


億聲證券有限公司
Brilliant Norton Securities Company Limited

Office Address 辦公室地址：
 Suite 804, 8/F, Jubilee Centre, 46 Gloucester Road, Wanchai, Hong Kong
 香港灣仔告士打道46號捷利中心8字樓804室
 Tel. 電話：28386008 Fax. 傳真：28385533
 CE No. 中央編號：AXR802 Broker No. 經紀編號：7720

Notes 注意事項:

■ This form should be completed and signed by the Client in the presence of Brilliant Norton employee or account executive. Otherwise, Please fill in Non-face to face Account Opening Application Section, also. 客戶必須在億聲的僱員或持牌經紀面前填妥及簽署本表格；如非親身開戶，請同時簽署非親身開戶部份

■ Any deletion or amendment must be initiated by all account holders. 任何刪除或修改必須由客戶簡簽作實。

■ Third-Party cheque(s) cannot be used to settle any trading transaction. 不能以第三者支票交收。

Private & Confidential 資料保密		
<input type="checkbox"/> Individual Account 個人帳戶	<input type="checkbox"/> Cash Account Code 現金帳戶號碼	<input type="checkbox"/> Internet Securities Trading Service 使用互聯網證券買賣服務
<input type="checkbox"/> Joint Account 聯名帳戶	<input type="checkbox"/> Margin Account Code 保證金帳戶號碼	<input type="checkbox"/> Internet Securities Trading Service 使用互聯網證券買賣服務
Account Set Up Date 開戶日期		

Please Attach 請附上:

Copy of Primary (and Joint) Client's ID card or passport.
個人(及聯名)帳戶持有人的身份證或護照副本。

Copy of a bank statement or utility bill within the last 3 months for proof of home address.
最近3個月的銀行結單或公共服務單據副本作為提供住址證明。

If your designated bank account is outside Hong Kong, copy of a bank account statement within the last 3 months.
若指定銀行為香港以外銀行帳戶，請提供最近3個月的銀行結單副本。

THE APPLICANT'S PARTICULARS

申請人資料

Name (in English) Surname <input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Miss <input type="checkbox"/> Ms		Given names		Date of Birth 出生日期 DD / MM / YYYY		Nationality 國籍	
姓名(中文) 姓		名		Identity Card or Passport No. 身份證或護照號碼			
<input type="checkbox"/> 先生 <input type="checkbox"/> 太太 <input type="checkbox"/> 小姐 <input type="checkbox"/> 女士							
Marital Status 婚姻狀況 <input type="checkbox"/> Single 未婚 <input type="checkbox"/> Married 已婚		Education Level 學歷 <input type="checkbox"/> Primary 小學 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Post Secondary 大專 <input type="checkbox"/> University or above 大學或以上		Sex 性別 <input type="checkbox"/> Male 男性 <input type="checkbox"/> Female 女性			
Residential Address 住址 Flat/ Floor/ Bldg 室/樓/大廈		<input type="checkbox"/> Owned 自置 <input type="checkbox"/> Rented 租用 <input type="checkbox"/> Others 其他: _____		Business/Office Address 公司地址 Flat/ Floor/ Bldg 室/樓/大廈		Correspondence Address (if different) 通訊地址(如不同) Flat/ Floor/ Bldg 室/樓/大廈	
Estate/ Court 屋苑		Street/街		Street/街		District 地區	
District 地區		District 地區		District 地區		District 地區	
<input type="checkbox"/> H.K. 香港 <input type="checkbox"/> KLN. 九龍 <input type="checkbox"/> N.T. 新界		<input type="checkbox"/> H.K. 香港 <input type="checkbox"/> KLN. 九龍 <input type="checkbox"/> N.T. 新界		<input type="checkbox"/> H.K. 香港 <input type="checkbox"/> KLN. 九龍 <input type="checkbox"/> N.T. 新界		<input type="checkbox"/> H.K. 香港 <input type="checkbox"/> KLN. 九龍 <input type="checkbox"/> N.T. 新界	
<input type="checkbox"/> Local 本地 <input type="checkbox"/> Overseas 海外:		<input type="checkbox"/> Local 本地 <input type="checkbox"/> Overseas 海外:		<input type="checkbox"/> Local 本地 <input type="checkbox"/> Overseas 海外:		<input type="checkbox"/> Local 本地 <input type="checkbox"/> Overseas 海外:	
Home Tel. No. 住宅電話		Name of Current Employer 任職公司名稱		<input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-Employed 自僱			
Mobile Phone No. 手提電話		Nature of Business 業務性質		Business Tel. No. 公司電話號碼			
Home Fax No. 傳真		Position 職銜		Years of Service 服務年資		Business Fax No. 公司傳真	
Personal E-mail 個人電郵							
Name of Designated Bank 指定往來銀行名稱		A/C No. 銀行帳戶號碼					
Method of Statement Collection 收取結單之方式		<input type="checkbox"/> Residential Address 住址 <input type="checkbox"/> Business/Office Address 公司地址 <input type="checkbox"/> Correspondence Address 通訊地址		Language of Statement 結單語言		<input type="checkbox"/> Chinese 中文 <input type="checkbox"/> English 英文	
<input type="checkbox"/> by E-mail 以電郵		by Mail 以郵寄					

THE CO-APPLICANT'S PARTICULARS

聯名帳戶第二申請人資料

For Joint Account Applicant(s) Only

開設聯名帳戶申請者須同時填寫下列部份

Name (in English) Surname <input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Miss <input type="checkbox"/> Ms		Given names		Date of Birth 出生日期 DD / MM / YYYY		Nationality 國籍	
姓名(中文) 姓		名		Identity Card or Passport No. 身份證或護照號碼			
<input type="checkbox"/> 先生 <input type="checkbox"/> 太太 <input type="checkbox"/> 小姐 <input type="checkbox"/> 女士							
Marital Status 婚姻狀況 <input type="checkbox"/> Single 未婚 <input type="checkbox"/> Married 已婚		Education Level 學歷 <input type="checkbox"/> Primary 小學 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Post Secondary 大專 <input type="checkbox"/> University or above 大學或以上		Sex 性別 <input type="checkbox"/> Male 男性 <input type="checkbox"/> Female 女性			
Residential Address 住址 Flat/ Floor/ Bldg 室/樓/大廈		<input type="checkbox"/> Owned 自置 <input type="checkbox"/> Rented 租用 <input type="checkbox"/> Others 其他: _____		Business/Office Address 公司地址 Flat/ Floor/ Bldg 室/樓/大廈		Correspondence Address (if different) 通訊地址(如不同) Flat/ Floor/ Bldg 室/樓/大廈	
Estate/ Court 屋苑		Street/街		Street/街		District 地區	
District 地區		District 地區		District 地區		District 地區	
<input type="checkbox"/> H.K. 香港 <input type="checkbox"/> KLN. 九龍 <input type="checkbox"/> N.T. 新界		<input type="checkbox"/> H.K. 香港 <input type="checkbox"/> KLN. 九龍 <input type="checkbox"/> N.T. 新界		<input type="checkbox"/> H.K. 香港 <input type="checkbox"/> KLN. 九龍 <input type="checkbox"/> N.T. 新界		<input type="checkbox"/> H.K. 香港 <input type="checkbox"/> KLN. 九龍 <input type="checkbox"/> N.T. 新界	
<input type="checkbox"/> Local 本地 <input type="checkbox"/> Overseas 海外:		<input type="checkbox"/> Local 本地 <input type="checkbox"/> Overseas 海外:		<input type="checkbox"/> Local 本地 <input type="checkbox"/> Overseas 海外:		<input type="checkbox"/> Local 本地 <input type="checkbox"/> Overseas 海外:	
Home Tel. No. 住宅電話		Personal E-mail 個人電郵		Name of Current Employer 任職公司名稱		<input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-Employed 自僱	
Mobile Phone No. 手提電話				Nature of Business 業務性質		Business Tel. No. 公司電話號碼	
Home Fax No. 傳真				Position 職銜		Years of Service 服務年資	
				Business Fax No. 公司傳真			

FINANCIAL PROFILE
財政概況

Annual Income 每年收入 (HKD 港幣)	<input type="checkbox"/> ≤ \$250,000	<input type="checkbox"/> \$250,001 - \$500,000	<input type="checkbox"/> \$500,001 - \$1,000,000	<input type="checkbox"/> > \$1,000,000
Personal Net Assets 個人資產淨值 (HKD 港幣)	<input type="checkbox"/> ≤ \$500,000	<input type="checkbox"/> \$500,001 - \$1,000,000	<input type="checkbox"/> \$1,000,001 - \$5,000,000	<input type="checkbox"/> > \$5,000,000
Risk Tolerance Level 承受風險程度	Investment Horizon 投資期	Investment Experience 投資經驗		
<input type="checkbox"/> Aggressive 進取	<input type="checkbox"/> Short Term 短綫	Stock 股票 <input type="checkbox"/> Yes ____ Year(s)年	Gold/FX/Commodities 黃金/外匯/商品 <input type="checkbox"/> Yes ____ Year(s)年	
<input type="checkbox"/> Moderate 穩健	<input type="checkbox"/> Medium Term 中綫	Warrants 窩輪 <input type="checkbox"/> Yes ____ Year(s)年	Mutual Fund 基金 <input type="checkbox"/> Yes ____ Year(s)年	
<input type="checkbox"/> Conservative 保守	<input type="checkbox"/> Long Term 長綫	Futures 期貨 <input type="checkbox"/> Yes ____ Year(s)年	Structured Products 結構性產品 <input type="checkbox"/> Yes ____ Year(s)年	

KNOWLEDGE OF DERIVATIVES
對衍生工具的認識

Do you have knowledge of derivative product(s)? 你是否對衍生產品有認識?

