



果樹證券有限公司

Fruit Tree Securities Limited

香港聯合交易所有限公司交易所參與者（參與者編號:2074）。根據《證券及期貨條例》獲發牌進行第 1 類（證券交易）之受規管活動（中央編號：BGX710）  
An Exchange Participant of the Stock Exchange of Hong Kong Limited (Participant ID. 2074) Licensed to engage in Type 1 related activities by Securities and Future Commission (CE No. BGX710).

## 個人/聯名 帳戶開戶申請表

## Individual /Joint Account Opening Application Form

### FOR OFFICE USE ONLY

帳戶號碼 Account No. : \_\_\_\_\_

客戶名稱 Account Name: \_\_\_\_\_

開戶日期 Opened date: \_\_\_\_\_

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

現金證券交易帳戶 Cash Securities Trading Account

孖展證券交易帳戶 Margin Securities Trading Account

網上交易服務 Internet Trading Services :  是 Yes  否 No

**此乃重要文件，懇請細閱**

**This is an IMPORTANT document. Please read it carefully.**

貴客戶（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 有關果樹證券有限公司（「果樹證券」）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 K 項 第(16)條）（若有）以及果樹證券（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，如有需要，必須徵求獨立法律及其他專業意見。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。

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, the attached Client Agreement(s) and Schedules and Appendix(ces) (if any) and Supplement(s) (if any) thereto (collectively "Client Agreement") in respect of Fruit Tree Securities Limited ("FTSL") and the Application for Electronic Services (as defined in Clause (16) of Section K), (if any), as well as other related documents as specified by FTSL. 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.

地址：香港中環德輔道中 141 號中保集團大廈 19 樓 1906 室

Address: Rm. 1906, 19/F China Insurance Group Building, 141 Des Voeux Road C., Hong Kong

電話 Tel: (852) 2110 3390

傳真 Fax: (852) 2110 3490

網址 Website : [www.fruitresec.com](http://www.fruitresec.com)



9. 教育程度 Education Level

- 大專或以上 Tertiary or above     中學 Secondary     小學或以下 Primary or below  
 其他 (請註明) Others (Please specify): \_\_\_\_\_

**A2. 客戶財務資料 CLIENT FINANCIAL INFORMATION**

10. 收入來源(港幣) Source of Income (HK\$): (可選擇下列一項或多項 Please tick one or more)

- 薪酬 Salary     租金收入 Rental Income     利息/股息 Interest/Dividend 投資收益     Investment Income  
 退休福利 Retirement Benefits     家人提供 Family Source     其他(請註明) Others (Please specify): \_\_\_\_\_

11. 估計每年收入 (以港元計) Estimated Annual Income (in HK\$)

- HK\$ 0 (Applicable to unemployed, retired, housewives, etc.) (適用於失業, 退休, 家庭主婦等)  
 HK\$ 1 - HK\$200,000                       HK\$ 200,001 - HK\$500,000                       HK\$ 500,001 - HK\$1,000,000  
 HK\$ 1,000,001 - HK\$3,000,000                       >HK\$3,000,000

12. 概約資產淨值 (以港元計) Approximate Net Value of my Assets (in HK\$)

- <HK\$ 1,000,000                       HK\$ 1,000,000 - HK\$ 5,000,000                       HK\$ 5,000,001 - HK\$ 8,000,000  
 HK\$ 8,000,001 - HK \$30,000,000                       >HK\$ 30,000,001

13. 住所持有方式 Ownership of Residence :

- 自置 Owned                       租用 Rented                       與親屬同住 Living with Relative  
 公司宿舍 Company Quarters                       其他(請註明) Others (Please specify): \_\_\_\_\_

如屬自置, 物業有否按揭? If owned, is there a mortgage on the property?     有 Yes     沒有 No

**A3. 客戶投資目的及經驗 CLIENT INVESTMENT OBJECTIVES & EXPERIENCE**

14. 整體投資計劃, 包括短期(少於一年)、中期(一年至五年) 及長期 (超過五年) 投資目標 (可選擇下列一項或多項)

Overall investment plan, including short (less than 1 year, medium (1 year to 5 years) and long term goals (more than 5 years) :  
(Please tick one or more)

- (a) 投資計劃 Investment Plan :                       短期 Short                       中期 Medium                       長期 Long  
(b) 可承受風險程度 Risk Tolerance Level :                       低風險 Low                       中風險 Medium                       高風險 High

15. 投資目的 Investment Objective(s) : (可選擇下列一項或多項 Please tick one or more)

- 平穩增長 Stable Growth                       均衡增長 Balance Growth                       高速增長 High Growth  
 對沖 Hedging                       投機 Speculation                       其他(請註明) Others (Please specify): \_\_\_\_\_

16. 投資經驗 Investment Experiences :

投資產品 Investment Products:

(可選擇下列適當的投資產品 Please choose the applicable investment products below)

<input type="checkbox"/> 股票 Stocks	<input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於三年 less than 3 years <input type="checkbox"/> 三至五年 3-5 years <input type="checkbox"/> 五至十年 5-10 years <input type="checkbox"/> 超過十年 Over 10 years
<input type="checkbox"/> 期貨 Futures	<input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於三年 less than 3 years <input type="checkbox"/> 三至五年 3-5 years <input type="checkbox"/> 五至十年 5-10 years <input type="checkbox"/> 超過十年 Over 10 years
<input type="checkbox"/> 期權 Options	<input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於三年 less than 3 years <input type="checkbox"/> 三至五年 3-5 years <input type="checkbox"/> 五至十年 5-10 years <input type="checkbox"/> 超過十年 Over 10 years
<input type="checkbox"/> 債券 Bonds	<input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於三年 less than 3 years <input type="checkbox"/> 三至五年 3-5 years <input type="checkbox"/> 五至十年 5-10 years <input type="checkbox"/> 超過十年 Over 10 years
<input type="checkbox"/> 基金 Funds	<input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於三年 less than 3 years <input type="checkbox"/> 三至五年 3-5 years <input type="checkbox"/> 五至十年 5-10 years <input type="checkbox"/> 超過十年 Over 10 years
<input type="checkbox"/> 結構性及或衍生工具產品/認股權證 Structured and/or Derivative Product(s)/Warrants*	<input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於三年 less than 3 years <input type="checkbox"/> 三至五年 3-5 years <input type="checkbox"/> 五至十年 5-10 years <input type="checkbox"/> 超過十年 Over 10 years
<input type="checkbox"/> 其他(請註明) Others (Please specify): _____	<input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於三年 less than 3 years <input type="checkbox"/> 三至五年 3-5 years <input type="checkbox"/> 五至十年 5-10 years <input type="checkbox"/> 超過十年 Over 10 years

**A4. 身份聲明 IDENTITY DECLARATION**

17. 閣下是否果樹證券有限公司(包括其關聯公司)的僱員或其與任何僱員/代理人有親屬關係或為其關連人士?

Is the Client an employee of Fruit Tree Securities Limited (including its associated companies) or a relative or an associate of any employee/agent of Fruit Tree Securities Limited?

無 No

有, 請提供僱員/代理人姓名 Yes, please provide employee/agent name : \_\_\_\_\_

關係 Relationship : \_\_\_\_\_

18. 帳戶最終權益擁有人(等)的名稱 Name of Ultimate Beneficial Owner(s) of the Account :

本身 Self

其他 (請提供)

Others (Please provide)

姓名 Name: \_\_\_\_\_

國籍 Nationality: \_\_\_\_\_

出生日期 Date of Birth: \_\_\_\_\_

港身份證號碼 HKID No.: \_\_\_\_\_

聯絡電話 Telephone No.: \_\_\_\_\_

現時住址 Current Address: \_\_\_\_\_

19. 閣下於果樹證券開立的其他帳戶資料(包括與客戶有關連人士運作及或持有之帳戶):

Particulars of the Client's other accounts with FTSL (including accounts operated / owned by person related to the Client):

無 No

是, 請提供 Yes, please provide: 帳戶號碼 Account No.: \_\_\_\_\_ 帳戶名稱 Account Name: \_\_\_\_\_

關係 Relationships : \_\_\_\_\_

20. 閣下是否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)

Is the Client 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)

是 Yes \_\_\_\_\_

否 No

21. 閣下是否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)

Is the Client 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.)

是 Yes \_\_\_\_\_

否 No

22. 閣下是否美國公民、綠卡持有人或居住於美國?(如是, 請說明他/她的身份證明號碼)

Is the Client a U.S. citizen, a green card holder or residing in the U.S.? (If yes, please specify his/her ID No.)

是 Yes \_\_\_\_\_

否 No

23. 閣下是否出生於美國?(如是, 請說明出生地點)

Is the Client born in the U.S.? (If yes, please specify Place of Birth)

是 Yes \_\_\_\_\_

否 No

24. 閣下; 及/或 (ii) 閣下之配偶、伴侶、子女及/或父母; 及/或 (iii) 閣下子女的配偶或伴侶; 及/或 (iv) 與閣下關係密切的人\*是否: 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)

Is/Are (i) the 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 Applicant; and/or (iv) close associate(s) \* of Applicant: 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)

是 Yes \_\_\_\_\_

否 No

\* 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 person is a "close associate" of an individual if the person is:

(a) 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

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

(b) 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。

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.

**A5. 結構性及/或衍生工具產品的認識評估****ASSESSMENT ON KNOWLEDGE OF STRUCTURED AND/ OR DERIVATIVES PRODUCTS**

結構性及/或衍生工具產品包括（但不限於）牛熊證、衍生認股證、股票掛鈎產品、交易所買賣換股債券、交易所買賣基金、期貨及期權與及股票期權。

Structured and/ or Derivative Product(s) includes, but not limited to, Callable Bull/Bear Contracts, Derivative Warrants, Equity Linked Instruments/Notes, Exchange Traded Funds, Futures and Options and Stock Option, etc.

客戶曾接受有關結構性及/或衍生工具產品的培訓或相關課程

The Client has attended trainings or courses in relation to Structured and/or Derivative Product(s)

客戶現時或之前的工作經驗與結構性及/或衍生工具產品有關

The Client's current or previous work experience is related to Structured and/or Derivative Product(s)

客戶在過去 3 年內曾執行過 5 宗或以上有關結構性及/或衍生工具產品的交易

The Client has executed 5 or more transactions relating to Structured and/or Derivative Product(s) in past 3 year

如客戶沒有以上任何一項經驗及認識，客戶將被視作沒有結構性及/或衍生工具產品認識。在客戶買賣結構性及/或衍生工具產品之前，客戶需要留意衍生工具產品交易有關之風險（如客戶協議附件一風險披露聲明所述）。

For clients do not have any of the above mentioned knowledge and experience, such clients will be considered as without knowledge of Structured and/or Derivative Product(s). Before trading in Structured and/or Derivative Product(s), the attention of the Client is drawn to the risks associated with Structured and/or Derivative Product(s) (as described in Risk Disclosure Statement of Client Agreement's First Schedule).

**A6. 有關結構性及/或衍生工具產品確認****ACKNOWLEDGEMENT RELATING TO STRUCTURED AND/ OR DERIVATIVES PRODUCT(S)**

本人確認已細心閱讀及完全明白在附件一所載的其他風險披露聲明的內容。如果本人決定買賣該等結構性及/或衍生工具產品時，本人同意承擔有關風險。本人確認，在買賣結構性及/或衍生工具產品前，本人將會進行自我風險評估或尋求獨立專業意見，並擁有足夠資本承擔有關風險及損失。本人明白，如客戶並沒有結構性及/或衍生工具產品的知識或經驗，果樹證券有限公司（「果樹證券」）並不鼓勵客戶進行結構性及/或衍生工具產品買賣。

當閱讀完上述文字後請於方格內加上“✓”  同意

I acknowledge that I have carefully read and fully understand the content of Risk Disclosure Statement as contained in First Schedule. If I decide to trade the Structured and/ or Derivatives Products, I/we agree to bear the risks involved. I confirm that I shall make my/our own risk assessment, or seek independent professional advice before trading in Structured and/ or Derivative Product(s), and that I have sufficient net worth to be able to assume the risks and bear the potential losses for our trades in Structured and/ or Derivatives Product(s). I understand that Fruit Tree Securities Limited("FTSL") does not encourage the clients to trade Structured and/ or Derivative Product(s) if they do not have any knowledge or experience relating to the Structured and/ or Derivative Product(s).

Please tick "Agree" after reading the paragraph.  Agree

**A7. 美國居民/公民自我證明 SELF-CERTIFICATION OF U.S. RESIDENT / CITIZEN**

您是否美國稅務居民? Are you a U.S. tax resident?  是 Yes  否 No

您是否美國公民? Are you a U.S. citizen?  是 Yes  否 No

(如您持有重國籍身份而其一為美國國籍，請回答"是") (If you hold multiple citizenships, tick "Yes" if one of them is U.S.)

## A8. 共同匯報標準自我證明 SELF-CERTIFICATION OF COMMON REPORTING STANDARD

供以下資料，列明 (a) 帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區（香港包括在內）及 (b) 該居留司法管轄區發給帳戶持有人的稅務編號。請列出所有（不限於 5 個）居留司法管轄區。

Please complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's Taxpayer Identification Number ("TIN") for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence.

如帳戶持有人的香港稅務居民，稅務編號是其香港身份證號碼。如沒有提供稅務編號，必須填寫合適的理由：

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. If a TIN is unavailable, provide the appropriate reason A, B or C:

- 理由 A - 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。  
Reason A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
- 理由 B - 帳戶持有人不能取得稅務編號。如選取這一理由，請解釋帳戶持有人不能取得稅務編號的原因。  
Reason B - The account holder is unable to obtain a TIN. Please explain why the account holder is unable to obtain a TIN if you have selected this reason.
- 理由 C - 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。  
Reason C - TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

居留司法管轄區 Jurisdiction of Residence	稅務編號 TIN	如沒有提供稅務編號，請填寫理由 A、B 或 C If no TIN is available, please choose Reason A, B or C	如選取理由 B，請解釋帳戶持有人不能取得稅務編號的原因 If you have selected Reason B, please explain why you are unable to obtain a TIN
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	

**B1. 個人／聯名戶口第二持有人資料 INDIVIDUAL / SECONDARY JOINT ACCOUNT HOLDER INFORMATION***\*不適用，請刪除 \*Delete, if not applicable*1. 客戶名稱 Client Name(s) :  先生 Mr.  太太 Mrs.  女士 Mdm.  小姐 Miss

(a) 中文 Chinese :

(b) 英文 English :

(與護照/身份證一致 as in the passport / HKID card)

2. (a) 身份證／護照號碼 HKID. Card / Passport No.: \_\_\_\_\_ (b) 國籍 Nationality: \_\_\_\_\_

3. (a) 出生日期 Date of Birth: \_\_\_\_\_ (日/月/年 dd/mm/yyyy)

(b) 出生地點 Place of Birth: \_\_\_\_\_

(c) 婚姻狀況 Marital Status :

 單身 Single  已婚 Married  離婚 Divorced  喪偶 Widowed 其他(請註明) Others (Please specify): \_\_\_\_\_

4. 現時住宅地址 Current Residential Address (不接受郵政信箱 P.O. Box is not accepted.) :

室 / 樓層 / 大廈 / 街道 / 地區 Room / Floor / Building / Street / District	
城市 City	
省 / 州 Province / State	
國家 Country	
郵政編碼/郵遞區 Post Code / ZIP Code	

25. 住宅電話號碼 (國家號碼) Home Tel No. : (Country Code)

\_\_\_\_ (\_\_\_\_)

手提電話號碼 (國家號碼) Mobile Phone No. (Country Code):

\_\_\_\_ (\_\_\_\_)

5. 通訊地址 (如與以上有異) Correspondence Address (if different from above):

室 / 樓層 / 大廈 / 街道 / 地區 Room / Floor / Building / Street / District	
城市 City	
省 / 州 Province / State	
國家 Country	
郵政編碼/郵遞區 Post Code / ZIP Code	

6. 電子郵件地址 E-mail Address:

7. \*僱主名稱／公司名稱\* (若自僱，請填行業名稱)

\*Name of Employer / Company\* (If self-employed, please fill in the name of your business) :

公司地址 Office Address: \_\_\_\_\_

職業/職位

Occupation/Job Title :

受僱年期

Year(s) employed:

辦事處電話號碼

Office Tel No.:

辦事處傳真號碼

Office Fax No.:

8. 教育程度 Education Level

 大專或以上 Tertiary or above  中學 Secondary  小學或以下 Primary or below  其他 Others \_\_\_\_\_



**B2. 客戶財務資料 CLIENT FINANCIAL INFORMATION**

9. 收入來源 Source of Income (港幣 HK\$): (可選擇下列一項或多項 Please tick one or more)

- 薪酬 Salary    租金收入 Rental Income    利息/股息 Interest/Dividend    投資收益 Investment Income  
 退休福利 Retirement Benefits    家人提供 Family Source    其他(請註明) Others (Please specify): \_\_\_\_\_

10. 估計每年收入 (以港元計) Estimated Annual Income (in HK\$)

- HK\$ 0 (Applicable to unemployed, retired, housewives, etc.) (適用於失業, 退休, 家庭主婦等)  
 HK\$ 1 - HK\$200,000                       HK\$ 200,001 - HK\$500,000                       HK\$ 500,001 - HK\$1,000,000  
 HK\$ 1,000,001 - HK\$3,000,000                       >HK\$3,000,000

11. 概約資產淨值 (以港元計) Approximate Net value of my Assets (in HK\$)

- <HK\$ 1,000,000                       HK\$ 1,000,000 - HK\$ 5,000,000                       HK\$ 5,000,001 - HK\$ 8,000,000  
 HK\$ 8,000,001 - HK\$ 30,000,000                       >HK\$ 30,000,000

12. 住所持有方式 Ownership of Residence :

- 自置 Owned     租用 Rented     與親屬同住 Living with relative     公司宿舍 Company quarters  
 其他(請註明) Others (Please specify): \_\_\_\_\_

如屬自置, 物業有否按揭? If owned, is there a mortgage on the property?    有 Yes     沒有 No**B3. 客戶投資目的及經驗 CLIENT INVESTMENT OBJECTIVES & EXPERIENCE**

13. 整體投資計劃, 包括短期(少於一年)、中期(一年至五年) 及長期 (超過五年) 投資目標:

Overall investment plan, including short (less than 1 year, medium (1 year to 5 years) and long term goals (more than 5 years):  
(可選擇下列一項或多項 Please tick one or more)

- (a) 投資計劃 Investment Plan :                       短期 Short                       中期 Medium                       長期 Long  
(b) 可承受風險程度 Risk Tolerance Level :                       低風險 Low                       中風險 Medium                       高風險 High

14. 投資目的 Investment Objective(s) : (可選擇下列一項或多項 Please tick one or more)

- 平穩增長 Stable Growth                       均衡增長 Balance Growth                       高速增長 High Growth  
 對沖 Hedging                       投機 Speculation                       其他 Others (請註明, Please specify) \_\_\_\_\_

15. 投資經驗 Investment Experiences :

投資產品 Investment Products:

(可選擇下列適當的投資產品 Please choose the applicable investment products below)

<input type="checkbox"/> 股票 Stocks	<input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於三年 less than 3 years <input type="checkbox"/> 三至五年 3-5 years <input type="checkbox"/> 五至十年 5-10 years <input type="checkbox"/> 超過十年 Over 10 years
<input type="checkbox"/> 期貨 Futures	<input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於三年 less than 3 years <input type="checkbox"/> 三至五年 3-5 years <input type="checkbox"/> 五至十年 5-10 years <input type="checkbox"/> 超過十年 Over 10 years
<input type="checkbox"/> 期權 Options	<input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於三年 less than 3 years <input type="checkbox"/> 三至五年 3-5 years <input type="checkbox"/> 五至十年 5-10 years <input type="checkbox"/> 超過十年 Over 10 years
<input type="checkbox"/> 債券 Bonds	<input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於三年 less than 3 years <input type="checkbox"/> 三至五年 3-5 years <input type="checkbox"/> 五至十年 5-10 years <input type="checkbox"/> 超過十年 Over 10 years
<input type="checkbox"/> 基金 Funds	<input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於三年 less than 3 years <input type="checkbox"/> 三至五年 3-5 years <input type="checkbox"/> 五至十年 5-10 years <input type="checkbox"/> 超過十年 Over 10 years
<input type="checkbox"/> 結構性及或衍生工具產品/認股權證 Structured and/or Derivative Product(s)/Warrants*	<input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於三年 less than 3 years <input type="checkbox"/> 三至五年 3-5 years <input type="checkbox"/> 五至十年 5-10 years <input type="checkbox"/> 超過十年 Over 10 years
<input type="checkbox"/> 其他(請註明) Others (Please specify): _____	<input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於三年 less than 3 years <input type="checkbox"/> 三至五年 3-5 years <input type="checkbox"/> 五至十年 5-10 years <input type="checkbox"/> 超過十年 Over 10 years



**B4. 身份聲明 IDENTITY DECLARATION**

16. 閣下是否果樹證券有限公司(包括其關聯公司)的僱員或其與任何僱員/代理人有親屬關係或為其關連人士?  
Is the Client an employee of Fruit Tree Securities Ltd (including its associated companies) or a relative or an associate of any employee / agent of Fruit Tree Securities Ltd?  
 無 No  有 (請提供) Yes (please provide) 僱員/代理人姓名 employee/agent name: \_\_\_\_\_  
關係 Relationship : \_\_\_\_\_

17. 帳戶最終權益擁有人(等)的名稱 Name of Ultimate Beneficial Owner(s) of the Account :  
 本身 Self  
 其他 (請提供) Others (Please provide) 姓名 Name: \_\_\_\_\_ 聯絡電話 Telephone No.: \_\_\_\_\_  
國籍 Nationality: \_\_\_\_\_ 現時住址 Current Address: \_\_\_\_\_  
出生日期 Date of Birth: \_\_\_\_\_  
港身份證號碼 HKID No.: \_\_\_\_\_

18. 閣下於果樹證券開立的其他帳戶資料(包括與客戶有關連人士運作及或持有之帳戶):  
Particulars of the Client's other accounts with FTSL (including accounts operated / owned by person related to the Client):  
 無 No  是,請提供 Yes, please provide 帳戶名稱 Account Name : \_\_\_\_\_  
帳戶號碼 Account No. : \_\_\_\_\_ 關係 Relationship : \_\_\_\_\_

19. 閣下是否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)  
Is the Client 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.)  
 是 Yes \_\_\_\_\_  否 No
20. 閣下是否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)  
Is the Client 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.)  
 是 Yes \_\_\_\_\_  否 No
21. 閣下是否美國公民、綠咭持有人或居住於美國?(如是,請說明他/她的身份證明號碼)  
Is the Client a U.S. citizen, a green card holder or residing in the U.S.? (If yes, please specify his/her ID No.)  
 是 Yes \_\_\_\_\_  否 No
22. 閣下是否出生於美國?(如是,請說明出生地點)  
Is the Client born in the U.S? (If yes, please specify Place of Birth)  
 是 Yes \_\_\_\_\_  否 No
23. 閣下;及/或 (ii) 閣下之配偶、伴侶、子女及/或父母;及/或 (iii) 閣下子女的配偶或伴侶;及/或 (iv) 與閣下關係密切的人\*是否: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)  
Is/Are (i) the 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 Applicant; and/or (iv) close associate(s) \* of the Applicant 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)  
 是 Yes \_\_\_\_\_  否 No
- \* 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 person is a "close associate" of an individual if the person is:
- (a) 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  
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
- (b) 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。  
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.
- (c) 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  
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
- (d) 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。  
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.

**B5. 結構性及/或衍生工具產品的認識評估****ASSESSMENT ON KNOWLEDGE OF STRUCTURED AND/ OR DERIVATIVES PRODUCTS**

結構性及/或衍生工具產品包括（但不限於）牛熊證、衍生認股證、股票掛鈎產品、交易所買賣換股債券、交易所買賣基金、期貨及期權與及股票期權。

Structured and/ or Derivative product(s) includes, but not limited to, Callable Bull/Bear Contracts, Derivative Warrants, Equity Linked Instruments/Notes, Exchange Traded Funds, Futures and Options and Stock Option, etc.

- 客戶曾接受有關結構性及/或衍生工具產品的培訓或相關課程  
The Client has attended trainings or courses in relation to Structured and/or Derivative Product(s)
- 客戶現時或之前的工作經驗與結構性及/或衍生工具產品有關  
The Client's current or previous work experience is related to Structured and/or Derivative Product(s)
- 客戶在過去 3 年內曾執行過 5 宗或以上有關結構性及/或衍生工具產品的交易  
The Client has executed 5 or more transactions relating to Structured and/or Derivative Product(s) in past 3 years
- 如客戶沒有以上任何一項經驗及認識，客戶將被視作沒有結構性及/或衍生工具產品認識。在客戶買賣結構性及/或衍生工具產品之前，客戶需要留意衍生工具產品交易有關之風險（如客戶協議附件一風險披露聲明所述）。  
For clients who do not have any of the above mentioned knowledge and experience, they will be considered as without knowledge of Structured and/or Derivative Product(s). Before trading in Structured and/ or Derivative Products, the attention of the Client is drawn to the risks associated with Structured and/or Derivative Product(s) (as described in Risk Disclosure Statement of Client Agreement's First Schedule).

**B6. 有關結構性及/或衍生工具產品確認****ACKNOWLEDGEMENT RELATING TO STRUCTURED AND/ OR DERIVATIVES PRODUCT(S)**

本人確認已細心閱讀及完全明白在附件一所載的其他風險披露聲明的內容。如果本人決定買賣該等結構性及/或衍生工具產品時，本人同意承擔有關風險。本人確認，在買賣結構性及/或衍生工具產品前，本人將會進行自我風險評估或尋求獨立專業意見，並擁有足夠資本承擔有關風險及損失。本人明白，如客戶並沒有結構性及/或衍生工具產品的知識或經驗，果樹證券有限公司（「果樹證券」）並不鼓勵客戶進行結構性及/或衍生工具產品買賣。

當閱讀完上述文字後請於方格內加上“√”  同意

I acknowledge that I have carefully read and fully understand the content of Risk Disclosure Statement as contained in First Schedule. If I decide to trade the Structured and/ or Derivatives Products, I/we agree to bear the risks involved. I confirm that I shall make my/our own risk assessment, or seek independent professional advice before trading in Structured and/ or Derivative Product(s), and that I have sufficient net worth to be able to assume the risks and bear the potential losses for our trades in Structured and/ or Derivatives Product(s). I understand that Fruit Tree Securities Limited (“FTSL”) does not encourage the clients to trade Structured and/ or Derivative Product(s) if they do not have any knowledge or experience relating to the Structured and/ or Derivative Product(s).

Please tick “Agree” after reading the paragraph.  Agree

**B7. 美國居民/公民自我證明 SELF-CERTIFICATION OF U.S. RESIDENT / CITIZEN**

您是否美國稅務居民? Are you a U.S. tax resident?  是 Yes  否 No

您是否美國公民? Are you a U.S. citizen?  是 Yes  否 No

(如您持有重國籍身份而其一是美國國籍，請回答“是”) (If you hold multiple citizenships, tick "Yes" if one of them is U.S.)

**B8. 共同匯報標準自我證明****SELF-CERTIFICATION OF COMMON REPORTING STANDARD**

供以下資料，列明 (a) 帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區（香港包括在內）及 (b) 該居留司法管轄區發給帳戶持有人的稅務編號。請列出所有（不限於 5 個）居留司法管轄區。

Please complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's Taxpayer Identification Number ("TIN") for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence.

如帳戶持有人的香港稅務居民，稅務編號是其香港身份證號碼。如沒有提供稅務編號，必須填寫合適的理由：

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. If a TIN is unavailable, provide the appropriate reason A, B or C:

理由 A - 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

Reason A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

理由 B - 帳戶持有人不能取得稅務編號。如選取這一理由，請解釋帳戶持有人不能取得稅務編號的原因。

Reason B - The account holder is unable to obtain a TIN. Please explain why the account holder is unable to obtain a TIN if you have selected this reason.

理由 C - 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

Reason C - TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do NOT require the TIN to be disclosed.

居留司法管轄區 Jurisdiction of Residence	稅務編號 TIN	如沒有提供稅務編號， 請填寫理由 A、B 或 C Please enter Reason A, B or C if no TIN is available	如選取理由 B，請解釋帳戶持有人不能取得稅務編號的原因 Please explain why you are unable to obtain a TIN if you have selected Reason B
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	

C. 由孖展證券交易帳戶申請人填寫

FOR COMPLETION BY APPLICANT APPLYING FOR MARGIN SECURITIES TRADING ACCOUNT

1. 申請人的配偶是否果樹證券的孖展客戶？（如是，請提供詳情。）  
Is your spouse a margin client of FTSL? (If yes, please provide details.)  
 是 Yes \_\_\_\_\_  否 No
2. 申請人是否單獨或與配偶共同控制果樹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。）  
Do you alone or jointly with your spouse control 35% or more of the voting rights of a corporate margin client of FTSL? (If yes, please provide details.)  
 是 Yes \_\_\_\_\_  否 No

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

3. 申請人的配偶是否果樹證券的孖展客戶？（如是，請提供詳情。）  
Is your spouse a margin client of FTSL? (If yes, please provide details.)  
 是 Yes \_\_\_\_\_  否 No
4. 申請人是否單獨或與配偶共同控制果樹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。）  
Do you alone or jointly with your spouse control 35% or more of the voting rights of a corporate margin client of FTSL? (If yes, please provide details.)  
 是 Yes \_\_\_\_\_  否 No

5. 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，跟果樹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，請提供果樹證券所要求的詳情。）  
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 Fruit Tree Securities Limited (“Connected Person”)\*\*? (If yes, please provide such details as requested.)

是 Yes \_\_\_\_\_  否 No

\* 「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。  
“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.

\*\* 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

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).

申請人簽署

Applicant's Signatures: \_\_\_\_\_

個人/第一申請人 Individual/First Applicant

\_\_\_\_\_

第二申請人 Second Applicant

**D. 一般資料 GENERAL INFORMATION****(1) 送遞方法 Delivery method (只可選擇其一 Select one ONLY)**

選用發送成交單、帳戶日結單及月結單、確認函及同類文件之送遞方法。如以郵寄形式發送，每月將另加額外郵遞費。

Method of delivery contract notes, daily & monthly statements of account, confirmations and etc. If you would like to receive these documents by post, monthly postage fee will be charge.

電郵致電郵地址 By email to our e-mail address : \_\_\_\_\_

郵寄住通訊處地址及接納在帳戶扣除每月郵遞服務費

By post to the above correspondence address and accept postage service fee charge to the account.

**(2) 最終負責就本帳戶之交易發出有關指示的人**

The person(s) ultimately responsible for giving instructions in relation to transactions under the account :

個人/第一申請人 Individual/First Applicant

第二申請人 Second Applicant

其他(果樹通常不接納申請人不是戶口最終受益人，請提供) Others (Normally FTSL would not accept the Applicants who are not ultimate beneficiaries. Please provide)

其他 (請提供) 姓名 Name: \_\_\_\_\_

Others

(Please provide) 國籍 Nationality: \_\_\_\_\_

出生日期 Date of Birth: \_\_\_\_\_

港身份證號碼 HKID No.: \_\_\_\_\_

聯絡電話 Telephone No.: \_\_\_\_\_

現時住址 Current Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**(3) 可供果樹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)。 Details of the Applicant's bank account for money payable (if any) by FTSL to the Applicant (under the joint names of the Joint Applicants).**

Further, each of the Applicants hereby agrees that if this Account Application is approved by FTSL, 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，若本開戶申請表獲果樹證券所核准，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)。

指定銀行 Designated Bank:	
銀行地址 Bank Address:	
銀行帳戶號碼 Bank Account No.:	
銀行帳戶持有人姓名 Name of Bank Account Holders:	
銀行帳戶持有人地址 Account Holders Address:	
銀行號碼 Bank No.:	

申請人簽署

Applicant's Signatures: \_\_\_\_\_

個人/第一申請人 Individual/First Applicant

第二申請人 Second Applicant

## E. 指示種類及方法 INSTRUCTIONS TYPES & METHODS

果樹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):

FTSL is authorized to act on the instructions of the following person(s) (\*Please choose the instruction method for each instruction type):

<b>指示方式 (請選一項)</b> <b>Instruction Method (Please choose one below)</b>	<b>Instruction Types</b> <b>Please the corresponding instruction type</b>	
	買賣指示 Trading Instructions	其他指示 Other Instructions
<input type="checkbox"/> 第一或第二申請人 Given by any one of the Applicants singly	<input type="checkbox"/> 是Yes <input type="checkbox"/> 否No *	<input type="checkbox"/> 是Yes <input type="checkbox"/> 否No *
<input type="checkbox"/> 第一及第二申請人 Given by the Applicants jointly	<input type="checkbox"/> 不適用N/A	<input type="checkbox"/> 是Yes <input type="checkbox"/> 否No *
<input type="checkbox"/> 其他 Others: _____ (請說明如有授權第三者及填寫「第三者授權申請表」) (Please state if there is any authorized third party and complete "Third Party Authorization Form")		

再者，每一位申請人現同意，若本開戶申請表獲果樹證券所核准，果樹證券將可（及現獲授權可）繼續按如上指示方法行事，直至果樹證券被書面通知（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」。

Further, each of the Applicants hereby agrees that if this Account Application is approved by FTSL, FTSL shall be entitled (and is hereby authorized) 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.

## F. 使用個人資料作直接促銷同意書 USE OF PERSONAL DATA IN DIRECT MARKETING CONSENT LETTER

吾等明白果樹證券可能使用或由其相關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，而果樹證券因此可能就此獲得得益，惟果樹證券在未經吾等各自的同意時不可使用吾等的個人資料。若吾等不同意吾等個人資料之使用或轉移，吾等將於以下方格「口」中打以示反對。吾等可以隨時透過普書面方式向果樹證券更改指示。倘果樹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。

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

### 個人/第一申請人 Individual/First Applicant

- 本人反對果樹證券或其關聯公司使用或轉移所有個人資料用作直接促銷金融服務、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用途。

I/We object to the use or transfer of my/our personal data by or to associates of FTSL for direct marketing financial services, products or goods include but not limited to those relating to any type of investment, lending or other related areas.

### 第二申請人 Second Applicant

- 本人反對果樹證券或其關聯公司使用或轉移所有個人資料用作直接促銷金融服務、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用途。

I/We object to the use or transfer of my/our personal data by or to associates of FTSL for direct marketing financial services, products or goods include but not limited to those relating to any type of investment, lending or other related areas.

關於果樹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)Please refer to Personal Data Schedule of the attached Client Agreement(s) or subsequent amendments (if any) for definitions and details of the FTSL's personal data policy. 如申請人 將來不希望 果樹證券使用或提供其個人資料給他人作直接促銷，請致電 (852)2110 3390 通知我們。

In the future, if you do not wish FTSL to use or provide your personal data to other persons for the use in direct marketing, you may exercise your opt-out right by notifying FTSL at (852)2110 3390.



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

吾等謹此承諾並確認：

I/We hereby acknowledge and confirm that:

1. 本開戶申請表的資料均屬真實、準確及完整，除非果樹證券有限公司(「果樹證券」)收到我們的書面另行通知，果樹證券將有權依據這些資料及陳述，作任何用途或目的。客戶授權果樹證券可在任何時間聯絡任何人，包括客戶的銀行、經紀或任何信貸機構，藉以確定及查證本開戶資料申請表內的資料；

The information contained in this Account Opening Application Form is true, accurate and complete. Fruit Tree Securities Limited ("FTSL") is entitled to rely fully on such information and representations for all purposes, unless FTSL receives written notice from me/us stating otherwise. FTSL is authorized at any time to contact anyone, including the Client's banks, brokers or any credit agency, for the purpose of verifying the information provided on this Account Opening Application Form;

2. 吾等已收到、閱讀及明白證券交易帳戶協議內之條款(包括其附表、附錄及附件(如有)) (「協議」)，而吾等接納並同意受該等條款約束；

I/We have received, read and understood the Terms and Conditions contained therein the Agreement for Securities Trading Account (and the schedules, appendices and annexes thereto, if any) (the "Agreement"), and I/we accept and agree to be bound by them;

3. 吾等已獲提供以吾等選擇語言(英文或中文)所撰寫的風險披露聲明及風險披露資料(如適用)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為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)；

The risk disclosure statements and risk disclosure information (if applicable) were provided to me/us in a language of my/our respective choice (English or Chinese) and I/we have read, understood and accepted the nature and contents thereof. I/We each appreciate that they are not and cannot be taken as a comprehensive or exhaustive list of all possible risks. I/We each further confirm that I/we have been given the opportunity to ask questions and take independent advice if I/we so wish;

4. 若吾等並非在一名果樹證券有限公司員工／果樹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，果樹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；In case I/we execute this Account Application not before a FTSL staff/ FTSL licensed representative, or in case I/we 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/we confirm that I am/we are aware that (i) FTSL will contact me/us via telephone call ("Follow-up Call") to explain to me/us the Risk Disclosure Statements and, if applicable, Risk Disclosure Information before permitting me/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/we fully understand and accept the relevant risks during such Follow-up Call, any one of me/us can immediately withdraw this Account Application and have this Account Application and supporting documents returned to me/us.

5. 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。

I/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 me/us and I/we each have understood the contents thereof.

6. 吾等謹此聲明其並非《海外帳戶稅收合規法案》下所定義的美國人士，而且此帳戶下之相關的收入依《海外帳戶稅收合規法案》毋須扣繳稅款。吾等承諾如於 W-8BEN 申請表中的情況有任何更改，吾等須於三十日內主動通知安果樹證券，否則吾等同意該 W-8BEN 申請表會被當作續期。吾等亦同意悉數對果樹證券因吾等違規或遺漏而蒙受的任何索償、損害、損失、費用及開支作出彌償並保證其利益不受損害。

I/We hereby declare that I am/we 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. I/We undertake to notify FTSL within 30 days for any change of circumstances stated in the W-8BEN Form, without which I/we agree that the W-8BEN Form will be deemed renewed. I/We shall fully indemnify and hold harmless FTSL from and against all claims, damages, losses, costs and expenses whatsoever incurred arising from such non-compliance or omission;

7. 吾等承諾若吾等的共同匯報標準自我證明的狀況資料如有變更，會於三十日內主動通知果樹證券。吾等亦同意悉數對果樹證券因吾等違規或遺漏而蒙受的任何索償、損害、損失、費用及開支作出彌償並保證其利益不受損害。

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

8. 果樹證券須吾等提供自我證明或其他文件以揭示吾等納稅所在地，以作自動交換財務帳戶資料用途。如吾等因任何情況而影響吾等的納稅所在地，或令果樹證券有理由相信吾等之自我證明有不正確或不可靠時，果樹證券保留權利可要求吾等遞交新的自我證明及/或額外文件。作為果樹證券的帳戶持有人，吾等承諾及同意向果樹證券提供進一步的資料。果樹證券為遵守香港《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文及/或指引，可能導致收集，儲存，使用及處理吾等的資料。吾等的資料亦可向香港特別



行政區政府稅務局披露，從而把資料轉交到吾等的居留司法管轄區的稅務當局。如果吾等未能提供任何所要求的資料，果樹證券保留採取任何補救措施的權利，包括(但不限於)限制及終止帳戶的運作。

FTSL will request a self-certification and/or other relevant documentation to establish my/our tax residence for automatic exchange of financial account information purposes. If there is any change in circumstances that would affect my/our tax residence or there is reason for FTSL to know that the self-certification is incorrect or unreliable, FTSL reserves the right to request and I/we have the obligation to provide a new self-certification and/or additional documentation. As account holder of FTSL, I/we shall be deemed to acknowledge that further information may need to be provided to FTSL. FTSL'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 my/our information. My/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 I/we may be resident for tax purposes. In any event that I/we fail to provide any requested information (regardless of the consequences), FTSL 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;

9. 吾等明白根據《稅務條例》第 80 (2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述 是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第3級（即\$10,000）罰款。I/We understand that it is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).
10. 吾等已參閱果樹證券給予客戶有關《個人資料（私隱）條例》的通知（載於證券交易帳戶協議內），並明白且同意其條款；I/We have read FTSL's Notice to Customers on the Personal Data (Privacy) Ordinance (as contained in the Agreement for Securities Trading Account), understand and agree to such terms;
11. 倘若中文本與英文本在解釋或意義方面有任何歧義，吾等同意應以英文本為準。  
In the event of any difference in interpretation or meaning between the Chinese and English version, I/we agree that the English version shall prevail.

申請人簽署#

Applicant's Signature #

Witnessed by FTSL staff/

Licensed representative \*

FTSL staff name/

Licensed representative

個人/第一申請人 Individual/First Applicant

CE No:

第二申請人 Second Applicant

CE No:

日期 Date: \_\_\_\_\_

(日/月/年 dd/mm/yyyy)

日期 Date: \_\_\_\_\_

(日/月/年 dd/mm/yyyy)

日期 Date: \_\_\_\_\_

(日/月/年 dd/mm/yyyy)

# 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 FTSL staff / licensed representative, please sign in the Certification below.

\* 如見證人並非果樹證券僱員／持牌代表，請簽署以下核證。

## H. 核證 CERTIFICATION

\*(如本申請表並非在果樹證券職員面前簽署，須填寫此欄)

\*ONLY to be completed if this form is not signed before a staff member of FTSL

由香港證監會發牌或註冊之人士或其聯繫人士、果樹證券的聯繫人士，專業人士(例如銀行分行經理、執業會計師、律師或公證人)核證。To be certified by a person licensed or registered with Hong Kong SFC or his affiliate, an affiliate of FTSL, professional person (such as a branch manager of a bank, certified public accountant, lawyer or notary public).

本人(姓名見下)核證已經與本申請表簽署人會晤及核對其身份證或護照正本，他(們)並在本人面前簽署本申請表。

I, named below, certify that I have met and identified each of the person(s) who executed this Form before me, and reviewed the original of his/their ID card(s) or passport(s).

簽署 Signature: \_\_\_\_\_ 姓名 Name: \_\_\_\_\_ 職業 Profession: \_\_\_\_\_

日期 Date: \_\_\_\_\_

(日/月/年 dd/mm/yyyy)

## I. 隸屬於果樹證券持牌人士聲明

### DECLARATION BY A LICENSED PERSON ACCREDITED TO FRUIT TREE SECURITIES LIMITED

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及風險披露資料(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 confirm that I have provided the Risk Disclosure Statements and Risk Disclosure Information (if applicable) 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/they wish(es).

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果樹證券的客戶規避有關美國海外帳戶納稅法案。

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 FTSL to circumvent the account identification requirements in relation to the Foreign Account Tax Compliance Act of the United States of America.

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」。

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.

以上客戶乃本人面前簽立\* The above Client Signature(s) was/were made in my presence\*

持牌人簽署 Signature of Licensed Person

日期 Date

(日/月/年 dd/mm/yyyy)

持牌人姓名(正楷) Name of licensed person (please print)

中央編號(正楷) CE No. (please print)

解釋此風險披露聲書之地址 Address at which risk acceptance statement explained. :

\* 如不適用，請刪除。Delete if not applicable.

## J. 常設授權書 STANDING AUTHORITY (只適用於孖展證券交易帳戶 ONLY FOR Margin Securities Trading Account)

### 根據《證券及期貨(客戶證券)規則》所設立的常設授權 Authority under Securities and Futures (Client Securities) Rules

本授權書是有關吾等之證券或證券抵押品的處置，詳列如下，除非另有說明，本授權書之名詞與證券及期貨條例及證券及期貨(客戶證券)規則不時修訂之定義具有相同意思。This Standing Authority sets out the ways of handling of my/our securities or securities collateral below. Unless otherwise defined, the terms used in this Standing Authority shall have the same meanings as in the Securities and Futures Ordinance and the Securities and Futures (Client Securities) Rules as amended from time to time.

本授權書授權果樹證券有限公司(「果樹證券」)： This Standing Authority authorizes Fruit Tree Securities Limited (“FTSL”) to:

1. 依據證券借貸協議運用任何吾等的證券或證券抵押品; make use of any of my/our securities or securities collateral pursuant to a securities borrowing and lending agreement;
2. 將任何吾等的證券抵押品存放於認可財務機構，作為該機構向果樹證券提供財務通融之抵押品； deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provided to FTSL;
3. 將任何吾等的證券抵押品存於香港中央結算有限公司(「中央結算」)，作為解除果樹證券在交收上的義務和清償果樹證券在交收上的法律責任的抵押品。吾等明白中央結算因應果樹證券的責任和義務而對吾等的證券設定第一固定押記； deposit any of my/our securities collateral with Hong Kong Securities Clearing Company Limited ("HKSCC") as collateral for the discharge and satisfaction of FTSL's settlement obligations and liabilities. I/We understand that HKSCC will have a first fixed charge over my/our securities to the extent of FTSL's settlement obligations and liabilities;
4. 將任何吾等的證券抵押品存於任何其他認可結算所或任何其他獲發牌或獲註冊進行證券交易的中介人，作為解除果樹證券在交收上的責任和義務和清償果樹證券在交收上的法律責任的抵押品；及 deposit any of my/our securities collateral with any other recognized clearing house, or another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of FTSL's settlement obligations and liabilities and/ or any other legal liabilities; and
5. 如果樹證券在進行證券交易及果樹證券獲發牌或獲註冊進行的任何其他受規管活動的過程中向吾等提供財務通融，即可按照上述第(1)、第(2)、第(3)及/或第(4)段所述運用或存放任何吾等的證券抵押品。 make use of or deposit any of my/our securities collateral in accordance with paragraphs (1), (2), (3) and/or (4) above if FTSL provides financial accommodation to me/us in the course of dealing in securities or in the course of any other regulated activity for which FTSL is licensed or registered.

果樹證券可不向吾等發出事前通知而採取上述行動。吾等確認本授權書不影響果樹證券為解除由吾等或代吾等對果樹證券、果樹證券有聯繫實體或第三者所負的法律責任，而處置或促使果樹證券的有聯繫實體或第三者處置吾等之證券或證券抵押品的權利。FTSL may do any of these things without giving me/us prior notice. I/We acknowledge that this Standing Authority shall not affect FTSL's right to dispose or initiate a disposal by FTSL's associated entity of my/our securities or securities collateral in settlement of any liability owed by or on behalf of me/us to FTSL, the associated entity or a third party.

此賦予果樹證券之授權乃鑑於果樹證券同意繼續維持吾等之證券保證金賬戶。吾等明白吾等的證券可能受制於第三者之權利，果樹證券須全數抵償該等權利後，方可將吾等的證券退回吾等。This Standing Authority is given to FTSL in consideration of FTSL agreeing to continue to maintain the securities margin account(s) for me/us. I/We understand that a third party may have rights to our securities, which FTSL must satisfy before my/our securities can be returned to me/us.

本授權書的有效期限為十二個月，自本授權書之日起計有效。吾等可以向果樹證券客戶服務部發出書面通知，撤回本授權書。該等通知之生效日期為果樹證券真正收到該等通知後之14日起計。This Standing Authority is valid for a period of 12 months from the date of this letter and may be revoked by giving FTSL written notice addressed to FTSL's Customer Service Department. Such notice shall take effect upon the expiry of 14 days from the date of FTSL's actual receipt of such notice.

吾等明白果樹證券若在本授權書的有效期限滿前14日之前，向吾等發出書面通知，提醒吾等本授權書即將屆滿，而吾等沒有在此授權屆滿前反對此授權續期，本授權書應當作在不需要吾等的書面同意下按持續的基準已被續期。I/We understand that this authority may be deemed to be renewed on a continuing basis without my/our written consent if FTSL issues me/us a written reminder at least 14 days prior to the expiry date of this authority, and I/we do not object to such deemed renewal before such expiry date.

倘若本授權書的中文本與英文本在解釋或意義方面有任何歧義，吾等同意應以英文本為準。In the event of any difference in interpretation or meaning between the Chinese and English version of this Standing Authority, I/We agree that the English version shall prevail.

吾等就本授權書的內容已獲得解釋，並且吾等明白及同意本授權書的內容。This Standing Authority has been explained to me/us and I/we understand and agree with the contents of this Standing Authority.

個人/第一申請人簽署 (並作為簽署式樣)  
Individual/First Applicant (also as Specimen Signature)

第二申請人簽署 (並作為簽署式樣)  
Secondary Applicant (also as Specimen Signature)

日期 (日/月/年)  
Date (dd/mm/yyyy)

## K. 條款 TERMS

1. 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。  
The Account is a non-discretionary account, which means that every trade conducted in it must be specifically authorized orally/in writing by the Applicant(s) pursuant to Section E above or, if applicable, any person(s) duly authorized by the Applicant pursuant to this Account Application and the Client Agreement.
2. 除本K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。除非果樹證券另有書面表示，否則文件將一起構成為申請人與果樹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 K 項第(15)條外，倘若客戶協議及申請人與相關果樹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果樹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  
Save for Clause (15) of this Section K, this Account Application is subject to the Client Agreement as amended from time to time. Unless otherwise indicated in writing by FTSL, the Documents shall together constitute the entire agreement and understanding between the Applicant(s) and FTSL 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 K, in the event of any conflict or inconsistency between the Client Agreement and any other document entered into between the Applicant(s) and FTSL and this Account Application, the Client Agreement and any other document entered into between the Applicant and FTSL shall prevail to the extent of such conflict or inconsistency.
3. 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。  
The Applicant confirms that unless otherwise indicated in this Account Application, he/she/they is/are acting as principal in relation to the Account.
4. 果樹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。申請人需另行向果樹證券簽訂由果樹證券不時指定之有關授權。  
FTSL 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 FTSL from time to time) to FTSL signed by the Applicant(s) will be required for this purpose.
5. 每一位申請人現不可撤銷地並以保證形式委任果樹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果樹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。  
The Applicant(s) hereby irrevocably and by way of security appoints FTSL as his/her/their lawful attorney to execute all documents and do all things which FTSL in good faith considers necessary and which such Applicant or both 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).
6. 申請人現個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為真實、準確、完整及為最新的，並且已採取一切必要行動授權可向果樹證券披露該等資料及果樹證券可為本開戶申請表所預期或關於其目的而使用該等資料。申請人現再個別及共同承諾此後根據客戶協議書及附件或果樹證券之合理要求，不時向果樹證券提供其他資料。申請人現 再個別及共同承諾即時通知果樹證券任何前述資料之任何變更。除非果樹證券接獲申請人以書面通知的任何變更，否則果樹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：除非果樹證券另有書面同意，否則任何前述資料的任何變更，只會於果樹證券確實收妥有關書面通知當日起計兩日後才會生效。  
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 authorize the disclosure of such information to FTSL and the use of such information by FTSL 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 FTSL from time to time or otherwise required under the Client Agreement. The Applicants hereby further jointly and severally undertake to notify FTSL promptly of any change to any aforesaid information. FTSL is entitled to rely fully on all aforesaid information for all purposes until FTSL 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 FTSL in writing, any change to any aforesaid information shall not take effect until 2 days after the actual receipt by FTSL of the relevant written notification.
7. 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果樹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，該等向果樹證券發出的保證、聲明及承諾將被 視為每日作出，直至及包括果樹證券的客戶協議終止為止。果樹證券的客戶協議之終止，將不會影響在終止日前果樹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。申請人個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(7)條的任何事宜，果樹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果樹證券的任何合理協助，果樹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（包括果樹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個別及共同承諾支付。儘管本第(7)條有任何規定及儘管果樹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），果樹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。

The Applicant(s) should familiarize himself/herself with and, where applicable, take advice on the laws and regulations applicable to the subscription, holding and realization of the investments in respect of the Account in the place of his/her domicile/residence and, if applicable, all other relevant jurisdictions. The Applicant(s) 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 FTSL 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 FTSL are deemed to be repeated on each day up to and including the termination of the Client Agreement of FTSL. Termination of the Client Agreement of FTSL shall not affect any action by FTSL 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 Applicant(s) (or any of them) under such Client Agreement. The Applicant(s) 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 Applicant(s) to deal with any matter related to this Clause (7) and FTSL is under no obligation to take any action in relation to any such matter. Should any Applicant(s) require any reasonable assistance from FTSL regarding any such matter, FTSL 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 FTSL for or in connection with rendering such assistance) shall be solely borne by the Applicant(s) who jointly and severally undertake to pay the same. Notwithstanding anything in this Clause (7) and notwithstanding FTSL may have rendered any assistance to the Applicant(s) (or any of them) before (whether regarding the same matter or not), FTSL may, at any time, without liability to the Applicant(s) (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 Applicant(s) (or any of them).

8. 所有申請人確認收到及明白並同意果樹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）。

The Applicant(s) confirms the receipt of, and understands agrees to the terms of FTSL'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).

9. 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(9)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）。

The Applicant(s) confirms that he/she/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 (9) is applicable to the Applicant(s) if any Account, once approved to be opened, is governed by the relevant Client Agreement comprising the foregoing documents.)

10. (i) 本開戶申請表首頁所指明的網上交易服務將按果樹證券的客戶協議及附件以及果樹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首頁適當方格「」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(10)條上述適用的一份或多份文件及條款（「適用文件」僅作本第(10)條之用途）並於果樹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(10)(i)條只適用於本開戶申請表首頁於已選擇電子服務之適當方格「」中加上「」號之申請人。）

The use of online trading services, specified at the front page of this Account Application, shall be in accordance with FTSL Client Agreement and such other applicable terms as may be designated from time to time by FTSL. Depending on the choice of the Applicant(s) 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(s) agrees to use the Chosen Electronic Services on such website(s) as designated by FTSL from time to time and in accordance with the applicable document(s) and terms above mentioned in this Clause (10)(i) ("Applicable Documents" for the purpose of this Clause (10) only). The Applicant(s) 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/them. The Applicant(s) confirms its understanding and acceptance of the Risks. The Applicant(s) agrees to use the Chosen Electronic Services in accordance with the Applicable Documents. (This Clause (10)(i) is only applicable to the Applicant(s) who has ticked the appropriate " box(es) for the Chosen Electronic Services at the front page of this Account Application).

- (ii) 若本開戶申請表獲果樹證券所核准，各申請人同意於以上本開戶申請表D項所指定之電子郵件地址收取由果樹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(10)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，而該不可靠性乃非果樹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果樹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），果樹證券一概並不承責。（本第(10)(ii)條只適用於在D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(10)(ii)條。）

The Applicant(s) consents to receive all relevant contract notes, daily and monthly statements of account, confirmations and etc. (collectively, "Advice" for the purpose of this Clause (10) only) to be issued by FTSL by means of email to the email address(es) provided in Section A herein above if this Account Application is approved by FTSL. The Applicant(s) hereby acknowledges that the Internet or other electronic medium is an inherently unreliable medium of communication and that such unreliability is beyond FTSL control or anticipation. The Applicant(s) agrees that FTSL 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 FTSL control or anticipation. (This Clause (10)(ii) is only applicable to the Applicant(s) who has selected "Email" as the delivery method in Section D. However, if the Applicant(s) 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 (10)(ii)).

