licensed representative*:**
由萬基證券僱員或持牌代表見證*：

**MSL staff name / MSL licensed
representative name:**
萬基證券僱員 / 持牌代表姓名：

_____(L.S.)
First Applicant 第一申請人

CE No. 中央編號:

_____(L.S.)
Second Applicant 第二申請人

CE No. 中央編號:

The signatures shall be recorded as specimen signature for the purpose of the Account and all matters relating to it.

為帳戶及所有其他相關事宜，簽署將被記錄為簽署樣式。

* If the witness is not an MSL staff / licensed representative, please sign in the Certification below.

如見證人並非萬基證券僱員 / 持牌代表，請簽署以下核證。

CERTIFICATION (to be completed when Account Application not signed before a staff member/licensed representative of MSL)
核證 (如開戶申請表並非在萬基證券的僱員持牌代表面前簽署，請填此欄)

I am a* Justice of the Peace/branch manager of a licensed bank/lawyer/certified public accountant (practising)/notary public/SFC licensed or registered person accredited to the intermediary named below. I hereby certify that on the date above written in this Section G, this Account Application was executed by the Applicant named in this Account Application (who had been previously identified by production of the original of his/her Identity Card or Passport (detailed above) to me) before me and the common seal of the Applicant was affixed to this Account Application in my presence.

本人乃*太平紳士持牌銀行分行經理律師執業會計師公證人隸屬以下所指名之中介團體之證監會持牌或註冊人士。本人現證實：於以上在本 G 項所寫的日期當日，本開戶申請表乃由本開戶申請表所指名的申請人（其身份已根據並向本人出示之身份證或護照（詳見上方）正本作核實）於本人面前簽訂。

* Please delete as appropriate 請刪去不適用者

Signature of the certifier 證明人簽署

Date 日期

Name of the certifier (please print)
證明人姓名 (正楷)

Title (please print)
銜頭 (正楷)

CE No. of the certifier (if applicable)
證明人之中央編號 (如適用)

Name and CE No. of the intermediary to which the certifier is accredited (if applicable)
證明人所隸屬之中介團體名稱及中央編號 (如適用)

Declaration by a licensed person accredited to Cornerstone Securities Limited**隸屬於萬基證券持牌人士聲明**

I confirm that I have provided the Risk Disclosure Statements, Risk Disclosure Information (if applicable) and US Trader RDS & Info (if applicable), in or accompanying the Client Agreement in a language of the Applicant's choice (English or Chinese), and have invited the Applicant to read such Risk Disclosure Statements and (if applicable) such Risk Disclosure Information, ask questions and take independent advice if he/she wishes.

本人確認已經按申請人所選擇語言（英文或中文）提供載或附於客戶的風險披露聲明、風險披露資料（若適用）及美股通風險披露聲明及資料（若適用），並已邀請申請人閱讀該／該等（如適用）風險披露聲明、提出問題及徵求獨立的意見如其有此意願。

I hereby confirm that I have not engaged in, and undertake that I will not engage in any activities or have any formal or informal arrangements in place to assist the Applicant or clients of MSL to circumvent the account identification requirements in relation to the Foreign Account Tax Compliance Act of the United States of America.

本人在此確認本人沒有從事、亦承諾在將來不會從事任何活動或有任何正式或非正式安排以協助申請人或萬基證券的客戶規避有關美國海外帳戶納稅法案(Foreign Account Tax Compliance Act)。

For Cash Securities Trading Account(s) and Margin Securities Trading Account(s) Only

只適用於現金證券交易帳戶及孖展證券交易帳戶

I confirm that I have explained to the Applicant the RISKS OF TRADING IN EXCHANGE-TRADED STRUCTURED PRODUCTS (e.g. Derivative Warrants, Callable Bull/Bear Contracts) and RISKS OF TRADING IN SYNTHETIC EXCHANGE TRADED FUNDS contained in the above-mentioned Risk Disclosure Statements.