<input type="checkbox"/> Yes 是 Please indicate one of the followings 並從以下途徑認知				
1) Attended training or courses that provide general knowledge of the nature and risks of derivatives 曾接受有關介紹一般衍生產品之性質及風險的培訓或課程	2) Relevant work experience related to derivative products 擁有相關衍生產品的工作經驗	3) Executed at least 5 transactions in any derivative products within past 3 years 在過去三年執行過最少五次有關任何衍生產品的交易		<input type="checkbox"/> No 否
Name of Institution Providing Courses 提供相關課程之機構	Name of Employer 任職公司名稱	<input type="checkbox"/> Callable Bull/ Bear Contracts (CBCB) 牛熊證 <input type="checkbox"/> Exchange Traded Funds (ETF) 交易所買賣基金 <input type="checkbox"/> Futures or Options 期貨或期權合約交易 <input type="checkbox"/> Others (Please specify) 其他 (請註明) <input type="checkbox"/> Derivative Warrants 衍生認股證 <input type="checkbox"/> Rights 供股權 <input type="checkbox"/> Stock Options 股票期權		
Name of Course/ Seminar 課程/研討會名稱	Position 職銜			
Period Attended 參與時期 MM / YYYY - MM / YYYY				
*** FOR OFFICIAL USE ONLY 供本公司使用***		Applicant is classified as 申請人已被分類為:		<input type="checkbox"/> with knowledge in derivative product(s) 對衍生產品有認識 <input type="checkbox"/> without knowledge in derivative product(s) 對衍生產品沒有認識

IDENTITY DECLARATION
身份聲明

Is the Applicant 申請人是否:

1) A senior officer or director of any listed company whose shares are traded on any exchange or market? (If yes, please specify the company name and stock code) 其股份在任何交易所或市場買賣的上市公司之高級人員或董事? (如是, 請說明公司名稱及上市編號)	2) A person licensed by or registered with the SFC or an employee of such organization? (If yes, please state CE no.) 香港證監會註冊人士或該公司的僱員 (如是, 請說明中央編號)	3) A relative of employee of Brilliant Norton Securities Company Limited? (If yes, please state relationship.) 億豐證券有限公司僱員之親屬? (如是, 請陳述其關係)	4) A person holding prominent public office? (If yes, please specify) 擔任重要公職人士? (如是, 請說明)
<input type="checkbox"/> Yes 是 Company Name & Stock code 公司名稱及上市編號	<input type="checkbox"/> Yes 是 CE no. 中央編號	<input type="checkbox"/> Yes 是 Relationship 關係	<input type="checkbox"/> Yes 是 Position 職銜
<input type="checkbox"/> No 否	<input type="checkbox"/> No 否	<input type="checkbox"/> No 否	<input type="checkbox"/> No 否
5) The ultimate beneficiary of the account and transactions 帳戶及交易的最終實益持有人		6) Ultimately responsible for originating the instruction in relation to a transaction 最終負責作出交易指示的人士	7) The only person with authority to operate the account 唯一有權操作此帳戶者
<input type="checkbox"/> No 否 Please fill in the details of ultimate beneficial owner(s) 須同時填寫最終實益持有人詳細資料		<input type="checkbox"/> Yes 是	<input type="checkbox"/> Yes 是
<input type="checkbox"/> Yes 是		<input type="checkbox"/> No 否	<input type="checkbox"/> No 否
Name 姓名	Identity Card or Passport No. 身份證或護照號碼	Please complete "Third Party Authorization" 須同時填寫「第三者授權」表格	
Relationship with Applicant 與申請人關係	Contact No. 聯絡電話		
Address 地址			
Brilliant Norton Securities Company Limited normally will not accept Applicant who is not the ultimate beneficiary or not the ultimately responsible person 億豐證券有限公司通常不會接受非最終實益持有人之申請人或非最終負責作出交易指示的人士		Except Joint Account Applicant 開設聯名帳戶人士除外	
For Margin Account Applicant(s) Only 只適合保證金帳戶申請者填寫			
To be completed by the <u>Only</u> or <u>First</u> Applicant 由唯一或第一申請人填寫		To be completed by the <u>Co-Applicant</u> (if any) 由聯名帳戶第二申請人填寫 (如適用)	
Is your spouse a margin client of Brilliant Norton Securities Company Limited? If yes, please provide details 申請人配偶是否億豐證券有限公司之孖展客戶? 如是, 請詳細說明。		Is your spouse a margin client of Brilliant Norton Securities Company Limited? If yes, please provide details 申請人配偶是否億豐證券有限公司之孖展客戶? 如是, 請詳細說明。	
<input type="checkbox"/> Yes 是 Name of Spouse 配偶名稱	<input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 Name of Spouse 配偶名稱	<input type="checkbox"/> No 否
Account Code 帳戶號碼		Account Code 帳戶號碼	
Is the Applicant at any time during the past 12 months, directly or indirectly connected or associated with any director, chief executive or substantial shareholders of Brilliant Norton Securities Company Limited (connected person). If yes, please provide details 申請人在過去12個月內, 是否直接或間接跟億豐證券有限公司的任何董事、行政總裁、或主要股東有所關連(關連人士)? 如是, 請詳細說明。			
<input type="checkbox"/> Yes 是 Name of Connected Person 關連人士名稱		<input type="checkbox"/> No 否	

Please indicate the type of Account you want to make by ticking "✓" and signing the appropriate boxes below
請在以下適當的方格加上"✓"並在相應空格內簽署

Client Account Opening Execution
客戶開戶執行指示

<input type="checkbox"/> Cash Account 現金帳戶 Please open a Cash Account for me/us, the undersigned Client(s). I/We have read, understood and accepted the provisions of the Cash Client Agreement as set out in the Standard Terms and Conditions of Brilliant Norton Securities Company Limited and I/We agree to be bound by the same. 請為本人(等)(為下方簽署之客戶)開立現金帳戶。本人(等)已經閱讀並明白在億豐證券有限公司的標準章程中，所載之現金帳戶協議的條款，並接受這些條款的約束。	<input type="checkbox"/> Margin Account 保證金帳戶 Please open a Margin Account for me/us, the undersigned Client(s). I/We have read, understood and accepted the provisions of the Margin Client Agreement as set out in the Standard Terms and Conditions of Brilliant Norton Securities Company Limited and I/We agree to be bound by the same. 請為本人(等)(為下方簽署之客戶)開立保證金帳戶。本人(等)已經閱讀並明白在億豐證券有限公司的標準章程中，所載之保證金帳戶協議的條款，並接受這些條款的約束。
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Applicant's Signature 申請人簽署 Date 日期:	Co-Applicant's Signature (if any) 聯名帳戶第二申請人簽署 (如適用) Date 日期:	<input checked="" type="checkbox"/> Witness Signature 見證人簽署 Witness Name Witness Occupation 見證人姓名 見證人職業 Date 日期
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Internet Securities Trading Execution
互聯網證券交易執行指示

For Internet Securities Trading Service Account Applicant(s) Only
只適用於使用互聯網證券交易申請者填寫

<input type="checkbox"/> Cash Account 現金帳戶	<input type="checkbox"/> Internet Securities Trading Service 互聯網證券買賣服務	<input type="checkbox"/> Margin Account 保證金帳戶	<input type="checkbox"/> Internet Securities Trading Service 互聯網證券買賣服務
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I/We declare that I/We want to use the Internet Securities Trading Service. I/We have read, understood and accepted the provisions of the Internet Securities Trading Agreement as set out in the Standard Terms and Conditions of Brilliant Norton Securities Company Limited and I/We agree to be bound by the same.
 本人(等)聲明欲使用互聯網證券交易服務。本人(等)已經閱讀並明白在億豐證券有限公司的標準章程中，所載之 互聯網證券交易協議 的條款，並接受這些條款的約束。

Applicant's Signature 申請人簽署 Date 日期:	Co-Applicant's Signature (if any) 聯名帳戶第二申請人簽署 (如適用) Date 日期:	<input checked="" type="checkbox"/> Witness Signature 見證人簽署 Witness Name Witness Occupation 見證人姓名 見證人職業 Date 日期
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Non-face to face Account Opening Application Only
只適用於非親身開戶人士

<p style="text-align: center;">Declaration by Client 客戶聲明</p> <p>In case I/We execute this Account Application not in the presence of a Brilliant Norton Securities Company Limited 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 (1) Brilliant Norton Securities Company Limited will contact me/us via telephone (follow-up call) to explain to me/us the Risk Disclosure Statements and, if applicable, the Risk Disclosure Information before permitting me/us to trade under any account to be opened under this Account Application, and (2) if I/We do not confirm that I/We fully understand and accept the relevant risks during such follow-up call, I/We can immediately withdraw this Account Application and have the Account Application Form and supporting documents returned to me/us.</p> <p>若本人(等)非在一名億豐證券有限公司持牌代表前簽署此開戶申請表，或本人(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，本人(等)確認知悉(1)在本人(等)獲准在根據此開戶申請表開立的帳戶內進行交易前，億豐證券有限公司將會電話聯絡本人(等)(跟進電話)以解釋風險披露聲明或其風險披露資料(若適用)；及(2)若本人(等)在跟進電話中不確認本人(等)完全明白並接受有關的風險，本人(等)可以立刻取消有關申請並取回此開戶申請表及相關證明文件。</p>	<p style="text-align: center;">Declaration by Witness 見證人聲明</p> <p>I am a* Justice of the Peace/branch manager of a licensed bank/practicing lawyer/certified public accountant/notary public. I hereby certify that on the date above written in this Account Application was executed by the Applicant named in this Account Application who had been previously identified by production of the original of his/her identity card or passport in my presence. *Please delete as appropriate.</p> <p>本人乃*太平紳士/持牌銀行分行總理/執業律師/執業會計師/公證人。本人證實：於以上所寫的日期當日，本開戶申請表乃由本開戶申請表所指名的申請人於本人面前簽訂。 *請刪去不適用者。</p>	
Applicant's Signature 申請人簽署 Date 日期:	Co-Applicant's Signature (if any) 聯名帳戶第二申請人簽署 (如適用) Date 日期:	<input checked="" type="checkbox"/> Witness Signature 見證人簽署 Witness Name Witness Occupation 見證人姓名 見證人職業 Date 日期

Client's Initial 客戶簡簽	
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Declaration by Client
客戶聲明

I/We, the undersigned Client(s) certify that the above information is accurate and complete. I am /We are aware that Brilliant Norton Securities Company Limited reserves the right to cancel my/our application at any time if the information given in this application is found to be untrue.

本人(等)為下方簽署客戶，確認以上資料皆屬實，本人(等)明白若發現任何刻意隱瞞之事實，億豐證券有限公司將保留取消此申請之權利。

I/We also confirm that the RISKS OF TRADING IN EXCHANGE-TRADED STRUCTURED PRODUCTS (e.g. derivative warrants, callable bull/bear contracts) contained in the above-mentioned Risk Disclosure Statements have been explained to me/us and I/We have understood the contents thereof.

本人(等)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』之解釋，且本人已明白其內容。

I/We understand that Brilliant Norton Securities Company Limited will rely on the above information to assess whether I/We have acquired the knowledge of derivative products.

本人(等)明白貴司將會根據以上資料來評核本人(等)是否對衍生產品有認識。

I/We acknowledge receipt of the Standard Terms and Conditions of Brilliant Norton Securities Company Limited.

本人(等)確認已收取了億豐證券有限公司之標準章程。

I/We have read and fully understood the contents of this Account application and the Client Agreement and agreed to be bound by them.

本人(等)已經閱讀並完全明白開戶申請表及客戶協議之內容，並同意受其等所約束。

I/We confirm that the Risk Disclosure Statements, and, if applicable, Risk Disclosure Information, in or accompanying the Client Agreement have been provided in a language of my choice (English or Chinese) and that I/We have read and accepted the nature and contents thereof. I/We appreciate that they are not and cannot be taken as a comprehensive or exhaustive list of all possible risks. I/We confirm that I/We have been given the opportunity to ask questions and seek independent advice if I/We so wish.

本人(等)確認載或附於客戶協議之風險披露聲明已按本人選擇之語言(英文或中文)提供予本人，及本人(等)已閱讀、瞭解和接受其/其等(若適用)性質和內容。本人(等)明白這不是而且不能被當為一份完全或徹底列舉所有潛在風險的清單。此外，本人(等)已被給予機會提出問題及徵求獨立的意見(若本人(等)有此意願)。

Declaration by Staff
職員聲明

I, a licensed or registered person, hereby declare that I have provided the client with a copy of the Risk Disclosure Statement and the Risk Disclosure Statement in the Internet Securities Trading Agreement (if applicable) in a language of the client's choice (English or Chinese).

本人，以持牌人或註冊人身份，確認本人已按照下方簽署客戶所選擇的語言(英文或中文)提供風險披露聲明及互聯網證券交易協議所載之風險披露聲明(如適用)。

I have invited the client to read the Risk Disclosure Statement referred to the Cash Client Agreement and/or the Margin Client Agreement, and the Risk Disclosure Statement in the Internet Securities Trading Agreement (if applicable).

本人已提示客戶閱讀現金客戶協議書及/或保證金客戶協議書內之風險披露聲明及互聯網證券交易協議所載之風險披露聲明(如適用)。

I have invited the client to read the Risk Disclosure Statement in relation to the trading of RMB securities and derivative products and explained the relevant risks associated with the derivative products to the Client who is characterized as:

with knowledge of derivatives.

without knowledge of derivatives.

本人已提示客戶閱讀風險披露聲明內有關買賣人民幣證券及衍生產品的條款，並已對被分類為對衍生產品

擁有認識的客戶

沒擁有認識的客戶

解釋衍生產品所附帶的相關風險。

I have encouraged the client to ask questions and seek independent advice if the client so wishes.

本人已鼓勵客戶有需要可以提出問題及徵求獨立的意見。

Applicant's Signature 申請人簽署
Date 日期:

Co-Applicant's Signature (if any) 聯名帳戶第二申請人簽署 (如適用)
Date 日期:

⊗	
Licensed or Registered Person Signature 持牌人或註冊人簽署	
Name of Licensed or Registered Person 持牌人或註冊人姓名	CE No. 中央編號
Date 日期	

Accepted and acknowledged by:
For and on behalf of

BRILLIANT NORTON SECURITIES COMPANY LIMITED

⊗ _____
Authorized Director(s)/ Responsible Officer(s) Signature with Company Chop
獲授權董事/負責人簽署及公司印章

_____ Date 日期

*** FOR OFFICIAL USE ONLY 供本公司使用***					
Name of AE 客戶主任姓名	Years Client known to AE 客戶與客戶主任相識年期	Introduced by 介紹人	Documentation Checked by 文件查核	Approved by 批准	
Brokerage 佣金	Min. 最低佣金	Credit Limit 信貸額	Interest Rate 利率	Bank and Credit references obtained 已獲銀行及信貸參考	Client A/C Code 客戶編號

To 致: Brilliant Norton Securities Company Limited 億豐證券有限公司
Suite 804, 8/F, Jubilee Centre, 46 Gloucester Road, Wanchai, Hong Kong
香港灣仔告士打道46號捷利中心8字樓804室

LETTER OF AUTHORIZATION FOR SECURITIES COLLATERAL
抵押證券授權書

For Margin Account Applicant(s) Only
只適用於開設保證金帳戶申請者填寫

Re: Authority under section 148 of the Securities and Futures Ordinance and the Securities and Futures (Client Securities) Rules made under that section to lend or deposit securities
根據【證券及期貨條例】(第148及其下之證券及期貨(客戶證券)規則)

This letter of authority covers securities deposited with you as collateral.
本授權書是有關一切由 貴司代表本人(等)存於 貴司處作為抵押品之證券。

This letter authorizes you to:-
本授權書授權 貴司:-

- (1) deposit any of my/our securities with an authorized financial institution (as defined by the Banking Ordinance) as collateral for financial accommodation provided to you;
將本人(等)之證券存於一認可財務機構(根據<銀行條例>所作之定義)·作為向 貴司提供財務通融之抵押品。
- (2) lend or deposit any of my/our securities to fulfill settlement obligations between the exchange participants of Hong Kong Exchanges and Clearing Limited ("HKEx"). Any lending or depositing must be in accordance with the regulations of HKEx; and
貸出或存放任何本人(等)之證券·以完成香港交易及結算有限公司(「港交所」)的交易所參與者之間之交收責任·任何證券貸出或存放須依照聯交所規則進行;及
- (3) deposit any of my/our securities with Hong Kong Securities Clearing Company Limited ("HKSCC") as collateral for the discharge and satisfaction of your clearing obligations and liabilities under the General Rules of the Central Clearing and Settlement System. I/We understand that HKSCC will have a first fixed charge over my/our securities to the extent of your obligations and liabilities.
將任何本人(等)之證券存於香港中央結算有限公司(「香港結算」)·作為該機構之抵押品·以履行並完成閣下(根據<中央結算系統一般規則>)之結算責任·本人(等)明白中央結算因應 貴司的責任而對本人(等)之證券設定為第一固定押記。

You may do any of these things without giving me/us notice. I/We acknowledge that this authority shall not affect your right to dispose of my/our securities in settlement of:-
貴司可以做以上任何事情毋須通知本人(等)·本人(等)確認本授權書不影響 貴司為以下目的而處罰本人(等)之證券的權利

- (1) my/our obligation to maintain the Margin (as defined in the Margin Client Agreement);
履行本人(等)維持保證金的義務(根據<保證金客戶協議書>所作之定義);
- (2) any of my/our liability to repay or discharge the financial accommodation provided by you;
履行本人(等)償還或解除由 貴司所提供的財務通融的法律責任;
- (3) any of my/our liability to settle a transaction in securities against which collateral has been provided by me/us; or
履行本人(等)就某證券交易進行交收的法律責任·而本人(等)已就該法律責任提供抵押品;或
- (4) any of my/our liability owed to you for dealing in securities which remains outstanding after you have disposed of all other assets designated as collateral for securing the settlement of that liability.
履行本人(等)就證券交易而對 貴司負有的法律責任·而該法律責任是指在 貴司已將指定作為保證履行該法律責任的抵押品的所有其他資產處置後仍未履行的法律責任。

This authority is given to you in consideration of your agreeing to continue to maintain the securities margin account for me/us.
此賦予 貴司之授權乃鑒於 貴司同意繼續維持本人(等)之證券保證金帳戶。

You are accountable to me/us for the return of any securities lent, deposited or delivered under this authority.
貴司仍須就根據本授權書貸出·存放或交收之任何證券的歸還向本人(等)負責。

This authority is valid from the date of this letter and will expire on 31st DEC _____ but it may be renewed for subsequent periods of 12 months with my/our consent or automatically if I/We do not object to a written renewal notice that you will send to me/us. I/We understand that I/We may revoke the Authority by giving you written notice provide that I/We have settled all outstanding debts due to you and such notice shall take effect upon the expiry of 14 business days from the date of your actual receipt of such notice.

授權書的有效期由本信日期開始·並於_____年12月31日後無效·但可以在本人(等)同意下另授權續約·或在本人(等)就 貴司將發出的續約通知書不提出反對下自動續約·每週期為12個月·本人(等)明白本人(等)可以在清還所有欠款後向 貴司發出書面通知撤回授權書·通知在 貴司收訖該等書面通知後14個工作日屆滿時生效。

This letter has been fully explained to me/us, and I/We understand the contents of this letter.
本函件已全部向本人(等)解釋清楚·本人(等)明白本函件的內容。

Applicant's Signature
申請人簽署

Name of Applicant 申請人姓名

ID/ Passport No. 身份證/護照號碼

Date 日期

Co-Applicant's Signature (if any)
聯名帳戶第二申請人簽署 (如適用)

Name of Co-Applicant 第二申請人姓名

ID/ Passport No. 身份證/護照號碼

Date 日期

To 致: Brilliant Norton Securities Company Limited 億豐證券有限公司
Suite 804, 8/F, Jubilee Centre, 46 Gloucester Road, Wanchai, Hong Kong
香港灣仔告士打道46號捷利中心8字樓804室

Joint Account Mandate
聯名帳戶開戶委託書

For Joint Account Applicants Only
只適用於開設聯名帳戶申請者填寫

We, the undersign
本人等(請填全名)

(Applicant 第一申請人)

(Co-Applicant 第二申請人)

HEREBY REQUEST YOU AND AUTHORIZE YOU:

茲聯同請求及授權 貴公司辦理下列各項事宜:

- (1) To open and/or continue an account with you in our joint names and at any time hereafter to open such further accounts in our joint names as any one/all of us may from time to time direct.
用本人等聯名在 貴公司開立或繼續開立股票買賣帳戶(現金或保證金帳戶)·並得於今後隨時依照本人等之中任何一人/全體所指示·代本人等聯名另行開立戶口。
- (2) To honour and pay bills of exchange, drafts, promissory notes or orders for payment, drawn, accepted, or made, or accept and act upon receipts for monies overdrawn by us, or for monies owing by us to you on any account whatsoever, or any other documents, or written instructions of whatsoever nature, kind or description, and to debit the same to our joint account or accounts provided such drafts, bills, notes, orders, receipts, documents, or instructions are signed by any one/all of us; the signature of each of us is appended hereunder, any to carry out any instruction of anyone/all of us in connection with our joint account or accounts notwithstanding that any such debiting or carry out may:-
該聯名戶口所發出之支付憑票或在 貴公司透支款項之收據或本人等聯名在 貴公司存款之滙票、本票、支票、承兌票據、付款通知、收據或任何其他文件或書面指示·倘經本人等任何一人/全體*簽署(式樣如下)均得照予支帳·並得依照本人等任何一人/全體*之指示處理一切與各該聯名戶口有關事宜·而該等指示即使引致下列情況·仍屬有效:
(i) Direct a transfer to an account in the individual name of anyone of us.
由聯名戶口調撥款項轉入本人等任何一人之私人戶口。
(ii) Require you to make payment to anyone of us.
要求 貴公司付款給予本人等之任何一人。
(iii) Cause such joint account or accounts to be in debit, or any debit balance hereon to be increased but without prejudice to your right to refuse to allow any such debit balance or increase in debit balance.
引致各該聯名戶口產生透支或增加透支數額情況·但如有此等情況 貴公司得保留拒絕透支或增加透支數額之權利。

