



永豐金證券(亞洲)有限公司

SinoPac Securities (Asia) Limited

APPLICATION FOR ADDITIONAL TRADING SERVICES (Securities / Futures)

申請增加交易服務(證券 / 期貨)

Client Name 客戶姓名 : _____

Account No. 客戶帳號 : _____

Registered Office: 21st Floor, One Peking, 1 Peking Road, Tsim Sha Tsui, Kowloon, Hong Kong.

註冊辦事處：香港九龍尖沙咀北京道1號21樓

Tel. 電話：(852) 2586-8288 Fax 傳真：(852) 2586-8300

SinoPac Securities (Asia) Ltd is a licensed corporation for Types 1, 2, 3, 4, 5 and 9 regulated activities under the Securities and Futures Ordinance (CE Number: BIZ502).

永豐金證券(亞洲)有限公司乃一家根據《證券及期貨條例》獲發牌進行第一、二、三、四、五及第九類受規管活動的持牌法團(中央編號：BIZ502)。

IMPORTANT: This Form is accompanied by a Chinese version. In the event of any inconsistency, the English version of this Form shall prevail.

重要提示：本表格附帶中文版，若與英文版有任何歧異，以英文版為準。

A. For Individual / Joint Account 供個人 / 聯名帳戶使用

| | |
|---|-----------------------------------|
| (1) Existing account(s) with SinoPac Securities (Asia) Limited 於永豐金證券(亞洲)有限公司所持有的帳戶 | |
| Name of Account 帳戶名稱: _____ Account Number 帳戶號碼: _____ | |
| (2) Personal information 個人資料 | |
| (a) Individual / Primary Joint Account Holder 個人 / 基本聯名帳戶持有人 | |
| Name (In English) 姓名(英文) _____ | Name (In Chinese) 姓名(中文) _____ |
| (b) Secondary Joint Account Holder 第二聯名帳戶持有人 (For Joint Account Only 聯名帳戶需填寫, 個人帳戶不需填寫) | |
| Name (In English) 姓名(英文) _____ | Name (In Chinese) 姓名(中文) _____ |
| (3) Application for Additional Trading Services 申請增加交易服務設施 | |
| I/We hereby apply to SinoPac Securities (Asia) Limited for adding of trading services in my/our name for the purpose of instructing SinoPac Securities (Asia) Limited to buy and sell, and otherwise deal with, securities, futures and other investments on my/our behalf and I/we hereby accept and agree to be bound by this Form and the SinoPac Securities (Asia) Limited Terms and Conditions. 本人/吾等謹此向永豐金證券(亞洲)有限公司申請增加交易服務設施, 用作指示永豐金證券(亞洲)有限公司代本人/吾等作交易、買賣及以其他方式處置證券、期貨及其他投資; 而本人/吾等謹此接納並同意受本表格及永豐金證券(亞洲)有限公司條款及條件約束。 | |
| Selection of Services 服務設施類別選擇 (please tick the relevant box(es) 請在適當空格加上剔號) | |
| Internet Trading Facilities 網上交易服務 : <input type="checkbox"/> Yes 是 Accounts 帳戶: _____ Accounts 帳戶: _____ | |
| Trading of Taiwan Securities 台灣證券交易服務 : <input type="checkbox"/> Yes 是 Accounts 帳戶: _____ (Client who wishes to apply for trading of Taiwan Securities shall also complete the declaration prepared by SinoPac Securities (Asia) Limited 客戶如欲申請台灣證券交易服務, 必須同時填寫由永豐金證券(亞洲)有限公司提供之聲明書) | |

B. For Corporate Account 供公司帳戶使用

| | |
|---|----------------------------|
| (1) Existing account(s) with SinoPac Securities (Asia) Limited 於永豐金證券(亞洲)有限公司所持有的帳戶 | |
| Name of Account 帳戶名稱: _____ Account Number 帳戶號碼: _____ | |
| (2) Corporate Information 公司資料 | |
| Name of Company / Corporation 公司名稱 | |
| (In English) (英文) _____ | (In Chinese) (中文) _____ |
| Trading Name 經營名稱 (if different from above 如有異於上述) | |
| (In English) (英文) _____ | (In Chinese) (中文) _____ |
| (3) Application for Additional Trading Services 申請增加交易服務設施 | |
| We hereby apply to SinoPac Securities (Asia) Limited for adding of trading services in our name for the purpose of instructing SinoPac Securities (Asia) Limited to buy and sell, and otherwise deal with, securities, futures and other investments on our behalf and we hereby accept and agree to be bound by this Form and the SinoPac Securities (Asia) Limited Terms and Conditions. 本公司謹此向永豐金證券(亞洲)有限公司申請增加交易服務設施, 用作指示永豐金證券(亞洲)有限公司代本公司作交易、買賣及以其他方式處置證券、期貨及其他投資; 而本公司謹此接納並同意受本表格及永豐金證券(亞洲)有限公司條款及條件約束。 | |
| Selection of Services 服務設施類別選擇 (please tick the relevant box(es) 請在適當空格加上剔號) | |
| Internet Trading Facilities 網上交易服務 : <input type="checkbox"/> Yes 是 Accounts 帳戶: _____ Accounts 帳戶: _____ | |
| Trading of Taiwan Securities 台灣證券交易服務 : <input type="checkbox"/> Yes 是 Accounts 帳戶: _____ (Client who wishes to apply for trading of Taiwan Securities shall also complete the declaration prepared by SinoPac Securities (Asia) Limited 客戶如欲申請台灣證券交易服務, 必須同時填寫由永豐金證券(亞洲)有限公司提供之聲明書) | |

