

個人/聯名賬戶 INDIVIDUAL/JOINT A/C
---------------------------------

- 證券 SECURITIES  
 股票期權 STOCK OPTIONS  
 期貨/期權 FUTURES/OPTIONS

賬戶號碼 A/C No.	
客戶名稱 A/C Name	
賬戶分類 A/C Classified	<input type="checkbox"/> 公司 House <input type="checkbox"/> 經紀 Account Executive 編碼 Code: _____



東吳證券(香港)  
SOOCHOW SECURITIES (HONG KONG)

## 開戶表格

### Account Opening Form

適用於 For :

東吳證券國際經紀有限公司  
Soochow Securities International Brokerage Limited  
東吳證券國際期貨有限公司  
Soochow Securities International Futures Limited

東吳證券國際經紀有限公司(CE No: AYA587)及東吳證券國際期貨有限公司(CE No:AZQ989)為獲證券及期貨條例事務監察委員會發牌的持牌法團, 分別可經營證券及期貨條例附表 5 第 1 部份中所指第 1 類和第 4 類及第 2 類和第 5 類受規管活動。東吳證券國際經紀有限公司乃是香港聯合交易所有限公司參與者, 而東吳證券國際期貨有限公司則為香港期貨交易所有限公司參與者。

Soochow Securities International Brokerage Limited (CE No: AYA587) and Soochow Securities International Futures Limited (CE No:AZQ989) are licensed corporations by Securities and Futures Commission for carrying out Type 1 and Type 4, and Type 2 and Type 5 regulated activities respectively in Schedule 5 to the Securities and Futures Ordinance. Soochow Securities International Brokerage Limited is an exchange participant of The Stock Exchange of Hong Kong Limited and Soochow Securities International Futures Limited is an exchange participant of The Futures Exchange of Hong Kong Limited

(202401 Version)

# 開立賬戶所需證明文件

## Required Supporting Documents for Account Opening

**重要事項：**所有提交的文件如非正本，必須經認可人士或東吳國際經紀或東吳國際期貨的持牌人士認證後，方為有效。

**Important note:** All documents submitted must either be an original or a copy certified by a recognized person or licensed person of SCSIB or SCSIF.

### 個人/聯名賬戶 Individual / Joint Account

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

1. 個人 / 聯名戶口持有人身份證 / 護照  
Identity Card(s) / Passport(s) of the Individual/Joint account holder
2. 住宅地址證明 (如：水、電費單 / 銀行結單等, 只接受最近三個月)  
Proof of Residential Address (e.g. Utilities / Bank Statement, etc. not later than 3 months)
3. 通訊地址證明 (如適用)  
Proof of Correspondence Address (If applicable)
4. 銀行戶口證明 (如客戶已填寫相關資料)  
Proof of Bank Account (If the client provided the related info in the application form)
5. W-8BEN 表格  
Form W-8BEN
6. 合理情況下東吳國際經紀或東吳國際期貨需要的其他文件或資料  
Any other documents and/or information as SCSIB or SCSIF may reasonably requires

\*請在有關文件上簽署及註明「經認證副本」。 Please have all documents signed and marked "Certified True Copy"

香港皇后大道東1號太古廣場3座17樓  
 Level 17, Three Pacific Place, 1 Queen's Road East, Hong Kong.  
 電話 Tel.: (852) 3983 0888  
 傳真 Fax.: (852) 3983 0899  
 網址 Website: [www.dwzq.com.hk](http://www.dwzq.com.hk)

賬戶號碼 Account Number

賬戶類別 Account Type

- 個人賬戶 Individual Account  
 聯名賬戶 Joint Account  
 ※ 每名聯名賬戶持有人須填寫一份客戶資料表  
 For joint account holder, please fill in a separate client information statement

所需服務 Service(s) Required

網上交易服務 Internet Trading Services  需要 Required  不需要 Not Required

東吳證券國際經紀有限公司(“東吳國際經紀”) Soochow Securities International Brokerage Limited (“SCSIB”)  
 (中央編號 CE No.: AYA 587)

賬戶類別 Account Type

- 證券現金賬戶 Cash Securities Account  
 證券保證金賬戶 Margin Securities Account  
 股票期權賬戶 Stock Options Account

其他證券市場交易服務

Other Securities Markets Trading Services

- 滬深港通 Shanghai and Shenzhen Stock Connect  
 海外證券交易 (請填寫海外證券交易申請表)  
 Overseas Securities Trading (Please complete Overseas Securities Trading Form.)

東吳證券國際期貨有限公司(“東吳國際期貨”) Soochow Securities International Futures Limited (“SCSIF”)  
 (中央編號 CE No.: AZQ 989)

賬戶類別 Account Type

- 香港及海外期貨賬戶 HK and Oversea Futures Account

**客戶資料表 CLIENT INFORMATION STATEMENT**

※ 請用正楷填寫，在適用處剔 ，並於不適用處填上「不適用」  
 Please complete in Block Letter, tick  where is appropriate and insert “N.A.” if not applicable.

**1. 個人資料 Personal Information**

客戶姓名 Client Name	<input type="checkbox"/> 先生 Mr.	<input type="checkbox"/> 小姐 Miss.	<input type="checkbox"/> 太太 Mrs.	<input type="checkbox"/> 女士 Madam
	(中文 Chinese)		(英文 English)	
出生日期(日/月/年) Date of Birth (D/M/Y)		國籍 Nationality		
出生地區 Place of Birth		身份證/護照號碼 ID Card/Passport No.		
住宅電話 Home Telephone No.		電郵地址 E-mail Address		
手提電話 Mobile Phone No.		微信賬號 Wechat ID		
住宅地址 Home Address				
通訊地址* Correspondence Address* (*不接受郵件信箱 P.O. Box not accepted)	(如與上址不同 if different from above)			
住宅類別 Occupancy Nature	<input type="checkbox"/> 自置 Owned (No Mortgage)	<input type="checkbox"/> 按揭自置 Owned (Mortgage)	<input type="checkbox"/> 宿舍 Dormitory	
	<input type="checkbox"/> 租用 Rented	<input type="checkbox"/> 與家人同住 Living with Family		
教育程度 Education Level	<input type="checkbox"/> 大學或以上 University or above		<input type="checkbox"/> 大專 College	<input type="checkbox"/> 中學 Secondary
	<input type="checkbox"/> 小學或以下 Primary or Below		<input type="checkbox"/> 其他 Others _____	

**2. 就業情況 Employment Status**

- 受僱 Employed  自僱 Self-employed (請填行業名稱, please fill in name of business): \_\_\_\_\_  
 退休 Retired  其他 Other (請註明, please specify): \_\_\_\_\_

僱主名稱 Employer Name				
業務性質 Business Nature	職位 Position		公司電話 Office Phone	
公司地址 Office Address				

3. 財務概況 Financial Information	
收入來源 Income Source	<input type="checkbox"/> 薪金 Salary <input type="checkbox"/> 佣金 Commission <input type="checkbox"/> 租金 Rent <input type="checkbox"/> 股息/利息 Dividend/Interest <input type="checkbox"/> 業務收益 Business Profit <input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 其他 Others _____
每年收入 Annual Income	<input type="checkbox"/> ≤ HK\$200,000 <input type="checkbox"/> HK\$200,001 – HK\$400,000 <input type="checkbox"/> HK\$400,001 – HK\$600,000 <input type="checkbox"/> HK\$600,001 – HK\$800,000 <input type="checkbox"/> HK\$800,001 – HK\$1,000,000 <input type="checkbox"/> > HK\$1,000,000
估計資產淨值 Net Asset Worth	<input type="checkbox"/> ≤ HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001 – HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 – HK\$10,000,000 <input type="checkbox"/> HK\$10,000,001 – HK\$15,000,000 <input type="checkbox"/> HK\$15,000,001 – HK\$20,000,000 <input type="checkbox"/> > HK\$20,000,000
資產項目 Asset Items	(可選多項 May choose more than one) <input type="checkbox"/> 房地產 Property <input type="checkbox"/> 上市證券 Listed Securities <input type="checkbox"/> 存款 Deposits <input type="checkbox"/> 債券 Bonds <input type="checkbox"/> 基金 Fund <input type="checkbox"/> 其他 Others _____
4. 投資概況 Investment Information	
投資經驗 Investment Experience	<input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於一年 (Less than 1 Year) <input type="checkbox"/> 一年至三年 (1 – 3 Years) <input type="checkbox"/> 四年至七年 (4 – 7 Years) <input type="checkbox"/> 八年至十年 (8–10 Years) <input type="checkbox"/> 超過十年 (More than 10 yrs)
曾買賣產品 Traded Products	(可選多項 May choose more than one) <input type="checkbox"/> 股票 Stock <input type="checkbox"/> 期貨/期權 Futures/Options <input type="checkbox"/> 衍生權證 Warrants <input type="checkbox"/> 交易所基金 ETF <input type="checkbox"/> 外匯/貴金屬 Forex/Bullion <input type="checkbox"/> 債券/基金 Bonds/Fund <input type="checkbox"/> 其他 Others _____
投資目的及 可承受風險 Investment Goals & Risk Tolerance	(可選多項 May choose more than one) <input type="checkbox"/> 保本 Capital Preservation (低風險 Low Risk) <input type="checkbox"/> 套利 Arbitrage (高風險 High Risk) <input type="checkbox"/> 資本增值 Capital Growth (低至中風險 Low to Med. Risk) <input type="checkbox"/> 投機 Speculation (高風險 High Risk) <input type="checkbox"/> 股息回報 Dividend Yield (低至中風險 Low to Med. Risk) <input type="checkbox"/> 對沖 Hedging (高風險 High Risk)
5. 對衍生產品的認識 Knowledge of Derivatives	
<input type="checkbox"/>	沒有認識 No.
<input type="checkbox"/>	有認識 Yes.  請詳述: Please specify:
<input type="checkbox"/>	曾接受有關介紹一般衍生產品之性質及風險培訓或課程(例如学术机构或金融机构提供的相关在线或课堂课程) By undergoing training or attending courses that provide general knowledge of the nature and risk of derivatives (e.g. relevant online or classroom course offered by academic institutions or financial institutions). 請註明 Please specify: _____
<input type="checkbox"/>	從本人/吾等相關之交易經驗,即本人/吾等於過去三年內已進行了五次或以上有關衍生產品之交易 From my/our relevant trading experience i.e. I/we have executed five or more transactions in derivative products within the past three years.
<input type="checkbox"/>	從本人/吾等現時或過去從事衍生產品有關的工作經驗 From my/our current or previous work experience related to derivative products.
客戶是否有意買賣交易所的衍生及結構性投資產品? Would the Client wish to trade derivative and structured investment products on an exchange?	
<input type="checkbox"/>	否 No.
<input type="checkbox"/>	有 Yes. 本人/吾等確認上述有關“衍生產品的認識”之資料完全真實及完整。本人/吾等確認已閱讀及明白衍生及結構性投資產品的風險披露聲明,而且瞭解進行有關產品買賣涉及高風險。本人/吾等已考慮到本人/吾等的財務狀況和投資目標,并確認本人/吾等之財政能承擔該等交易帶來之風險和承受其帶來之任何損失,亦自願確認衍生產品買賣是對本人/吾等是合適的。 I/We hereby confirm that the above information provided in relation to “Knowledge of Derivatives” is true and complete. I/We hereby confirm that I/we have read and understood the Risk Disclosure Statements of the derivative and structured investment products and recognize that trading in the investment products involves a high degree of risk. I/We have considered my/our financial position and investment objective, I/we confirm that I/we am/are financially able to assume such risks and to sustain any losses resulting from such trading and voluntarily confirm that trading in derivative and structured investment products is suitable for me/us.
6. 賬戶交易資料 Account Transaction Information	
開戶時預計用作投資的金額 Estimated Amount for Investment at Account Opening	
<input type="checkbox"/> Less than or equal to HK\$2,000,000 或以下 <input type="checkbox"/> HK\$2,000,001 – HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 – HK\$10,000,000 <input type="checkbox"/> HK\$10,000,001 – HK\$20,000,000 <input type="checkbox"/> Above HK\$20,000,000 以上	
預期每月賬戶交易筆數 Expected Frequency of Transaction Per Month	
<input type="checkbox"/> ≤ 100 <input type="checkbox"/> 101 – 300 <input type="checkbox"/> 301 – 500 <input type="checkbox"/> 501 -1000 <input type="checkbox"/> > 1000	

7. 結算賬戶資料 Settlement Account Information			
I. 戶口結單收取方式 (請選擇其中一項) Delivery Method of Account Statement Collection (Please select ONE only)			
<input type="checkbox"/> By E-mail/電郵 <input type="checkbox"/> By post/郵寄: ( <input type="checkbox"/> 住宅地址 Home Address/ <input type="checkbox"/> 通訊地址 Correspondence Address )			
[郵寄方式收取結單每月需收取 HKD30 服務費 Service fee will be applied to paper statements for HKD30 per month]			
II. 指定入賬銀行戶口 Designated Bank Accounts			
	港幣戶口 HK Dollar A/C	美元戶口 US Dollar A/C	其他貨幣戶口: _____ Other Currency A/C: _____
銀行名稱 Bank Name			
賬戶號碼 Account No.			
賬戶名稱 Account Name			
8. 身份聲明 Identity Declaration			
I. 最終為此賬戶權益擁有人士 The ultimate beneficial owner(s) of the Account:			
<input type="checkbox"/>	客戶本人 The Client		
<input type="checkbox"/>	其他 Others:	1	2
	請詳述: Please specify:	姓名 Name	
		身份證/護照號碼 ID Card/Passport No.	
		國籍 Nationality	
		住宅地址 Home Address:	
II. 最終為此賬戶發出交易指示的人士: The person(s) ultimately responsible for giving instructions in relation to transactions to be conducted through the Account(s):			
<input type="checkbox"/>	客戶本人 The Client		
<input type="checkbox"/>	其他 Others:	1	2
	請詳述: Please specify:	姓名 Name	
		身份證/護照號碼 ID Card/Passport No.	
		國籍 Nationality	
		住宅地址 Home Address:	
III. 客戶本人、此賬戶最終受益人及/或就賬戶進行交易的最終負責發出指示人士(“有關人士”)是否為「證券及期貨條例」之下持牌/註冊的中介人的董事、僱員或代表? Is/Are the client(s), the ultimate beneficial owner(s) of the Account(s) and/or the person(s) ultimately responsible for giving instructions in relation to transactions to be conducted through the Account(s) (“Relevant Person(s)”), a director, an employee or a representative of an intermediary licensed/registered under the Securities and Futures Ordinance?			
<input type="checkbox"/>	不是 No.		
<input type="checkbox"/>	是 Yes	“有關人士”姓名 Name of the "Relevant Person"	
	請詳述: Please specify:	持牌/註冊的中介人名稱 Name of the licensed/ registered intermediary	
		請提供僱主之同意書 Please provide the employer's approval letter	<input type="checkbox"/> 提供 Provide <input type="checkbox"/> 不提供 Not provide
IV. 客戶本人、此賬戶最終受益人及/或就賬戶進行交易的最終負責發出指示人士(“有關人士”)是否為已上市公司之高級職員、董事或大股東? Is/Are the client(s), the ultimate beneficial owner(s) of the Account(s) and/or the person(s) ultimately responsible for giving instructions in relation to transactions to be conducted through the Account(s) (“Relevant Person(s)”), a senior officer or director or in control of any company whose shares are traded on any exchange or market?			
<input type="checkbox"/>	不是 No.		
<input type="checkbox"/>	是 Yes	“有關人士”姓名 Name of the "Relevant Person"	
	請詳述: Please specify:	公司名稱 Company Name	
		職位 Position	
		佔股份額 Share Holding (%)	

<b>V.</b> 客戶本人、此賬戶最終受益人及/或就賬戶進行交易的最終負責發出指示人士(“有關人士”)是否為東吳證券(香港)金融控股有限公司、東吳證券(國際)金融控股有限公司、東吳國際經紀或東吳國際期貨或其聯屬公司之董事或僱員/代理人有親屬或其他關係? Does/Do the client(s), the ultimate beneficial owner(s) of the Account(s) and/or the person(s) ultimately responsible for giving instructions in relation to transactions to be conducted through the Account(s) (“Relevant Person(s)”), has/have any relationship with the director or employee/agent of Soochow Securities (Hong Kong) Financial Holdings Limited, Soochow Securities (International) Financial Holdings Limited, SCSIB, SCSIF or its Affiliates?			
<input type="checkbox"/>	不是 No.		
<input type="checkbox"/>	是 Yes	"有關人士" 姓名 Name of the "Relevant Person"	
	請詳述: Please specify:	董事/僱員/代理人姓名 Name of the director/employee/agent	
		關係 Relationship	
<b>VI.</b> 客戶本人、此賬戶最終受益人及/或就賬戶進行交易的最終負責發出指示人士(“有關人士”)的工作業務性質，是否特別容易蒙受較高的洗黑錢風險(如金錢服務業、博彩業、武器/戰爭物資的生產或貿易等行業)? Is/Are the client(s), the ultimate beneficial owner(s) of the Account(s) and/or the person(s) ultimately responsible for giving instructions in relation to transactions to be conducted through the Account(s) (“Relevant Person(s)”), the nature of business particularly susceptible to money laundering risk (e.g. money service, gambling business, the production of or trade in arms / war material)?			
<input type="checkbox"/>	不是 No.	<input type="checkbox"/>	是 Yes
<b>VII.</b> 客戶本人，此賬戶最終受益人及/或就賬戶進行交易的最終負責發出指示人士(“有關人士”)或其配偶、伴侶、子女或父母，或其子女的配偶或伴侶，或與其關係密切的人，是否擔任或曾擔任重要公職的為政治人物，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、重要政黨幹事及國際組織的高級管理層，即董事會的董事、副董事及成員或對等職位? Is/Are the client(s), the ultimate beneficial owner(s) of the Account or the authorized person ultimately responsible for giving instructions in relation to transactions to be conducted through the Account (“Relevant Person(s)”), or his spouse, partner, child, parent, spouse or partner of his child, or a close associate with him a political exposed person, entrusted or has been entrusted with a prominent public function, which includes a head of state, head of government, judicial or military official, senior executive of a state-owned corporation, an important political party official and senior management of an international organization, i.e. directors, deputy directors and members of the board or equivalent functions?			
<input type="checkbox"/>	不是 No.		
<input type="checkbox"/>	是 Yes	公職/國家機構/國際組織 Position/Authority/ International Organization	
	請詳述: Please specify:	政界人士名稱 Name of PEP	
		關係 Relationship	
<b>9. 額外披露 (開立證券保證金賬戶適用) Additional Disclosure (Applicable to Margin Securities Account)</b>			
<b>I.</b> 客戶是否個人或與其配偶共同控制某公司的 35%或以上表決權，而該公司已在東吳國際經紀開立了公司證券保證金賬戶? Is the Client, either alone or together with his / her spouse, in control of 35% or more of the voting rights of a company which has opened a margin securities account in SCSIB?			
<input type="checkbox"/>	沒有 No.		
<input type="checkbox"/>	有 Yes.	請詳述 Please specify:	
		賬戶名稱 Account Name:	賬戶號碼 Account No.:
	1.		
	2.		
<b>II.</b> 客戶的配偶是否在東吳國際經紀開立了證券保證金賬戶 (包括聯名帳戶)? Has the Client's spouse opened a margin securities account (including joint account) in SCSIB?			
<input type="checkbox"/>	沒有 No.		
<input type="checkbox"/>	有 Yes.	請詳述 Please specify:	
		賬戶名稱 Account Name:	賬戶號碼 Account No.:
	1.		關係 Relationship
	2.		

<b>III.</b> 此賬戶的最終權益擁有人是否同樣是東吳國際經紀其他證券保證金賬戶的最終權益擁有人? Whether the beneficial owner of the Account(s) is/are also the beneficial owner of other margin securities account(s) of SCSIB?				
<input type="checkbox"/>	沒有 No.			
<input type="checkbox"/>	有 Yes.	請詳述 Please specify:		
		賬戶名稱 Account Name:	賬戶號碼 Account No.:	關係 Relationship
	1.			
	2.			
<b>IV.</b> 客戶是否在任何擔保安排下為其他東吳國際經紀保證金客戶的財務負債作為擔保人? 如是, 戶口號碼是: ? Is the Client a guarantor of other margin client(s) of SCSIB for their financial liabilities under any guarantee arrangement(s)? If yes, the account number of the guaranteed margin account is: ?				
<input type="checkbox"/>	沒有 No.			
<input type="checkbox"/>	有 Yes.	請詳述 Please specify:		
		賬戶名稱 Account Name:	賬戶號碼 Account No.:	關係 Relationship
	1.			
	2.			
<b>V.</b> 客戶的保證金賬戶的財務負債是否與東吳國際經紀其他客戶有任何擔保安排? 如是, 戶口號碼是: ? Does the Client have any financial liabilities under the Client's margin account(s) which are subject to any guarantee arrangement(s) with other client(s) of SCSIB? If yes, the account number of the guarantor is:				
<input type="checkbox"/>	沒有 No.			
<input type="checkbox"/>	有 Yes.	請詳述 Please specify:		
		賬戶名稱 Account Name:	賬戶號碼 Account No.:	關係 Relationship
	1.			
	2.			

### 10. 共同匯報標準自我證明 Self-Certification of Common Reporting Standard

請提供以下資料, 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	若無法提供稅務識別號碼, 請在適用的原因填上✓號* If a TIN is unavailable, please ✓ the appropriate reason*	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
1			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
2			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
3			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
4			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
5			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	

### 11. 美國居民/公民自我證明 Self-Certification of U.S. Resident / Citizen

<b>I.</b>	客戶是否美國稅務居民? Is the Client a U.S. tax resident?	<input type="checkbox"/> 不是 No <input type="checkbox"/> 是 Yes
<b>II.</b>	客戶是否美國公民 (如您持有 multiple 國籍身份而其中之一是美國國籍, 請回答"是") Is the Client a U.S. citizen? (If the Client holds multiple citizenships, tick "Yes" if one of them is U.S.)	<input type="checkbox"/> 不是 No <input type="checkbox"/> 是 Yes

## 12. 同意使用個人資料作直接促銷 Consent on Use of Personal Data in Direct Marketing

東吳國際經紀/東吳國際期貨擬使用本人/吾等的個人資料作直接促銷，該等個人資料包括本人/吾等在本開戶申請書中向東吳國際經紀/東吳國際期貨提供及東吳國際經紀/東吳國際期貨不時獲得的姓名、聯絡詳情、財務背景、統計資料等的個人資料。為此須取得本人/吾等的同意。

SCSIB / SCSIF intends to use my/our personal data in direct marketing. Such personal data includes the name, contact details, financial background and statistical data which are provided to SCSIB / SCSIF under this Account Opening Form or obtained by SCSIB / SCSIF from time to time. SCSIB / SCSIF proposes to obtain my/our consent.

本人/吾等同意東吳國際經紀/東吳國際期貨向本人/吾等發放關於財務、證券、投資的服務和產品的推廣資料。本人/吾等亦同意東吳國際經紀/東吳國際期貨及其集團公司分享本人/吾等的個人資料作促銷用途。本人/吾等亦明白和接受東吳國際經紀/東吳國際期貨及其集團公司可能不時聘請第三方代表東吳國際經紀/東吳國際期貨及其集團公司提供直接促銷服務，除非本人/吾等在下方表示反對：

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

本人/吾等反對東吳國際經紀/東吳國際期貨使用或轉移，不論是否為得益，本人/吾等所有個人資料的種類，給予所有資料承轉人的類別以用作所有促銷產品/服務/設施的類別的直接促銷用途。

I / We object to SCSIB / SCSIF use or transfer, whether for gain or not, of all kinds of my / our personal data to all classes of data transferees, for direct marketing of all classes of marketing subject.

如本人/吾等將來不希望東吳國際經紀/東吳國際期貨使用或提供本人/吾等的資料給他人作直接促銷，請會以電郵通知客戶服務部取消(電郵地址：[csdept@dwzq.com.hk](mailto:csdept@dwzq.com.hk))。

In the future, if I/we do not wish SCSIB / SCSIF to use or provide my/our data to other persons for the use in direct marketing, I/we may exercise my/our opt-out right by notifying our Customer Service Department by email (Email Address: [csdept@dwzq.com.hk](mailto:csdept@dwzq.com.hk)).



**13. 關於收集、儲存、使用、披露及移轉個人資料以提供有關中華通證券交易及結算服務/香港證券服務的同意書**  
**Client Consent on Collection, Storage, Use, Disclosure and Transfer of Personal Data for Provision of Trading and Settlement services in relation to China Connect Securities/Hong Kong Securities Services**

(中華通證券服務及交易部分，只在進行中華通證券交易及有關服務時適用)  
For the part of China Connect Securities service and transaction, The China Connect Securities service and transactions part is only applicable when conducting China Connect Securities transactions and the related services)

除文義另有所指外，下列用詞和用語的含義應具有香港聯合交易所有限公司規則、中央結算系統一般規則及／或中央結算系統運作程式規則賦予彼等之涵義。

Unless the context otherwise requires, words and phrases in the below shall have the meanings assigned to them under The Rules of The Stock Exchange of Hong Kong Limited, General Rules of CCASS, and/or CCASS Operational Procedures.

對於本條文有關香港證券事實，本條文所述的“券商客戶編碼”及“客戶識別信息”具有《證券及期貨事務監察委員會持牌人或註冊人操守準則》或在2021年8月發表相關諮詢總結文件所界定的含義。

Note: For the clauses in respect of Hong Kong Securities, the terms “BCAN” and “CID” used in this clause shall bear the meanings as defined in paragraph 5.6 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission or in the related consultation conclusions released by the SFC in August 2021

本人/吾等，為以下簽署人，確認並同意，在為本人/吾等透過本人/吾等不時於東吳證券國際經紀有限公司開設的所有帳戶提供有關中華通證券的交易和結算服務時，及/或在為向本人/吾等提供與在香港聯合交易所（聯交所）上市或買賣的證券（香港證券）相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會（證監會）的規則和規定時，東吳證券國際經紀有限公司將被要求：

I/We, the undersigned, acknowledge and agree that in providing trading and settlement services in relation to China Connect Securities to me/us in respect of all accounts maintained with SCSIB by me/us from time to time and/or in providing services to me/us in relation to securities listed or traded on the Stock Exchange of Hong Kong (SEHK) (Hong Kong Securities) and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (SFC) in effect from time to time., SCSIB, Soochow Securities International Brokerage Limited, will be required to:

- (i) 為本人/吾等每個提交給中華證券通系統（「CSC」）或聯交所作香港證券交易的買賣盤附加一個由東吳證券國際經紀有限公司適當地分配予本人或本人/吾等的聯名戶口的一個唯一的數位編碼（「券商客戶編碼」或「BCAN」）；及 tag each of my/our orders submitted to the China Stock Connect System (“CSC”) or submitted to SEHK for Hong Kong Securities transactions with a Broker-to-Client Assigned Number (“BCAN”) that is unique to me/us or the BCAN that is assigned to my/our joint account with SCSIB, as appropriate; and
- (ii) 向聯交所提供其依據聯交所規則可不時要求的資訊，包括分配予本人/吾等的券商客戶編碼以及與本人/吾等有關的身份資訊（「客戶識別資訊」或「CID」）。  
provide to the Exchange my/our assigned BCAN and such identification information (“Client Identification Data” or “CID”) relating to me/us as the Exchange may request from time to time under the Rules of the Exchange.

在不受限於東吳證券國際經紀有限公司已向本人/吾等提供的任何通知或東吳證券國際經紀有限公司因應本人/吾等享用的帳戶及服務而向本人/吾等所取得的有關個人資料處理的同意的情况下，本人/吾等確認並同意東吳證券國際經紀有限公司可以根據需要收集、儲存、使用、披露和移轉與本人/吾等有關的個人資料以作為東吳證券國際經紀有限公司提供中華通證券有關的交易和結算服務的一部分，又或作為東吳證券國際經紀有限公司提供與在聯交所上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會（證監會）的規則和規定的一部分，包括以下內容：

Without limitation to any notification SCSIB has given me/us or consent SCSIB has obtained from me/us in respect of the processing of my/our personal data in connection with my/our account and SCSIB's services to me/us, I/we acknowledge and agree that SCSIB may collect, store, use, disclose and transfer personal data relating to me/us as required as part of SCSIB's trading and settlement services in relation to China Connect Securities or as required as part of SCSIB's providing services to me/us in relation to securities listed or traded on the SEHK and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (SFC) in effect from time to time (as the case may be), including as follows:

在中華通證券有關服務及交易方面

In relation to China Connect Securities services and transactions,

- (a) 向聯交所及相關聯交所子公司不時披露及移轉本人/吾等的券商客戶編碼及客戶識別資訊，包括在向中華證券通系統輸入中華通買賣盤時附加本人/吾等的券商客戶編碼，並將該買賣盤進一步即時傳送至相關中華通市場營運者；  
to disclose and transfer my/our BCAN and CID to the Exchange and the relevant SEHK Subsidiaries from time to time, including by indicating my/our BCAN when inputting a China Connect Order into the CSC, which will be further routed to the relevant China Connect Market Operator on a real-time basis;
- (b) 允許聯交所和相關聯交所子公司各自：(i) 收集、使用及儲存本人/吾等的券商客戶編碼、客戶識別資訊以及由相關中華通結算所提供的任何整合、驗證和配對的券商客戶編碼和客戶識別資訊（就儲存而言，可經由聯交所和相關聯交所子公司任何一家或通過香港聯交所）以進行市場監督和監察以及執行香港聯合交易所有限公司規則；(ii) 不時為下文(c)及(d)段所載之目的將有關資料移轉予相關中華通市場營運者（直接或透過有關中華通結算所）；及(iii) 向香港的有關監管機構和執法機構披露有關資料，以協助履行有關香港金融市場的法定職能；  
to allow each of the Exchange and the relevant SEHK Subsidiaries to: (i) collect, use and store my/our BCAN, CID and any consolidated, validated and mapped BCANs and CID information provided by the relevant China Connect Clearing House (in the case of storage, by any of them or via HKEX) for market surveillance and monitoring purposes and enforcement of the Rules of the

Exchange; (ii) transfer such information to the relevant China Connect Market Operator (directly or through the relevant China Connect Clearing House) from time to time for the purposes set out in (c) and (d) below; and (iii) disclose such information to the relevant regulators and law enforcement agencies in Hong Kong so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets;

- (c) 允許相關中華通結算所：(i) 收集、使用及儲存本人/吾等的券商客戶編碼和客戶識別資訊，以促進券商客戶編碼和客戶識別資訊的整合和驗證，以及為券商客戶編碼和客戶識別資訊與其投資者識別資料庫作配對，並提供此類經整合、驗證及配對的券商客戶編碼和客戶識別資訊予相關的中華通市場營運者、交易所及相關聯交所子公司；(ii) 使用本人/吾等的券商客戶編碼和客戶識別資訊履行其證券帳戶管理的監管職能；及(iii) 向有管轄權的內地監管機構及執法機構披露有關資料，以便協助履行其對內地金融市場的監管、監察及執法職能；及  
to allow the relevant China Connect Clearing House to: (i) collect, use and store my/our BCAN and CID to facilitate the consolidation and validation of BCANs and CID and the mapping of BCANs and CID with its investor identification database, and provide such consolidated, validated and mapped BCANs and CID information to the relevant China Connect Market Operator, the Exchange and the relevant SEHK Subsidiary; (ii) use my/our BCAN and CID for the performance of its regulatory functions of securities account management; and (iii) disclose such information to the Mainland regulatory authorities and law enforcement agencies having jurisdiction over it so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets; and
- (d) 允許有關中華通市場經營者：(i) 收集、使用及儲存本人/吾等的券商客戶編碼和客戶識別資訊，以便監督及監察經使用中華通服務的有關中華通市場上的證券交易及執行有關中華通市場營運者的規則；及(ii) 向內地監管機構及執法機構披露有關資料，以協助履行其對內地金融市場的監管、監察及執法職能。  
to allow the relevant China Connect Market Operator to: (i) collect, use and store my/our BCAN and CID to facilitate their surveillance and monitoring of securities trading on the relevant China Connect Market through the use of the China Connect Service and enforcement of the rules of the relevant China Connect Market Operator; and (ii) disclose such information to the Mainland regulatory authorities and law enforcement agencies so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets.

在香港證券有關服務及交易方面

In relation to Hong Kong Securities services and transactions,

- (a) 根據不時生效的聯交所及證監會規則和規定，向聯交所及/或證監會披露及轉移本人/吾等的個人資料（包括客戶識別信息及券商客戶編碼）；  
disclosing and transferring my/our personal data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time;
- (b) 允許聯交所：(i) 收集、儲存、處理及使用本人/吾等的個人資料（包括客戶識別信息及券商客戶編碼），以便監察和監管市場及執行《聯交所規則》；(ii) 向香港相關監管機構和執法機構（包括但不限於證監會）披露及轉移有關資料，以便他們就香港金融市場履行其法定職能；及(iii) 為監察市場目的而使用有關資料進行分析；及  
allowing SEHK to: (i) collect, store, process and use my/our personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; and (ii) disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and (iii) use such information for conducting analysis for the purposes of market oversight; and
- (c) 允許證監會：(i) 收集、儲存、處理及使用本人/吾等的個人資料（包括客戶識別信息及券商客戶編碼），以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及(ii) 根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料。  
allowing the SFC to: (i) collect, store, process and use my/our personal data (including CID and BCAN(s)) for the performance of its statutory functions including monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets; and (ii) disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements. I/We also agree that despite any subsequent purported withdrawal of consent by SCSIB, my/our personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent. Failure to provide SCSIB with my/our personal data or consent as described above may mean that SCSIB will not, or will no longer be able to, as the case may be, carry out my/our trading instructions or provide me/us with securities related services (other than to sell, transfer out or withdraw my/our existing holdings of securities, if any).

通過向東吳證券國際經紀有限公司就與中華通證券/香港證券有關的任何交易發出指示，本人/吾等確認並同意東吳證券國際經紀有限公司可就其提供有關中華通證券之交易及結算服務與及香港證券有關服務而言，以使用本人/吾等的個人資料以遵守不時有效的聯交所及證監會的規則及其規定。本人/吾等亦確認，儘管本人/吾等後來聲稱撤回同意，本人/吾等的個人資料仍可繼續存放、使用、披露、移轉及以其他方式處理以達到上述目的，不論是在此等聲稱撤回同意之前還是之後。

By instructing SCSIB in respect of any transaction relating to China Connect Securities/Hong Kong Securities, I/we acknowledge and agree that SCSIB may use my/our personal data for the purposes of complying with the requirements of the Exchange and SFC and its rules as in force from time to time in connection with SCSIB's provision of trading and settlement services in relation to China Connect Securities and SCSIB's provision of services in relation to Hong Kong Securities. I/We also acknowledge that despite any subsequent purported withdrawal of consent by me/us, my/our personal data may continue to be stored, used, disclosed, transferred and otherwise processed for the above purposes, whether before or after such purported withdrawal of consent.

**未能提供個人資料或同意的後果**

**Consequences of failing to provide Personal Data or Consent**

在中華通證券有關服務及交易方面

In relation to China Connect Securities services and transactions,

如未能向東吳證券國際經紀有限公司提供上述本人/吾等的個人資料或同意書，可能意味著東吳證券國際經紀有限公司將不能或不能再（視情況而定）執行本人/吾等的交易指令或向本人/吾等提供有關中華通證券之交易及結算服務。

Failure to provide SCSIB with my/our personal data or consent as described above may mean that SCSIB will not, or no longer be able, as the case may be, to carry out my/our trading instructions or provide me/us with SCSIB's trading and settlement services in relation to China Connect Securities.

在香港證券有關服務及交易方面

In relation to Hong Kong Securities services and transactions,

本人/吾等如未能向東吳國際經紀提供個人資料或上述同意，可能意味著東吳國際經紀不會或不能夠再（視情況而定）執行本人/吾等的交易指示或向本人/吾等提供證券相關服務，惟出售、轉出或提取本人/吾等現有的證券持倉（如有）除外。

Failure to provide SCSIB with my/our personal data or consent as described above may mean that SCSIB will not, or will no longer be able to, as the case may be, carry out my/our trading instructions or provide me/us with securities related services (other than to sell, transfer out or withdraw my/our existing holdings of securities, if any).

**客戶確認和同意**

**Acknowledgement and Consent**

本人/吾等，確認本人/吾等已閱讀並理解上述內容。通過勾選下面的方框，本人/吾等表示本人/吾等同意東吳證券國際經紀有限公司根據上述條款及目的使用本人/吾等的個人資料。

I/We, the undersigned, acknowledge I/we have read and understand the above content. By ticking the box below, I/we signify my/our consent for Soochow Securities International Brokerage Limited to use my/our personal data on the terms of and for the purposes set out in the above.

- 本人/吾等同意東吳國際經紀/東吳國際期貨根據上述條款及目的使用本人/吾等的個人資料。  
I/We agree to Soochow Securities International Brokerage Limited's use of my/our personal data on the terms of and for the purposes set out in the above.

## 14. 中國個人資訊及隱私保護政策的同意書

### Client's Consent on China Personal Information and Privacy Protection Policy

(此個人資訊及隱私保護政策是個人資料告示補充，但只適用於客戶為中國內地居民)

This China Personal Information and Privacy Protection Policy is a supplement to the Notice on Personal Data, but only applicable to clients who are residents of Mainland China

本人/吾等明白並同意：  
I understand and agree:

本人/吾等在申請或使用東吳國際經紀/東吳國際期貨(「東吳國際」)的相關產品、服務或設備，辦理東吳國際任何業務或與東吳國際進行任何交易、簽訂相關協定，訪問、流覽、使用東吳國際相關網站、電子業務平臺、移動設備應用程式，參加東吳國際的行銷活動、問卷調查，或通過任何方式與東吳國際進行任何溝通、聯絡之時，東吳國際會收集、存儲、使用、加工、傳輸、提供、公開、刪除或者以其他方式處理本人/吾等的個人資訊。東吳國際收集的個人資訊可能包括紙質、電子或其他任何形式的資訊。

I/We am/are applying for or using SCSIB / SCSIF ("SCSI") related products, services or equipment, handling any business of SCSI or conducting any transaction or signing related agreements with SCSI, When accessing, browsing, using SCSI related websites, electronic business platforms, mobile device applications, participating in SCSI's marketing activities, questionnaire surveys, or conducting any communication or contact with SCSI through any means, SCSI would collect, store, use, process, transmit, provide, disclose, delete or otherwise process my/our personal information. The personal information collected by SCSI may include paper, electronic or any other form of information.

就本部份而言，個人資訊是指以電子或者其他方式記錄的與已識別或者可識別的自然人有關的各種資訊，不包括匿名化處理後的資訊。個人資訊包括姓名、出生日期、身份證件資訊(身份證、護照等)、個人生物識別資訊、通信通訊聯繫方式、住址、帳戶資訊、財產狀況、位置資訊等。敏感個人資訊是指一旦洩露、非法提供或濫用可能危害人身和財產安全，極易導致個人名譽、人格尊嚴、身心健康受到損害或歧視性待遇等的人身及財產資訊，主要包括：身份證件資訊(身份證、護照等)、個人生物識別資訊、銀行帳號、征信資訊、財產資訊、交易資訊、位置資訊、健康生理資訊、生物識別、特定身份、金融帳戶等資訊以及不滿十四周歲未成年人的個人資訊等。

For the purposes of this section, personal information refers to any kind of information related to an identified or identifiable natural person as electronically or otherwise recorded, excluding information that has been anonymized. Personal information include name, birth date, ID certificate information (ID card, passport and etc.), personal biometrics recognition, information, contact information, address, account information, property status, location and etc., Sensitive personal information refers to personal or property information that, once leaked or illegally provided or misused, may harm personal or property safety and will easily lead to infringement of the personal reputation, human dignity, physical or psychological health, or discriminatory treatment. Such information mainly includes ID certificate information (ID card, passport and etc.), personal biometrics recognition, bank account, credit information, property information, transaction information, location, medical and health, biometrics recognition, specific identity, financial account, as well as any personal information of a minor under the age of 14.

東吳國際所收集和使用本人/吾等的個人資訊，僅限於那些東吳國際認為對東吳國際遵守適用法律和履行法定職責或者法定義務，瞭解本人/吾等或相關客戶的服務需求，在充分告知的情況下為建立、複查、維護、發展東吳國際與本人/吾等或相關客戶的業務關係，向本人/吾等或相關客戶提供產品和服務所必需的資料，必要的資訊包括但不限於：

- i. 個人身份資訊，包括個人姓名、性別、國籍、民族、身份證件種類號碼及有效期限、職業、聯繫方式、婚姻狀況、家庭狀況、住所或工作單位地址及照片等；
- ii. 個人財產資訊，包括個人收入狀況、擁有的不動產狀況和其他資產證明等；
- iii. 個人金融機構帳戶資訊，包括帳號、開戶行、帳戶餘額、帳戶交易情況等；
- iv. 個人信用資訊，包括個人在經濟活動中形成的，能夠反映其信用狀況的其他資訊；
- v. 個人生物特徵資訊，包括簽字、筆跡、肖像、指紋、聲音、人臉識別資訊等；
- vi. 在與個人建立業務關係過程中獲取、保存的其他個人資訊；
- vii. 相關客戶調查所涉的個人資訊，如：客戶盡職調查、制裁和反洗錢調查中需要收集的個人資訊；
- viii. 為了履行合同、法律和監管合規義務，在建立、維持業務關係過程中獲取的其他資訊，如：客戶檔中包含的個人資訊；發現、調查任何可疑和異常活動所需的個人資訊；與東吳國際之間的通信和其他通訊記錄(錄音錄影、通話記錄、通信記錄和內容)、本人/吾等使用的設備的型號、識別字、識別碼、硬體序號、作業系統、軟體版本號、IP位址、網路服務供應商等。

SCSI will collect personal information that SCSI believes to be relevant and required for SCSI to comply with law, perform a statutory responsibility or statutory obligation, understand me or relevant client's needs, build up, review, maintain and develop our relationship with me or relevant clients, provide me with materials of relevant products and services, included but not limited to the followings:

- i. Personally identifiable information, including personal name, gender, nationality, nationality, ID type number and expiration date, occupation, contact information, marital status, family status, address and photo of residence or business address, etc.;
- ii. Personal property information, including personal income record, real estate record and other asset proof;
- iii. Personal financial institution account information, including account number, account opening bank, account balance, account transaction record, etc.;
- iv. Personal credit information, including other information formed by individuals in economic activities that can reflect their credit status;
- v. Personal biometric information, including signature, handwriting, portrait, fingerprint, voice, face recognition information, etc.;
- vi. Other personal information obtained and saved in the process of establishing business relationships with individuals;
- vii. Personal information involved in relevant customer investigations, for example, personal information that needs to be collected in customer due diligence, sanctions, and anti-money laundering investigations;
- viii. In order to fulfill contract, legal and regulatory compliance obligations, other information obtained in the process of establishing and maintaining business relationships, for example, personal information contained in customer documents; personal information required to discover and investigate any suspicious and abnormal activities; Communication with us and other communication

records (audio and video recording, call records, communication records and content), the model, identifier, identification code, hardware serial number, operating system, software version number, IP address of the device I/we use, Internet service providers, etc.

上述資訊的提供是為履行東吳國際與本人/吾等或相關客戶之間的協定，並使東吳國際能夠履行其法律和監管合規義務所必需的。如本人/吾等拒絕提供上述資訊（或提供的資訊不完整、不準確或不真實），東吳國際可能無法為本人/吾等或相關客戶提供相應的產品或服務或辦理相關業務，或本人/吾等可能無法使用某項或某部分服務，但不影響本人/吾等使用東吳國際提供的其他服務。The provision of the above-mentioned information is necessary to fulfill the agreement between SCSi and the person or the person or related customers, and to enable SCSi to perform its legal and regulatory compliance obligations. If I/we refuse to provide the above information (or the information provided is incomplete, inaccurate or untrue), SCSi may not be able to provide corresponding products or services or handle related businesses for myself/ourselves or related customers, or I/we may not be able to use certain or part of services, but does not affect my use of other services provided by SCSi.

在法律許可的情況下，東吳國際可能會出於特定用途把本人/吾等的個人資訊提供給東吳國際的母公司、其他成員、代理人或其他協力廠商，但是東吳國際會按照法律規定獲取本人/吾等的同意。

Where permitted by law, SCSi may provide my/our personal information to SCSi's parent company, other members, agents or other third parties for specific purposes, but SCSi will follow the law and obtain my/our consent.

東吳國際可能不時被要求向監管機構或其他政府、司法等權力機關及它們的代理機構提供本人/吾等的資訊，但東吳國際只會根據適用法律要求、為履行法定職責、監管和政府機構要求或者法定義務以及為履行合同之必要的需要在必要的範圍內提供。SCSi may be required from time to time to provide personal information to regulatory agencies or other government, judicial and other authorities and their agencies, but SCSi will only perform statutory duties, supervision and government agencies in accordance with applicable legal requirements. Requirements or statutory obligations and necessary needs for the performance of the contract are provided within the necessary scope.

在適用法律允許的範圍內，東吳國際可能會在以下情形中收集、使用本人/吾等的個人資訊無需征得本人/吾等的同意：

- 一、履行法定職責或者法定義務直接相關的；
- 二、與配合有權機關開展公共衛生活動直接相關的；
- 三、出於維護本人/吾等或其他個人的生命健康、財產安全等重大合法權益但又很難得到本人/吾等同意的；
- 四、所收集的個人資訊是本人/吾等自行向社會公眾公開的；
- 五、從合法公開披露的資訊中收集個人資訊的，如合法的新聞報導、政府資訊公開等管道；
- 六、根據本人/吾等的要求簽訂和履行東吳國際作為一方當事人的合同所必需的；
- 七、法律規定的其他情形。

To the extent permitted by applicable laws, SCSi may collect and use my/our personal information in the following situations without my/our consent:

1. Those directly related to the performance of statutory duties or statutory obligations;
2. Those directly related to cooperating with competent authorities to carry out public health activities;
3. In order to protect the life, health, property safety and other major legal rights of the person or other individuals, but it is difficult to obtain the consent of the person;
4. The personal information collected is personally disclosed to the public by m;
5. Collecting personal information from legally publicly disclosed information, such as legal news reports, government information disclosure and other channels;
6. Necessary for signing and performing the contract to which SCSi is a party according to my/our request;
7. Other circumstances stipulated by law.

在以下情形下，按照法律法規要求，東吳國際可能無法回應本人/吾等查閱、更新、更正、刪除或者撤回個人資訊請求：

- 一、與個人資訊控制者履行法律法規規定的義務相關的；
- 二、與國家安全、國防安全直接相關的；
- 三、與公共安全、公共衛生、重大公共利益直接相關的；
- 四、與刑事偵查、起訴、審判和執行判決等直接相關的；
- 五、個人資訊控制者有充分證據表明個人資訊主體存在主觀惡意或濫用權利的；
- 六、出於維護個人資訊主體或其他個人的生命、財產等重大合法權益但又很難得到本人/吾等授權同意的；
- 七、回應個人資訊主體的請求將導致個人資訊主體或其他個人、組織的合法權益受到嚴重損害的；
- 八、涉及商業秘密的。

Under the following circumstances, in accordance with the requirements of laws and regulations, SCSi may not be able to respond to my/our request for access, update, correction, deletion or withdrawal of personal information:

1. Related to the fulfillment of obligations stipulated by laws and regulations by personal information controllers;
2. Those directly related to national security and national defense security;
3. Those directly related to public safety, public health, and major public interests;
4. Those directly related to criminal investigation, prosecution, trial, and execution of judgments;
5. The personal information controller has sufficient evidence to show that the personal information subject has subjective malice or abuse of rights;
6. In order to protect the life, property and other major legal rights of the personal information subject or other individuals, but it is difficult to obtain the authorization and consent of the person;
7. Responding to the request of the personal information subject will cause serious damage to the legal rights and interests of the personal information subject or other individuals or organizations;
8. Involving commercial secrets.

如果東吳國際部分服務涉及跨境業務需要，東吳國際會按照法律法規規定的方式將本人/吾等的個人資訊提供給境外接收方，東吳國際取得本人/吾等的單獨同意。

If part of SCSI's services involves cross-border business needs, SCSI will provide personal information to overseas recipients in accordance with laws and regulations, and SCSI will obtain my/our individual consent.

**客戶確認和同意**

**Acknowledgement and Consent**

本人/吾等，確認本人/吾等已閱讀並理解上述內容。通過勾選下面的方框，本人/吾等表示本人/吾等同意東吳國際經紀/東吳國際期貨根據上述條款及目的使用本人/吾等的個人資料。

I/We, the undersigned, acknowledge I/we have read and understand the above content. By ticking the box below, I/we signify my/our consent for SCSIB / SCSIF to use my/our personal data on the terms of and for the purposes set out in the above.

- 本人/吾等同意東吳國際經紀/東吳國際期貨根據上述條款及目的使用本人/吾等的個人資料。  
I/We agree to SCSI's use of my/our personal data on the terms of and for the purposes set out in the above.

<b>15. 常設授權書 (客戶款項)</b>	
<b>Standing Authority (Client Money)</b>	
致 To :	<input type="checkbox"/> 證券 Securities (東吳證券國際經紀有限公司 Soochow Securities International Brokerage Limited)
	<input type="checkbox"/> 期貨 Futures (東吳證券國際期貨有限公司 Soochow Securities International Futures Limited)
<p>此常設授權書的範圍包括東吳國際經紀及/或東吳國際期貨在香港代表本人/吾等開立的一個或多個獨立賬戶中，持有或收到的款項(包括有任何不屬於東吳國際經紀及/或東吳國際期貨的款項所獲取的利息)(「款項」)。除非另有定義，本授權書使用的術語應與不時修訂的《證券及期貨條例》和證券及期貨(客戶款項)規則中的定義相同。</p> <p>This letter of authority covers money held or received by SCSIB and/or SCSIF in Hong Kong (including the any interest derived from the holding of the money which does not belong to SCSIB and/or SCSIF in one or more segregated account(s) on my/our behalf ("Monies")). Unless otherwise defined, all the terms used in this authorization letter shall have the same meanings as in the Securities and Futures Ordinance and the Securities and Futures (Client Money) Rules as amended from time to time.</p>	
<p>此授權書授權東吳國際經紀及/或東吳國際期貨：</p> <p>This letter authorizes SCSIB and/or SCSIF to:</p>	
<p>1. 組合或合併於東吳國際經紀及/或東吳國際期貨或其任何附屬公司(下稱「集團」)所維持的任何或全部獨立賬戶，此等組合或合併活動可以個別地或與其他賬戶聯合進行，爾等可將該等獨立賬戶內任何數額之款項作出轉移，以解除本人/吾等對東吳國際經紀及/或東吳國際期貨的義務或法律責任，不論此等義務和法律責任是確實或或然的、原有或附帶的、有抵押或無抵押的、共同或分別的；及</p> <p>combine or consolidate any or all segregated accounts, of any nature whatsoever and either individually or jointly with others, maintained by SCSIB and/or SCSIF or any of SCSIB's and/or SCSIF's subsidiaries from time to time ("The Group") and SCSIB and/or SCSIF may transfer any sum of Monies to and between such segregated account(s) to satisfy my/our obligations or liabilities to any member of the Group, whether such obligations and liabilities are actual, contingent, primary or collateral, secured or unsecured, or joint or several; and</p>	
<p>2. 集團於任何時候維持的任何獨立賬戶之間來回調動任何數額之款項；</p> <p>transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by any member of the Group</p>	
<p>3. 可將東吳國際經紀及/或東吳國際期貨在香港為本人/吾等持有或收到的款項轉至位於香港或海外的別家證券及/或期貨經紀的獨立賬戶。</p> <p>transfer our Monies held or received by the Group in Hong Kong to the segregated account(s) of other securities and / or futures broker(s) in Hong Kong or elsewhere.</p>	
<p>本人/吾等確認並同意，東吳國際經紀及/或東吳國際期貨可在不通知本人/吾等的情況下進行上述任何事項。此賦予東吳國際經紀之授權乃鑑於東吳國際經紀同意繼續維持本人/吾等之證券現金賬戶及/或證券保證金賬戶，而賦予東吳國際期貨之授權乃鑑於東吳國際期貨同意繼續維持本人/吾等之期貨賬戶。</p> <p>I/We acknowledge and agree that SCSIB and/or SCSIF may do any of the things set out above without giving me/us notice. This authority is given to SCSIB in consideration of its agreeing to continue to maintain cash securities account(s) and/or margin securities account(s) for us and to SCSIF in consideration of its agreeing to continue to maintain futures account(s) for us.</p>	
<p>本授權書的有效期為十二個月，自本授權書之日起算有效。本人/吾等可以向東吳國際經紀及/或東吳國際期貨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東吳國際經紀及/或東吳國際期貨真正收到該等通知後之 14 日起算。</p> <p>This authority is valid for a period of 12 months from the date of this letter. This authority may be revoked by giving SCSIB and/or SCSIF written notice addressed at SCSIF's address specified above. Such notice shall take effect upon the expiry of 14 days from the date of SCSIF's actual receipt of such notice.</p>	
<p>本人/吾等明白東吳國際經紀及/或東吳國際期貨若在本授權書的有效期屆滿前 14 日之前，向本人/吾等發出書面通知，提醒本人/吾等本授權書即將屆滿，而本人/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本人/吾等的書面同意下按持續的基準已被續期。東吳國際經紀及/或東吳國際期貨亦會於本授權書的有效期屆滿後之 1 星期內，給予本人/吾等就確認授權書的續期作出書面確認通知。</p> <p>I/We understand that this authority may be deemed to be renewed on a continuing basis without my/our written consent if SCSIB and/or SCSIF 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. The Company shall give a written confirmation of the renewal of the standing authority to me/us within one week after the date of expiry.</p>	
<p>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，本人/吾等同意應以英文本為準。本人/吾等就本授權書的內容已獲得解釋，並且本人/吾等明白及同意本授權書的內容。</p> <p>In the event of any difference in interpretation or meaning between the Chinese and English version of this authority, I/we agree that the English version shall prevail. This authority has been explained to me/us and I/we understand and agree with the contents of this authority.</p>	

16. 客戶聲明、承認及同意 Declaration, Acknowledgement and Agreement By Client	
本人/吾等聲明、承認、確認并同意：I/We declare, acknowledge, confirm and agree that:	
1	本開戶申請表所載的資料和陳述乃真實、完整及正確，除非東吳國際經紀或東吳國際期貨接獲我們發出關於任何變更的書面通知，否則東吳國際經紀或東吳國際期貨有權就一切目的，全面信賴該等資料及陳述。東吳國際經紀或東吳國際期貨獲授權隨時聯絡任何人士，包括銀行或任何信用調查機構，以查核此開戶申請表所提供之資料。 The information and representations contained in this Account Opening Form are true, complete and correct, and that SCSIB or SCSIF is entitled to rely fully on such information and representations for all purposes, unless and until SCSIB or SCSIF receives notice in writing from us of any change. SCSIB or SCSIF is authorised at any time to contact anyone, including banks, or any credit agency, for purposes of verifying the information provided in this Account Opening Form.
2	本人/吾等向東吳國際經紀或東吳國際期貨申請開立證券交易及/或期貨及/或期權買賣賬戶(“該賬戶”) (按情況適用)。本人/吾等已閱讀及明白東吳國際經紀或東吳國際期貨現行版本的客戶協議所規定之證券交易及期貨及期權交易標準條款(“協議書”)而本開戶文件構成協議書一部分，本人/吾等在此同意受不時被修改的該協議之整體(謹此聲明本人/吾等已收受其副本)及香港聯合交易所(“聯交所”)及香港期貨交易所(“期交所”)及其他監管機構不時修訂以監管於交易所及期交所或其他交易所進行證券、期貨及/或期權買賣之條例及規則所約束。另除非本開戶申請表中另有定義或上下文另有規定，否則本開戶申請表所使用的定義詞語和表述應具有客戶協議中規定的相同意義。 I/We request SCSIB or SCSIF to open a Securities Trading Account and / or Futures and/or Options Trading Account (the “Account(s)”) (as the case may be). I/We have read and understood the provisions of the current version of the Client’s Agreement with stipulated Terms and Conditions for Securities Trading and Futures and Options Trading (the “Agreement”) of SCSIB or SCSIF of which this document forms an integral part of the Agreement and I/we hereby agree to be bound by the Agreement as a whole (receipt of a copy whereof is hereby acknowledged by me/us) as the same may be amended from time to time and the Rules and Regulations of the Stock Exchange of Hong Kong Limited (“SEHK”) and the Hong Kong Futures Exchange Limited (“HKFE”) or any other regulatory body(ies) as amended from time to time governing the purchase and sale of securities, futures and/or options quoted on the SEHK and HKFE or any other exchanges. And Unless otherwise defined herein or the context so requires, the capitalised terms and expressions used herein shall have the same meaning as in the Agreement.
3	本人/吾等確認東吳國際經紀或東吳國際期貨已按照本人/吾等選擇的語言(英文或中文)提供風險披露聲明書及已獲邀閱讀該風險披露聲明書、提出問題及徵求獨立的意見(如本人/吾等有此意願)。 I/We acknowledge and confirm that I/we have been provided with the Risk Disclosure Statement in a language of my/our choice (English or Chinese) and I/we have been invited to read the Risk Disclosure Statement, to ask questions and take independent advice if I/we wish.
4	本人/吾等確認上述有關“衍生產品的認識”之資料完全真實及完整，並明白東吳國際經紀或東吳國際期貨將根據上述資料界定本人/吾等是否擁有對衍生產品之認識，以符合證券及期貨事務監察委員會持牌人或註冊人操守準則之有關要求。本人/吾等已仔細考慮風險披露聲明，而且瞭解進行投資產品買賣所涉及之高风险。本人/吾等已考慮到本人/吾等的財務狀況和投資目標，并確認本人/吾等之財政能承擔該交易帶來之風險和承受其帶來之任何損失，亦自願確認證券交易及/或期貨/期權買賣是一項對本人/我們合適的買賣方式。 I/We hereby confirm that the above information provided in relation to “Knowledge of Derivatives” is true and complete. I/we also understand that SCSIB or SCSIF will rely on the above information provided to assess whether I/we have acquired knowledge of derivative products in order to comply with relevant requirements of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission. I/We have carefully considered the Risk Disclosure Statements and recognize that trading in investment products involves a high degree of risk. I have considered my/our financial position and investment objective, I/we confirm that I/we am/are financially able to assume such risks and to sustain any losses resulting from such trading and voluntarily confirm that trading in Securities and/or Futures/Options is a suitable trading vehicle for me/us.
5	東吳國際經紀或東吳國際期貨獲授權(但無義務)接受本人/吾等或獲授權人不論是親身、以書面、電話、傳真、互聯網或任何其他電信方式或電子通訊方式按照客戶協定中的規定不時作出的指示並根據該等指示行事。倘若本人/吾等希望撤回根據客戶協定中作出的授權，本人/吾等應以書面方式通知東吳國際經紀或東吳國際期貨，在收到該項書面變更通知之前，東吳國際經紀或東吳國際期貨可依賴任何以傳真、電話、口頭或電子方式作出的指示。另鑒於東吳國際經紀或東吳國際期貨同意通過電話、傳真或其它電子方式接受本人/吾等的指示，作為對價，對於東吳國際經紀或東吳國際期貨及其董事、高級職員、僱員及代理人按照協議書項下的任何指示行事或沒有行事而招致或遭受的任何損失或責任，本人/吾等同意彌償他們，但由於東吳國際經紀或東吳國際期貨的疏忽或違約而導致的損失或責任則除外。 SCSIB or SCSIF shall be authorized (but not obliged) to accept and act in accordance with any Instructions given by me/us or the Authorized Person(s) either in person, in writing, by telephone, fax, the internet or any other form of telecommunications or electronic mode of communication made from time to time in accordance with the Client Agreement. In the event that I/we wish to withdraw the authorization under the Agreement, I/we shall notify SCSIB or SCSIF in writing and until receipt of such notice of change in writing, SCSIB or SCSIF may rely on any fax, telephone, oral and electronic Instructions given. And in consideration of SCSIB or SCSIF agreeing to accept Instructions from me/us by telephone, fax transmission or other electronic means, I/we agree to indemnify SCSIB or SCSIF and its directors, officers, employees and agents against any loss or liability that any of them may incur or suffer as a result of any of them acting or failing to act upon any Instruction given under the Agreement, save where due to the negligence or default of SCSIB or SCSIF.
6	本人/吾等明白本人/吾等遞交此開戶文件及東吳國際經紀或東吳國際期貨接納此開戶文件並非表示東吳國際經紀或東吳國際期貨同意開立賬戶予本人/吾等，而東吳國際經紀或東吳國際期貨保留無條件拒絕本人/吾等開戶申請之權利；本人/吾等知悉東吳國際經紀或東吳國際期貨或會要求本人/吾等就將買入之證券或期貨及/或期權先存入款項。 I/We understand that my/our submission of this document and the acceptance of such document by SCSIB or SCSIF in no way implied approval for opening of the account for me/us and that SCSIB or SCSIF reserves the unconditional right to reject my/our application. I/We further understand that I/we may be required to place a deposit on the value of the securities and/or futures and/or options to be purchased requested by SCSIB or SCSIF.
7	本人/吾等承諾若本人/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東吳國際經紀或東吳國際期貨。本人/吾等亦同意悉數對東吳國際經紀或東吳國際期貨因本人/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 SCSIB or SCSIF within 30 days upon any changes in the information of the Self-Certification of Common Reporting Standard status supplied to SCSIB or SCSIF. I / We shall fully indemnify and hold harmless SCSIB or SCSIF from and against all claims, damages, losses, costs and expenses whatsoever incurred as a result of such non-compliance or omission; 東吳國際經紀或東吳國際期貨須本人/吾等提供自我證明或其他文件以揭示本人/吾等納稅所在地，以作自動交換財務帳戶資料用途。如本人/吾等因任何情況而影響本人/吾等的納稅所在地，或令東吳國際經紀或東吳國際期貨有理由相信本人/吾等之自我證明有不正確或不可靠時，東吳國際經紀或東吳國際期貨保留權利可要求本人/吾等遞交新的自我證明及/或額外文件。作為東吳國際經紀或東吳國際期貨的帳戶持有人，本人/吾等承諾及同意向東吳國際經紀或東吳國際期貨提供進一步的資料。東吳國際經紀或東吳國際期貨為遵守香港《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、使用及處理本人/吾等的資料。本人/吾等的資料亦可向香港特別行政區政府稅務局披露，從而把資料轉交到本人/吾等的居留司法管轄區的稅務當局。如果本人/吾等未能提供任何所要求的資料，東吳國際經紀或東吳國際期貨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； SCSIB or SCSIF will request a self-certification and/or other relevant documentation in order to establish our tax residence for automatic exchange of financial account information purposes. If there is any change in circumstances that would affect my / our tax residence or there is reason for SCSIB or SCSIF to know that the self-certification is incorrect or unreliable SCSIB



	<p>or SCSIF reserves the right to request and I / we have the obligation to provide a new self-certification and/or additional documentation. As account holder(s) of SCSIB or SCSIF, I / we shall be deemed to acknowledge that further information may need to be provided to SCSIB or SCSIF. SCSIB or SCSIF'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. Where I / we fail to provide any requested information (regardless of the consequences), SCSIB or SCSIF 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; 本人/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。</p> <p>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).</p>
8	<p>本人/吾等謹此聲明本人/吾等並非《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。本人/吾等的美國居民/公民自我證明的狀況資料如有變更,本人/吾等須於三十日內主動通知東吳國際經紀或東吳國際期貨,否則本人/吾等同意該資料會被當作續期。本人/吾等亦同意悉數對東吳國際經紀或東吳國際期貨因本人/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。</p> <p>I/We hereby declare that I/we am/are not a United States resident for Foreign Account Tax Compliance Act (FATCA) purposes, and the income to which the said Account(s) related is not subjected to tax under FATCA. I/We undertake to notify SCSIB or SCSIF within 30 days for any change of circumstances stated in the SELF-CERTIFICATION OF U.S. RESIDENT / CITIZEN, without which we agree that the information stated in the SELF-CERTIFICATION OF U.S. RESIDENT / CITIZEN will be deemed renewed. We shall fully indemnify and hold harmless SCSIB or SCSIF from and against all claims, damages, losses, costs and expenses whatsoever incurred as a result of such non-compliance or omission.</p>
9	<p>本人/吾等已參閱東吳國際經紀或東吳國際期貨給予客戶有關《個人資料(私隱)條例》的通知(載於協議書內),並明白且同意其條款。</p> <p>I/We have read the SCSIB or SCSIF Data Privacy Policy circular relating to Personal Data (Privacy) Ordinance (as contained in the Agreement), understand and agree to its term stated therein.</p>
10	<p><b>《證券及期貨(客戶證券)規則》下之常設授權(只適用於證券保證金帳戶)</b> <b>Standing Authority under "Securities and Futures (Client Securities) Rules" (For Securities Margin Account Only)</b></p> <p>本人/吾等謹此同意、承認及確定本人/吾等已授予東吳國際經紀常設授權以處置本人/吾等的證券抵押品,並且本人/吾等就保證金客戶協議書內第5.4、5.7、5.8、5.9及5.10條的《證券及期貨(客戶證券)規則》下之常設授權的內容已獲得解釋,及本人/吾等明白及同意其內容。</p> <p>I / We hereby agree, acknowledge and confirm that I / we have given the standing authority to authorize SCSIB to deal with my / our securities collateral and the contents of the Standing Authority under "Securities and Futures (Client Securities) Rules" of the Margin Client Agreement clauses 5.4, 5.7, 5.8, 5.9 and 5.10 have been explained to me / us and I / we understand and agreed the contents of it.</p>
11	<p>本人/吾等知悉及確認本人/吾等必須(i)遵守因本人/吾等簽訂協議書及根據該協議書進行的任何交易而可能產生的任何稅務後果;及(ii)遵從不時有效的所有適用法律和規例,包括根據本人/吾等居住的或居籍所在的或身為其公民的司法管轄區的法律之下與購買、持有及沽售證券或有關合約的資產相關的任何法律規定及外匯限制或管制規定。</p> <p>I/We acknowledge and confirm that I/we must (i) observe any possible tax consequences arising from my/our entering into the Agreement and any transactions entered pursuant thereto; and (ii) comply with all applicable laws and regulations in force from time to time including any legal requirements and foreign exchange restrictions or exchange control requirements which are relevant to the purchase, holding or disposal of Securities or assets underlying the contract under the laws of the jurisdiction in which I/we reside, am/are domiciled or am/are a citizen.</p>
12	<p>本人/吾等確認收到、詳細閱讀互聯網證券交易協議書內各項有關條款及細則的英文及中文版。有關證券交易的,則刊載於互聯網證券交易協議書內;期貨及期貨交易的,則刊載於東吳國際期貨有限公司的客戶協議條款中的第三部份第五段。本人/吾等已被建議提出問題及徵求獨立的意見。本人/吾等同意及接受此及有關文件約束,及確認此(等)文件將構成本人/吾等與東吳國際經紀或東吳國際期貨之間合約的一部份。本人/吾等同意東吳國際經紀或東吳國際期貨以通告形式不時更改、增補或修訂有關條款及細則,東吳國際經紀或東吳國際期貨在本人/吾等要求下會提供最新條款及細則與本人/吾等。本人/吾等亦知道在東吳國際經紀或東吳國際期貨網頁內會刊載了有關條文最新版本,以供本人/吾等閱覽或下載。</p> <p>I/We acknowledge receipt of a copy of, and carefully read the terms and conditions in the Internet Securities Trading Agreement in both English and Chinese. In relation to securities trading, the terms and conditions contain in Internet Securities Trading Agreement while in relation to futures and options trading, the terms and conditions contain in Part Three, Section V of Soochow Securities International Futures Limited's Client Agreement. We declare that I/we have been advised to ask questions and take independent advice if I/we wish. I/We accept and agree to be bound thereby, and the terms and conditions and other related documents form an integral part of the agreement between me/us and the SCSIB or SCSIF. I/We understand and agree that the provisions of the terms and conditions may be amended, supplemented or revised from time to time by the way of notice and I/we recognize that I/we may at any time ask for a copy of the up-to-date version. I/We also know that we are able to read or download the up-to-date version from the SCSIB's or SCSIF's website.</p>
13	<p>本人/吾等確認及接受透過電子通訊接收該等通訊的風險,並同意及承諾免除東吳國際經紀或東吳國際期貨因透過電子服務提供該等通訊而令本人/吾等產生、蒙受及/或承受的一切虧損、損失、利息、費用、開支、法律訴訟、付款要求、索償程式等等的責任。本人/吾等明白本人/吾等只可從郵寄賬單或電子通訊選擇其一,一經選用電子通訊,本人/吾等將不會收到郵件形式寄發之成交單據及月結單。本人/吾等選用電子通訊期間,如電郵地址有所變更,將第一時間通知東吳國際經紀或東吳國際期貨。假若東吳國際經紀或東吳國際期貨寄發電子賬單後連續三次收到錯誤資訊,東吳國際經紀或東吳國際期貨可選擇以郵寄形式取代電子通訊。</p> <p>I/We, acknowledge and accept the risks of receiving the Communications via electronic communications, and agree and undertake to hold the SCSIB or SCSIF harmless from and against all losses, damages, interests, costs, expenses, actions, demands, claims or proceedings of whatsoever nature which I/we may incur, suffer and/ or sustain as a result of the SCSIB's or SCSIF's provision of the Communications via electronic communication. I/We understand I/We only can choose either receiving the account statement via physical mail or via electronic communication. Once choosing electronic communication service, I/We will not receive any physical account statement by mail. I/We undertake to notify the SCSIB or SCSIF of any change in my/our email address. If the SCSIB or SCSIF got three successive messages in relation to failure of sending the statement to my/our email address electronically, the SCSIB or SCSIF has the right to send the statement to me/us via physical mail instead.</p>
<p>本開戶文件及協議書擬定中英文版本,兩種語言版本均具同等效力,但應以英文版本解釋並視為確實及具最終效力。 This document and the Agreement are drawing in English and Chinese Languages, all two versions being equally authenticated. However, the English Language version shall deem to be conclusive and prevail.</p>	

<b>17. 客戶簽署 Client Signature</b>		
茲見證本人/吾等簽署本開戶文件於：_____年_____月_____日。		
IN WITNESS WHEREOF I/We have set my/our hands this _____ day of _____.		
簽署 Signed By :		
_____		姓名 (正楷): Name (Block Letter): _____
<b>18. 簽署安排 (只適用於聯名賬戶) Signing Arrangement (For Joint Account Only)</b>		
賬戶簽署安排和操作指示方式： Account is to be signed and operated on instruction by :		
<input type="checkbox"/>	任可一位賬戶持有人 Either one of the account holder	<input type="checkbox"/> 所有賬戶持有人 All account holders
<b>19. 核證 Certification</b>		
如本表格並非在東吳國際經紀或東吳國際期貨職員面前執行，需由香港證監會發牌或註冊之人士或其聯繫人士、東吳國際經紀或東吳國際期貨的聯繫人士，專業人士 (例如銀行分行經理、會計師、律師、公證人或特許秘書) 核證。 If this document is not executed by the Client(s) in front of SCSIB's or SCSIF's staff member, it is required to be certified by a person licensed or registered with Hong Kong SFC or his affiliate, an affiliate of SCSIB or SCSIF, professional person (such as a branch manager of a bank, certified public accountant, lawyer, notary public or chartered secretary).		
本人(姓名見下)核證已經與本表格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表格。 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/his/his ID card(s) or passport(s) and other related documents required for account opening.		
簽署 Signed By :		
_____		姓名 (正楷): Name (Block Letter): _____
職業 Profession :		日期 Date :
<b>20. 持牌人士聲明 Declaration By Licensed Representative</b>		
本人 / 吾等為東吳國際經紀或東吳國際期貨持牌代表，並謹此聲明及確認本人 / 吾等已按照上述客戶所選擇的語言(中文或英文)向客戶提供風險披露聲明(載於協議書內)及邀請客戶閱讀該等聲明、提出問題及徵求獨立的意見(如客戶有此意願)。I/We, SCSIB's or SCSIF's licensed representative(s), hereby declare and confirm that I / we have provided the Risk Disclosure Statements (as contained in the Agreement) in a language of the Client's choice (Chinese or English) and invited the Client to read the same, ask questions and take independent advice if the Client wishes.		
簽署 Signed By :		
_____		姓名 (正楷): Name (Block Letter): _____
中央編號 CE Number :		日期及時間 Date & Time :
<b>21. 開戶審批 Approval of Account Opening</b>		
吾等確認及接納 We acknowledged and accepted.		
簽署 Signed By :		
_____		姓名 (正楷): Name (Block Letter): _____
獲授權代表東吳證券國際經紀有限公司/東吳證券國際期貨有限公司 Duly authorized for and behalf of Soochow Securities International Brokerage Limited / Soochow Securities International Futures Limited		日期 Date : _____
<b>22. 本公司專用 For Office Use Only</b>		
資料審核 Audited By :	資料輸入 Inputted By :	資料核對 Checked By :
_____	_____	_____
姓名: Name :	姓名: Name :	姓名: Name :
日期 Date :	日期 Date :	日期 Date :