

- ☐ 現金帳戶 Cash Account
- ☐ 保證金帳戶 Margin Account
- ☐ 期貨帳戶 Futures Account

客戶姓名 Client Name : _____

客戶帳號 Client A/C No. : _____



大田證券期貨有限公司
DT SECURITIES & FUTURES CO. LIMITED

(中央編號 CE NO.: BNC130)

公司帳戶開戶表格
Corporate Account Opening Form

客戶資料 Client Information

公司名稱

Name of Company

(中文Chinese) _____

(英文 English) _____

註冊國家

Country of Incorporation _____

註冊日期

Date of Incorporation _____

註冊成立證書號碼

Certificate of Incorporation No. _____

商業登記編號

Business Registration No. _____

其他註冊號碼(如有)

Other Registration No. (If any) _____

在成立國家之註冊地址Address of Registered Office in Country of Incorporation

營業地址(如與註冊地址有異，請附上地址證明) Business Address(if different from Registered Office Address, please attach address proof):

通訊地址(如與註冊地址有異，請附上地址證明) Correspondence Address(if different from Registered Office Address, please attach address proof):

請提供近三個月內發出的有效地址證明Please provide a valid address proof issued within 3 months

公司實體類型(只可選一項) Nature of Entity (Tick One only)

☐ 非上市公司 Unlisted

Company

業務性質 Nature of Business

☐ 獨資經營 Sole

Proprietorship

☐ 合夥經營

Partnership

☐ 信託 Trust

☐ 其他（請述明）Others (Please specify)

公司電話 Business Phone No.

電郵地址 E-mail Address

傳真號碼 Fax No.

銀行資料 Bank Account Information

銀行帳戶持有人名稱 Name of Bank Account Holder

指定銀行名稱 Designated Bank Name

銀行帳戶號碼 Bank Account No

(港元 HKD)

(美元 USD)

(人民幣CNY)

除閣下另行指示外，此帳戶將用作交收銀行帳戶。本公司須支付閣下的款項，將以支票或轉帳形式存入下列銀行帳戶，一切費用及風險均由閣下承擔。

Unless otherwise instructed by you, this account will be used as the settlement bank account. Payment due from the Company to you shall, at your costs and risks, be settled by way of deposit of a cheque or transfer to the following bank account.

財務狀況 Financial Information

法定股本 Authorized Share Capital

已發行股本 Issued Share Capital

繳足股本 Paid-up Capital

淨資產值(港元\$) Net Asset Value (HK\$)

年度稅後純利 Annual Net Profit (after tax)

港幣 HK\$

財政年度 For financial year

港幣 HK\$

財政年度 For financial year

公司結構 Corporate Structure [如有需要請加設附頁] [Please attach sheet if necessary]

股東資料: 直接或間接地擁有或控制(包括透過信託或持票人股份持有)客戶已發行不少於25%的股本

Particular of Shareholder(s): who owns or controls, directly or indirectly (including through a trust or bearer share holding), not less than 25% of the issued share capital of the Client

合夥人資料: 直接或間接地有權攤分或控制客戶不少於25%的資本或利潤

Particular of Partner(s): who is entitled to or control ,directly or indirectly, not less than 25% share of the capital or profits of the Client

股東/合夥人姓名 Name of Shareholder(s) / Partner(s)	身份證或護照號碼/ 註冊成立證書號碼 ID Card or Passport No. Certificate of Incorporation No.	住址/ 註冊地址 Residential / Registered Address	所佔股權(%) Shareholding (%)

所有公司董事資料 Particular of All Director(s) of the Company [如有需要請加設附頁] [Please attach sheet if necessary]

董事姓名 Name of Director(s)	身份證/護照號碼 ID Card / Passport No.	住址 Residential Address	國籍 Nationality

投資目的及經驗 Investment Objectives and Experience

投資目的Investment Objective：(可選多項) (May tick more than one)

☐ 資本增值Capital Gain

☐ 對沖Hedging

☐ 股息Dividend

☐ 投機Speculation

投資經驗Investment Experience：

☐ 股票、債券及其他證券Debentures or Other Securities

年數 Number of Year(s)：_____

☐ 槓桿外匯Leveraged Foreign Exchange

年數 Number of Year(s)：_____

☐ 期貨/期權Futures / Option

年數 Number of Year(s)：_____

☐ (其他，請註明Others (specify)：_____)

年數 Number of Year(s)：_____

獲授權人士對衍生產品的認識及投資經驗 Authorized Person(s)' Knowledge on Derivative Products and Trading Experience

1. 獲授權人士是否對衍生產品有認識? Has/Have the Authorized Person(s) of the Client adequate knowledge on derivative products?