本人確認已向申請人講解載於以上風險披露聲明之「買賣交易所買賣之結構性產品及衍生工具（例如：衍生權證、牛熊證）的一些相關風險」及「買賣合成交易所買賣基金的風險」。

For Online Securities Trading Accounts (US Trader) Only

只適用於網上美國證券交易帳戶（美股通）

(I) I confirm that I have provided the ISP Agreements (defined above) to the Applicant and have invited the Applicant to read the terms contained in the applicable ISP Agreement(s). (II) I have provided and invited the Applicant to read the US Trader Anti-Money Laundering Undertakings, Representations and Warranties. (III) I have explained to the Applicant that MSL may, at the Applicant's own risk, send the Applicant's Access Codes (as defined in the Client Agreement of MSL) for US Trader to the Applicant's email address(es) specified in Section D of this Account Application and I have explained the risks associated with the sending of the Applicant's Access Codes for US Trader to the Applicant's aforesaid email address(es) (including, without limitation, the risks arising from the unreliable and public nature of the Internet which may cause incorrect information transmission or loss of confidentiality of the information transmitted).

(I)本人確認本人已向申請人提供資料服務供應商協議（定義如上）並已邀申請人閱讀適用之資料服務供應商協議中的條款。(II)本人已提供並邀申請人閱讀美股通反洗黑錢承諾、聲明及保證。(III)本人已向申請人說明：在風險由申請人獨自承擔下，萬基證券可將申請人的美股通接達密碼（定義見萬基證券的客戶協議）送往於本開戶申請表 D 項所指明的申請人的電郵地址處及本人已說明將申請人的美股通接達密碼送往申請人前述的電郵地址處相關之風險（包括但不限於因互聯網的不可靠及公開之性質，這些性質可能導致傳輸不正確資料或所傳輸之資料失卻其保密性所產生的風險）。

Signature of licensed person 持牌人簽署

Date 日期

Name of licensed person (please print)

持牌人姓名（正楷）

CE No. (please print)

中央編號（正楷）

Documentation checked by 文件查對人: _____

SECTION H TERMS 條款

- (1) The Account is a non-discretionary account, which means that every trade conducted in it must be specifically authorised orally/in writing by the Applicant pursuant to Section E above or, if applicable, any person(s) duly authorised by the Applicant pursuant to this Account Application and the Client Agreement.
帳戶為非全權代客買賣帳戶，乃指帳戶內每項交易必須獲得以上 E 項所述之一位或所有申請人或根據本開戶申請表及客戶協議訂明之一位或多位恰當地獲授權人士（若適用），以口頭或書面形式發出的特定授權才可進行交易。
- (2) Save for Clause (15) of this Section H, this Account Application is subject to the Client Agreement as amended from time to time. Unless otherwise indicated in writing by MSL, the Documents shall together constitute the entire agreement and understanding between the Applicant and MSL in respect of the matters contemplated under the Documents. Terms defined in the Client Agreement have the same meanings when used in this Account Application (save where otherwise expressly provided in this Account Application). Save for Clause (15) of this Section H, in the event of any conflict or inconsistency between the Client Agreement and any other document entered into between the Applicant and MSL and this Account Application, the Client Agreement and any other document entered into between the Applicant and MSL shall prevail to the extent of such conflict or inconsistency.

除本 H 項第(15)條外，本開戶申請表乃受客戶協議（及其不時之修訂本）所規限。除非萬基證券另有書面表示，否則文件將一起構成爲申請人與萬基證券之間就文件所預期之事宜的全部協議及諒解。本開戶申請表所用之詞語與客戶協議所定義者具相同釋義（除非於本開戶申請表內另有明示指定）。除本文 H 項第(15)條外，倘若客戶協議及申請人與相關萬基證券間之任何其他文件與本開戶申請表有任何矛盾或不相同之處，當以客戶協議及申請人與相關萬基證券間之任何其他文件為準，但只限於該矛盾或不相同之處。

- (3) MSL will not automatically release the Applicant's name and address as supplied in this Account Application to Hong Kong Securities Clearing Company Limited for receiving corporate communications directly from a relevant listed issuer(s). A separate authorization (as specified by MSL from time to time) to MSL signed by the Applicant will be required for this purpose.

萬基證券不會自行將在本開戶申請表上所提供之申請人姓名及地址給予香港中央結算有限公司以作直接收取有關上市發行機構之公司通訊。申請人需另行向萬基證券簽訂由萬基證券不時指定之有關授權。

- (4) The Applicants hereby jointly and severally declare and represent that the information provided on, with, and/or pursuant to this Account Application is true, accurate, complete and up-to-date and that all action necessary to authorise the disclosure of such information to MSL and the use of such information by MSL for any purposes contemplated under or related to this Account Application has been taken. The Applicants hereby jointly and severally undertake to provide such further information as subsequently and reasonably requested by MSL from time to time or otherwise required under the Client Agreement. The Applicants hereby further jointly and severally undertake to notify MSL promptly of any change to any aforesaid information. MSL is entitled to rely fully on all aforesaid information for all purposes until MSL is notified to the contrary in writing and any such written notification shall be duly signed by the Applicants. The Applicants understand and accept that unless otherwise agreed by MSL in writing, any change to any aforesaid information shall not take effect until 2 days after the actual receipt by MSL of the relevant written notification.

申請人現各別及共同聲明及申述開戶申請表上提供、隨附及／或按本開戶申請表所提供的資料皆爲真實、準確、完整及爲最新的，並且已採取一切必要行動授權可向萬基證券披露該等資料及萬基證券可爲本開戶申請表所預期或關於其目的而使用該等資料。申請人現再各別及共同承諾此後根據客戶協議書及附件或萬基證券之合理要求，不時向萬基證券提供其他資料。申請人現再各別及共同承諾即時通知萬基證券任何前述資料之任何變更。除非萬基證券接獲申請人以書面通知的任何變更，否則萬基證券有權完全依賴所有前述之資料作一切用途及任何該等書面通知須由申請人恰當地簽署。所有申請人明白及接受：除非萬基證券另有書面同意，否則任何前述資料的任何變更，只會於萬基證券確實收妥有關書面通知當日起計兩日後才會生效。

- (5) Each Applicant hereby irrevocably and by way of security appoints MSL as his/her lawful attorney to execute all documents and do all things which MSL in good faith considers necessary and which such Applicant or both of the Applicants ought reasonably to do in furtherance or as a consequence of the terms of this Account Application or to perfect any security given by the Applicant(s).

每一位申請人現不可撤銷地並以保證形式委任萬基證券擔任其合法受託代表人簽訂所有文件，以及作出所有事情，而該等文件及事情乃萬基證券真誠地認為該位申請人或所有申請人應當合理簽訂或作出以貫徹本開戶申請表之條款或因此等條款而產生或以完善任何由申請人提供的抵押的文件或事情。

- (6) Each Applicant should familiarise himself/herself with and, where applicable, take advice on the laws and regulations applicable to the subscription, holding and realisation of the investments in respect of the Account in the place of his/her domicile/residence and, if applicable, all other relevant jurisdictions. Each Applicant hereby warrants and represents and undertakes to ensure (and it is his/her sole responsibility to ensure) that under the laws of the place of his/her domicile/residence and, if applicable, all other relevant jurisdictions, he/she is lawfully entitled or permitted to open and maintain the Account with MSL subject to the terms of the Client Agreement; to enter into such transactions, and to hold such assets, as contemplated under the Client Agreement and to comply with the terms of the Client Agreement and such warranties, representations and undertakings to MSL are deemed to be repeated on each day up to and including the termination of the Client Agreement of MSL. Termination of the Client Agreement of MSL shall not affect any action by MSL or any of its agents or any third party permitted under such Client Agreement initiated prior to the date of termination or any indemnity or warranty given by the Applicants (or any of them) under such Client Agreement. The Applicants jointly and severally undertake to pay all taxes, charges and other amounts, directly and indirectly, arising out of or in connection with the opening and/or maintaining of the Account and/or the entering into the aforesaid transactions and/or the holding of the aforesaid assets and/or the compliance with the terms of the Client Agreement. It is the sole responsibility of the Applicants to deal with any matter related to this Clause (6) and MSL is under no obligation to take any action in relation to any such matter. Should any Applicant require any reasonable assistance from MSL regarding any such matter, MSL may, in its absolute discretion, render such assistance and all the costs, fees, charges, expenses and other amounts thereby incurred (including any service charges of MSL for or in connection with rendering such assistance) shall be solely borne by the Applicants who jointly and severally undertake to pay the same. Notwithstanding anything in this Clause (6) and notwithstanding MSL may have rendered any assistance to the Applicants (or any of them) before (whether regarding the same matter or not), MSL may, at any time, without liability to the Applicants (or any of them) or any third party and without assigning any reason therefor, refuse to render any assistance or further assistance (as the case may be) to the Applicants (or any of them).

每一位申請人應熟悉在其居籍／居留地及（若適用）所有其他相關的司法管轄區適用於關於帳戶之認購、持有及變現投資的法律及規則並當適用時尋求相關意見。每一位申請人現保證、聲明及承諾確保（及此乃其獨自的責任去確保）根據其居籍／居留地及（若適用）所有其他相關司法管轄區的法律，其乃合法地有權或被許可在受客戶協議條款約束下於萬基證券開立並維持帳戶及訂立、及進行及持有客戶協議所擬之交易及資產；以及遵守客戶協議的條款。再者，該等向萬基證券發出的保證、聲明及承諾將被視爲每日作出，直至及包括萬基證券的客戶協議終止為止。萬基證券的客戶協議之終止，將不會影響在終止日前萬基證券或其任何代理人或任何第三方於該客戶協議容許下已展開之行動，亦不影響所有申請人（或其等任何一位）在該客戶協議下給予之任何彌償或保證。申請人各別及共同承諾支付直接或間接因或關於開立及／或維持帳戶及／或進行前述的交易及／或持有前述的資產及／或遵守客戶協議的條款而產生的所有稅項、費用及其他款項。此乃所有申請人獨自的責任處理關於本第(6)條的任何事宜，萬基證券並沒有責任就任何該等事宜採取任何行動。若任何申請人就任何該等事宜需要萬基證券的任何合理協助，萬基證券可能以其絕對酌情權提供該協助，並且因此而招致的所有開支、費用、收費、支出及其他款項（包括萬基證券為或關於提供該協助的任何服務費）將由所有申請人獨自承擔而其等亦各別及共同承諾支付。儘管本第(6)條有任何規定及儘管萬基證券可能以前已向所有申請人（或其等任何一位）提供任何協助（不論是否關於同一事宜），萬基證券可隨時拒絕向所有申請人（或其等任何一位）提供任何協助或進一步的協助（視情況而定）但無須向所有申請人（或其等任何一位）或任何第三方承責亦無須給予任何理由。

