



香港上環干諾道西3號億利商業大廈1101-03室

Room 1101-03, 11/F, Yardley Commercial Building, 3 Connaught Road West, Hong Kong

Website: <https://www.victorysec.com.hk> Email: cs@victorysec.com.hk Tel: 2525 2437 Fax: 2810 7616 CE NO.: ABN091

For Office Use Only 公司專用

AE Code: _____

Date 日期: _____

Account No.
賬戶號碼: _____

客戶資料表格 (公司戶口) Customer Information Statement (Corporate Account)

1. 戶口種類 Account Information (請在適當空格加✓ Please tick appropriate box(es))

1.1 賬戶類別 Account Type(s):	<input type="checkbox"/> Securities Account (Cash) 證券賬戶 (現金)	
	<input type="checkbox"/> Securities Account (Margin) 證券賬戶 (保證金)	
	<input type="checkbox"/> Futures Account 期貨賬戶 (需額外簽署期貨賬戶合約 Additional Signing of Futures Account Agreement is Required)	
	<input type="checkbox"/> Global Trading Account 環球股票賬戶	
1.2 客戶種類 Customer Type: (只選一項) (Please select either one)	<input type="checkbox"/> 公司/機構 Corporate/ Institution	
	<input type="checkbox"/> 獨資/合夥 Sole Proprietorship/ Partnership	
	<input type="checkbox"/> 有限責任公司 (只限海外公司) Limited Liability Company (LLC) (Overseas Company Only)	
	<input type="checkbox"/> 有限責任合夥 (只限海外公司) Limited Liability Partnership (LLP) (Overseas Company Only)	
	<input type="checkbox"/> *已於證監會註冊之持牌法團/註冊機構 *Licensed Corporation/Registered Institution registered with SFC <input type="checkbox"/> 客戶戶口 Client Account <input type="checkbox"/> 公司戶口 House Account	
	<input type="checkbox"/> *海外持牌券商 Foreign Regulated Broker-Dealer <input type="checkbox"/> 客戶戶口 Client Account <input type="checkbox"/> 公司戶口 House Account	
*如開設戶口為客戶賬戶，則不用填寫第4,5,6 & 9 部分 *Sections 4,5,6 & 9 will not be applicable if the account type is a "Client Account".		
1.3 僅供海外持牌券商填寫: For Foreign Regulated Broker -Dealer Only:	(i) 地區 Region: _____ Eg. USA, Japan	註冊編號 Entity No.: _____ 註冊編號類別 Type of Entity No.: _____ Eg. SEC No.
	(ii) 閣下可否提供結算服務? Are you providing clearing service? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	
	(iii) 如為美國持牌券商，閣下是否美國證券投資者保護公司成員? If you registered in USA, are you a member of SIPC? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	

2. 公司資料 Corporate Information

公司名稱 Name of Company	(English)	
	(中文)	
於註冊/成立國家之註冊地址 Registered Address in Country of Incorporation/ Establishment:		
總辦事處/通訊地址 Principal Office/ Correspondence address:		
聯絡電子郵件地址 E-mail address:		
公司電話 Office Phone No.:	傳真號碼 Fax No.:	
所有通訊及賬單請寄交至: (只選一項) All Correspondence and Statement to be sent to: (Please select either one) <input type="checkbox"/> E-statement 電子結單 (透過勝利網站自行查閱/下載日結單及月結單) <input type="checkbox"/> 郵寄往通訊地址 Mailing to Correspondence Address (To check/download your daily/monthly statement in electronic format via "VSCL" website)		
業務性質 Nature of Business:	公司註冊號碼 Certificate of Incorporation No.:	
註冊地點及日期 Place and Date of Incorporation:	商業登記號碼 Business Registration No.:	

3. 董事 Director

董事姓名

香港身份證/護照號碼

出生地點/國籍

聯絡電話號碼

住宅地址

Name of Director

HKID Card/ Passport No.

Place of Birth/ Nationality

Contact No.

Residential Address

4. 財務及投資簡要 Financial and Investment Summary

繳足股本

Paid-up Capital:

最近經核數師作實之稅後盈/虧

Profit/Loss after tax based on the latest audited account(s)

☐ HK\$0-HK\$500,000

☐ HK\$500,001-HK\$3,000,000

☐ HK\$3,000,001-HK\$5,000,000

☐ HK\$5,000,001-HK\$30,000,000

☐ >HK\$30,000,000

☐ HK\$3,000,001-HK\$5,000,000

☐ <HK\$0: _____

最近經核數師作實之淨資產值

Net Asset based on the latest audited account(s)

☐ <HK\$1,000,000

☐ HK\$1,000,000-HK\$10,000,000

☐ HK\$10,000,001-HK\$50,000,000

☐ HK\$50,000,001-HK\$100,000,000

☐ >HK\$100,000,000

資金來源地 Place of Origin of the Funding Source:

☐ HKSAR中國香港特別行政區

☐ Mainland China 中國大陸

☐ U.S.美國

☐ Others 其他: _____

資金來源

Source(s) of Funds:

☐ 公司擁有者 Business Owner

☐ 銷售款項 Sales Proceeds

☐ 投資獲利 Investment Income

☐ 財務貸款 Financial Loan

☐ 其他 Others: _____

投資經驗

Investment Experience:

☐ 沒有 Nil

☐ 股票 Stocks

☐ 期權 Options

☐ 認股權證 Warrants

☐ 債券 Bonds

☐ 期貨 Futures

☐ 外匯 Foreign currency

☐ 基金 Fund

☐ 其他衍生工具 Other Derivatives

(可選多於一項) (Can select more than one option)

投資目標

Investment Objective:

☐ 增長 Growth

☐ 收入 Income

☐ 對沖 Hedging

☐ 投機 Speculation

☐ 均衡 Balanced

☐ 其他 Others: _____

(可選多於一項) (Can select more than one option)

預期投資年期

Expected Investment Horizon:

☐ 短線 Short Term (1年內 Less than 1 year)

☐ 中線 Medium Term (1至3年 1 -3 years)

☐ 長線 Long Term (3年以上 Over 3 years)

5. 客戶投資概況及對衍生產品的認識 Client's Investment Profile and Knowledge of Structured and/or Derivative Products

曾買賣產品及投資經驗 Investment Products and Investment Experience:

☐ Stocks 股票

☐ 少於一年 <1 year

☐ 一至五年 1-5 years

☐ 六至十年 6-10 years

☐ 多於十年 >10 years

☐ CBBC 牛熊證

☐ 少於一年 <1 year

☐ 一至五年 1-5 years

☐ 六至十年 6-10 years

☐ 多於十年 >10 years

☐ Warrants 認股權證(窩輪)

☐ 少於一年 <1 year

☐ 一至五年 1-5 years

☐ 六至十年 6-10 years

☐ 多於十年 >10 years

☐ Futures 期貨

☐ 少於一年 <1 year

☐ 一至五年 1-5 years

☐ 六至十年 6-10 years

☐ 多於十年 >10 years

☐ Options 期權

☐ 少於一年 <1 year

☐ 一至五年 1-5 years

☐ 六至十年 6-10 years

☐ 多於十年 >10 years

☐ Others 其他: _____

☐ 少於一年 <1 year

☐ 一至五年 1-5 years

☐ 六至十年 6-10 years

☐ 多於十年 >10 years

6. 結構性及/或衍生工具產品的認識評估 Assessment on Knowledge of Structured and/or Derivative Products

控制該戶口或負責投資決定的人員或職員("負責人")於過去3年內已接受有關介紹一般衍生產品之性質及風險的培訓或課程(例如學術機構或金融機構所提供之課程)

The person or the staff who is in control of the account or responsible for making the investment decision ("Responsible Person") underwent training or attended courses on structured and/or derivative products within the past three years that provide general knowledge of the nature and risk of derivatives (e.g. courses offered by academic or financial institutions)

負責人現時或過去3年內擁有與衍生產品有關的工作經驗

Responsible Person have current or previous work experience within the past three years related to structured and/or derivative products

負責人於過去 3 年曾執行 5 次或以上有關衍生產品的交易

Responsible Person have executed five or more transactions in structured and/or derivative products within the past three years

如客戶沒有以上任何一項經驗及認識，客戶將被視作對結構性及/或衍生工具產品沒有認識。在客戶買賣結構性及/或衍生工具產品之前，客戶需要留意結構性及/或衍生工具產品交易有關之風險。

For clients do not have any of the above mentioned knowledge and experience, such clients will be considered as without knowledge of structured and/or derivative product(s). Before trading in structured and/or derivative product(s), the attention of client is drawn to the risks associated with structured and/or derivative product(s).

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

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

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有關結構性及/或衍生工具產品確認

Acknowledgement Relating to Structured and/or Derivative Products

客戶確認已細心閱讀及完全明白在「附加風險披露聲明書」所載的內容。如果客戶決定買賣該等結構性及/或衍生工具產品時，客戶同意承擔有關風險。客戶確認，在買賣衍生工具產品前，客戶將會進行自我風險評估或尋求獨立專業意見，並擁有足夠資本承擔有關風險及損失。客戶明白，如客戶並沒有結構性及/或衍生工具產品的知識或經驗，勝利證券有限公司（「勝利證券」）並不鼓勵客戶進行結構性及/或衍生工具產品買賣。

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

7. 常設授權（發出支票及電話轉賬）Standing Authority (Issue of Cheque & Transfer of Fund by Phone)

款項將根據客戶的提款指示轉入以下銀行賬戶 Funds will be transferred to the following bank accounts pursuant to your fund withdrawal instruction.

本人/吾等願意對本人/吾等所發出指示的絕對準確性負上全部責任，特別是有關本人/吾等之受款銀行賬戶名稱及號碼之詳細資料。

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/吾等將不會為收回款項之延誤或追討賠償而向 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。

本人/吾等確認及同意本常設授權（發出支票及電話轉賬）自即日生效直至另行通知為止。

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.

I/We will not demand, claim or prosecute against VSCL for recovery of damage and generally hold VSCL harmless in the event that the funds were wrongly deposited or paid out on delay due to mistakes in the entered particulars.

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.

Currency 貨幣	Name of Bank 銀行名稱	Account Name 賬戶名稱	Account No. 賬戶號碼
HKD (1)			
HKD (2)			
USD (1)			
CNY (1)			
CNY (2)			

8. 資料披露 Disclosure of Information

8.1 相關身份披露 Disclosure of Identity

i. 貴公司之董事、合夥人或主要股東是否任何交易所、交易委員會、結算所、銀行或信託公司代理人、高級人員、員工;或任何引薦經紀的聯屬人;或任何證券經紀、期貨經紀或持牌法團的高級人員、合夥人、董事或員工？

Are your directors, partners or substantial shareholders an agent, officer or employee of any exchange, board of trade, clearing house, bank or trust company; or an affiliate of any introducing broker; or an officer, partner, director or employee of any securities broker, futures broker or licensed corporation?

☐ 否

☐ 是 (請詳述)

(貴公司) 該人士姓名

機構名稱

Yes (Please provide details):

(Your company) Name of the person

Name of the institution

貴公司及上列人士同意勝利證券可於提供任何服務予 貴公司前接觸上述人士並須得到該人士同意。Your company and the above person(s) agree that VSCL may approach the above person(s) to obtain its consent before providing any service to your company.

ii. 貴公司之董事、合夥人或主要股東有沒有親屬於勝利證券工作？

Do any of your directors, partners or substantial shareholders have relative(s) working in VSCL:

☐ 否

☐ 是 (請詳述)

(貴公司) 該人士姓名

親屬名稱

關係

Yes (Please provide details):

(Your company) Name of the person

Name of the relative

Relationship

8.2 最終受益於交易及承擔風險人士 Person Ultimately Benefiting from the Transactions and Bearing the Risks:

(如開設戶口為客戶賬戶，請在"其他"空格內加✓，然後只須在名稱上填寫"客戶"便可)

(If the account type is a "Client Account", please tick the "Others" box and fill in "Clients" in the Name column only.)

☐ 本公司(本公司不是替第三者作為公司代理人處理帳戶)

☐ 其他 (請詳述/ 提供附件)

名稱

身份證/ 護照號碼

The Company (we are not acting as nominee company for a third party)

Others (Please provide details/ supporting documents):

Name: _____

ID/ Passport No.: _____

地址

Address: _____

電話 Phone No.: (_____) - _____

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8.3 最終負責發出指示的人士 Person Ultimately Responsible for Originating Instructions

(如開設戶口為客戶賬戶，請在"其他"空格內加✓，然後只須在名稱上填寫"客戶"便可)

(If the account type is a "Client Account", please tick the "Others" box and fill in "Clients" in the Name column only.)

<input type="checkbox"/> 本公司(本公司不是 替第三者作為公司代理 人處理帳戶) The Company (we are not acting as nominee company for a third party)	<input type="checkbox"/> 其他 (請詳述/ 提供附件/ Others (Please provide details/ supporting documents):	名稱 Name: _____ 地址 Address: _____ 電話 Phone No.: () - _____	身份證/ 護照號碼 ID/ Passport No.: _____
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9. 不記名股票聲明 Bearer Share Declaration

9.1. 貴公司有發行不記名股票嗎? Has your company issued any bearer shares?	<input type="checkbox"/> 有 Yes (請跳至問題9.2 Please go to question 9.2) <input type="checkbox"/> 沒有 No (請跳至問題9.3 Please go to question 9.3)
9.2 請問不記名股票是否保存於保管人? Is the bearer share deposited under a custodian?	<input type="checkbox"/> 是 Yes (請跳至問題9.2(a) Please go to question 9.2(a)) <input type="checkbox"/> 否 No (請跳至問題9.2(b) Please go to question 9.2(b))
9.2(a) 請提供保管人的名稱。Please provide the name of the custodian. _____ (請保管人填寫不記名股票聲明書 Please ask your custodian to complete the Bearer Share Custodian Declaration Form)	
9.2(b) 請提供不記名股票所佔的擁有權百分比及實益持有人名稱。 Please provide the percentage of bearer share ownership which constitute to the ownership of your company, and provide full name(s) of bearer share owner(s).	
百分比 Percentage	實益持有人名稱 Beneficial Owner Full Name
_____	_____
_____	_____
_____	_____
9.3 請問貴公司是否能發行不記名股票? Is your company capable of issuing bearer shares? <input type="checkbox"/> 是 Yes (如是，請在空格上加 ✓ 作出以下聲明。 If yes, please make the following declaration by ticking the box.) 聲明 Declaration: <input type="checkbox"/> 如我/我們將來發行不記名股票，會盡快以書面通知勝利證券有限公司。 I/ We will promptly provide written notification to VSCL in case of the issuance of bearer shares. <input type="checkbox"/> 否 No	

10. 相關保證金融資賬戶 (僅適用於證券賬戶(保證金)) Related Margin Financing Account(s) (For Securities Account (Margin) only)

*勝利證券會於每年年底進行保證金戶口審閱，公司有權因應閣下的交易行為調整保證金信貸限額

*VSCL would conduct clients' margin review at the end of each year. VSCL reserves the right to adjust your margin credit limit accordingly based on your trading activities.

1. 貴公司是否與另一勝利證券的公司保證金客戶均屬同一公司集團成員? Are your company and another corporate margin client of VSCL members of same group of companies? <input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes 戶口名稱 Name of Account 戶口號碼 Account No. _____			
2. 貴公司是否控制勝利證券其他保證金帳戶的35%或以上之表決權? Is your company in control of 35% or more of the voting rights of another corporate margin client of VSCL? <input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes 戶口名稱 Name of Account 百分比 Percentage (%) 戶口號碼 Account No. _____			
3. 另一勝利證券的保證金客戶或公司保證金客戶有否控制 貴公司35%或以上的表決權? Does another margin client or corporate margin client of VSCL control 35% or more of the voting rights of your company? <input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes 戶口名稱 Name of Account 百分比 Percentage (%) 戶口號碼 Account No. _____			

11. 環球股票交易系統申請 (僅適用於環球股票賬戶) Global Trading System Application (For Global Trading Account Only)

本人欲申請環球股票交易系統並選擇環球市場 I/We would like to apply for the Global Trading System and choose the following markets:

<input type="checkbox"/> 中華通 China Connect	<input type="checkbox"/> B 股 (上海/深圳 B 股) Shanghai/Shenzhen B share	<input type="checkbox"/> 日本股票 Japan Stocks	<input type="checkbox"/> 加拿大股票 CA Stocks
<input type="checkbox"/> 美股 US Stocks	<input type="checkbox"/> 英國股票 UK Stocks	<input type="checkbox"/> 澳洲股票 AUS Stocks	<input type="checkbox"/> 歐洲/歐元股票 EU Stocks
<input type="checkbox"/> 其他地方股票 (請註明) Others: _____			

本人已閱讀附帶的風險披露聲明，並明白及接受參與環球股票交易所涉及的風險。(文件編號AT0805的第19-24頁)

I/We have read and I/We understand the Risk Disclosure Statement of the Derivative Products provided to me by "VSCL". I/We fully understand the underlying risk(s) associated with/arising from global trading. (Document Number AT0805, P.19-24)

12. 董事局委任決議書(如適用) Board Resolution (if applicable)

公司名稱 Name of Company _____

本公司董事會在 Minutes of a Meeting of the Board of directors of the Company held at _____

地址 Address _____

並於 on (日期 Date _____) 舉行的董事會會議紀錄。

出席人 (出席董事全名)

Present (Full name of Directors present): _____

會議主席 Chairman of the meeting: _____

通知書及法定人數 Notice and Quorum

有關通知已按要求發出，且與會人數符合會議法定人數的要求，主席宣佈會議有效。

The requisite notices having been given and a quorum being present, the Chairman declared the meeting duly constituted.

1. 授權簽署人 Signing Officer

茲決議本公司將於勝利證券有限公司開立證券交易/期貨交易帳號，並且授權下列人士為帳戶授權簽署人，即時生效。任何___位授權簽署人可代表本公司：

(i) 簽署、簽訂及交付與帳戶相關之所有協議或文件；及 (ii) 簽發指令從/向帳戶提取/轉帳任何資金、證券、抵押品或其他資產，及處理所有與帳戶結算相關事宜。

It was resolved that with immediate effect a securities trading/ futures trading account be opened with VSCL and that the following person(s) is/ are appointed as signing officer of the Company. Any ___ of the signing officers can act on behalf of the Company: (i) to sign, execute and deliver all agreements and documents in relation to the account; and (ii) to sign instruction to transfer/ withdraw any money, securities, collateral or other property into or out of the account, and deal with all settlement matters in relation to the account.

姓名 Name	身份證號碼/護照號碼 HKID Card/ Passport No.	簽署式樣 Specimen	聯絡電話 Contact Phone No.
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_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

2. 交易人 Trading Officer

茲決議下列人士被授權為本公司帳戶的交易人，並代表本公司進行買賣(包括透過以口頭、電子、書面或其他方式)，即時生效。

It was resolved that with immediate effect, the following person(s) is/ are appointed as trading officer and authorized to give trading instructions (whether verbally, electronically, in writing or otherwise) for and on behalf of the Company:

姓名 Name	身份證號碼/護照號碼 HKID Card/ Passport No.	簽署式樣 Specimen	聯絡電話 Contact Phone No.
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_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

會議結束 End of Meeting

沒有進一步的討論，主席宣佈會議結束。

There being no further business, the Chairman declared the meeting closed.

商務私章式樣 (如適用)

Company Chop Specimen (if applicable)

主席簽署 Signature of Chairman

13. E-trade Application 使用勝利網上交易申請 **(This part is not mandatory for account opening) (此部分為非必須要填寫)*

本人/吾等欲申請 貴公司提供之網上交易服務，並將有關資料提供如下。本人/吾等確認已閱讀風險披露聲明，完全明白及同意承擔網上交易所涉及之風險。

I/We would like to apply for e-trade service provided by your company and append hereunder relevant information for your consideration. I/we acknowledge that

I/we have read the Risk Disclosure Statement of this application, fully understood and agreed to bear the risks involved in e-trade.

所需服務: ☐ 網上交易功能 E-trade function

Service Required:

客戶佣金及最低佣金: _____

Client Commission Rate and Minimum Commission:

結算方法:

Settlement Method:

☐ 自動結算 Autosettlement

☐ 銀行自動轉賬 Bank Autopay

(只適用於證券賬戶(保證金))

申請信貸限額 Applied Credit Limit: _____

(填寫此欄前先諮詢客戶主任) (Please consult your Account Executive before filling in this column)

Notes of E-statement 電子結單附註

*(i) 選擇收取「電子結單」之賬戶將不獲寄發相關結單的列印本。該等證券賬戶如日後申請補發結單的列印本，須按本公司當時之收費表相關項目繳付費用。

《綜合日結單》須於3個曆月內(如：2020年1月1日之《綜合日結單》須於2020年3月31日或之前)下載；

(ii) 《月結單》則須於2個曆年內(如：2020年1月份之《月結單》須於2022年12月31日或之前)下載。所有結單下載只適用「電子結單」服務生效日起計，過往結單均不能下載；

(iii) 客戶同意當「電子結單」備妥並開始供客戶下載時，將被視為已送達客戶，不論客戶其後有否審閱及/或儲存該等結單；另客戶同意就有關結單所列交易資料或存在錯誤之查詢，客戶須於該結單備妥並開始供客戶下載首日起計之七天內向本公司提出。

(iv) 所有電子通訊，均在本公司記錄顯示已成功發送或已重發至客戶於本公司登記之電郵地址時視為已送達客戶。

(v) 申請成功後，本公司會向客戶所提供之電郵地址發送『確認』電郵。客戶若於呈交申請表五個工作天後仍未收到該『確認』電郵，請致電本公司熱線 2525 2437。

*(i) Those accounts opting for electronic statements shall not be entitled to hardcopy ones from the effective date. If account holders apply for a previous hardcopy statement on a future date, a fee shall be charged in accordance with the then enforceable Service Fee Table. Daily Combined Statements are available to be downloaded within 3 calendar months after its initial issuance date. (For instance, your Daily Combined Statement as of 1 January 2020 can only be downloaded on/before 31 March 2020.)

(ii) Monthly Statements are available to be downloaded within 2 calendar years after its month of issuance. (For instance, your Monthly Statement as of January 2020 can only be downloaded on/before 31 December 2022.) Electronic statements as of the dates starting from the effective date of "electronic statement service" are open to downloading. Electronic statements as of the dates prior to the effective date are not open to downloading.

(iii) When electronic statements are available to be downloaded by clients, it is deemed to be successfully delivered regardless of whether the clients have reviewed or kept in record the statements themselves. Shall a client would like to raise enquiries about the correctness of the information shown on their statements, they should do so within 7 days after the date that the statement concerned is available to be downloaded.

(iv) All electronic communications to clients shall be deemed to be successfully delivered if our Company's own record shows that it has been already sent or resent to the email addresses registered by clients.

(v) A confirmation email will be sent to the email address provided by the client upon successful application. If a client has not received the confirmation email within 5 working days after submission of application, please dial our hotline number 2525 2437.

14. 使用個人資料作直銷用途 Use of Personal Data in direct marketing

本人承認和同意以下各項：

(1) 「勝利證券」有意使用客戶個人資料作直銷用途，而這是包含在按照《個人資料(私隱)條例》(第486章)及任何適用規則、規例及指引的基準下處理和處置客戶、實益擁有人及就賬戶作出指示的有關人士的任何個人資料。

(2) 「勝利證券」所持有客戶的名字、聯絡資料、產品及其他服務組合資料、交易模式和行為、財務背景及人口數據，可不時由「勝利證券」用作直銷用途，並須就此徵求客戶同意(包括客戶對此表示不反對)。

(3) 本人即明確表示同意「勝利證券」使用本人的個人資料作直銷用途，但本人明白倘本人不同意「勝利證券」使用本人的個人資料及倘接獲本人之書面或口頭要求，該使用將停止。本人亦明白如本人不欲將本人的個人資料用作上述直銷用途，本人應在下段的方格內加上“✓”號，以表示不同意。

☐ 本人不同意使用我的個人資料作直銷用途

☐ 本人不同意「勝利證券」轉交我的個人資料作直銷用途

(4) 除就上述服務、產品及項目進行銷售外，「勝利證券」亦有意向上文第3段所述的所有或任何人士提供上文第2段所述的個人資料，以供彼等在銷售服務、產品及項目時使用，並須就此徵求客戶的書面同意(包括客戶對此表示不反對)。

(5) 「勝利證券」或會因按上文第4段所述向其他人士提供個人資料而收取金錢或財物，而當「勝利證券」按第4段徵求客戶的同意或不反對表示時，「勝利證券」將通知客戶是否會因向其他人士提供個人資料而收取任何金錢或其他財物。

(6) 若客戶不願「勝利證券」使用或向其他人士提供客戶的個人資料作上述直銷用途，客戶可通知「勝利證券」以行使其選擇退出權，而「勝利證券」將應客戶的要求不再使用其個人資料作直銷用途而且不收取費用。

(7) 客戶同意向實益擁有人及有關人士(即「勝利證券」在向客戶提供服務過程中可能不時向其收集個人資料的人士)傳閱在證券賬戶協議內有關《個人資料(私隱)條例》的通知。

I acknowledge and agree to all the following

(1) "VSCL" intends to use the Customer's data in direct marketing on the basis that any personal data of the Customer, the Beneficial Owner(s) and the Relevant Person(s) for giving instructions for the Account(s) will be handled and dealt with in compliance with the Personal Data (Privacy) Ordinance (Cap.486) and any applicable rules, regulations and guidelines.

(2) The name, contact details, products and other service portfolio information, transaction pattern and behavior, financial background and demographic data of the Customer held by "VSCL" may from time to time be used by "VSCL" in direct marketing and "VSCL" requires the Customer's consent (which includes an indication of no objection) for that purpose.

(3)) I expressly consent to the use of my personal data for the purpose of direct marketing by "VSCL"; but I understand that "VSCL" cannot make such use of my personal data without my consent and will cease upon my written or verbal request. I further understand that if I do not wish to consent to my personal data being used for the said direct marketing purpose, I should indicate that no consent is given, by ticking the boxes below.

☐ I do not wish "VSCL" to use my personal data for direct marketing

☐ I do not wish "VSCL" to transfer my personal data for direct marketing

(4) In addition to marketing the above services, products and subjects itself, "VSCL" also intends to provide the personal data described in paragraph 2 above to all or any of the persons described in paragraph 3 above for use by them in marketing those services, products and subjects, and "VSCL" requires the Customer's and "VSCL" requires the Customer's written consent (which includes an indication of no objection) for that purpose.

(5) "VSCL" may receive money or other property in return for providing the personal data to other persons as mentioned in paragraph 4 above and, when requesting the Customer's consent or no objection as described in such paragraph 4, "VSCL" will inform the Customer if it will receive any money or other property in return for providing the personal data to the other persons.

(6) If Customer does not wish "VSCL" to use or provide the Customer's personal data to other persons for use in direct marketing as described above, the Customer may exercise its opt-out right by notifying "VSCL" and "VSCL" will cease to use the Customer's personal data for direct marketing purposes without charge if the Customer requests so.

(7) Customer agrees to circulate the Notice relating to the Personal Data (Privacy) Ordinance in the Securities Account Agreement to the Beneficial Owner(s) and the Relevant Person(s) whom "VSCL" may need to collect their personal data from time to time in the course of "VSCL" provision of services to the Customer.

15. 關於風險披露聲明的確認 Acknowledgement regarding Risk Disclosure Statement

(1) 我/我們明白不能以第三者支票交收。

(2) 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。

(3) 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。

(4) 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。

(5) 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。

(6) 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。

(7) 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者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。

(8) 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。

(9) 如本人選擇收取電子日結單，則 貴公司無須再寄付日結單列印本與本人。

(10) 假如貴公司向我們招攬銷售或建議任何金融產品，該金融產品必須是貴公司經考慮我/我們的財政狀況、投資經驗及投資目標後而認為合理地適合我/我們的。本協議的其他條文或任何其他貴公司可能要求我/我們簽署的文件及貴公司可能要求我/我們作出的聲明概不會減損本條款的效力。

(1) I am/We are aware that I/We shall not settle any trading transaction with third party cheques.

(2) 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.

(3) 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 "VSCL"'s obligation as a registered dealer.

(4) 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 "VSCL".

(5) 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 aforementioned stock exchanges and clearing system or any other stock exchanges or clearing systems.

(6) I/We hereby authorise "VSCL" to conduct a credit enquiry or check on me/us for the purpose of ascertaining my/our financial situation and/or investment objectives.

(7) I/We hereby authorize "VSCL" to verify and exchange the information contained herein and such other information relating to my/our particulars and my/our bank accounts between "VSCL" and such other third parties as "VSCL" may deem appropriate for the purpose of approving this application and for such other purposes as "VSCL" may deem fit as long as I/we shall retain an account with "VSCL".

(8) "VSCL" are entitled to rely fully on such information and representations for all purposes unless "VSCL" receive notice in writing of any change. "VSCL" is authorised notice in writing of any change. "VSCL" is authorised at any time to contact anyone, including our banks, brokers or any credit agency, for purposes of verifying the information provided herein.

(9) If I/we choose to receive daily account statements by e-statement method, I/we agree that "VSCL" need not deliver the such original statements to me/us.

(10) If "VSCL" solicit the sale of or recommend any financial product to me/us, the financial product must be reasonably suitable for me/us having regard to my/our financial situation, investment experience and investment objectives. No other provision of this agreement or any other document "VSCL" may ask me/us to sign and no statement "VSCL" may ask me/us to make derogates from this clause.

由於通訊擠塞及其他原因，任何電子渠道和互聯網屬不可靠通訊媒體，而此不可靠本質並非 貴公司所能控制。本人確認由於有此不可靠本質，在傳送及接收指令及其他通訊時會存在保安風險及無法傳送及接收以及延誤風險，影響資料的完整性和私隱性，或導致無法或延誤執行指令及/或執行指令時之價位有別於指令發出時之價位。本人進一步確認及同意，在任何通訊中均存在指令遭人截取、誤解或出錯之風險，而此等風險須由本人全部承擔。本人確認及同意指令一經發出，通常不能撤銷。本人明白及同意承擔所有經電子方式進行買賣及交易之風險。

All electronic channel and internet is, due to unpredictable traffic congestion and other reason, an inherently unreliable medium of communication and that such unreliability is beyond the control of the company. I/We acknowledge that, as a result of such unreliability, there are security risks and risks of failure or delay in the transmission and receipt of instructions and other information and that this may result in influence on integrity and privacy of data, failure or delay in the execution of instructions and/or the execution of instructions at prices different from those prevailing at the time the instructions were given. I/We further acknowledge and agree that there are risks of interception of instructions as well as of misunderstanding or errors in any communication and that such risks shall be absolutely borne by me/us. I/We acknowledge and agree that it is not usually possible to cancel an instruction after it has been given. I/We understand and agree to bear all risks involved in trade and transaction entered through electronic means.

請參閱附帶的風險披露聲明。(文件編號AT0805的第12-18頁)
Please read the relevant Agreement Terms and Risk Disclosure Statement (Document Number AT0805, P.12-18)

16. 客戶聲明 Customer's Declaration

本人/吾等陳述及保證，客戶資料表內的資料均為真實、完整及準確，並明白勝利證券有限公司(「勝利證券」)將根據上述資料評估本人/吾等是否擁有對相關投資產品之知識及經驗，以符合《證券及期貨事務監察委員會持牌人或註冊人操作守則》之有關要求。本人/吾等已閱讀及明白「勝利證券」提供的有關交易衍生工具的風險披露文件。本人/吾等作出投資決定前已充分認識交易相關投資產品所附帶的風險，並願意承擔交易相關投資產品的所有風險。「勝利證券」有權完全依賴該等資料作一切用途，除非其收到關於任何變動的書面通知。「勝利證券」有權隨時聯絡任何人士(包括本人/吾等的銀行、經紀或任何信用調查機構)以核實本客戶資料表內的資料。

I/We represent and warrant that the information on this Customer Information Form is true, complete and accurate. In addition, I/We understand that "VSCL" will rely on the above stated information for assessment of my/our knowledge of and experience in the relevant derivative products in order to satisfy the corresponding requirements under the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission as applicable from time to time. I/We have read and I/We understand the Risk Disclosure Statement of the Derivative Products provided to me by "VSCL". I/We fully understand the underlying risk(s) associated with/arising from trading the relevant derivative products before I/We make the decision to invest in the relevant derivative products, and I am/We are willing and able to assume all the risk associated with/arising from trading the relevant derivative products. "VSCL" is entitled to rely fully on such information for all purposes, unless it receives notice in writing of any change. "VSCL" is authorised at any time to contact anyone, including my/our banks, brokers, or any credit agency, for the purpose of verifying the information provided on the Customer Information Form.

本人/吾等確認收到 貴公司的協議書條款及風險披露聲明書，並同意接納本協議書及聲明書之內容。(文件編號AT0805的第1-34頁)
I/We hereby confirm that I/we have received this Agreement terms and Risk Disclosure Statement, and also confirm that I/we accept the content of this Agreement and Statement. (Document Number AT0805 P.1-34).

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(包括保證金交易條款及條件、環球股票交易所涉及的風險以及期貨交易須知)、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 (including Terms and Conditions for Margin Trading, Global Trading and Futures Trading) and to ask questions and take independent advice if the customer wishes.

*簽署式樣將被用作核證任何就戶口運作之書面指示
*Specimen Signature(s) herein will be used to verify all written instructions given relating to the operation of the Account(s).

	(公司專用 For Office Use Only)
客戶簽署並蓋章(並作為簽署式樣) Client Authorized Signature(s) with Company Chop (also as Specimen Signature)	見證人簽署 Signature of Witness
日期: Date:	見證人姓名: Name of Witness: _____

由持牌代表填寫 To be completed by Licensed Representative
本人，以持牌人士或註冊人士身份，確認本人已按照上述客戶所選擇的語言(中文或英文)提供客戶協議書、風險披露聲明及電子交易服務條款(如適用)之副本及邀請客戶閱讀客戶協議書、風險披露聲明及電子交易服務條款(如適用)，提出問題及徵求獨立意見(如客戶有此意願)。I, a licensed or registered person, hereby declare that I have provided the above client with a copy of the Client Agreement, the Risk Disclosure Statement and the terms of Electronic Trading Service (if applicable) in a language of the Client's choice (Chinese or English) and invited the client to read the Client Agreement, the Risk Disclosure Statement and the terms of Electronic Trading Service, ask questions and take independent advice if the client so wishes.

Signature of Licensed Person: 持牌人士簽署:	CE No.: 中央編號:	Name of Licensed Person: 持牌人士姓名:	Date: 日期:
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保證金客戶授權書 AUTHORIZATION LETTER FROM MARGIN CLIENTS

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

常設授權書 STANDING AUTHORITY

本常設授權書是有關一切由貴公司代表本人/吾等購入或持有之證券。

This letter of standing authority covers all securities purchased or held by you on my/our behalf.

本常設授權書授權貴公司，根據《證券及期貨（客戶證券）規則》第7(2)條的規定：

Without notice to me/us, pursuant to Section 7(2) of the Securities and Future (Client Securities) rules, this letter authorize you to:-

- (1) 依據證券借貸協議運用任何有關客戶證券或證券抵押品；
apply any of my/our securities or securities collateral to a securities borrowing and lending agreement;
- (2) 將任何有關證券抵押品存放於認可財務機構，作為提供予該中介人的財務通融的抵押品；及/或
deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provided to you; and /or
- (3) 將任何有關證券抵押品存放於認可結算所；或另一或發牌或獲註冊進行證券交易的中介人，作為解除該中介人在交收上的義務和清償該中介人在交收上的法律責任的抵押品，而毋須通知本人/吾等。
deposit any of my/our securities collateral with a 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,

本人/吾等明白香港中央結算有限公司因貴公司在交收上的責任而對本人/吾等的證券設定第一固定押記。

I/We understand that the recognized clearing house or the intermediary licensed or registered for dealing in securities will have a first fixed charge over my/our securities collateral to the extent of your settlement obligation and liabilities

本授權書並不涉及就貴公司借、貸或存放本人/吾等任何證券而須支付或收取的任何代價。任何代價均須由本人/吾等與貴公司另行簽約訂明。

This standing authority does not cover any consideration I/we must pay or be paid for your borrowing, lending, or depositing any or my/our securities. Any consideration must be set in a separate agreement between us.

有關根據本協議書而借、貸或存放之證券，貴公司仍須向本人/吾等負責歸還。

You are accountable to me/us for the return of any securities borrowed, lent, or deposited under this authority.

本人/吾等明白本人/吾等的證券可能受制于第三者之權利，貴公司可於全數抵償該等權利後，方將本人/吾等的證券退回本人/吾等。

I/We understand that a third party may have rights to my/our securities, which you must satisfy before my/our securities can be returned to me/us

本常設授權書的有效期為十二個月，並於_____年_____月_____日至_____年_____月_____日期間生效。本人/吾等有權隨時以一星期事先書面通知貴公司撤銷此常設授權書。本授權書將被當作續期一或多次，每次不超過十二個月，假如:-

- (a) 貴公司於到期日前不少於十四天向本人/吾等發出到期及續期通知；及
- (b) 貴公司於到期日前並無收到本人/吾等書面反對續期；及
- (c) 貴公司於到期日後七天內以書面向本人/吾等確認此續期。

This authority is valid for period of 12 months from _____ and will expire on _____ or may be revoked at any time on giving 1 week prior written notice to you. It will be deemed to have been renewed for one or more periods each not exceeding 12 months if:-

- (a) you have served expiry and renewal notice on me/us at least 14 days prior to the expiry date; and
- (b) you have not received my/our objection in writing for such renewal before the expiry date; and
- (c) you confirm such deemed renewal in writing to me/us within 7 days after the expiry date.

本函件已全部向本人/吾等解釋清楚。本人/吾等明白本函件的內容。

This letter has been fully explained to me/us, and I/we understand the contents of this letter.

Yours faithfully,

簽署：

(聯名戶口均需聯合簽署)(Joint Signatures are required for joint name account)

客戶號碼及姓名：

日期：

Client Account Number and Name: _____ Date: _____