☐ 有 Yes (請繼續回答下列的第2 條問題 Please continue to answer the following Question No.2)

☐ 沒有 None

2. 獲授權人士從以下途徑認識結構性或衍生產品 The Authorized Person(s) of the Client acquired knowledge of structured or derivative product(s) from the following ways

☐ 獲授權人士曾接受結構性或衍生產品的培訓或修讀相關課程 The Authorized Person(s) of the Client has received training or attended courses or seminars on structured or derivative product(s)

☐ 獲授權人士的工作經驗與結構性或衍生產品有關 Working experience of the Authorized Person(s) of the Client is related to structured or derivative product(s)

☐ 獲授權人士過往三年曾買賣衍生產品五次或以上

The Authorized person(s) has/have traded derivative product(s) 5 times or above in the recently 3 years.

☐ 其他 Others:_____

身份聲明 Identity Declaration

1. 客戶本身或客戶之董事、股東、或授權人是否證監會之持牌或註冊人士?

Is the client, client' s directors, shareholders or authorized persons, licensed by or registered with the Securities and Futures Commission?

☐ 否 No ☐ 是，請說明 Yes , please specify

監管機構名稱 Name of Regulatory Body_____

註冊號碼 Registration No. _____

身份 Status _____

2. 客戶本身或客戶之董事、股東、或授權人是否任何上市公司的董事/大股東?

Is the client, client' s directors, shareholders or authorized persons a director or major shareholder of any listed company?

☐ 否 NO ☐ 是，請提供上市公司的名稱和上市地點 Yes , please provide the name of the listed company and the place of listing

3. 客戶及/或任何之最終帳戶受益人是否與大田證券期貨及其附屬或聯營公司之僱員/董事有任何關係?

The Client and/or any of the ultimate beneficial owner(s) of the Account related to any employee or director of DT Securities & Futures or any of its subsidiaries or associated companies?

☐ 否 No ☐ 是，請說明 Yes , please specify

僱員/董事姓名 Name of the employee / director _____

關係 Relationship _____

4. 客戶或客戶之其他集團成員公司之股東或最終實益擁有人無論是單獨或與配偶是可以控制大田證券期貨任何客戶的30%或以上的表決權?

Does any shareholder or ultimate beneficial owner of the Company and any of your group companies either alone or with his/her spouse, who is in control of 30% or more of the voting rights of the Client, have a margin account with DT Securities & Futures ?

☐ 否 No ☐ 是 Yes ☐ 不適用，本公司並無其他集團成員公司/股東 N/A, we have no group companies/shareholders.

如是，請說明 If yes, please specify

帳戶持有人姓名 Name of account holder_____

帳戶號碼 Account No. _____

5. 與客戶屬同一公司集團的任何成員是否同是大田證券期貨有限公司之客戶？
Does any member of the same group of companies of the Company also a client of DT Securities & Futures ?

☐ 否 No ☐ 是 Yes

如是，請說明 If yes, please specify

關聯公司名字 Name of Related Company _____

帳戶號碼 Account No. _____

政治人物 Politically Exposed Person

客戶之董事、股東及/或其授權人、其各自的配偶、伴侶、子女或父母、或該名個人的子女的配偶或伴侶、或與該名個人有關係密切的人是否在任何地方擔任或曾擔任重要的公職(包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事)?

Is the client's directors, shareholders and/or its authorized persons, their respective spouses, partners, children or parents, or a spouse or a partner of a child of such individual, or close associate of such individual is or has been entrusted with a prominent public function in any place (which shall include a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official)?

☐ 否 No ☐ 是 Yes

如是，請提供資料如下 If Yes, please provide : _____

政治人物的名稱 Name of the politically exposed person : _____

地方及所擔任的公職 Place and public function entrusted with : _____

所擔任的公職的年期 Term of the public function entrusted with : _____

與客戶之關係 Relationship with the client : _____

公司資料之使用 Use of Person Information

公司/吾等已明白及同意一切由大田證券期貨（如適用）從本開戶表格或以其他方式獲取而由大田證券期貨（如適用）集團成員的相關聯繫或有關聯公司收集或持有的個人資料，均可供大田證券期貨（如適用）集團成員使用作以下自願性用途：

I/We have understood and agreed that the personal information collected or held by DT Securities & Futures (as applicable), whether contained in this form or otherwise obtained by the member of the DT Securities & Futures (as applicable) including an affiliated or associated company of a members of the DT Securities & Futures (as applicable), may be used by the member of the DT Securities & Futures (as applicable) for the following voluntary purposes:

- (a) 為大田證券期貨（如適用）及/或其他金融服務供應商的金融產品及服務提供市場推廣資料及進行直接市場推廣活動；及
to provide marketing materials and conduct direct marketing activities in relation to financial products and services of DT Securities & Futures (as applicable) and/or other financial services providers; and
- (b) 就大田證券期貨（如適用）集團成員的服務及產品發展進行市場調查及研究。to conduct market research and surveys for the DT Securities & Futures' (as applicable) development of service and product.

☐ 公司/吾等不欲大田證券期貨（如適用）將公司/吾等的個人資料用於上述自願性用途。

I/we do not want DT Securities & Futures (as applicable) to use my/our personal data for the voluntary purposes set out above.

客戶聲明及簽署 Declarations and Signature By Client

客戶同意按照本協議包括開戶申請表與綜合協議之條款及條件(連同所有附表)內列載適用於客戶申請開立的有關類別帳戶的一切有關條款，在本公司開立上述一個或多個帳戶。

The Client agrees to open the above Account(s) with the Company on all provisions of the Agreement comprised of this Account Opening Application and the Terms and Conditions of the Master Agreement (with all Schedules thereto) applicable to the type of Account(s) that the Client(s) applies to open.

倘簽署本部份，客戶即聲明、同意及確認如下：

By signing off this Section, the Client declares, agrees and confirms that:

- 本開戶申請表第一至第五部份提供的資料，均為完整、真實及準確。本公司有權基於一切目的而完全倚賴有關陳述及資料，除非客戶以書面通知本公司有關資料有任何改變，則作別論。本公司獲授權可隨時聯絡任何人，包括客戶之銀行、經紀或任何信用機構，藉以核實本開戶申請表中所提供之資料；
the information provided in Section 1 to 5 of this Account Opening Application is complete, true and accurate. The Company is entitled to rely fully on such representations and information for all purposes, unless the Client informs the Company in writing of any change to that information. The Company is authorised at any time to contact anyone, including the Client's bankers, brokers or any credit agency, for the purpose of verifying the information provided on this Account Opening Application;
- 客戶已閱讀、明白，和確認及同意本開戶申請表及綜合協議之條款及條件(包括所有附表並可隨時作出修改)內，有關與本公司申請開立的有關類別帳戶之一切有關條款，並同意接受其約束，詳情請參閱本公司網站(線上開戶>開戶指引): <http://www.dtgrouphk.com> ;
the Client has read, understood and confirmed, and agreed to be bound by all provisions of this Account Opening Application and the Terms and Conditions of the Master Agreement (with all Schedules and as amended from time to time) applicable to the type of Account(s) that the Client applies to open with the Company, for details, please refer to the official website(Online Account Opening>Account Opening Guidelines) ;
- 綜合協議之條款及條件之相關及適用部份已以客戶明白之語言向客戶作出充份解釋；
the contents of the relevant and applicable parts of the Terms and Conditions of the Master Agreement have been fully explained to the Client in a language which the Client understands;
- 如客戶用中文填寫此開戶申請表及/或已閱讀綜合協議之條款及條件的中文版本，客戶知悉條文的詮釋以英文版本為準；及
where the Client has completed this Account Opening Application in Chinese and/or read the Chinese version of the Terms and Conditions of the Master Agreement, the Client is aware that the English version of the same prevails over the Chinese version; and
- 客戶已閱讀並明白本公司於綜合協議之條款及條件中C部份之個人資料政策的部份，同意及接受其條款。
the Client has read and understood the Personal Data policy of the Company as contained in Section C to the Terms and Conditions of the Master Agreement, and agreed to and accepted such terms.
- 客戶已獲邀請閱讀風險披露聲明，並按其意願提出問題及諮詢獨立意見；

the Client was invited to read the risk disclosure statements, and to ask questions and take independent advice if Client so wishes;

