

戶口服務種類更改書 Account Type Amendment Form

僅供現有客戶使用: For Existing Customers Only

申請日期 Application Date:

戶口名稱 Account Name:

戶口號碼 Account No.

經紀名稱 A.E. Name:

經紀編號 A.E. No.:

A. 增設戶口 Additional Services/Account

增設股票期權戶 Additional Stock Options Account

請按照期權協議為我/我們(在下面簽名的客戶) 開立期權帳戶。我/吾等已經明白股票期權帳戶協議的條款，並接受這些條款的約束

Please open an Options Account for me/us, the undersigned Customer(s), in accordance with the terms set out in the Stock Options Trading Agreement, which I/We have read and accept to be bound by the same

客戶必須同時簽署根據證券及期貨(客戶款項)規則有關客戶款項調撥之常設指示及衍生產品認識更改表格。

Client must sign the Standing Authority in relation to client money transfer under the Securities Futures (Client Money) Rules)

B. 更改戶口 Change of Account Type

由現金戶口轉為保證金戶口 Cash Account Change to Margin Account

本人/吾等已經閱讀並明白保證金戶口協議的條款及風險披露聲明，並接受這些條款的約束

I/We have read and understand the provisions of Margin Client Agreement and Risk Disclosure Statement and accept to be bound by the same

(客戶必須同時簽署根據證券及期貨(客戶證券)規則有關出售, 借出或存放證券及/或證券抵押品之授權書)

(Client must sign the Margin Client Authorization Letter in dispose of, lend or deposit securities and/or securities collateral under the Securities Futures (Client Securities) Rules)

由保證金戶口轉為現金戶口 Margin Account Change to Cash Account

本人/吾等已經閱讀並明白現金戶口協議的條款及風險披露聲明，並接受這些條款的約束

I/We have read and understand the provisions of Cash Client Agreement and Risk Disclosure Statement and accept to be bound by the same

(擎天證券有限公司不會接納保證金戶為負結餘之客戶的申請)

(Sorrento Securities Ltd will not accept the application which has a debit balance in account)

本人/吾等明白並同意帳戶類別若進行上述變更後: I/ We understand after the change in account type stated above:

a) 原有之帳戶類別將被取消 (不適用於增設股票期權交易服務);

The original account will be canceled (not applicable to Subscribe Stock Option Trading Service);

b) 本人/吾等帳戶內所有個人資料、條件及條款、待交收之證券及款額、帳戶餘額及資產等將於經上述變更後於變更後的帳戶繼續生效，並授權及同意貴公司執行因更改證券帳戶類別而需要進行的證券及款項調撥;

ALL account information, terms and conditions, pending settlement securities and amount, account balance and assets, etc, will be continued to effect for the account, and authorized and agree you to perform necessary transfer of securities and money arise from the change of account type;

c) 網上交易服務密碼及授權安排或會有所更改 (如適用)。本人/吾等並且同意以電子郵件形式收取就上述變更而重新發出的網上交易密碼

There may be change(s) on Internet trade password and authorization arrangement (if applicable). I/ We also agree to receive the newly issued internet trade password via electronic mailing due to the above change

<p>本人/吾等之下列授權將以同等條款及條件於經變更帳戶類別後的帳戶繼續生效 The authorization of the following will continue to be effective with the same terms and conditions to the account after the above change in account type</p> <p><input type="checkbox"/> 簽署之第三者授權書 Signed Third party Authorization</p> <p><input type="checkbox"/> 簽署化委託帳戶交易協議 (授權予本公司職員) Signed Discretionary Trading Agreement (Authorization to SSL staff)</p> <p>被授權人 Name of Authorization : _____</p>			
個人/主要帳戶持有人簽署 Individual/Primary Joint Signature:		聯名帳戶第二持有人簽署 Secondary Joint Account Holder's Signature:	
C. 職員或客戶主任聲明 Declaration by Staff/A.E			
<p>我_____ (註冊人員姓名正楷), 確認已經向客戶作出了風險披露聲明, 詢問有關問題, 如果客戶要求, 亦提供了獨立的意見 I, _____ (Print name of registered person) confirm that I have provided the Risk Disclosure Statement in a language (English or Chinese) of the Customer's choice and that I have invited the Customer to read the Terms and Conditions, ask questions and take independent advice, if the Customer wishes</p>			
職員簽署 Signature of Staff:		CE 編號 CE No.:	
職員姓名 Name of Staff:		日期 Date:	

FOR OFFICE USE ONLY			
S.V. by	Prepared by	Checked by	Approved by
Commission Rate 佣金比率:			
Telephone:	%	(Min HK\$)	股票期權
Internet:	%	(Min HK\$)	股票期權

*** 如開戶時間為 1 年以上而欲更改帳戶類別, 客戶需填回附件 1 之文件予我司

*** If client's account has been opened over 1 year, client needs to fill out the Appendix 1 for requesting the change of account type

附件 1 Appendix 1

擎天證券有限公司

SFC CE No: BHG995

11/F, The Wellington, 198 Wellington Street, Central, Hong Kong
香港中環威靈頓街198號The Wellington 11樓

Sorrento Securities Limited ("SSL" or the "Company") carries on the business of dealing in securities is licensed to carry on Type 1 (dealing in securities) regulated activities under the Securities and Futures Ordinance (Cap. 571) (CE No.: BHG995).

擎天證券有限公司（“擎天”或“本公司”）經營的是證券交易的業務，並根據證券及期貨條例（第571章）獲發牌經營第一類（證券交易）受規管活動（中央編號：BHG995）。

1. Account Type 帳戶類別		
Securities Trading Account 證券交易帳戶		
Account No. 帳戶號碼		
Type of Account 帳戶類別	<input type="checkbox"/> Individual Account 個人戶口	Joint Account 聯名戶口 <input type="checkbox"/> Primary A/C Holder <input type="checkbox"/> Secondary A/c Holder
	<input type="checkbox"/> Margin 保證金	<input type="checkbox"/> Cash 現金 <input type="checkbox"/> Stock Option 股票期權
Account Service 戶口服務	<input type="checkbox"/> Internet trading 網上交易	

Please complete in BLOCK LETTERS 請用正楷填寫

2. Client information 個人資料			
Name 姓名	<input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Ms. 女士		
English 英文:	Chinese 中文:		
Nationality 國籍:		I.D. / Passport No. 身份證/護照號碼:	
Place of Birth 出生地點:		Date of Birth (yyyy/mm/dd) 出生日期(年年年/月月/日日):	
Residential Address 住址:			
Residential Phone 住宅電話號碼:		Mobile Phone 手提電話:	
Email Address 電郵地址:			

3. Employment Status 職業 / 就業情況			
Name of Employer 僱主名稱:			
Position Held 職位:			
Years with employer 受僱年期:		Occupation/Nature of Business 職業/業務性質:	
Business Tel. No. 工作電話號碼:		Fax No. 傳真號碼:	
Employer Address 僱主地址:			

4. Financial Profile 財務狀況

i) Income Source 收入來源

- Salary / Commission 薪金/佣金
 Rent 租金
 Dividend / Interest 股息/利息
 Business Profit 營業利潤
 Others其他 : _____

Annual Income 每年收入

- Below 少於\$120,000
 \$120,000~\$360,000
 \$360,001~\$600,000
 \$600,001~\$1,200,000
 Above 多於\$1,200,000

*If Client is presently a housewife, retired or an unemployed person, please state the job details before being a housewife, retired or an unemployed person.

如客戶現時為家庭主婦、退休或待業人士，請填寫成為家庭主婦、退休或待業人士之前的工作資料

Industry/Business Nature 行業/業務性質: _____ Positon 職位: _____

ii) Asset Items 資產項目:

- Property 房產
 Cash / Deposit 現金/存款
 Valuable Stock 有價證券
 Others(please specify) 其他(請列明): _____

Asset Net Worth 資產淨值:

- Below 少於\$100,000
 \$100,000~\$500,000
 \$500,001~\$1,000,000
 \$1,000,001~\$8,000,000
 Above 多於\$8,000,000

5. Investment Experience 投資經驗

i) Products 產品

- Stocks/Investment Funds 股票/投資基金
 Bonds 債券
 Derivatives(Futures/Options/Warrants) 衍生工具(期貨/期權/認股權證)
 Foreign Currencies 外幣
 Others其他 : _____

ii) Experience (in year(s)) 經驗(年)

- Less than 1 year 少於一年
 1-5 years 一至五年
 6-10 years 六至十年
 More than 10 years 多於十年

6. Investment Objectives and Risk Tolerance 投資目的及可承受風險

i) Investment Objective 投資目的:

- Capital Gain 資本增值
 Hedging 對沖
 Income 收入
 Speculation 投機
 Others 其他 : _____

ii) Estimated investment amount 估計投資金額

- Below 少於\$100,000
 \$100,000~\$500,000
 \$500,001~\$1,000,000
 \$1,000,001~\$8,000,000
 Above 多於\$8,000,000

iii) Investment horizon 投資年期

- Short Term 短線
 Medium Term 中線
 Long Term 長線

iv) Risk Tolerance 可承受風險

- Low 低風險
 Medium 中等風險
 High 高風險

*Securities Margin Account belongs to Medium and/or High risk categories. 證券保證金買賣帳戶屬於“中等風險”及/或“高風險”類別。

7. Settlement Account Information 結算帳戶資料

The Client hereby instructs and authorizes that the following bank account will be used as the settlement. (the account must be your name)
客戶謹此指示及授權使用以下的銀行帳戶，作為結算帳戶。(必須與客戶名稱相同)

Currency 貨幣	Name of Bank 銀行名稱	Account No. 戶口號碼
HKD 港幣	_____	_____
USD 美元	_____	_____
CNY 人民幣	_____	_____

8. Method of Communication and Language of Statement 通訊方法及結單語言

Please select one of the following method of communication 請選擇以下其中一項通訊方法：

E-mail Address 電郵地址 Residential address 住宅地址 Business address 工作地址
 Other address, please specify (其他地址，請說明) _____

Language of Statement 結單語言： Traditional Chinese 繁體中文 English 英文 Simplified Chinese 簡體中文

DECLARATION 聲明

9. Disclosure of Related Account(s) 披露關連帳戶

i) Are you, authorized person or ultimate beneficial owner related to any employee or director of the Company or its associated companies?
閣下、獲授權人或帳戶最終權益擁有人是否與本公司或其聯營公司之任何僱員或董事有任何親屬關係？
 No 否 Yes 是 (Please provide details below 請填寫以下資料)

Name of employee / director 僱員/董事姓名：_____ Relationship 關係：_____

ii) Is your spouse a margin client of Sorrento Securities Limited?

閣下的配偶是否擎天證券有限公司的保證金客戶？

No 否 Yes 是 (Please provide details below 請填寫以下資料)

Name of the spouse 配偶名稱：_____ Account No. 帳戶號碼：_____

iii) Are you whether individually or jointly with your spouse control 35% or more of the voting rights of any margin client of the Company?

閣下是否個人或與閣下的配偶共同控制本公司任何保證金客戶的 35% 或以上的表決權？

No 否 Yes 是 (Please provide details below 請填寫以下資料)

Name of the controlled client 受控制客戶名稱：_____ Account No. 帳戶號碼：_____

10. Disclosure of Identity 披露身份

i) Are you acting as an intermediary for the account?

閣下是否以中介人身份操作帳戶？

No 否 Yes, the ultimate beneficial owner(s) as follows 是，戶口的最終權益擁有人是：

Name 姓名：_____ ID Card/Passport No. 身份證 / 護照號碼：_____

Residential Address 住宅地址：_____

ii) Are you, the ultimate beneficial owner(s) of the Account, a licensed person or a director or an employee of any licensed corporation/authorized institution registered with the Securities and Futures Commission?

閣下，戶口最終受益人是否證券及期貨事務監察委員會註冊的持牌人士或持牌法團/註冊機構的董事或僱員？

No 否 Yes 是 (Please provide details below 請填寫以下資料)

Name of the licensed person or licensed corporation/registered institution

持牌人士或持牌法團/註冊機構名稱：_____

iii) Are you, your spouse, partner, child(ren), parent(s), spouse(s) or partner(s) of his child(ren), or a close associate(s) of you entrusted or has been entrusted with a prominent public function, includes a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a stated-owned corporation and an important political party official?

閣下、閣下之配偶、伴侶、子女或父母，或閣下的子女的配偶或伴侶，或與閣下關係密切的人，是否擔任或曾擔任重要公職，包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事？

No 否 Yes 是 (Please provide details below 請填寫以下資料)

Standing Authority (For Margin Client Only) 常設授權書 (只供保證金客戶簽署)

To 致： Sorrento Securities Limited 擎天證券有限公司

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

This standing authority is in respect of the treatment of our securities collateral as set out below:

本常設授權是有關處置吾等之證券或證券抵押品，詳列如下：

Unless otherwise defined, the terms used in this standing authority shall have the same meanings as in the Securities & Futures Ordinance and Securities & Futures (Client Securities) Rules as amended from time to time.