Declarations By Client 客戶聲明

I/We hereby declare that the information as set out in Part A or Part B is true, complete and correct and SinoPac Securities (Asia) Limited is entitled to rely fully on such information, as well as my/our information in SinoPac Securities (Asia) Limited's record for all purposes relating to the performance of the services to me/us. I/We hereby agree that if I/we am/are a U.S. person, the internet trading facilities chosen in Part A or Part B will not be applied to U.S. securities and futures trading. I/We undertake to notify SinoPac Securities (Asia) Limited promptly of any change of information.
本人/吾等/本公司謹此聲明開列於上列客戶資料表的資料屬真實、完整及為正確無誤。永豐金證券(亞洲)有限公司有權全面倚賴此等資料, 以及本人/吾等/本公司於永豐金證券(亞洲)有限公司記錄的資料作向本人/吾等/本公司提供的服務相關的所有用途。本人/吾等/本公司同意如本人/吾等/本公司是美籍人士, 本人/吾等/本公司於上列所申請增加之網上交易服務將不會適用於美國證券及期貨交易。倘資料有任何更改, 本人/吾等/本公司謹此承諾盡快通知永豐金證券(亞洲)有限公司。

I/We hereby acknowledge and confirm that:

本人/吾等/本公司謹此承諾並確認：

- I/We have received, read and understood the SinoPac Securities (Asia) Limited Terms and Conditions (including the schedules, appendices and annexes thereto, if any) ("Terms and Conditions"), and I/We accept and agree to be bound by them;
本人/吾等/本公司已收到、閱讀及明白永豐金證券(亞洲)有限公司條款和條件(包括其附表、附錄及附件(如有)) (「條款和條件」)，而本人/吾等/本公司接納並同意受該等條款和條件約束；
- The risk disclosure statements and disclaimers (as contained in the Terms and Conditions) have been provided to me/us in a language of my/our choice (English or Chinese);
風險披露聲明及免責聲明(載於條款及條件內)按本人/吾等/本公司選擇的語言(英文或中文)的版本提供予本人/吾等/本公司；
- I/We have been invited to read the risk disclosure statements, and to ask questions and take independent advice if I/we so wish;
本人/吾等/本公司已獲邀請參閱風險披露聲明，並按本人/吾等/本公司之意願提出問題及徵詢獨立意見；
- I/We have the authority and power and legal capacity to sign this Form. This Form and the Terms and Conditions constitute and supplement valid and legally binding obligations on me/us enforceable in accordance with their respective terms; and
本人/吾等/本公司獲授權，並有權力和法定身份去簽署本表格。而本表格以及其條款及條件按照其各自的條款，構成並補充對本人/吾等/本公司可強制執行的有效和具有法律約束力的義務；及
- I/We have read the Notice to Customers Relating to the Personal Data (Privacy) Ordinance (as contained in the Terms and Conditions), understood it and agreed to its terms. The undersigned accepts SinoPac Securities (Asia) Limited's intention and practice of using his/her name, telephone number, address and other contact information as provided for direct marketing of financial products and services. (Should the undersigned find such use of personal data not acceptable, please indicate objection before signing by ticking the box below.)
本人/吾等/本公司已閱讀『給予客戶關於《個人資料(私隱)條例》的客戶通知』(載於條款及條件內)，並明白且同意其條款。以下簽署人同意永豐金證券(亞洲)有限公司可使用以下簽署人的姓名、電話號碼、地址及其他聯絡資料以向其直接促銷金融產品和服務。(如果不同意個人資料用於直接促銷，請簽署前在下面的空格內打勾表示反對。)

The undersigned objects to the proposed use of his/her personal data in direct marketing.
以下簽署人反對使用其個人資料作直接促銷用途。

(1) For Individual / Joint Account 個人/聯名帳戶

Signature of Client

客戶簽署

Name 姓名：

Date 日期：

Signature of Client (for secondary joint account holder only)

客戶簽署(只適用第二聯名帳戶持有人)

Name 姓名：

Date 日期：

(2) For Corporate Account 公司帳戶

Signature of Director/Authorised Representative and Chop of the Company
董事或獲授權代表簽署及公司蓋章

Name 姓名：_____

For and on behalf of 代表
(Client Name) (客戶姓名) _____

Date 日期：_____

Signature of Director/Authorised Representative and Chop of the Company
董事或獲授權代表簽署及公司蓋章

Name 姓名：_____

For and on behalf of 代表
(Client Name) (客戶姓名) _____

Date 日期：_____

Declaration by SinoPac Securities (Asia) Limited Licensed Staff

永豐金證券(亞洲)有限公司持牌職員聲明

I, named below, a licensed staff member of SinoPac Securities (Asia) Limited, hereby declare that I have:

- provided to the above-named Client(s) the risk disclosure statements (as contained in the Terms and Conditions) in a language of the Client's choice (English or Chinese); and
- invited the Client to read the risk disclosure statements, ask questions and take independent advice if the Client so wishes.

本人(姓名見下)，為永豐金證券(亞洲)有限公司之持牌職員，謹此聲明，本人：

- 已向客戶提供以客戶選擇語言(英文或中文)所撰寫的風險披露聲明(載於和條件內)；及
- 已邀請客戶參閱風險披露聲明，並提出問題及按客戶之意願徵詢獨立意見。

Signature of Staff 職員簽署

Staff Name 職員姓名:

Staff Designation 職員職銜:

Staff CE Number 職員 CE 編號:

Date 日期: