

Southwest Securities (HK) Brokerage Limited (SFC CE No. ACB501)  
 西证(香港)证券经纪有限公司 (证监会中央编号: ACB501)  
 Southwest Securities (HK) Futures Limited (SFC CE No. AAZ149)  
 西证(香港)期货有限公司 (证监会中央编号: AAZ149)  
 40/F., Lee Garden One, 33 Hysan Avenue,  
 Causeway Bay, Hong Kong  
 香港铜锣湾希慎道 33 号利园一期 40 楼

<b>For office use only</b>	
Account No.:	_____
AE Name.:	_____
AE Code :	_____
Comm. Rate:	_____
<input type="checkbox"/> By Internet:	<input type="checkbox"/> By Phone: _____
Interest Rate:	_____
Ref. No.: SW-	_____

This form shall be read with Terms and Conditions of the Client Agreement.  
 此表格须与客户协议内的条款及条件一并阅读。

Please tick the appropriate box 请在适当空格加 <input checked="" type="checkbox"/> *Please delete whichever is inapplicable 请删去不适用者	Account Opening Date 开户日期	(fill in by Company 由公司填写)
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### Account Type 账户类别

<b>Company Nature 公司性质:</b>	<input type="checkbox"/> Listed Company 上市公司 <input type="checkbox"/> Unlisted Limited Company 非上市有限公司 <input type="checkbox"/> Overseas Company 海外公司 <input type="checkbox"/> Others (Please specify) 其他 (请说明): _____
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### Southwest Securities (HK) Brokerage Limited 西证 (香港) 证券经纪有限公司

<b>Account Type 账户类别</b>	<input type="checkbox"/> Cash Securities Account 证券现金账户 <input type="checkbox"/> Margin Securities Account 证券保证金账户 <input type="checkbox"/> Stock Options Account 股票期权账户
<b>Other Securities Markets Trading Services 其他证券市场交易服务</b>	<input type="checkbox"/> Shanghai and Shenzhen Stock Connect 沪深港通 <input type="checkbox"/> U.S. Stock 美股 (please sign Form W-8BEN-E 请签署 W-8BEN-E 表格)

### Southwest Securities (HK) Futures Limited 西证 (香港) 期货有限公司

<b>Account Type 账户类别</b>	<input type="checkbox"/> HK Futures & Index Option Account 香港期货及指数期权账户 <input type="checkbox"/> Oversea Futures Account 海外期货账户
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<b>Electronic Trading Services 电子交易服务</b>	<input type="checkbox"/> Required 需要 <input type="checkbox"/> Not Required 不需要
<b>Way of Receiving OTP 收取「一次性验证码」方式 (please choose one only 请选取其中一种)</b>	<input type="checkbox"/> SMS 短讯 _____ <input type="checkbox"/> E-mail 电邮 _____

### Business Data 业务资料

Company Name (English) 公司名称(英文)		_____	
Company Name (Chinese) 公司名称(中文)		_____	
Trading Name (if different from Company Name) 营业名称 (如异于公司名称)		_____	
Country of Incorporation 注册国家	_____	Date of Incorporation 公司注册日期	_____
Certificate of Incorporation No. 公司注册证号码	_____	Business Registration Cert. No. 商业登记证号码	_____
Address of Registration 注册办事处地址		_____	
Principal Business Address 主要营业地址		_____	
Correspondence Address* 通讯地址*	(if different from above 如与上址不同)		
(*P.O.Box not accepted 不接受邮件信箱)			

<b>Nature of Business 业务性质</b>			
<input type="checkbox"/> Business Services 商业服务	<input type="checkbox"/> Finance 金融业	<input type="checkbox"/> Legal 法律服务	<input type="checkbox"/> Retail 零售业
<input type="checkbox"/> Communication 通讯业	<input type="checkbox"/> Gambling 博彩业	<input type="checkbox"/> Logistics 物流业	<input type="checkbox"/> Restaurants 餐饮业
<input type="checkbox"/> Construction 建筑业	<input type="checkbox"/> Healthcare/Beauty 医护/美容	<input type="checkbox"/> Manufacturing 制造业	<input type="checkbox"/> Trading 贸易
<input type="checkbox"/> Entertainment 娱乐行业	<input type="checkbox"/> Hotels 酒店业	<input type="checkbox"/> Money Exchange 货币兑换	<input type="checkbox"/> Transportation 运输业
<input type="checkbox"/> Engineering 工程	<input type="checkbox"/> Insurance 保险业	<input type="checkbox"/> Real Estate 房地产	<input type="checkbox"/> Wholesale 批发业
<input type="checkbox"/> Others (Please specify) 其他 (请说明): _____			

Telephone No. 电话号码	_____	Facsimile No. 传真号码	_____	E-mail Address 电邮地址	_____
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## Corporate Structure 公司结构

### (1) Particular of ultimate beneficial owner(s) of the account (not applicable to Listed Company)

帐户最终实益拥有人资料细节 (不适用于上市公司)

Name 姓名	ID/Passport No. and Nationality 身份证/护照号码及国籍	Current Residential Address 现时住址	Contact No. 联络电话	% of Holding 持股百分比

### (2) Particular of Major Shareholders (Shareholding more than 25%) 主要股东资料细节 (持有百分之二十五以上股权)

Shareholder(s) Name 股东名称	ID Card / Passport / CI No. and Nationality 身份证/护照/注册证书 号码及国籍	Current Residential Address / Current Address 现时住址/现时地址	Contact No. 联络电话	% of Holding 持股百分比

### (3) Particular of Directors of the Company 董事资料细节

Director(s) Name 董事名称	ID Card / Passport / CI No. and Nationality 身份证/护照/注册证书 号码及国籍	Current Residential Address/ Current Address 现时住址/现时地址	Contact No. 联络电话

### Process Agent 法律程序代理人 (for the use of Overseas Company 海外公司客户必须填写)

For Client who does not have a registered office or place of business in Hong Kong, the Client hereby appoints \_\_\_\_\_  
(Name), \_\_\_\_\_ (address)  
as its authorized agent to receive service of process in Hong Kong on its behalf.  
客户在香港如无注册办事处或营业地点, 客户谨此委任 \_\_\_\_\_ (姓名), \_\_\_\_\_  
\_\_\_\_\_ (地址)为其获授权代理人, 代为在香港收取法律文件。

## Account Operation Authorization 账户操作授权

Any \_\_\_\_\_ of the undersigned individuals are authorized to deposit/withdraw fund/shares to/from the account, give settlement instructions and any other instructions on behalf of client and the specimen signatures appearing against their names are the true signatures of the authorized individuals:

以下任何 \_\_\_\_\_ 位授权人士签署均可代表公司对账户进行资金 / 股票存入或提取, 发出结算指示和其他账户有关指示, 而授权人士之真实签名样本已于其姓名旁边注明。

(1) Particular of Authorized Person 授权人士资料					
Name 姓名	ID Card /Passport No. and Nationality 身份证/护照号码 及国籍	Current Residential Address 现时住址	Position 职位	Contact No. 联络电话	Specimen Signature 签署式样

Each of the following authorized person specified is authorized to give verbal instructions and/or instruction through the Electronic Services and / or other means (where applicable) in relation to the purchase or sale of any securities and/or futures and/or options contracts for the Account(s) from time to time.

以下每一授权人士均有权为账户买卖任何证券及 / 或期货及 / 或期权合约而不时发出口头指示及 / 或透过电子服务及 / 或其他方式 (如适用) 发出的指示。

(2) Particular of Authorized Person 授权人士资料					
Name 姓名	ID Card /Passport No. and Nationality 身份证/护照号码 及国籍	Current Residential Address 现时住址	Position 职位	Contact No. 联络电话	Specimen Signature 签署式样

**Please provide board resolution with the arrangement of Account opening, authorized signatories, oral Instructions and other relevant Instruction. 请提供董事决议案列明开户、授权签署、口头指示及其他有关指示之安排。**

SPECIMEN OF BUSINESS CHOP (if applicable) 公司印章式样 (如适用)

## Financial Background 财务资料背景

Authorized Share Capital (HK\$) 注册资本 (港元)		Paid-up Share Capital (HK\$) 缴足股本 (港元)	
Source(s) of Funds (may choose more than one option) 资金来源 (可选择一项或多项)	<input type="checkbox"/> Shareholders Fund 股东资金 <input type="checkbox"/> Business income/ profit 业务收入/收益 <input type="checkbox"/> Return on Investments 投资回报	<input type="checkbox"/> Shareholders Loan 股东贷款 <input type="checkbox"/> Loans 借贷 <input type="checkbox"/> Others (Please specify) 其他 (请说明): _____	
Source(s) of Wealth (may choose more than one option) 财富来源 (可选择一项或多项)	<input type="checkbox"/> Business income/ profit 业务收入/收益 <input type="checkbox"/> Sale of Investment 投资回报 <input type="checkbox"/> Saving 储蓄	<input type="checkbox"/> Sale of Property/ Asset 出售物业/资产 <input type="checkbox"/> Inheritance 遗产继承 <input type="checkbox"/> Others (Please specify) 其他 (请说明): _____	
Profit after tax (HK\$) 除税后盈利 (港元)		Net Asset Value (HK\$) 资产净值 (港元)	
<input type="checkbox"/> Less than or equal to HK\$1,000,000 或以下 <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\$10,000,000 <input type="checkbox"/> HK\$10,000,001 – HK\$20,000,000 <input type="checkbox"/> Over HK\$20,000,000 以上		<input type="checkbox"/> Less than or equal to HK\$1,000,000 或以下 <input type="checkbox"/> HK\$1,000,001 – HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 – HK\$10,000,000 <input type="checkbox"/> HK\$10,000,001 – HK\$30,000,000 <input type="checkbox"/> HK\$30,000,001 – HK\$50,000,000 <input type="checkbox"/> Over HK\$50,000,000 以上	

## Account Transaction Information 账户事务数据

1	Estimated Amount for Investment at Account Opening 开户时预计用作投资的金额 <input type="checkbox"/> Less than or equal to HK\$2,000,000 或以下 <input type="checkbox"/> HK\$2,000,001 – HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 – HK\$10,000,000 <input type="checkbox"/> HK\$10,000,001 – HK\$20,000,000 <input type="checkbox"/> Above HK\$20,000,000 以上
2	Approximate Account Transaction Frequency Per Month 预期每月帐户交易笔数 <input type="checkbox"/> ≤ 100 <input type="checkbox"/> 101 – 200 <input type="checkbox"/> 201 – 500 <input type="checkbox"/> 501 -1000 <input type="checkbox"/> > 1000

## Investment Experience and Product Knowledge 投资经验及对产品认识

1	Investment Experience of Products (may choose more than one option) 产品投资经验 (可选择一项或多项) <input type="checkbox"/> HK Listed Stocks 香港上市股票 <input type="checkbox"/> Overseas Listed Stocks 海外上市股票 <input type="checkbox"/> China A-shares 中国 A 股 <input type="checkbox"/> HK Futures & Options 香港期货及期权 <input type="checkbox"/> Overseas Futures & Options 海外期货及期权 <input type="checkbox"/> Mutual Funds or Unit Trust 互惠基金或单位信托 <input type="checkbox"/> Bonds 债券 <input type="checkbox"/> Others (Please specify) 其他 (请说明): _____ <input type="checkbox"/> None 没有
2	Years of Experience in Securities Investment 证券投资经验年期： <input type="checkbox"/> Nil 没有 <input type="checkbox"/> 1-3 years 一至三年 <input type="checkbox"/> 3-5 years 三至五年 <input type="checkbox"/> 5-10 years 五至十年 <input type="checkbox"/> Over 10 years 超过十年
3	Investment Objectives (may choose more than one option) 投资目标 (可选择一项或多项) <input type="checkbox"/> Capital appreciation 资本增值 <input type="checkbox"/> Dividend 股息收益 <input type="checkbox"/> Hedging 对冲 <input type="checkbox"/> Long-term investment 长线投资 <input type="checkbox"/> Short-term trading 短线买卖 <input type="checkbox"/> Others (Please specify) 其他 (请说明): _____

4 Derivative Products Knowledge 对衍生产品的认识

a) Has any of your previous trading experience ever been related to structured or derivative product(s)?  
您以往曾否有买卖结构性或衍生产品的经验?

No 否  Yes 是, please state the structured or derivative product(s) you traded (may choose more than one option)  
请提供有关的产品名称 (可选择一项或多项)

Exchange Traded Convertible Bonds 交易所买卖换股债券  
 Derivative Warrants 衍生权证  
 Callable Bull/Bear Contracts (CBBC) 牛熊证  
 Exchange Traded Funds (ETF) 交易所买卖基金  
 Rights 供股权  
 Futures and Options 期货或期权合约交易  
 Stock Options 股票期权  
 Equity Linked Instruments / Notes (ELI/ELN) 股票挂钩产品  
 Others (Please specify) 其他 (请说明): \_\_\_\_\_

b) Have you executed five or more than five transactions in any structured or derivative product (whether traded on an Exchange or not) within the past three years?  
您是否曾在过去三年执行过五次或以上有关任何结构性或衍生产品的交易 (不论是否在交易所买卖) 的交易?

No 否  Yes 是

c) Have you ever attended any trainings or courses in relation to structured and/or derivative product(s)?  
您曾否接受有关结构性及/或衍生工具产品的培训或相关课程?

No 否  
 Yes 是, please state the name and date of the trainings or courses : \_\_\_\_\_  
 请提供培训或修读课程之名称及日期 :

d) Has any of your **current or previous** work experience been related to structured or derivative products(s)?  
您**现时或以往**的工作经常是否与结构性或衍生产品有关?

No 否  Yes 是 (Please specify 请说明): \_\_\_\_\_

**For clients who do not have any of the above-mentioned derivative products knowledge and experience, such clients will be considered as without knowledge of structured and / or derivatives product(s). Before trading in structured and/ or derivative product(s), the Client has read and understood the risks disclosure statements of Derivatives traded on Exchange included in the Client Agreement and agree to bear the risks involved.**  
 如客户没有以上任何一项结构性及/或衍生工具产品的经验及认识, 客户将被视作没有结构性及/或衍生工具产品认识。在客户买卖结构性及/或衍生工具产品之前, 客户就此确认已阅读及理解包括于客户协议中有关在交易所买卖的衍生产品的风险披露声明, 并同意承担有关风险。

### Disclosure of Information 资料披露

1 Is your Company ultimately responsible for originating instructions for the Account(s)?  
贵公司是否此帐户进行交易的最终负责发出指示人士?

Yes 是  
 No, detail of the person ultimately responsible for giving instructions is (if more than one, please specify on an additional paper),  
 否, 帐户进行交易的最终负责发出指示人是 (如多于一位, 请另纸说明):

Name of ultimate responsible for giving instructions 最终负责发出指示人士姓名	ID/Passport No 身份证 / 护照号码	Place of Birth 出生地区	Nationality 国籍	Occupation 职业
		Date of Birth 出生日期 (DD/MM/YYYY) (日/月/年)		

Current Residential Address 现时住址	Contact No. 联络号码	Relationship with account holder(s) 与帐户持有人的关系
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2 Is/Are any director(s), shareholder(s), authorized person(s), the ultimate beneficial owner(s) of the Account and/or the person ultimately responsible for giving instructions for the Account(s) of the client, a director, representative or an employee of any Licensed or Registered Institution of the Securities and Futures Commission in Hong Kong?  
客户之任何董事、股东、获授权人士、最终实益拥有人及/或最终负责就账户发出指示的人士, 是否香港证监会注册之持牌法团或注册机构之董事、代表或职员?

No 否  Yes 是\*, Name of the Licensed or Registered Person(s) 持牌或注册人士姓名 : \_\_\_\_\_

**\*If yes, please provide the written consent from the employer of your account(s) opening with Southwest**  
 如是, 请务必提供雇主确认同意于西证开立此账户之同意书

3 Does/Do any director(s), shareholder(s), and authorized person(s), the ultimate beneficial owner(s) of the Account and/or the person ultimately responsible for giving instructions for the Account(s) of the client has/have any relationship with any director or employee of Southwest Securities (HK) Brokerage Limited or Southwest Securities (HK) Futures Limited or its Affiliates?  
 客户之任何董事、股东、获授权人士、最终实益拥有人及/或最终负责就账户发出指示的人士，与西证(香港)证券经纪有限公司或西证(香港)期货有限公司或其附属公司之董事或职员是否有亲属关系？  
 No 否       Yes 是 (Please specify 请说明) :      Name of Director/Employee 董事或职员姓名 :      Relationship 关系 :

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4 Is/Are any director(s), shareholder(s), authorized person(s), the ultimate beneficial owner(s) of the Account and/or the person ultimately responsible for giving instructions for the Account(s) of the client, or his spouse, partner, child, parent, spouse or partner of his child, or a close associate with him a political exposed person, entrusted or has been entrusted with a prominent public function, which includes a head of state, head of government, judicial or military official, senior executive of a state-owned corporation, an important political party official and senior management of an international organization, i.e. directors, deputy directors and members of the board or equivalent functions?  
 客户之任何董事、股东、获授权人士、最终实益拥有人及/或最终负责就账户发出指示的人士，或其配偶、伴侣、子女或父母，或其子女的配偶或伴侣，或与其关系密切的人，是否担任或曾担任重要公职的政治人物，包括国家元首、政府首长、资深从政者、高级政府、司法或军事官员、国有企业高级行政人员、重要政党干事及国际组织的高级管理层，即董事会的董事、副董事及成员或对等职位？  
 No 否       Yes 是 (Please specify 请说明) : \_\_\_\_\_

5 Is the nature of the client's business particularly susceptible to money laundering risk? (e.g. money service, gambling business, the production of or trade in arms / war material)?  
 客户的业务性质是否特别容易蒙受较高的洗黑钱风险 (如金钱服务业、博彩业、武器/战争物资的生产或贸易等行业)？  
 No 否       Yes 是 (Please specify 请说明) : \_\_\_\_\_

6 Does the Company allow issuing bearer shares or nominee shareholder?  
 贵公司可否容许代名人股东或发行持票人股份 (Bearer Shares)?  
 No 否  
 Yes, please provide details 是, 请提供详细资料:  
 Name of ultimate beneficial owner(s) 最终实益拥有人名称 :      No. of Shares held 持股数量 :      Relevant document 有关文件 :

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7 Does/ Do any shareholder(s) in control of 35% or more of the voting right of the client maintain account(s) with Southwest Securities (HK) Brokerage Limited and/or Southwest Securities (HK) Futures Limited?  
 控制客户 35%或以上投票权的股东在西证(香港)证券经纪有限公司及/或西证(香港)期货有限公司是否持有账户?  
 No 否       Yes 是 (Please specify 请说明) :      Account Name 账户名称 :      Account No. 账户号码 :

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8 Does the Company maintain any other account(s) with Southwest Securities (HK) Brokerage Limited or Southwest Securities (HK) Futures Limited?  
 贵公司现时是否已持有西证(香港)证券经纪有限公司或西证(香港)期货有限公司之账户?  
 No 否       Yes, please provide details 是, 请提供详细资料:  
 Account Name 账户名称 :      Account Type 账户类别 :      Account No. 账户号码 :

**Bank Account 银行帐户 (For direct deposit 直接存款之用)**

Account Type 账户类别	Name of Receiving Bank 收款银行名称	Account Number 帐户号码	Address of Receiving Bank 收款银行地址	T/T SWIFT Code 银行国际代码

\*Proof of Bank account ) 需附银行帐户证明

## Delivery of Statements 结单寄发

Mailing Address* 邮件地址* (P.O.Box not accepted 不接受邮政信箱)	<input type="checkbox"/> Business Address 营业地址 <input type="checkbox"/> Correspondence Address 通讯地址 <input type="checkbox"/> E-mail Address 电邮地址 (For securities account, Electronic trading clients can examine statement by using Web Statement at <a href="http://www.swsc.hk">www.swsc.hk</a> ) (所有电子交易证券帐户客户可于西证网页 <a href="http://www.swsc.hk">www.swsc.hk</a> 查阅结单) <b>Please note that Administrative Fee will be charged monthly if receiving statement by post.</b> <b>若以邮递方式收取结单，每月将收取行政费用，敬请注意。</b>
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Choice of Language 语言选择     English 英文     Traditional Chinese 繁体中文     Simplified Chinese 简体中文

## Other Information 其他数据

Reason for Choosing Southwest for Account opening 阁下选择西证开户的原因

Friend or relative referral 亲友转介     Walk-in 自荐     Seminar 讲座     Others 其他： \_\_\_\_\_

## Personal Data Arrangement(s) 个人资料安排 (Applicable to Securities Account Client only 只适用于证券账户之客户)

We hereby  authorize /  do not authorize Southwest Securities (HK) Brokerage Limited to send our contact information to Hong Kong Securities Clearing Company Limited to receive the publication of corporate communication documents by the Issuer(s).

本公司  授权 /  不同意西证(香港)证券经纪有限公司将本公司联络资料转介至香港中央结算有限公司以收取发行人的公司通讯。

**Please provide English address for receiving information (if not stated in previous section):**

**请提供英文地址以收取数据(如之前部份未有提述):** \_\_\_\_\_

## Use of Personal Data in Direct Marketing Consent Letter 使用个人资料作直接促销同意书

Southwest Securities (HK) Brokerage Limited ("SWSB") / Southwest Securities (HK) Futures Limited ("SWSF") intends to use your company's personal data in direct marketing. Such personal data includes the name, contact details, financial background and statistical data which are provided to SWSB / SWSF under this Account Opening Form and obtained by SWSB / SWSF from time to time. SWSB / SWSF proposes to obtain your company's consent.

西证(香港)证券经纪有限公司(「西证证券」)/西证(香港)期货有限公司(「西证期货」)拟使用贵公司的个人资料作直接促销，该等个人资料包括贵公司在本开户申请书中向西证证券/西证期货提供及西证证券/西证期货不时获得的姓名、联络详情、财务背景、统计资料等的个人资料。为此须取得贵公司的同意。

We agree to receive promotional and direct marketing information from SWSB / SWSF in respect of financial, insurance, securities, investment services and products of SWSB / SWSF may offer. We also agree that SWSB / SWSF can share our company's personal data with its group companies for marketing and promotional purposes. We understand and accept that SWSB / SWSF and its group companies may, from time to time, engage third parties to provide direct marketing services unless we indicate an objection herein below:

本公司同意西证证券/西证期货向本公司的个人资料发放关于财务、保险、证券、投资的服务和产品的推广数据。本公司亦同意西证证券/西证期货及其集团公司分享本公司的个人资料作促销用途。本公司亦明白和接受西证证券/西证期货及其集团公司可能不时聘请第三方代表西证证券/西证期货及其集团公司提供直接促销服务，除非本人在下方表示反对：

We object to SWSB / SWSF use or transfer, whether for gain or not, of all kinds of our company's personal data to all classes of data transferees, for direct marketing of all classes of marketing subject.

本公司反对西证证券/西证期货使用或转移，不论是否为得益，本公司的所有个人资料的种类，给予所有数据承转人的类别以用作所有促销产品/服务/设施的类别的直接促销用途。

In the future, if your company does not wish SWSB / SWSF to use or provide your company's personal data to other persons for the use in direct marketing, your company may exercise your opt-out right by notifying SWSB / SWSF at (852) 2238 9238.

如贵公司将来不希望西证证券/西证期货使用或提供贵公司的个人资料给他人作直接促销，请致电 (852) 2238 9238 通知我们。

**Application of Account Opening and Information Provided 账户开立申请及数据提供**

We represent that the information on this Account Opening Form and relevant Forms is true, complete and correct and that we have not willfully withheld any material fact(s). We request you to open a Cash Securities / Margin Securities / Stock Options / Futures Account ("the Account") and agree to all the terms of the Client Agreement and to abide by the Client Agreement (including the General Terms and Conditions and the applicable Additional Terms and Conditions of the Client Agreement), the rules and regulations of Securities and Futures Ordinance, Hong Kong Exchange and Clearing Limited or any other regulatory body(ies) as amended from time to time governing the transactions in the Account. Southwest Securities (HK) Brokerage Limited ("SWSB") and / or Southwest Securities (HK) Futures Limited ("SWSF") is / are entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any change. SWSB and / or SWSF is / are authorized at any time to contact anyone, including our banks, brokers or any credit agency for the purpose of verifying the information provided on this Account Opening Form. We also understand that SWSB and SWSF will rely on the above information of Investment Experience and Product Knowledge provided to assess whether 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.

本公司兹声明在开户申请书及相关表格所提供之数据全部为真实、完整及正确，本公司并未刻意隐瞒任何重要事实。本公司向贵公司申请开立现金证券账户 / 保证金证券账户 / 股票期权 / 期货账户 ("该账户") 和同意遵守客户协议的所有条款，并同意遵守证券及期货条例、香港交易所有限公司及其他监管机构不时修定以规管于该帐户进行的交易之条例及规则。除非西证(香港)证券经纪有限公司 ("西证证券") 及 / 或西证(香港)期货有限公司 ("西证期货") 接到更改有关本开户申请书内容的书面通知，否则上述公司有权完全依赖此等资料及声明作一切用途。上述公司获授权可随时就核对本数据事宜，与任何人包括本公司之银行、经纪或任何信用机构进行咨询。本公司亦明白西证证券及西证期货根据上述投资经验及对产品认识内的数据介定本公司是否拥有对衍生产品之认识，以符合证券及期货事务监察委员会持牌人或注册人操守准则之有关要求。

**Agreement and Risk Disclosure Statement 协议及风险披露声明**

We hereby acknowledge and confirm that the Client Agreement, including but not limited to the Account Opening Form, the General Terms and Conditions, Additional Terms and Conditions, Data Privacy Policy, Disclaimers and the Risk Disclosure Statement was provided to me/us in a language of our choice (English or Chinese), and we have been invited to read the Risk Disclosure Statement carefully, ask questions and seek independent advice if we so wish. We also confirm that we have retained a copy of the Agreement for our reference.

本公司谨此承认并确定本公司已获得按照本公司所选择的语言 (英文或中文) 的客户协议，当中包括，但不限于本开户表、一般条款、附加条款、私隐政策、免责声明及风险披露声明，及本公司已获邀请细阅该风险披露声明，提出问题及征求独立的意见 (如本公司有此意愿)。本公司确认本公司已经保留本协议的副本，以作备考之用。

**Foreign Account Tax Compliance Act (FATCA) 海外账户税收合规法案**

We hereby declare that We am/are not a United States resident for Foreign Account Tax Compliance Act (FATCA) purposes, and the income to which the said Account(s) related is not subjected to tax under FATCA. We undertake to notify SWSB and/or SWSF within 30 days for any change of circumstances stated in the SELF-CERTIFICATION OF U.S. RESIDENT / CITIZEN. We shall fully indemnify and hold harmless SWSB and/or SWSF from and against all claims, damages, losses, costs and expenses whatsoever incurred as a result of such non-compliance or omission.

本公司谨此声明本公司并非《海外账户税收合规法案》下所定义之美国人士，而且此账户下之相关的收入依《海外账户税收合规法案》毋须扣缴税款。本公司的美国居民/公民自我证明的状况资料如有变更，本公司承诺于三十日内主动通知西证证券及 / 或西证期货。本公司亦同意悉数对西证证券及 / 或西证期货因本公司违规或遗漏而蒙受的任何索偿、损害、损失、费用及开支作出弥偿并保证其利益不受损害。

**Common Reporting Standard 共同汇报标准**

We agree to inform SWSB and/or SWSF within 30 days upon any changes in the information of the Self-Certification of Common Reporting Standard status supplied to SWSB and/or SWSF. We shall fully indemnify and hold harmless SWSB and/or SWSF from and against all claims, damages, losses, costs and expenses whatsoever incurred as a result of such non-compliance or omission;

本公司承诺若本公司的共同汇报标准自我证明的状况数据如有变更，会于三十日内主动通知西证证券及 / 或西证期货。本公司亦同意悉数对西证证券及 / 或西证期货因本公司违规或遗漏而蒙受的任何索偿、损害、损失、费用及开支作出弥偿并保证其利益不受损害；

SWSB and/or SWSF will request a self-certification and/or other relevant documentation in order to establish our tax residence for automatic exchange of financial account information purposes. If there is any change in circumstances that would affect our tax residence or there is reason for SWSB and/or SWSF to know that the self-certification is incorrect or unreliable SWSB and/or SWSF reserves the right to request and we have the obligation to provide a new self-certification and/or additional documentation. As account holder(s) of SWSB and/or SWSF, we shall be deemed to acknowledge that further information may need to be provided to SWSB and/or SWSF. SWSB and/or SWSF's compliance with the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112) and/or guidance may result in gathering, storing, using, and processing our information. Our information may also be disclosed to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region, which is further exchanged with tax authorities of another jurisdiction or jurisdictions in which we may be resident for tax purposes. Where we fail to provide any requested information (regardless of the consequences), SWSB and/or SWSF reserves the right to take any action and/or pursue all remedies at its disposal including, without limitation to restrict or terminate the operation of the account;

西证证券及/或西证期货须本公司提供自我证明或其他文件以揭示本公司纳税所在地，以作自动交换财务帐户数据用途。如本公司因任何情况而影响本公司的纳税所在地，或令西证证券及 / 或西证期货有理由相信本公司之自我证明有不正确或不可靠时，西证证券及 / 或西证期货保留权利可要求本公司递交新的自我证明及 / 或额外文件。作为西证证券及 / 或西证期货的账户持有人，本公司承诺及同意向西证证券及 / 或西证期货提供进一步的数据。西证证券及 / 或西证期货为遵守香港《税务条例》(第 112 章) 有关交换财务帐户数据的法律条文及/或指引，可能导致收集、储存、使用及处理本公司的资料。本公司的资料亦可向香港特别行政区政府税务局披露，从而把资料转交到本公司的居留司法管辖区的税务当局。如果本公司未能提供任何所要求的数据，西证证券及 / 或西证期货保留采取任何补救措施的权利，包括 (但不限于) 限制及终止账户的运作；

**Client Consent on the Northbound Investor ID Model (For Northbound Trading Service)****北向交易投资者标识符模式客户同意声明 (只用于北向交易投资服务)**

We hereby understand and agree that for Northbound trading under China Connect Service, it will entail the collection and use of our data by the SEHK and its subsidiaries, as well as its transfer to the Mainland exchanges and the CSRC so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets.

本公司明白及同意就中华通证券服务的沪股通及深股通交易，香港联交所及其附属公司将收集和使用本公司数据，以及向内地交易所及中国证监会转交有关资料，以配合其履行关于中国大陆金融市场的监管、监察及执法职能。



We acknowledge and agree that in providing SWSB's China Connect securities trading service to us, SWSB will be required to: 本公司明白及同意，西证证券为本公司提供中华通证券交易服务时，西证证券须要：

- (a) tag each of the Client's orders submitted to the China Stock Connect System ("CSC") with a Broker-to-Client Assigned Number ("BCAN") that is unique to us; and 在提交每一客户交易指令予中华通买卖盘订单传递系统时，在交易指令中附上本公司唯一的券商客户编码；及
- (b) provide to the Exchange our assigned BCAN and such identification information ("Client Identification Data" or "CID") relating to us as the Exchange may request from time to time under the Rules of the Exchange. 向交易所提供本公司唯一的券商客户编码及一切交易所按照其规则不时要求索取的关于本公司的身份识别资料。

By instructing SWSB in respect of any transaction relating to China Connect Securities, we acknowledge and agree that SWSB may use Our data for the purposes of complying with the requirements of the Exchange and its rules as in force from time to time in connection with the Stock Connect Northbound trading. We also acknowledge that despite any subsequent purported withdrawal of consent by us, our data may continue to be stored, used, disclosed, transferred and otherwise processed for the above purposes, whether before or after such purported withdrawal of consent.

当本公司指示西证证券进行任何中华通证券的交易时，本公司明白及同意，西证证券可以使用本公司的数据以遵守交易所的要求及其对中华通北向交易不时生效的规则。本公司也明白，即使未来本公司计划撤消同意，本公司的资料（不论本公司撤消同意前或后）会继续被储存、使用、披露、转移或其他方式处理，以达至上述目的。

We acknowledge and agree that failure to provide SWSB with our data or consent as described above may mean that SWSB will not, or no longer be able, as the case may be, to carry out our trading instructions or provide us with SWSB's China Connect securities trading service.

本公司明白及同意，如本公司不能如上述向西证证券提供本公司数据或同意，将可能导致西证证券（按情况）不会或不可继续执行本公司的交易指示或向本公司提供中华通证券交易服务。

**Notice and Statement Relating to the Personal Data (Privacy) Ordinance 个人资料(私隐)条例的通知及声明**

We have carefully read, fully understood and agreed to accept and be bound by the Notice and Statement Relating to the Personal Data (Privacy) Ordinance (Cap. 486) as set out in Part V of the Client Agreement.

本公司已仔细阅读，完全理解并同意接受并遵守载于客户协议第五部份有关个人资料(私隐)条例（第 486 章）的通知及声明。

**Standing Authority under "Securities and Futures (Client Money) Rules" (For Securities Account and Futures Account)**

**「证券及期货(客户款项)规则」下之常设授权 (适用于证券账户及期货账户)**

We hereby agreed, acknowledge and confirm that we have given the standing authority to authorize you to deal with our money and the contents of the standing authority under Securities and Futures (Client Money) Rules of Client Agreement Part III Schedule E clause 9 have been explained to me / us and we understand and agreed the contents of it.

本公司谨此同意、承认及确定本公司已授予贵公司常设授权以处置本公司的款项，并且本公司就该客户协议内的第三部份附表 E 第 9 项的证券及期货（客户款项）规则下之常设授权的内容已获得解释，及本公司明白及同意其内容。

**Standing Authority under "Securities and Futures (Client Securities) Rules" (For Securities Margin Account Only)**

**「证券及期货(客户证券)规则」下之常设授权 (只适用于证券保证金账户)**

We hereby agreed, acknowledge and confirm that we have given the standing authority to authorize you to deal with our securities collateral and the contents of the standing authority under Securities and Futures (Client Securities) Rules of Client Agreement Part III Schedule A clause 5 have been explained to me/us and we understand and agreed the contents of it.