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 authorizes you to 本常設授權書授權貴公司：

1. apply any of our securities or securities collateral in accordance to Terms and Conditions of Client Agreement of Margin client paragraph 19;
依據證券保證金客戶協議之條款及守則第 19 條，貴公司可運用任何吾等的證券或證券抵押品；
2. deposit any of our securities collateral with an authorized financial institution as collateral for financial accommodation provided to you;
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 貴公司提供財務通融之抵押品；
3. deposit any of our securities collateral with Hong Kong Securities Clearing Company Limited ("HKSCC") as collateral for the discharge and satisfaction of your settlement obligations and liabilities. We understand that HKSCC will have a first fixed charge over our securities to the extent of your obligations and liabilities;
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 貴公司在交收上的義務和清償 貴公司在交收上的法律責任的抵押品。吾等明白中央結算因應 貴公司的責任和義務而對吾等的證券設定第一固定押記；
4. deposit any of 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 your settlement obligations and liabilities; and
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 貴公司在交收上的責任和義務和清償 貴公司在交收上的法律責任的抵押品；及
5. apply or deposit any of our securities collateral in accordance with paragraphs 1,2,3, and/or 4 above if you provide financial accommodation to us in the course of dealing in securities and also provide financial accommodation to us in the course of any other regulated activity for which you are licensed or registered
如貴公司在進行證券交易及貴公司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。

You may do any of these things without giving us notice. We acknowledge that this standing authority shall not affect your right to dispose or initiate a disposal by our affiliates of our securities or securities collateral in settlement of any liability owned by or on behalf of us to you, the affiliates or a third person.

貴公司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 貴公司為解除由吾等或代吾等對 貴公司、貴公司之聯繫實體或第三者所負的法律責任，而處置或促使 貴公司的聯繫實體處置吾等之證券或證券抵押品的權利。

This standing authority is given to you in consideration of your agreeing to continue to maintain the securities margin account(s) for us.

此賦予 貴公司之授權乃鑑於 貴公司同意繼續維持吾等之證券保證金帳戶。吾等明白吾等的證券可能受制於第三者之權利，貴公司須全數抵償該等權利後，方可將吾等的證券退回吾等。

We under that a third party may have rights to our securities, which you must satisfy before our securities can be returned to us.

吾等明白吾等的證券可能受制於第三者之權利，貴公司須全數抵償該等權利後，方可將吾等的證券退回給吾等。

This standing authority is valid for a period of not more than 12 months until 31-December this year. We understand that this standing authority may be revoked by giving you written notice. Such notice shall take effect upon the expiry of 14 days from the date of your actual receipt of such notice.

本常設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 貴公司客戶服務部位於上述所列明之地址發出書面通知，撤回本授權書。該等通知之生效日期為 貴公司真正收到該等通知後之 14 日起計。

We understand that this standing authority may be deemed to be renewed on a continuing basis without our consent if you issue us a written reminder at least 14 days prior to the expiry date of this standing authority, and we do not object to such expiry date.

吾等明白 貴公司若在本常設授權書的有效期限屆滿前 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，本授權書應當在不需要吾等的書面同意下按持續的基準已被續期。

In the event of any difference in interpretation or meaning between the Chinese version and English version of this standing authority, we agree that the English version shall prevail.

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異議，吾等同意應以英文本為準。

We acknowledge that this standing authority and re-pledging practice of your Company has been fully explained to us and we understand and agree with the contents of this standing authority.

吾等就本常設授權書的內容及貴公司的轉按政策獲得解釋，並且吾等明白及同意本授權書的內容。



Client Signature 客戶簽署

Authorized Signature(s) and Business Chop 授權簽署及商業印章

Date 日期

Change of Knowledge of Derivative Product 衍生產品認識更改表格

日期 / Date : _____

客戶姓名

Account Name: _____

客戶號碼

Account Number: _____

對衍生產品的認識 Knowledge of Derivative Product

客戶知悉及明白公司將根據以下的資料以評估客戶是否對衍生工具產品有認識。

The Client acknowledges and understands the Company will assess whether the Client has adequate knowledge on derivative products according to the information the Client provided.

- 1. 客戶曾接受有關衍生產品的培訓或修讀相關課程。
The Client underwent training or attended courses on derivative products.
- 2. 客戶現時或過去擁有與衍生產品有關的工作經驗。
The Client has current or previous work experience related to derivative products.
- 3. 客戶於過去3 年曾執行5 次或以上有關衍生產品的交易，例如：衍生權證、牛熊證、股票、期權、期貨及期權、商品、結構性產品及易所買賣基金等。
The Client has executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, Commodities, Structured Products, and Exchange Traded Funds, etc.
- 4. 客戶沒有衍生工具之認識。
The Client has **NOT** acquired knowledge of derivative products.

客戶簽署及公司印章(如適用)

Authorized Signature(s) and Company Chop (if applicable)

FOR OFFICE USE ONLY 公司專用

S.V. By:	Input By:	Checked By:	Approved By:
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