11. 若眾申請人於 F 項並不反對果樹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果樹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果樹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果樹證券日後不時所公佈之其他地址，而要求不從果樹證券處接收該等訊息。

By not objecting to the use of his/her/their personal data for direct marketing purposes by FTSL in Section F, the Applicant(s) expressly consents that FTSL may at any time and from time to time send to him/her/them by telephone, email or other electronic means any messages relating to services or products which, in the opinion of FTSL, the Applicant(s) may be interested. Any Applicant may at any time request not to receive such messages from FTSL by sending an "unsubscribe" request to the unsubscribe facility specified in such messages or by written notice to FTSL at the address stated at the front page of this Account Application or such other address as FTSL may subsequently notify from time to time.

12. 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：

The Applicant(s) each acknowledge and agree that being joint-account holders, if any one of them should "has died" or "passed away",

- (i) 尚存的聯名帳戶持有人須立即以書面通知果樹證券；

the surviving joint-account holder should immediately notify FTSL in writing of the death;

- (ii) 果樹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，但並不損害果樹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／或為保護果樹證券及／或果樹證券的其他一間或多間公司的利益而果樹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，果樹證券有權要求尚存的聯名帳戶持有人給予及／或簽署由果樹證券規定之一份或多份文件；及

FTSL 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, FTSL 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 FTSL may deem it desirable to take in view of any third party claims thereto and/or for protecting the interest of FTSL and/or other company(ies) of FTSL and FTSL shall be entitled to require the surviving joint-account holder to give and/or sign such document(s) as prescribed by FTSL before releasing any money, investment, property, instrument or document to or to the order of such survivor; and

- (iii) 直接或間接因或關於果樹證券按本K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，果樹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果樹證券，直接或間接因或關於果樹證券按本K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條而引致果樹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。

FTSL 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 FTSL pursuant to Clause (12)(ii) of this Section K or any breach of this Clause (12) by any of the Applicants; and the Applicant(s) each agree to indemnify FTSL against all claims, losses, damages, liabilities, costs or expenses whatsoever suffered or incurred by FTSL, directly or indirectly, arising from or in connection with any action or inaction taken or chosen by FTSL pursuant to Clause (12)(ii) of this Section K or any breach of this Clause (12) by any of the Applicants.

13. 所有申請人現個別及共同承諾應要求彌償果樹證券（按全面彌償基準）因依賴本 K 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果樹證券提供任何該等資料或直接或間接因或關於果樹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）而令果樹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）。

The Applicant(s) hereby jointly and severally agree to indemnify, on demand, FTSL (on a full indemnity basis) for all losses, costs and expenses (including legal costs) and liabilities of any nature whatsoever suffered or incurred by FTSL in reliance on any information

mentioned in Clause (4) of this Section K or in consequences of any failure to provide any such information in a timely manner or at all by the Applicant(s) or any of them or, directly or indirectly, arising from or in connection with FTSL'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 Applicant(s) or any of them (whether or not constituting a breach of any provision contained in this Account Application).

14. 所有申請人現承諾其等個別及共同承擔所有關於文件的債務及責任。  
The Applicant(s) hereby undertake to be jointly and severally responsible for all indebtedness, liabilities and obligations in connection with the Documents.

15. 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果樹證券公司決定（不論有否其他條件）。同時，果樹證券有權在無須提供理由之情況下拒絕該申請。  
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 FTSL (whether with or without further conditions) and FTSL shall not be obliged to give any reason for not approving the same.

16. 於本開戶申請表，以下詞語具以下定義：  
In this Account Application, the following terms have the following meanings:

「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，其內容及格式由果樹證券不時指定。  
"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 FTSL from time to time.

「果樹證券」指果樹證券有限公司，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。

"FTSL" means Fruit Tree 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(s) by such company in writing.

17. 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。

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.



**果樹證券專用 FOR FRUIT TREE OFFICE USE ONLY**

由 (i)業務部主管 (或其代表) 或 (ii)客戶經理 填寫

**TO BE COMPLETED BY (i) BUSINESS HEAD (OR DELEGATE) OR (ii) ACCOUNT EXECUTIVE**

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

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

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

建議貸款限額 Proposed Credit Limit: HK\$ 港元

每單限額 Order Limited: HK\$ 港元

交易限額 Trading Limited: HK\$ 港元

風險限額 Exposure Limited HK\$ 港元

透支利率 Overdraft Interest Rate \_\_\_\_\_ % 加優惠利率 plus prime lending rate \_\_\_\_\_ % ,

(逢每月最後一日計算及扣除 Charged at the end of each month)

抵押比率 Security % Limit : \_\_\_\_\_ %

(可接受貨值/市值 Acceptance/Market) HK\$ 港元

**可選擇地提供申請人背景資料 Optional Information on Applicant's Background :**

申請人與客戶經理的關係，如親戚(請註明)、朋友等

Applicant's relationship with Account Executive e.g. relatives (Please specify), friend, etc.

客戶轉介 Referral       現有客戶 Existing Client       其他(請註明) Others (please specify): \_\_\_\_\_

客戶經理認識申請人的日子多久 How long has the Applicant been known to Account Executive: \_\_\_\_\_

\_\_\_\_\_  
客戶經理簽署 Account Executive's Signature

\_\_\_\_\_  
全名 Full name

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

經由下列人士為及代表相關果樹證券核准開戶  
**Approved account opening for and on behalf of FTSL by**

\_\_\_\_\_  
獲授權簽署人  
Authorized Signatory

姓名(正楷)  
Print Name: \_\_\_\_\_

Date (dd/mm/yyyy)  
日期 (日/月/年): \_\_\_\_\_

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

\_\_\_\_\_  
信貸部主管 (或指定代表)  
Credit Committee member (or designated person)

姓名(正楷)  
Print Name: \_\_\_\_\_

Date (dd/mm/yyyy)  
日期 (日/月/年): \_\_\_\_\_

## 開立帳戶之文件核對表 DOCUMENTATION CHECK LIST FOR ACCOUNT OPENING

**重要事項：所有提交的文件如非正本，必須經認可人士或果樹證券員工認證後，方為有效。**

**Important Note: All documents submitted must either be original or certified copy by recognized person / staff members of FTSL.**

### 個人 / 聯名戶口 INDIVIDUAL / JOINT ACCOUNT

請提供以下文件本 Please provide the following documents:

1.  個人 / 聯名戶口持有人身份證 / 護照副本  
Identity Card(s) / Passport(s) of the Individual/Joint account holder
2.  最近三個月住宅地址證明（如：水、電費單 / 銀行結單等）或  
No later than 3 months residential address proof. (e.g. Utilities / Bank Statement, etc.) or
3.  最近三個月通訊地址證明  
No later than 3 months issued correspondence address proof.
4.  果樹證券合理情況下需要的其他文件或資料  
Any other documents and/or information as FTSL may reasonably requires
5.  客戶盡責檢查 Client Due Diligence Checked

## 果樹證券專用 FOR FRUIT TREE OFFICE USE ONLY

Submitted By [Name of AE/Code]: \_\_\_\_\_ Checked by Risk Management: \_\_\_\_\_

Employee associate: \_\_\_\_\_ Yes/No \_\_\_\_\_ (Relationship)

Brokerage rate: \_\_\_\_\_ Interest rate: \_\_\_\_\_ % over Prime rate

Credit limit: \_\_\_\_\_ Order limit: \_\_\_\_\_

Trading limit: \_\_\_\_\_ Exposure Limited: \_\_\_\_\_

Reviewed and Approved by: RO: \_\_\_\_\_ Compliance: \_\_\_\_\_ Executive Director: \_\_\_\_\_

Date: \_\_\_\_\_ Date: \_\_\_\_\_ Date: \_\_\_\_\_

Remark: \_\_\_\_\_