本公司谨此同意、承认及确定本公司已授予贵公司常设授权以处置本公司的证券抵押品，并且本公司就该客户协议内的第三部份附表 A 第 5 项的证券及期货（客户证券）规则下之常设授权的内容已获得解释，及本公司明白及同意其内容。

**Additional Statement (For Futures Trading and Stock Option Trading Account)**

**附加声明 (只适用于股票期权及期货账户)**

We agree to read the reporting requirements and the responsibilities of reporting set out in the Securities and Futures (Contract Limits and Reportable Position) Rules and related guidance notes issued by the Securities and Futures Commission. We agree to make the relevant notification and fulfill the responsibilities as required by the Securities and Futures (Contract Limits and Reportable Position) Rules and SFC and HKFE. We understand that we may also directly access all relevant information at the Web-site of Securities and Futures Commission or at the Web-site of HKEx.

本公司同意细阅列于证券及期货(合约限量及须申报的持仓量)规则及由证监会发出的有关指引的申报规则及责任。本公司同意依据证券及期货(合约限量及须申报的持仓量)规则、证监会及期货交易所之要求作出申报及完成有关责任。本公司明白所有有关资料可以由证监会及香港交易所的网页上获得。

*The terms in English version, as opposed to the Chinese translation, shall be deemed to be conclusive and definitive.*

*本开户表之英文本（相对中文译本而言）为确实及有最终效力。*

	
<b>Client Authorized Signature(s) with Company Chop (if applicable)</b> 客户授权人签署并盖公司印章（如适用）	<b>Date</b> 日期

**Declaration by Representative  
of Southwest Securities (HK) Brokerage Limited/Southwest Securities (HK) Futures Limited  
由西证(香港)证券经纪有限公司 / 西证(香港)期货有限公司之代表作出声明**

I, the licensed representative of SWSB / SWSF\*, hereby declare and confirm that I have fully explained and provided the contents of the Client Agreement, including but not limited to this Account Opening Form, the General Terms and Conditions, the Additional Terms and Conditions, the Disclaimers, the Data Privacy Policy and the Risk Disclosure Statement to the Client in a language which the Client understand and I have invited the Client to read the Risk Disclosure Statements, ask questions and take independent advice if the Client wishes.

本人作为西证证券 / 西证期货\*之持牌代表，谨此声明及确认本人已经以客户所选择明白的语言，清楚解释客户协议书，当中包括但不限于本开户表、一般条款、附加条款、免责声明、私隐政策及风险披露声明的内容，并已邀请客户细阅有关风险披露声明，并提出问题及征求独立意见（如客户有此意愿）。

Name of LC 持牌法团名称	Signed by LR 持牌代表签署	Name of LR 持牌代表姓名	CE No. 中央编号	Date 日期
SWSB 西证证券				
SWSF 西证期货				

**Witness Declaration 见证人声明  
(Only applicable to the witness who is NOT Licensed Representative of Southwest Securities (HK) Brokerage Limited/ Southwest Securities (HK) Futures Limited)  
(只适用于并非西证(香港)证券经纪有限公司 / 西证(香港)期货有限公司之持牌代表使用)**

I, named below, certify that I have verified the genuine copy of client identification document, address proof and other account opening document and have sighted that the client counter sign on this Account Opening Form.

本人（姓名如下）确认已验证客户身份证明文件、地址证明及其他文件之正本，并已见证客户在本开户表上签署。

Witness Signature

见证人签署：

Profession / Title

所属专业/职位：

Name of Witness

见证人姓名：

Date of Witness

见证日期：

**Note 注意：**

- Client can choose business address, correspondence address or e-mail address as all the statements will be sent to this address. P.O. Boxes are not accepted. Please attach the address proof of the correspondence address dated within the **latest 3 months**.  
客户可选择以营业地址、通讯地址或电邮地址收取帐户结单。邮政信箱恕不接受。请附上在**最近三个月内**之通讯地址证明文件。
- This form should be completed and signed by the customer in front of SWSB / SWSF's Licensed Representative, otherwise, please see below Note 4.  
客户必须在西证证券 / 西证期货的持牌代表面前填妥及签署本表格；如非亲身开户，请参看下方的注意 4。
- Any deletion or amendment must be signed by all account holders.  
任何删除或修改，必须由客户签名作实。
- If this document is not executed by the client in front of SWSB / SWSF's Licensed Representative, then the signing of Witness and sighting of related identity documents should be certified by a JP (Justice of Peace), an affiliate of SWSB / SWSF or a professional person such as a branch manager of a bank, certified public accountant, lawyer, notary public or chartered secretary.  
如开户文件并非在西证证券 / 西证期货的持牌代表面前签署，则见证人签署及有关身份证明文件须由太平绅士、西证证券 / 西证期货的联系人、银行分行经理、执业会计师、律师、公证人或特许秘书加以验证。

**For Office Use Only 只供本公司专用**

SWSB / SWSF hereby appoints the following Account Executive(s) being licensed by Securities and Futures Commission or such other licensed person as from time to time it may permit and notify the Client in writing, to be primarily responsible for the affairs of the Client in respect of the Client's account(s) with SWSB / SWSF:

Name of Account Executive:

1.	Mr./Ms.		CE No.	
2.	Mr./Ms.		CE No.	

Commission Rate

Securities	/min	Futures	/min
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Name and Signature of AE/Licensed Person

Date:

Document checklist 文件查核清单 : (NOT applicable to Professional Investor 不适用于专业投资者)

<input type="checkbox"/> Certified true copy of Business Registration Certificate (if any) 商业登记证之核证副本 (如有) <input type="checkbox"/> Certified true copy of Certificate of Incorporation 公司注册证书之核证副本 <input type="checkbox"/> Certified true copy of Memorandum (before March 2014) & Articles of Association 公司章程大纲及细则(在 2014 年 3 月前)之核证副本 <input type="checkbox"/> Certified true copy of the Latest Annual Return 最近周年报表核证副本 <input type="checkbox"/> Certified true copy of Certificate of Incumbency (Overseas Company) (within 6 months) 存续证明书之核证副本(海外注册公司)(六个月内) <input type="checkbox"/> Certified true copy of Register of Member & Register of Directors (applicable to company incorporated overseas) 股东名单及董事名单之核证副本 (海外注册之公司) <input type="checkbox"/> Certified true copy of Board Resolution / Minutes authorising the opening of securities account; execution of the account opening documents; specifying authorized personnel(s) to sign Documents, give instructions for the movement of funds or assets or place trading order on behalf of the company; and relevant authorized signature specimen 授权开立证券账户、执行开户文件、签署开立账户的文件, 指定专人代表其公司签署文件或发出指令调动资金或资产或交易指令及有关人士之签署式样董事会会议记录或决议之核证副本 <input type="checkbox"/> Certified true copy of ID Card/Passport and residential address proof (within 3 months) of all Directors, all Authorized Persons, all Shareholders (over 25% shareholding), Ultimate Beneficial Owner(s) of the Account & all Guarantor(if any) 所有董事、获授权人士、主要股东(持股量超过 25%)、最终实益拥有人及担保人的身份证或护照副本及地址证明(三个月内)之核证副本	<input type="checkbox"/> Certified true copy of Business/ Registration/ Correspondence Address Proof (within 3 months) 营业 / 注册 / 通讯地址证明之核证副本(三个月内) <input type="checkbox"/> Audited Financial Statement (within 1 year) (if required) 审计财务报表 (一年内)(如需要) <input type="checkbox"/> Ownership and structure control Chart of the Client (if any) 公司的所有权及控制权架构图 (如适用) <input type="checkbox"/> Guarantee of Directors 公司董事担保书 <input type="checkbox"/> Form W-8BEN-E or Form W-8IMY W-8BEN-E 表格或 W-8IMY 表格 <input type="checkbox"/> Form W-9 (if US person) W-9 表格(如美国人士) <input type="checkbox"/> Entity Tax Residency Self-Certification Form (CRS) 实体税务居民身分自我证明表格《通用报告准则》 <input type="checkbox"/> Controlling Person Tax Residency Self-Certification Form (CRS)(if Entity is Passive NFE) 控权人税务居民身分自我证明表格《通用报告准则》(如实体是被动非财务实体) <input type="checkbox"/> Copy of Client's local bank's detail ( if the client provided the related info in the application form) 本地银行卡资料副本(如客户已填写相关资料)
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Remarks :

Document & Client Information checked by:

Name of staff & signature		Date	
Name of staff & signature		Date	

**ACKNOWLEDGED AND ACCEPTED BY AN AUTHORIZED SIGNATORY(IES) FOR AND ON BEHALF OF SOUTHWEST SECURITIES (HK) BROKERAGE LIMITED/SOUTHWEST SECURITIES (HK) FUTURES LIMITED**

经由西证(香港)证券经纪有限公司 / 西证(香港)期货有限公司之授权代表确认及接纳

Authorized Signature(s) 授权代表签署	Name of Authorized Person 授权代表姓名	Date 日期

**CERTIFIED EXTRACT OF BOARD RESOLUTIONS**

**董事局决议案核证摘要**

We hereby certify that the following resolutions have been passed by the board of directors (the “Board”) of \_\_\_\_\_ (the “Company”) at a meeting of the Board duly convened and held at \_\_\_\_\_ on \_\_\_\_\_ at which a quorum was present and acted throughout in accordance with the constitution of the Company and have been duly recorded in the minute book of the Company and that no action have been taken to rescind or amend the said resolutions and that the same are now in full force and effect.

本公司兹证明，下列决议案经\_\_\_\_\_（「本公司」）董事局于\_\_\_\_\_年\_\_\_\_\_月\_\_\_\_\_日在\_\_\_\_\_

正式召开之董事局会议通过，该会议有足够法定人数出席，并自始至终按照本公司章程规定行事，且已被正式加载本公司之会议记录册内。并无任何人采取任何行动撤消或修改上述决议案，而该决议案正式全面生效及有效。

1. THAT the account(s) as per our choice in Account Opening Form (“the Account”) in the name of the Company be opened and maintained with Southwest Securities (HK) Brokerage Limited and / or Southwest Securities (HK) Futures Limited (“Southwest”) and operated in accordance with the terms and conditions of Southwest’s Client Agreement and Account Opening Form (collectively the “Account Opening Agreement”).

决议通过以公司的名义，在西证（香港）证券经纪有限公司及/或西证（香港）期货有限公司（“西证”）开立一个于开户申请书所选的账户（“账户”），并按照西证的客户协议书及开户申请书（统称“开户协议”）内之条文所约束及运作。

2. THAT the Account be operated by the Authorized Persons as specified in the Account Opening Form and the Company shall notify Southwest from time to time of any amendments thereto.

决议通过载于开户申请书内所详述之“授权人士”获公司授权运作公司的账户，公司并需将不时有关的更改通知西证。

3. THAT the Account Opening Agreement in such forms as completed and tabled at the Meeting be and hereby accepted and approved and any Director of the Company be authorised to execute the Account Opening Agreement for and on behalf of the Company.

决议通过现时在本会议出示及填妥的开户协议及授权公司任何董事代表公司签署该开户协议。

I, the undersigned, do hereby certify the above is a true extract from the minutes of the Board Meeting.

下述签署人现兹证明上述各项乃董事局会议记录中摘录之正式决议案。

\_\_\_\_\_  
Director 董事

Name:

姓名：\_\_\_\_\_

Title:

职衔：\_\_\_\_\_

Date:

日期：\_\_\_\_\_