- (7) The Applicant confirms that unless otherwise indicated in this Account Application, he/she is acting as principal in relation to the Account.
所有申請人確認就帳戶而言，除非於本開戶申請表另有所指示，其乃以主事人的身份行事。
- (8) The Applicant confirms that they have read, are aware of and understands the terms set out in the Form of Options Information Statement and HK Exchange Disclaimer in the Client Agreement. (This Clause (8) is applicable to the Applicant if any Account, once approved to be opened, is governed by the relevant Client Agreement comprising the foregoing documents.)
所有申請人確認已閱讀、知悉並完全明白客戶協議內之期權資料說明表及香港交易所免責聲明（本第(8)條適用於申請人任何帳戶（一旦獲核准開立）便由包含前述文件之相關客戶協議所規限的帳戶）。
- (9) (i) The use of online trading services, specified at page 1 of this Account Application, shall be in accordance with MSL Client Agreement and such other applicable terms as may be designated from time to time by MSL. Depending on the choice of the Applicant indicated by ticking the appropriate box(es) for any one or more or all of the aforesaid online trading services ("**Chosen Electronic Services**"), the Applicant agrees to use the Chosen Electronic Services on such website(s) as designated by MSL from time to time and in accordance with the applicable document(s) and terms above mentioned in this Clause (9)(i) ("Applicable Documents" for the purpose of this Clause (9) only). The Applicant confirms that the relevant terms and conditions set out in the Applicable Documents, as well as the related risks set out therein and in the Risk Disclosure Statements ("**Risks**") have been explained to him/her. The Applicant confirms its understanding and acceptance of the Risks. The Applicant agrees to use the Chosen Electronic Services in accordance with the Applicable Documents. (This Clause (9)(i) is only applicable to the Applicant who has ticked the appropriate box(es) for the Chosen Electronic Services at page 1 of this Account Application).
本開戶申請表第1頁所指明的網上交易服務將按萬基證券的客戶協議及附件以及萬基證券可能不時指定之其他適用條款使用。視乎申請人於本開戶申請表第1頁適當方格「☐」中加上「☒」號作為顯示其所選擇上述之任何一項、多項或所有電子服務（「已選擇電子服務」），申請人同意，根據本第(9)條上述適用的一份或多份文件及條款（「適用文件」僅作本第(9)條之用途）並於萬基證券不時指定的一個或多個網站使用已選擇電子服務。申請人確認，其已獲解釋於適用文件內所列載的相關條款及條件及於適用文件及風險披露聲明內列出之相關風險（「該等風險」）。申請人確認其已明白和接受風險。申請人同意根據適用文件使已選擇電子服務。（本第(9)(i)條只適用於本開戶申請表第1頁於已選擇電子服務之適當方格「☒」中加上「☒」號之申請人。）
- (ii) Each Applicant consents to receive all relevant contract notes, daily and monthly statements of account, confirmations and the like (collectively, "**Advice**" for the purpose of this Clause (9) only) to be issued by MSL by means of email to the email address(es) provided in Section A herein above if this Account Application is approved by MSL. Each Applicant hereby acknowledges that the Internet or other electronic medium is an inherently unreliable medium of communication and that such unreliability is beyond MSL control or anticipation. Each Applicant agrees that MSL shall not be responsible for any loss, damage, costs, expenses, claims or liability of whatsoever nature, directly or indirectly, arising out of or in connection with such unreliability or the public nature of the Internet or other electronic medium or any other cause beyond MSL control or anticipation. (This Clause (9)(ii) is only applicable to the Applicant who has selected "Email" as the delivery method in Section A(14). However, if the Applicant is required to complete and sign an Application for Electronic Services for the purpose of receiving Advice (defined above), the terms and conditions in such Application for Electronic Services shall supersede this Clause (9)(ii)).
若本開戶申請表獲萬基證券所核准，各申請人同意於以上本開戶申請表A項所指定之電子郵件地址收取由萬基證券以電郵方式發出之所有成交單據、帳戶日結單及月、確認函及同類文件（僅就本第(9)條之用途，統稱「通知書」）。各申請人在此確認互聯網或其他電子媒介本質上乃不可靠的通訊媒介，而該不可靠性乃非萬基證券所能控制或預期的。各申請人同意，對直接或間接因相關於該不可靠性，互聯網或其他電子媒介之公眾性質或任何其他非萬基證券可控制或預期之原因而產生之任何損失、損害、開支、費用、索求或責任（不論屬任何性質），萬基證券一概並不承責。（本第(9)(ii)條只適用於在A(14)項已選擇「電郵」為送遞方法之申請人。但若申請人須為收取通知書（釋義按上）而填寫並簽署電子服務申請書，則該電子服務申請書所載之條款及條件將替代本第(9)(ii)條。）
- (10) The Applicant confirms the receipt of, and understands agrees to the terms of MSL's policies and practices relating to the use of personal data either attached to this Account Application as the Statement of Practice in regard to Personal Data (Privacy) Ordinance or attached to/provided in the Client Agreement (as the case may be).
所有申請人確認收到及明白並同意萬基證券有關個人資料使用之政策及慣例之條款，其等於附隨本開戶申請表的關於個人資料（私隱）條例之操作聲明中列明或附隨/載於客戶協議（視情況而定）。
- (11) By not objecting to the use of his/her personal data for direct marketing purposes by MSL in Section G, the Applicants expressly consents that MSL may at any time and from time to time send to him/her by telephone, email or other electronic means any messages relating to services or products which, in the opinion of MSL, the Applicants may be interested. Any Applicant may at any time request not to receive such messages from MSL by sending an "unsubscribe" request to the unsubscribe facility specified in such messages or by written notice to MSL at the address stated at the front page of this Account Application or such other address as MSL may subsequently notify from time to time.
若眾申請人於G項並不反對萬基證券使用其個人資料以作直接推廣用途，眾申請人則明確同意萬基證券可隨時及不時透過電話、電子郵件或其他電子途徑傳送予眾申請人萬基證券認為其可能有興趣之服務或產品訊息。任何申請人可隨時透過將取消接收要求送致該等訊息內所指定之取消接收選項，或以書面通知寄至本開戶申請表首頁所述之地址或萬基證券日後不時所公佈之其他地址，而要求不從萬基證券處接收該等訊息。
- (12) The Applicants each acknowledge and agree that being joint-account holders, if any one of them should die,
每一位申請人確認及同意作為聯名帳戶持有人，任何一人逝世，則：
(i) the surviving joint-account holder should immediately notify MSL in writing of the death;
尚存的聯名帳戶持有人須立即以書面通知萬基證券；
(ii) MSL is to pay or deliver to or to the order of the surviving joint-account holder any moneys, investments, property, Instruments and/or documents standing to the credit of or held for the Account, without prejudice to any right, MSL may have in respect of the same arising out of any set-off, counterclaim, lien, charge, pledge or otherwise whatsoever or to any step which MSL may deem it desirable to take in view of any third party claims thereto and/or for protecting the interest of MSL and/or other company(ies) of MSL and MSL shall be entitled to require the surviving joint-account holder to give and/or sign such document(s) as prescribed by MSL before releasing any money, investment, property,

instrument or document to or to the order of such survivor; and

萬基證券可將存於帳戶或為帳戶持有之任何款項、投資、財產、工具及 / 或文件支付或交付予尚存的聯名帳戶持有人或按其要求而支付或交付，但並不損害萬基證券可能擁有的權利 - 關於以上款項、投資、財產、工具及 / 或文件並因任何抵銷權、反申索、留置權、押記、質押或任何其他情況而產生的；亦不損害就第三者之申索及 / 或為保護萬基證券及 / 或萬基證券的其他一間或多間公司的利益而萬基證券認為適宜採取之任何步驟，及在發還任何款項、投資、財產、工具或文件予尚存的聯名帳戶持有人或按其要求而發還之前，萬基證券有權要求尚存的聯名帳戶持有人給予及 / 或簽署由萬基證券規定之一份或多份文件；及

- (iii) MSL shall not in any circumstances be liable in any way for any claims, loss, damages, liability, costs or expenses whatsoever suffered or incurred by any person or entity (including, without limitation, the surviving joint-account holder), directly or indirectly, arising from or in connection with any action or inaction taken or chosen by MSL pursuant to Clause (12)(ii) of this Section H or any breach of this Clause (12) by any of the Applicants; and the Applicants each agree to indemnify MSL against all claims, losses, damages, liabilities, costs or expenses whatsoever suffered or incurred by MSL, directly or indirectly, arising from or in connection with any action or inaction taken or chosen by MSL pursuant to Clause (12)(ii) of this Section H or any breach of this Clause (12) by any of the Applicants.

直接或間接因或關於萬基證券按本 H 項第 12(ii)條而作出或選擇之任何行動或不行動或任何申請人違反本第 12 條而引致任何人士或實體（包括但不限於尚存的聯名帳戶持有人）蒙受或承擔之任何索求、損失、損害賠償、責任、費用、支出或其他情況，萬基證券司在任何情況下均不會負上任何責任。同時，每一位申請人同意彌償萬基證券，直接或間接因或關於萬基證券按本 H 項第 12(ii)條而作出或選擇之任何行動或不行動或任何申請人違反本第 12 條而引致萬基證券蒙受或承擔之所有索求、損失、損害賠償、責任、費用、支出及其他情況。

- (13) The Applicants hereby jointly and severally agree to indemnify, on demand, MSL (on a full indemnity basis) for all losses, costs and expenses (including legal costs) and liabilities of any nature whatsoever suffered or incurred by MSL in reliance on any information mentioned in Clause (4) of this Section H or in consequences of any failure to provide any such information in a timely manner or at all by the Applicants or any of them or, directly or indirectly, arising from or in connection with MSL's act or inaction in relation to this Account Application (except for any wilful misconduct on its part), or any act or omission of the Applicants or any of them (whether or not constituting a breach of any provision contained in this Account Application).

所有申請人現各別及共同承諾應要求彌償萬基證券（按全面彌償基準）因依賴本 H 項第（4）條所述之任何資料或因所有或任何一位申請人沒有及時或沒有向萬基證券提供任何該等資料或直接或間接因或關於萬基證券就本開戶申請表之任何行動或不行動（其故意不當行為除外）或所有或任何一位申請人之任何行動或遺漏（不論是否構成一項違反本開戶申請表內所載之任何條文）而令萬基證券蒙受或承擔的所有損失、費用及支出（包括法律費用）及責任（不論屬任何性質亦然）。

- (14) The Applicants hereby undertake to be jointly and severally responsible for all indebtedness, liabilities and obligations in connection with the Documents.

所有申請人現承諾其等各別及共同承擔所有關於文件的債務及責任。

- (15) Notwithstanding anything to the contrary which may be contained in this Account Application or any other document, this Account Application is subject to the final approval of MSL (whether with or without further conditions) and MSL shall not be obliged to give any reason for not approving the same.

儘管本開戶申請表或任何其他文件可能另有訂明，本開戶申請表之最終核准將會由萬基證券公司決定（不論有否其他條件）。同時，萬基證券有權在無須提供理由之情況下拒絕該申請。

- (16) In this Account Application, the following terms have the following meanings:

於本開戶申請表，以下詞語具以下定義：

"Application for Electronic Services" means an application for internet, mobile devices, or other form of electronic services, the contents and form(s) of which may be specified by MSL from time to time.

「電子服務申請書」指就互聯網、流動設備或其他形式的電子服務之申請書，其內容及格式由萬基證券不時指定。

"MSL" means Cornerstone Securities Limited which agrees to open and maintain such account(s) and, where applicable, provide such services, with or without further conditions, as notified to the Applicant by such company in writing.

「萬基證券」指萬基證券有限公司，而其同意並以書面通知申請人開立及維持該通知所指的一個或多個帳戶及（若適用）（不論是否附帶其他條件）該通知所指的服務。

- (17) In this Account Application, unless the context otherwise specifies, terms in the singular shall include the plural and vice versa; all references to any particular gender shall include all genders; and references to Section(s) shall be to the Section(s) of this Account Application.

在本開戶申請表，單數詞語包括眾數詞語，反之亦然，提到一種性別之處，包括所有性別；及項目／項乃指本開戶申請表之項目／項。

OFFICE USE: TO BE COMPLETED BY (i) BUSINESS HEAD (OR DELEGATE) OR (ii) INVESTMENT CONSULTANT
由 (i)業務部主管 (或其代表) 或 (ii)客戶經理 填寫

Optional Information 自由提供資料

Applicant's Background 申請人背景 : _____

Applicant's relationship with Investment Consultant e.g. relatives (please specify), friend, etc.

申請人與客戶經理的關係，如親戚 (請註明)、朋友等

☐ Walk-in 街客

☐ Referral 客戶轉介

☐ Existing Client 現有客戶

☐ Others (Please specify) 其他 (請註明) _____

How long has the Applicant been known to Investment Consultant 客戶經理認識申請人的日子多久 : _____

Investment Consultant's Signature 客戶經理簽署 :

Full name 全名 :

Details of any licence or registration (including CE No.) 牌照或註冊資料 (包括中央編號) : _____

Approved account opening for and on behalf of MSL by
經由下列人士為及代表相關萬基證券核准開戶

Facilities Application approved by Credit
額度申請經由信貸部批核

Authorised Signatory
獲授權簽署人

Head of Credit (or designated person)
信貸部主管 (或指定代表)
Date 日期 :

Name (please print): _____

姓名(正楷)

Date 日期 :