

證券 Securities (東吳證券國際經紀有限公司 Soochow Securities International Brokerage Limited)

 期貨 Futures (東吳證券國際期貨有限公司 Soochow Securities International Futures Limited)

客戶資料複查表格 (公司賬戶)
Client Information Review Form (Corporate Account)

客戶名稱 A/C Name: _____ 賬戶號碼 A/C No.: _____

1. 公司資料 Corporate Information

<input type="checkbox"/> 新增 Add <input type="checkbox"/> 更改 Change	<input type="checkbox"/> 營業地址 Business Address : <input type="checkbox"/> 通訊地址 Correspondence Address: (請提供三個月內的有效地址證明文件 Please provide document proof of address)
	辦公室電話號碼 Office Tel. No. : 傳真號碼 Fax. No.: (1) 聯絡人姓名 Name of Contact Person: (1) 聯絡人電話 Phone of Contact Person: (2) 聯絡人姓名 Name of Contact Person: (2) 聯絡人電話 Phone of Contact Person:
<input type="checkbox"/> 新增 Add <input type="checkbox"/> 更改 Change	更改電郵地址 Change of E-mail Address
<input type="checkbox"/> 新增 Add <input type="checkbox"/> 更改 Change	銀行名稱 Bank Name (請提供銀行證明文件 Please provide document proof of bank account)
	銀行賬戶號碼 Bank Account No.
	貨幣 Currency
<input type="checkbox"/> 新增 Add <input type="checkbox"/> 更改 Change	(請提供董事會決議以及相關的文件證明 Please provide Board Resolution and relevant documents)
	<input type="checkbox"/> 董事資料 Director(s) Information (請同時提供身份證明文件 Please also provide the identification documents)
	<input type="checkbox"/> 股東資料 Shareholder(s) Information (請同時提供身份證明文件 Please also provide the identification documents)
	<input type="checkbox"/> 獲授權人士資料 Authorized Person(s) Information (請同時提供身份證明文件 Please also provide the identification documents)
<input type="checkbox"/> 新增 Add <input type="checkbox"/> 更改 Change	<input type="checkbox"/> 擁有權結構, 包括最終實益擁有人及中介層等 Organization Structure, included ultimate beneficiaries and intermediaries etc. (請同時提供擁有權結構圖 Please also provide the Organization Chart)
	其他 Other:
<input type="checkbox"/> 賬戶資料不變 No change in account information	

備註:

- 請提交更改事項的核證文件。Please provide the document(s) with the certified true copy for the change.
- 如客戶(包括其最終受益人及控制人)的國籍、公民、稅務居民資格或地址有所改變, 請客戶重新填寫 W-8BEN表格及自我證明表格。W-8BEN Form and Self-Certification Form would be required if any change in nationality, citizenship, tax residency status or other address of the Client (included its ultimate beneficiaries and controlling persons).

2. 財務及投資概況 Financial and Investment Information

(a) 最近的除稅後盈利(HK\$) The Latest Audited Profit After Tax	<input type="checkbox"/> < 1,000,001
	<input type="checkbox"/> 1,000,001 – 5,000,000
	<input type="checkbox"/> 5,000,001 – 10,000,000
	<input type="checkbox"/> 10,000,001 – 15,000,000
	<input type="checkbox"/> 15,000,001 – 20,000,000
	<input type="checkbox"/> > 20,000,000
(b) 收入來源 Source of Income	<input type="checkbox"/> 股東資金 Shareholders Funds
	<input type="checkbox"/> 股東貸款 Shareholders Loans
	<input type="checkbox"/> 投資收入 Investment Returns
	<input type="checkbox"/> 業務收益 Business profits
	<input type="checkbox"/> 對外借貸 Borrowings/Loans
	<input type="checkbox"/> 其他 Others:
(c) 最近經審計的資產淨值(HK\$) The Latest Audited Net Asset Value	<input type="checkbox"/> < 5,000,001
	<input type="checkbox"/> 5,000,001 – 10,000,000
	<input type="checkbox"/> 10,000,001 – 15,000,000
	<input type="checkbox"/> 15,000,001 – 20,000,000
	<input type="checkbox"/> 20,000,001 – 25,000,000
	<input type="checkbox"/> > 25,000,000
(d) 投資目的及可承受風險 Investment Goals & Risk Tolerance	<input type="checkbox"/> 保本(低風險) Capital Preservation (Low Risk)
	<input type="checkbox"/> 資本增值(中風險) Capital Growth (Med. Risk)
	<input type="checkbox"/> 股息回報(中風險) Dividend Yield (Med. Risk)
	<input type="checkbox"/> 對沖(高風險) Hedging (High Risk)
	<input type="checkbox"/> 套利(高風險) Arbitrage (High Risk)
	<input type="checkbox"/> 投機(高風險) Speculation (High Risk)
(e) 資產項目 Asset Items	<input type="checkbox"/> 房地產 Properties
	<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 Funds
	<input type="checkbox"/> 其他 Others:

3. 賬戶交易資料 Account Transaction Information

(a) 預計用作投資的金額 Estimated Amount for Investment	
<input type="checkbox"/>	< HK\$2,000,001
<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"/>	> HK\$20,000,000
(b) 預期每月賬戶交易筆數 Approximate Account Transaction Frequency 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

4. 常設授權書 (客戶款項)
Standing Authority (Client Money)

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

此常設授權書的範圍包括東吳證券國際經紀有限公司(「東吳國際經紀」)及/或東吳證券國際期貨有限公司「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。

This letter of authority covers money held or received by Soochow Securities International Brokerage Limited (“SCSIB”) and/or Soochow Securities International Futures Limited (“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.

此授權書授權東吳國際經紀及/或東吳國際期貨:

This letter authorizes SCSIB and/or SCSIF to:

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
 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
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;
 transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by any member of the Group
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。
 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.

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。

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.

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香港皇后大道東1號太古廣場3座17樓發出書面通知,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。

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 Level 17, Three Pacific Place, 1 Queen’s Road East, Hong Kong. Such notice shall take effect upon the expiry of 14 days from the date of SCSIB’s and/or SCSIF’s actual receipt of such notice.

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。

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. SCSIB and/or SCSIF shall give a written confirmation of the renewal of the standing authority to me/us within one week after the date of expiry.

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。

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.

5. 常設授權書 (客戶證券)

Standing Authority (Client Securities)

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

本授權書是有關處置吾等證券或證券抵押品，詳列如下：

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

除非另有說明，本常設授權之名詞與《證券及期貨條例》和《證券及期貨(客戶證券)規則》不時修訂之定義具有相同意思
Unless otherwise defined, all the terms used in this standing authority shall have the same meanings as in the Securities & Futures Ordinance and Securities & Futures (Client Securities) Rules as amended from time to time.

本常設授權書授權東吳國際經紀：

This standing authority authorizes SCSIB to:

1. 依據證券借貸協議運用任何本人/吾等的證券或證券抵押品；
apply any of my/our securities or securities collateral pursuant to a securities borrowing and lending agreement;
2. 將任何吾等的證券抵押品存放於認可財務機構，作為該機構向東吳國際經紀提供財務通融之抵押品；
deposit any of our securities collateral with an authorized financial institution as collateral for financial accommodation provided to SCSIB;
3. 將任何吾等的證券抵押品存於香港中央結算有限公司（「中央結算」），作為解除東吳國際經紀在清算上的義務和清償東吳國際經紀在清算上的法律責任的抵押品。吾等明白中央結算因應東吳證券國際的責任和義務而對吾等的證券設定第一固定押記；
deposit any of our securities collateral with Hong Kong Securities Clearing Company Limited ("HKSCC") as collateral for the discharge and satisfaction the settlement obligations and liabilities of SCSIB. We understand that HKSCC will have a first fixed charge over our securities to the extent of SCSIB's settlement obligations and liabilities;
4. 將任何吾等的證券抵押品存於任何其他的認可結算所或任何其他獲發牌或獲註冊進行證券交易的中介人，作為解除東吳國際經紀在清算上的責任和義務和清償東吳國際經紀在清算上的法律責任的抵押品；及
deposit any of our securities collateral with any other recognized clearing house, or another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of the settlement obligations and liabilities of SCSIB; and
5. 如東吳國際經紀在進行證券交易及東吳國際經紀獲發牌或獲註冊進行的任何其他受規管活動的過程中向吾等提供財務通融，即可按照上述第(1)、第(2)、第(3)及/或第(4)段所述運用或存放任何吾等的證券抵押品。
apply or deposit any of our securities collateral in accordance with paragraphs (1), (2), (3) and/or (4) above if SCSIB provides financial accommodation to us in the course of dealing in securities and also provide financial accommodation to us in the course of any other regulated activity for which SCSIB is licensed or registered.
6. 東吳國際經紀可在不通知吾等的情况下進行上述任何事項。吾等確認本常設授權不影響東吳國際經紀為解除由吾等或代吾等對東吳國際經紀、東吳國際經紀之聯營公司或第三者所負的法律責任，而處置或促使東吳證券國際的聯營公司處置吾等之證券或證券抵押品的權利。
SCSIB may do any of the things set out above without giving notice to us. We acknowledge that this standing authority shall not affect SCSIB's right to dispose or initiate a disposal by SCSIB's associated entity of our securities or securities collateral in settlement of any liability owed by or on behalf of us to SCSIB, the associated entity or a third person.
7. 吾等明白吾等的證券可能受制於第三者之權利，東吳國際經紀須全數抵償該等權利後，方可將吾等的證券退回吾等。
We understand that a third party may have rights to our securities, which SCSIB must satisfy before our securities can be returned to us.
8. 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吾等之證券保證金賬戶。
This authority is given to SCSIB in consideration of SCSIB agreeing to continue to maintain the securities margin account(s) for us.
9. 本授權書的有效期限為十二個月，自本授權書之日起算有效。吾等可以向東吳國際經紀客戶服務部位於香港皇后大道東1號太古廣場3座17樓發出書面通知，撤回本授權書。該等通知之生效日期為東吳國際經紀真正收到該等通知後之14日起計算。
This authority is valid for a period of 12 months from the date of this letter. This authority may be revoked by giving SCSIB written notice addressed to the Customer Services Department at Level 17, Three Pacific Place, 1 Queen's Road East, Hong Kong. Such notice shall take effect upon the expiry of 14 days from the date of SCSIB actual receipt of such notice.
10. 吾等明白東吳國際經紀若在本授權書的有效期限屆滿前14日之前，向吾等發出書面通知，提醒吾等本授權書即將屆滿，而吾等沒有在此授權屆滿前反對此授權續期，本授權書應當作在不需要吾等的書面同意下按持續的基準已被續期。東吳國際經紀亦會於本授權書的有效期限屆滿後之一星期內，給予吾等就確認授權書的續期作出書面確認通知。
We understand that this authority may be deemed to be renewed on a continuing basis without our written consent if SCSIB issues us a written reminder at least 14 days prior to the expiry date of this authority, and we do not object to such deemed renewal before such expiry date. SCSIB shall give a written confirmation of the renewal of the standing authority to us within one week after the date of expiry.
11. 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，吾等同意應以英文本為準。吾等就本授權書的內容已獲得解釋，並且吾等明白及同意本授權書的內容。
In the event of any difference in interpretation or meaning between the Chinese and English version of this authority, we agree that the English version shall prevail. This authority has been explained to us and we understand and agree with the contents of this authority.

6. 關於收集、儲存、使用、披露及移轉個人資料以提供有關香港證券之交易及結算服務的客戶同意書 Client Consent on Collection, Storage, Use, Disclosure and Transfer of Personal Data for Provision of Trading and Settlement services in relation to Hong Kong Securities 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，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》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.

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).

通過向東吳國際經紀就與中華通證券/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國際經紀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

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).

在香港投資者識別碼制度及場外證券交易匯報制度下，獲接納身份證明文件的排序為 (i) 法律實體識別編碼 (LEI) 登記文件，(ii) 公司註冊證明書，(iii) 商業登記證，(iv) 其他同等文件。

Under the Hong Kong Investor Identification Regime and the Over-the-counter Securities Transactions Reporting Regime, the waterfall of the identity documents are (i) LEI registration document, (ii) certificate of incorporation, (iii) business registration certificate, (iv) other equivalent document.

如有，請提供以下資料。If available, please provide all information in the below.

(i) Legal Entity Identifier (LEI) Registration Document 法律實體識別編碼登記文件	LEI Number LEI號碼 : _____ 到期日 Expiry date : _____
(ii) Certificate of Incorporation 公司註冊證明書	Number號碼 : _____ Issuing Jurisdiction 簽發地區 : _____
(iii) Business Registration Certificate 商業登記證	Number號碼 : _____ Expiry date 到期日 : _____ Issuing Jurisdiction 簽發地區 : _____
(iv) Other Equivalent Document 其他同等文件 請註明Please specify : _____	Number號碼 : _____ Issuing Jurisdiction 簽發地區 : _____ Expiry date 到期日 : _____

客戶確認和同意
Acknowledgement and Consent

通過勾選下面的方框，本人/吾等，確認本人/吾等已閱讀並理解上述內容。

By ticking the box below, I/We, the undersigned, acknowledge I/we have read and understood the above content.

- 常設授權書(客戶款項) Standing Authority (Client Money)
- 常設授權書(客戶證券) Standing Authority (Client Securities)
- 關於收集、儲存、使用、披露及移轉個人資料以提供有關香港證券之交易及結算服務的客戶同意書
 Client Consent on Collection, Storage, Use, Disclosure and Transfer of Personal Data for Provision of
 Trading and Settlement services in relation to Hong Kong Securities Services

SV

授權人簽署並蓋公司印章(如適用)
 Authorized Signature(s) with Company Chop (if applicable)

姓名
 Name:

職銜/職位
 Title/Position::

日期:
 Date:

本公司專用		CS 專用	
客戶經理/ 客服人員簽署:	客戶經理/ 客服人員姓名:	Inputted by:	Date:
確認方式: <input type="checkbox"/> 面對面 <input type="checkbox"/> 電話確認	確認日期及時間:	Checked by:	Date:
	錄音電話號碼:	Approved by:	Date: