



勝利證券有限公司

(香港聯合交易所參與者)

Victory Securities Co., Ltd.

(Participant of The Stock Exchange of HK Ltd.)

Client Trading Agreement

客戶買賣合約文件

Corporation Account

(公司戶口)

Victory Securities Co., Ltd

勝利證券有限公司

及

Client

客戶

★★

Corporation Name

客戶名稱: \_\_\_\_\_

Account Number

帳戶號碼: \_\_\_\_\_

# VICTORY SECURITIES CO. LTD. 勝利證券有限公司

## Agreement Checklist 合約文件表

A/C No. 戶口號碼 \_\_\_\_\_ Co. Name 公司名 \_\_\_\_\_

### Cash Client 現金客戶 – Corporation Clients 公司客戶

1. Trading Agreement 買賣合約
2. Risk Disclosure Statement 風險聲明書
3. Signature Specimen 簽名卡
4. Certified true copy of Business Registration Certificate 商業登記證核實副本
5. Certified true copy of Certificate of Incorporation 公司註冊證核實副本
6. Certified true copy of Form X under Company Ordinance 公司註冊表 X 核實副本
7. Board Minutes 公司會議記錄
8. Copy of company Bank Account 公司銀行戶口副本
9. Memorandum & Articles of Association 公司註冊章程
10. ID copy of directors &/or authorized signers 董事及/或被授權簽字人身分證副本

### Margin Clients 孖金客戶 – Corporation Clients 公司客戶

1. Trading Agreement 買賣合約
2. Risk Disclosure Statement 風險聲明書
3. Signature Specimen 簽名卡
4. Margin Agreement 孖展客戶合約
5. Certified true copy of Business Registration Certificate 商業登記證核實副本
6. Certified true copy of Certificate of Incorporation 公司註冊證核實副本
7. Certified true copy of Form X under Company Ordinance 公司註冊表 X 核實副本
8. Board Minutes 公司會議記錄
9. Copy of company Bank Account 公司銀行戶口副本
10. Letter of Guarantee issued by the Main Director of the Company  
主要董事擔保書
11. Memorandum & Articles of Association 公司註冊章程
12. ID copy of directors &/or authorized signers 董事及/或被授權簽字人身分證副本
13. Others 其它 \_\_\_\_\_
14. Remarks \_\_\_\_\_

**勝利證券有限公司**

(香港聯合交易所參與者)

Victory Securities Co., Ltd.

(Participant of The Stock Exchange of HK Ltd)

香港中環干諾道中64-66號中華廠商會大廈16樓

16/F., C. M. A. Building, 64-66 Connaught Rd., C, HK.

九龍尖沙咀嘉連威老道41號C-D 嘉威大廈 3/F

3/F., Granville House, 41C-D Granville Road, KLN., HK

交易商註冊號碼

Dealer Reg. No.

000945

CE 編號 CE NO.

ABN091

**客戶買賣合約協議書 CLIENT TRADING AGREEMENT****(公司戶口 COMPANY ACCOUNT)**

公司名稱:

Company Name:

申請開戶日期:

Application Date:

**A: 公司資料 Company Information**

1. 公司名稱: Company Name

英文

English

中文

Chinese

2. 公司業務性質:

Nature of Business

3. 商業登記號碼

BR #

4. 公司成立時間

Co. Established Date

5. 公司註冊地點

Co. Registered Address

6. 公司電話:

Company Phone No:

7. 公司傳真:

Company Fax No:

8. 公司網址及電子郵箱:

Company's Web &amp; Email

9. 公司地址 Company Address

10. 交易確認通知戶口結單遞送至(只選擇一項)

Trading Confirmations and Statements to be sent to your:

 公司地址 Company Address 通訊地址 Correspondence Address**B: 財政狀況 Financial Situation**

1. 流動資產 (HK\$)

Liquid Asset (HK\$)

2. 資產淨值 (HK\$)

Net Worth (HK\$)

3. 年收益/虧損

Annual Earning /Loss

以過往三年平均值計

Average for previous 3 yrs

**C: 投資經驗 Investment Experience**

1. 公司投資決策者是否已有下列經驗 Does the Company decision-maker have the following experience?

如有, 請注明每年平均交易金額 If yes, please specify average transaction amount per year.

 香港上市股票 HK listed stocks: \_\_\_\_\_ 海外上市股票 Overseas listed stocks: \_\_\_\_\_ 香港期貨和期權 HK Futures & Options: \_\_\_\_\_ 互惠基金或單位信託 Mutual funds or unit trust: \_\_\_\_\_ 海外期貨和期權 Overseas Futures & Options: \_\_\_\_\_ 沒有 None:

2. 投資目的 Investment Objective:

2.1  短線 Shot Term  中線 Medium Term  長線 Long Term2.2  收益 Income  資本增長 Capital Gain  對沖 Hedging  投機 Speculation

3. 證券投資經驗年期 Year of Experience in Securities Investment:

 沒有 Nil  一至三年 1-3years  三至五年 3-5years  五至十年 5-10years  超過十年 Over 10years

**D. 其他資料 Other Information**

1. 閣下從何處得知勝利證券有限公司? How did you know Victory Securities Co.,Ltd.?

報章或雜誌 Newspaper or magazines  親友轉介 Referral  網路 Internet  其他 Other\_\_\_\_\_

2. 閣下選擇勝利證券有限公司的原因? Reason for choosing Victory Securities Co.,Ltd.?

親友轉介 Referral  可靠性 Reliability  完善的投資服務 Comprehensive Investment Service  其他 Other\_\_\_\_\_

**E: 客戶聲明 Declaration by Customer**

1. 公司是否戶口之最終受益人?

Is Company the ultimate beneficial owner(s) of this Account?  是 Yes  否 No

若否, 請注明最終受益之姓名

If no, please specify the ultimate beneficial owner's name: \_\_\_\_\_

香港身份證號碼/護照號碼

職業/年期

HKID Card No/Passport No \_\_\_\_\_ Occupation/Year: \_\_\_\_\_

地址:

Address \_\_\_\_\_

2. 你是否證券/期貨交易所參與者的雇員或代理人, 或于證監會註冊的持牌人士?

Are you an employee or agent of a participant of a stock/futures exchange, or a licensed person registered with the Securities & Futures Commission?

是, 有關的交易所參與者或註冊人的姓名是:

Yes, name of the related exchange participant or registered person is \_\_\_\_\_

否 No

3. 你是否與勝利證券有限公司的職員/代理人有親戚關係?

Are you a relative of an employee/agent of Victory Securities Co.,Ltd.?

是, 職員/代理人的名稱:

關係:

Yes, Name of Employee/agent \_\_\_\_\_ Relationship \_\_\_\_\_

否 No

**F: 公司客戶被授權人資料 Personal Data for Authorized Person**

以下人士均獲客戶在 (1) 本公司開立之戶口之運作上及 (2) 買、賣、持有及其他股票及其他交易上給予口頭及書面之交易指示

The following individual is authorized to give oral and written instructions on behalf of the company in relation to the operation of the account maintained by the Client with Victory Securities Co.,Ltd. and to effect purchases, sales, holdings and other dealing in securities:

被授權人姓名 先生 Mr./女士 MS./太太 Mrs./小姐	中文 Chinese	英文 English
香港身份證號碼/護照號碼 HKID Card No/Passport No	國籍/公民身份 Nationality/Citizenship	
出生日期 (日/月/年) Date of birth (DD/MM/YY)	職位 Job Title	
是否公司股東 Shareholder of the Co.	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	聯絡電話 Contact Phone No.
住宅地址 Residential Address		

**G: 客戶確認及承諾 Customer Acknowledgement and Consent****關於風險披露聲明的確認 Acknowledgement regarding Risk Disclosure Statement**

★ 我/我們明白不能以第三者支票交收 I am/We are aware that I/We shall not settle any trading transaction with third party cheques

★ 我/我們確認, 我/我們是該賬戶的實益所有人, 並且不會為任何第三者的利益或按任何第三者的指示而操作該賬戶。I/We confirm that I/we are the beneficial owner(s) of the Account and will not operate the Account for the benefit of, or on the instructions of, a third party.

★ 我/我們明白此申請書所要求的資料是根據個人資料(私隱)條例的規定而提供的, 及該條例容許貴公司收集及紀錄客戶的資料為日後參考之用及達到履行貴公司作為註冊交易商的責任的目的。I/We understand that the information requested in this application is supplied pursuant to the Personal Data (Privacy) Ordinance which permits you to collect and record clients' information for future reference, and for the purpose of discharging your obligation as a registered dealer.

- ★ 我/我們亦明白我/我們須隨時應貴公司的要求提供進一步資料或就此申請書上所提供的資料呈遞書面證明。I/We further understand that I/we may be required to provide additional information or submit documentary proof as to the information provided in this application as and when requested by you.
- ★ 我/我們同意遵守聯交所、香港證券結算有限公司、新加坡股票交易所或其他監管組織對於在前述股票交易所及結算系統或任何其他股票交易所或結算系統上市的股票的買賣作出並不時修訂的監管規則及規例。I/We agree to abide by the Rules and Regulations of the Exchange, Hong Kong Securities Clearing Company Limited, the Stock Exchange of Singapore or any regulatory bodies from time to time governing the purchase and sale of shares quoted on the a fore mentioned stock exchanges and clearing system or any other stock exchanges or clearing systems.
- ★ 我/我們授權貴公司對我/我們進行信用查詢或查核，以確認我/我們的財務狀況及/或投資目的。I/We hereby authorise you to conduct a credit enquiry or check on me/us for the purpose of ascertaining my/our financial situation and/or investment objectives.
- ★ 我/我們謹此授權貴公司，在我/我們仍然在貴公司維持有賬戶的整段時間內，為批准此申請書或其他貴公司認為適合的目的，核實或與任何貴公司認為恰當的第三 交換此文件中所載的資料及其他關乎我/我們的詳細及銀行賬戶的資料。I/We hereby authorize you to verify and exchange the information contained herein and such other information relating to my/our particulars and my/our bank accounts between yourselves and such other third parties as you may deem appropriate for the purpose of approving this application and for such other purposes as you may deem fit as long as I/we shall retain an account with you.
- ★ 我/我們聲明在本文中所載之資料為真實，完整及正確的。貴公司有權為任何目的全面依賴上述之資料及聲明，直至貴公司收到以書面形式發出之更改通知為止。貴公司已獲授權隨時接觸任何人仕，包括我/我們的銀行，經紀或信貸機構，以達核證在本協議書上所載的資料的目的。I/We represent that the information herein is true, complete and accurate. You are entitled to rely fully on such information and representations for all purposes unless you receive notice in writing of any change. You are authorised at any time to contact anyone, including our banks, brokers or any credit agency, for purposes of verifying the information provided herein.

#### 本公司邀請客戶參閱隨附的風險披露聲明。

- ★ 客戶確認本公司以客戶選擇的語言（英文或中文）提供了本協議及風險披露聲明。
- ★ 客戶進一步確認本公司已經邀請客戶閱讀風險披露聲明，提出問題及徵求獨立的意見（如客戶有此意願）。  
The Company refers the Customer to the attached Risk Disclosure Statement
- ★ The Customer acknowledges that the Agreement and the Risk Disclosure Statement attached were provided in a language(English or Chinese)of the Customer choice.
- ★ The Customer Further Acknowledges that it was invited to read the Risk Disclosure Statement,ask Questions and take independent advice,if the Customer wished.

#### 關於提供準確資料的確認

##### Acknowledgement regarding accuracy of Information provided

載於本申請表中的資料是真實何準確的，除非勝利證券有限公司收到資料更改的書面通知，勝利證券有限公司有權為任何目的信賴這些資料。勝利證券有限公司獲授權隨時聯絡任何人，包括客戶的銀行。經紀或任何信用調查機構，藉以核實本申請表中所提供的資料。客戶進一步確認已經閱讀並明白客戶協議那所載之個人資料收集聲明。

The information contained in this Application Form is true and accurate.Victory Securities Co.,Ltd.is entitled to rely fully on such information for all purposes,unless Victory Securities Co.,Ltd.receives notice in writing of any change, Victory Securities Co.,Ltd.is authorized at any time to contact anyone, including Customer's banks, brokers or any credit agency, for the purpose of verifying the information provided on the Account opening Application Form. The customer further acknowledges that it has read and understood the Personal Information Collection Statement contained in the Agreement.

公司戶口負責人簽署 Authorized Signature	公司印章 Company Chop
日期 Date	

#### 注意 Note:

1. 請隨本申請表附上商業登記副本、CI副本、會議記錄、公司註冊章程、銀行戶口副本、Form X、年報（最近年期）之保證書。Please attach a copy of BR,CI, Minutes, Memorandum and Articles of Association, Bank Account Statements, and latest annual return.

## STANDING AUTHORITY (ISSUE OF CHEQUE & TRANSFER OF FUND BY PHONE)

日期 Date: \_\_\_\_\_

致 TO: **勝利證券有限公司 Victory Securities Company Limited**

香港中環干諾道中 64-66 號中華廠商會大廈 16 樓 16/F., C.M.A. Building, 64-66 Connaught Road C., HK

香港中環德輔道中 127-131 號有餘貿易中心 1401-2 室 1401-2 Unicorn Trade Ctr., 127-131 Des Voeux Rd.C. HK

九龍尖沙咀嘉連威老道 41C-D 嘉威大廈 3 樓 3/F., Granville House, 41C-D Granville Road, Tsim Sha Tsui, Kln.

關於 RE: 證券帳戶號碼 Securities A/C No. : \_\_\_\_\_ 帳戶名稱 A/C Name : \_\_\_\_\_

懇請貴公司在接獲本人/吾等/本公司之電話提款指示後:-

Upon receipt of my/our telephone instruction for fund withdrawal, please:-

(Please “✓” appropriate box 請在適當方格加“✓”號)

發出以本人/吾等/本公司為抬頭人之支票 Issue cheque in my /our/our company's favor.

將款項存入本人/吾等/本公司在下列銀行 (請選擇其中一項) 之港幣儲蓄/往來帳戶:-

Credit to my/our HK\$ saving /current account with the following bank (please select ONE bank listed below):

<input type="checkbox"/> 匯豐銀行 HSBC	帳戶號碼 A/C No.
	帳戶名稱 A/C Name
<input type="checkbox"/> 中國銀行 (香港) Bank of China (HK)	帳戶號碼 A/C No.
	帳戶名稱 A/C Name
<input type="checkbox"/> 恆生銀行 Hang Seng Bank	帳戶號碼 A/C No.
	帳戶名稱 A/C Name
<input type="checkbox"/> 渣打銀行 Standard Chartered Bank	帳戶號碼 A/C No.
	帳戶名稱 A/C Name
<input type="checkbox"/> 其他銀行 Other Bank (請填上)	帳戶號碼 A/C No.
	帳戶名稱 A/C Name

本人/吾等/本公司願意對本人/吾等/本公司所發出指示的絕對準確性負上全部責任，特別是有關本人/吾等/本公司之受款銀行帳戶名稱及號碼之詳細資料。I/We accept full responsibility for the absolute correctness of my/our instruction, in particular, the absolute correctness of my/our account name and number, particulars of the payee bank as the case may be.

對於因輸入的資料不準確而導致款項錯誤存入或轉出，本人/吾等/本公司將不會為收回款項或追討賠償而向貴公司作出要求、索償或訴訟，貴公司毋須為此負上任何責任。I/We will not demand, claim or prosecute against you for recovery of damage and generally hold you harmless in the event that the funds were wrongly deposited or paid out due to mistakes in the entered particulars.

本人/本公司確認及同意本常設授權 (發出支票及電話轉帳) 自即日生效直至另行通知為上。

I/We acknowledge and agree that this Standing Authority (Issue of Cheque & Transfer of Fund by Phone) is effective from the date hereof until further notice.

客戶簽署

Client 's Specimen Signature(s)

經紀批簽:

Sales Officer's Approval

\_\_\_\_\_

\_\_\_\_\_

本人/吾等確認收到 貴公司的客戶買賣協議書文本，並同意接納本協議書。(文件編號AT0805的第1-10頁)

I/We hereby confirm that I/we have received this Client Trading Agreement and also confirm that I/we accept this Securities Agreement. (Document Number AT0805 Page 1 to 10).

如本人/吾等選擇收取電子日結單模式者，則 貴公司無須再寄付日結單之列印本給與本人/吾等。

In the event that I/We choose to receive your daily account statement by emial format, I/We confirm that you shall not send me/us the hard copy of daily account statement.

**Yours truly 訂立協議書人仕，**

Signed by the individual(s) below mentioned 由下述人仕簽署

\_\_\_\_\_  
Authorized Signature 公司戶口負責人簽署

\_\_\_\_\_  
Company Chop 公司印章

\_\_\_\_\_  
Name of Signatory : 簽署人姓名 (請用正楷填寫)

\_\_\_\_\_  
Title of Signatory : 職銜

Date 日期

\*\*\*\*\*以下由本行填寫\*\*\*\*\*

In the presence of 在下述人仕前簽署

In the presence of 在下述人仕前簽署

\_\_\_\_\_  
Signature 簽署

\_\_\_\_\_  
Signature 簽署

Name姓名 \_\_\_\_\_

Name姓名 \_\_\_\_\_

CE No. 註冊中央編號 (如適用) \_\_\_\_\_

CE No. 註冊中央編號 (如適用) \_\_\_\_\_

Address地址 \_\_\_\_\_  
\_\_\_\_\_

Address地址 \_\_\_\_\_  
\_\_\_\_\_

Occupation職業 \_\_\_\_\_

Occupation職業 \_\_\_\_\_

Date 日期

Date 日期

This Account is served by 此賬戶由下列人仕提供服務

Accepted for and on behalf of  
Victory Securities Company Limited  
謹代表勝利證券有限公司接納

\_\_\_\_\_  
Name 姓名

CE Number \_\_\_\_\_

Date日期 \_\_\_\_\_

\_\_\_\_\_  
Authorized Signature (s) 簽署

**客戶聲明 DECLARATION BY CUSTOMER**

客戶確認已按照客戶選擇的語言（中文或英文）獲得風險披露聲明及已獲邀閱讀該風險披露聲明、提出問題及徵求獨立的意見（如客戶有此意願）。  
 THE CUSTOMER ACKNOWLEDGES THAT THE RISK DISCLOSURE STATEMENT WAS PROVIDED IN A LANGUAGE OF THE CUSTOMER'S CHOICE (CHINESE OR ENGLISH) AND THE CUSTOMER WAS INVITED TO READ THE RISK DISCLOSURE STATEMENT, TO ASK QUESTIONS AND TAKE INDEPENDENT ADVICE IF THE CUSTOMER WISHES.

公司蓋章及由其中一位董事或獲授權人士簽署  
 Affixed the company chop and signed by:

\_\_\_\_\_  
 其中一位董事或獲授權人士簽署  
 One of the directors/authorized signatories

日期 \_\_\_\_\_  
 Date :

\_\_\_\_\_  
 簽署人姓名 (請用正楷字體填寫)  
 Name of Signatory in block letters

日期 \_\_\_\_\_  
 Date :

**職員聲明：DECLARATION BY STAFF**

本人，以在證監會註冊的持牌人身份，確認本人已按照上述客戶所選擇的語言（中文或英文）提供風險披露聲明及邀請客戶閱讀該風險披露聲明、提出問題及徵求獨立的意見（如客戶有此意願）

I, IN THE CAPACITY OF PERSON LICENSED BY SFC, DECLARE THAT I HAVE PROVIDED THE ABOVE CUSTOMER WITH A COPY OF THE RISK DISCLOSURE STATEMENT IN A LANGUAGE OF THE CUSTOMER'S CHOICE(CHINESE OR ENGLISH)AND HAVE INVITED THE CUSTOMER TO READ THE RISK DISCLOSURE STATEMENT,ASK QUESTIONS AND TAKE INDEPENDENT ADVICE IF THE CUSTOMER SO WISHES.

簽署：Signed by:

持牌人姓名 (請用正楷字體填寫)  
 Name of licensed person (Print in block letters)

\_\_\_\_\_  
 CE編號 (請用正楷字體填寫) :  
 CE Number (Print in block letters) :

\_\_\_\_\_  
 日期 :  
 Date :

**只供本行使用 For Official Use Only**

客戶主任姓名: Name of Account Executive:	<input type="text"/>	客戶主任編號: AE Code:	<input type="text"/>
與客戶主任認識多久: How Long known to AE:	<input type="text"/>	推薦人: Introduced By:	<input type="text"/>

**文件查核 Document checked by**

職員姓名 Name of Staff	職員簽署 Signature	職位 Position
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**信貸額及佣金 Credit Limit & Brokerage**

最高信貸額: Max Credit Limit:	<input type="text"/>	信貸額批核/日期 Limit approved by/Date	Grade <input type="text"/>
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**開戶批核 Account Opening Approval**

職員姓名 Name of Staff	職員簽署 Signature	職位 Position
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備註 Remarks:

**Extract of minutes of a duly constituted and convened meeting of the Board of Directors of**  
\_\_\_\_\_ **(Name of Company) held on**

\_\_\_\_\_ **(Date) at** \_\_\_\_\_ **(Place)**

\*\*\*\*\*

Mr. \_\_\_\_\_ took the chair of the meeting of which a quorum was present.

**IT WAS RESOLVED THAT:-**

(1) A Securities Trading Account be opened with Victory Securities Co. Ltd. ("Victory") in name of the Company for the purpose of providing securities trading and related services relating to any purchases, sales, holdings and other dealings of securities as the Company may instruct Victory from time to time.

(2) The Client Trading Agreement with incorporation of Risk Disclosure Statements and related account opening documents ("Documents") as completed and produced to the Meeting be and are hereby approved and any \_\_\_\_\_ of M/s. \_\_\_\_\_ (name of authorized persons) be and is/are hereby authorized to give written instructions to Victory and to complete, execute and deliver the Documents for an on behalf of the Company and take all other steps required to give effect thereto.

(3) Any one of the following persons be and is hereby authorized to give oral instructions to Victory to trade on the Company's account as afore-mentioned in accordance with the Client Trading Agreement:-

<u>Name</u>	<u>ID No. / Passport No.</u>	<u>Title</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____

I hereby certify that the above minutes have been duly recorded in the minutes book of the Company and that no action has been taken to rescind or amend the said resolutions and that the same are now in full force and effect until written notice of their revocation shall be received by Victory Securities Co. Ltd.

\_\_\_\_\_  
Signature of Chairman

\_\_\_\_\_  
Date