除非於本開戶表格提供最終實益擁有人的詳情，否則客人將以當事人之身份行事，而倘於本開戶表格已提供最終實益擁有人的詳情，則客人確認所提供詳情的人士（一名或多名）為帳戶（一個或多個）的最終實益擁有人（一名或多名）；

Client is and will be acting as principal, unless where particulars of the ultimate beneficial owner(s) are provided in this Account Opening Form in which case Client confirm that the person(s) whose particulars are so provide is/are the ultimate beneficial owner(s) of the Account(s);

倘以下簽署客戶的任何股東及／或董事為受聘於香港證券及期貨事務監察委員持牌或註冊的任何人士，則以下簽署客戶承諾盡快通知大田證券期貨；
The undersigned client undertakes to promptly notify DT Securities & Futures if any of its shareholders and/or directors becomes employed by any licensed or registered person with Securities and Futures Commission of Hong Kong.

以下簽署客戶各股東及董事已年滿十八歲；

Each of the undersigned client's shareholder(s) and director(s) is over 18 years of age;

客人獲授權，並有權力和法定身份去簽署本開戶表格、保留及操作帳戶（一個或多個）、進行綜合協議之條款及條件預計進行的交易，及根據本開戶表格以及其綜合協議之條款及條件履行客人的所有義務，而本開戶表格以及其綜合協議之條款及條件按照其各自的條款，構成對客人可強制執行的有效和具有法律約束力的義務；

Client has the authority and power and legal capacity to sign this Account Opening Form, to maintain and operate the Account(s), to effect the transactions contemplated by the Terms and Conditions of the Master Agreement, and to perform all my/our obligations under this Account Opening Form and the Terms and Conditions of the Master Agreement, and this Account Opening Form and the Terms and Conditions of the Master Agreement constitute valid and legally binding obligations on me/us enforceable in accordance with their respective terms; and

I/We acknowledge that I/we have received, read and understood the following documents:

本人/吾等僅此確認，本人/吾等已收到，詳閱並瞭解以上文件:

客戶簽署Client Signature

獲授權人 (1)
Authorised Signatory (1)

客戶簽署(蓋上公司印章) Client Signature(with company chop)

獲授權人 (2)
Authorised Signatory (2)

客戶簽署(蓋上公司印章) Client Signature(with company chop)

姓名
Name: _____
日期
Date: _____

姓名
Name: _____
日期
Date: _____

見證人簽署 Witnessing Of Client Signature

客戶須在本公司之持牌代表面前簽立本開戶申請表，或將本開戶申請表連同恰當的支票，一併交回本公司，否則本開戶文件的簽立及有關的身分證明文件的見證，應由適合的證明人包括應由適合的證明人包括公證人、律師、會計師、特許秘書、持牌銀行分行經理、太平紳士、發出身分核實文件的國家的大使館、領事館或高級專員公署的人員、其他證監會持牌人或大田證券及期貨職員加以驗證。

If this Account Opening Application is not executed in the presence of the Company's licensed representative or is not submitted with an appropriate cheque, then signing of this Account Opening Application and sighting of related identity documents should be certified by a Notary Public, Lawyer, Certified Public Accountant, a Chartered Secretary, a Branch Manager of a Bank, a JP (Justice of the Peace), an officer of an embassy, consulate or high commission of the country of the issue of documentary verification of identity, any other SFC licensed person or DT Securities & Futures employee.

本人謹此見證上述客戶簽立此開戶申請表(構成本協議之重要文件)及其有關身份證明文件之正本:

I, the undersigned hereby certify that I have witnessed the signing of this Account Opening Application (forming an integral part of the Agreement) by the Client and have seen the original of the relevant identity documents of the Client:

姓名 Name : _____

職業 Occupation : _____

中央編號 CE No.: _____

日期 Date : _____

見證人簽署 Signature of Witness

持牌人士聲明 Declaration By Licensed Person

客戶已獲提供所選語言之有關證券、期貨及期權買賣之風險披露聲明書。本人已邀請客戶閱讀帳戶綜合協議之條款及條件內有關證券、期貨及期權買賣之風險披露聲明書，及列於香港期貨交易所有限公司規則、證券及期貨(合約限量及須申報的持倉量)規則及由證監會發出的有關指引內的申報規定及責任，並可提出問題及徵求獨立的意見(如客戶有此意願)。如客戶欲開立之帳戶為保證金帳戶，亦已通知客戶本公司會再質押證券抵押品。

The Client has been provided with the relevant Risk Disclosure Statement pertaining to trading in Securities, Futures and Options in a language of the Client's choice. I, the undersigned licensed representative has invited the Client to read the relevant Risk Disclosure Statement pertaining to trading in Securities, Futures and Options as set out in the Terms and Conditions of the Master Agreement, and the reporting requirements and the responsibilities of reporting set out in the Rules of Hong Kong Futures Exchange Limited and in the Securities and Futures (Contracts Limits and Reportable Positions) Rules and related guidance notes issued by the SFC, to ask questions and to take independent advice if the Client wishes. Where a Margin Account is to be opened, the Client has also been informed that the Company has the practice of replying securities collateral.

證券帳戶 For Securities Account:

客戶已獲提供所選語言之有關證券買賣之風險披露聲明書。本人已邀請客戶閱讀帳戶綜合協議之條款及條件內有關證券買賣之風險披露聲明書，提出問題及徵求獨立的意見(如客戶有此意願)。如客戶欲開立之帳戶為保證金帳戶，亦已通知客戶本公司會再質押證券抵押品。

The Client has been provided with the relevant Risk Disclosure Statement pertaining to trading in Securities in a language of the Client's choice. I, the undersigned licensed representative have invited the Client to read the relevant Risk Disclosure Statement pertaining to trading in securities as set out in the Terms and Conditions of the Master Agreement, to ask questions and to take independent advice if the Client wishes. Where a Margin Account is to be opened, the Client has also been informed that the Company has the practice of replying securities collateral.

期貨帳戶 For Futures Account:

客戶已獲提供所選語言之有關期貨及期權買賣之風險披露聲明書。本人已邀請客戶閱讀帳戶綜合協議之條款及條件內有關期貨及期權買賣之風險披露聲明書，及列於香港期貨交易所有限公司規則、證券及期貨(合約限量及須申報的持倉量)規則及由證監會發出的有關指引內的申報規定及責任，並可提出問題及徵求獨立的意見(如客戶有此意願)。

The Client has been provided with the relevant Risk Disclosure Statement pertaining to trading in Futures and Options in a language of the Client's choice. I, the undersigned licensed representative has invited the Client to read the relevant Risk Disclosure Statement pertaining to trading in Futures and Options as set out in the Terms and Conditions of the Master Agreement, and the reporting requirements and the responsibilities of reporting set out in the Rules of Hong Kong Futures Exchange Limited and in the Securities and Futures (Contracts Limits and Reportable Positions) Rules and related guidance notes issued by the SFC, to ask questions and to take independent advice if the Client wishes.

姓名 Name : _____

職業 Occupation : _____

中央編號 CE No. : _____

日期 Date : _____

持牌代表簽署 Signature of Licensed Representative

核准及接納 Approved and accepted by

Name of
Authorized Person : _____

Date : _____

Authorized Signature

備註：此乃重要文件。閣下（即「客戶」）應仔細閱讀並充份理解本協議之內容包括開戶申請表與綜合協議之條款及條件(連同所有附表)有關於本公司開立及持有一個或多個之交易帳戶（即「帳戶」）。客戶在簽署本開戶申請表前，如有所需，應先尋求獨立法律或其他專業意見。倘若本開戶申請表的中英文版本有任何歧異，一概以英文版本為準。

Note: This is an important document. You (the "Client") should carefully read and fully understand the contents of the Agreement comprised of this Account Opening Application

and the Terms and Conditions of the Master Agreement (with all Schedules thereto) for one or more trading accounts (the "Account(s)" to be opened and maintained with the Company. Before signing the Account Opening Application, the Client should firstly obtain independent legal or other professional advice as the Client may deem necessary. In case of any discrepancy between the English and Chinese versions of this Account Opening Application, the English version shall prevail.