And we shall be jointly and severally responsible for the repayment on demand of any such debit balance and interest, and of any money that you may from time to time advance to us on any joint loan account together with interest hereon.
本人等茲同意個別及聯同負責·一經 貴公司通知·即當如數將所有透支款項連同應付利息及其他一切由本人等聯名向 貴公司借到之款項連同應付利息一併清償·絕無異議。

- (3) Without in any way limiting the foregoing general request to make at the request of anyone/all of us any advance to use by way of loan, advance, discount, or in any manner howsoever with or without security.
除上列範圍外·貴公司亦可接納本人等任何一人/全體*之請求·以放款、透支、貼現或任何其他方式·不論有抵押或無抵押。
- (4) Without in any way limiting the foregoing general request to make at the request of anyone/all of us any securities, deeds, boxes, and parcels, and their contents, and property of any description held in our joint names.
同時亦可接納本人等任何一人/全體*之請求移交由本人等聯名寄存 貴公司之任何證券、契據、包裹或其他財物給予指定人仕收受。
- (5) To accept for collection any cheque, or other documents payable to anyone or more of us, and to credit the proceeds thereof to our joint account or accounts, even though such cheque, order, or document has not been endorsed by the payee or payees thereof.
由本人等存入 貴公司而列明本人等任何一人或多人為受款人之支票·支付委託書或其他票據·雖未經受款人背書·仍均可由 貴公司接受代受·收受後記入本人等聯名戶口。
- (6) To place to the credit of our joint account or accounts, all sums of money, interests, dividends etc., which you may receive on account of anyone or more of us, or our joint and several account or on joint account.
貴公司代本人等個別或聯名收受之一切款項·包括利息、股息等等·均可照數記入本人等聯名帳戶內。
- (7) Subject to any claim or objection of the part of the Estate Duty Commissioner or any other appropriate authority, to hold on the death of anyone of us any credit balance or balances of any account or accounts in our joint names, and any securities deeds, boxes, and parcels, and their contents and property of any description held in our joint names to the order of the survivors of survivor of us or the executors or administrators of the last survivor of us without prejudice to any right you may have in respect of such balance or balances, securities etc., arising out of any lien, charge, set-off counter claim, or otherwise whatsoever, or any step or any legal proceedings which you may in your absolute discretion deem it desirable to take in view of any claim by any person, other than the survivors or survivor of us or the executors or administrators of the last survivor of us.
除香港遺產稅徵收主任或其他政府機關有提出要求或提出反對等情況外·貴公司可於本人等中任何一人身故後·代為保管各該聯名戶口之存款·與及本人等聯名寄存 貴公司之任何證券、契據、包裹或其他財物·而依照生存在世之本人等唯一生存者之遺產承辦人或管業人之指示加以處理·而不得損害 貴公司對存款、證券等等應有之留置權、抵押權、典質權、比對權·及要求或任何其他權利為原則·又除本人等中之生存者或其遺產承辦人或管業人可外·不論何人·如有要求享受該存款、證券等等之權益者·貴公司亦有斟酌選擇之絕對自由·對該等人士採取任何合乎需要之步驟或向法院提出任何訴訟程序。

We agree that any liability whatsoever incurred to you by us in respect of the foregoing shall be our joint and several liabilities.
如有因此請求及授權 貴公司處理上述事項而致產生債務者·本人等同意個別及共同負責。

We agree to observe and be bound by such of your Rules for the time being in force as will be applicable to the appropriate nature of each of our accounts provided that if there is any conflict between the said Rules on the one hand and the foregoing terms and conditions contained herein on the other hand, the latter shall prevail.
本人等同意遵守 貴公司所訂有關而適用於本人等在 貴公司所開立每一戶口之章程·及接受該等章程約束至於該等章程與本委託書互有抵觸之處·則應以本委託書訂定之條文為準。

If there is a discrepancy between the English and Chinese versions of this Document, the English version shall prevail.
本文件之中英版本義如有歧義·請以英文版本為準。

In the absence of contrary written instructions signed by all of us, the foregoing conditions shall apply to each and every account of whatever nature now or hereafter opened by you in our joint names.
上列條文均適用於 貴公司此次或日後代本人等開立之聯名戶口·直至本人等以聯名簽署之書面通知取消為止。

Applicant's Signature
申請人簽署

Date 日期:

Co-Applicant's Signature
聯名帳戶第二申請人簽署

Date 日期: