



**Mighty Brokerage (Asia) Limited**  
**敏哲証券有限公司**

**ACCOUNT APPLICATION**  
**(Individual/Joint Account)**  
交易戶口申請書(個人/聯名戶口)

Account Name 賬戶名稱:

Account No. 戶口號碼:

Registered Office: Shop 68-70, Manor Centre, 218 Fuk Wing Street, Kowloon

註冊辦事處: 九龍福榮街 218 號美居中心地下 68-70 號舖

Tel. No. 電話號碼: (852) 2655 7011

Fax No. 傳真號碼: (852) 2655 7033

Mighty Brokerage (Asia) Limited is a licensed corporation for Type 1 regulated activities under the Securities and Futures Ordinance (CE Number: AXT419).

敏哲証券有限公司乃一家根據《證券及期貨條例》獲發牌進行受規管活動第一類的持牌法團（中央編號：AXT419）。

# Account Application Guide

## 交易戶口申請書須知

### Individual/Joint Account Documents Preparation Checklist 個人／聯名戶口準備文件清單

Where this Account Application is executed in the presence of an employee of Mighty Brokerage (Asia) Limited, the Client shall provide the documents as required in Box A.

如本交易戶口申請書於敏哲証券有限公司的僱員見證下簽署，則客戶須提供於 A 欄內的文件。

Where this Account Application is not executed in the presence of an employee of Mighty Brokerage (Asia) Limited, the Client may choose to provide the documents as required in Box B or C:

如本交易戶口申請書並非於敏哲証券有限公司的僱員見證下簽署，則客戶可選擇提供列明於 B 欄或 C 欄內的文件。

Box A (A 欄)	Box B (B 欄)	Box C (C 欄)
<p><input type="checkbox"/> Signed copy of this Account Application 本交易戶口申請書的簽署本</p> <p><input type="checkbox"/> Client Investment Suitability Questionnaire 客戶投資屬性問卷</p> <p><input type="checkbox"/> Hong Kong Identity Card/Passport of Client 客戶之香港身份證／護照副本</p> <p><input type="checkbox"/> Proof of Residential Address within 3 months (e.g. utility bill, bank account statement, bank credit card statement, telephone bill) 三個月內之住址證明 (如：水電煤費帳單、銀行月結單、信用卡月結單、通訊電話帳單)</p> <p><input type="checkbox"/> Letter of Authorisation (Form 1) 授權書 (表格一)</p> <p><input type="checkbox"/> Standing Authority for Third Party Payment (Form 2) 第三者常設授權付款表格 (表格二)</p> <p><input type="checkbox"/> Standing Authority for Margin Securities Trading Account (Form 3) 保證金證券交易戶口常設授權書 (表格三)</p> <p><input type="checkbox"/> W-8BEN (if interested in US stock trading) (Form 4) W-8BEN (如欲買賣美國股票) (表格四)</p> <p>(Account Executive must certify and sign if any of the abovementioned document is a copy) (以上任何文件若為副本須由客戶主任認證及簽署)</p> <p>(If open Professional Investor Account, Individual /Joint Account Holder(s) must attach a proof of portfolio comprising of money, certificates of deposit and/or securities of not less than HK\$8,000,000) (若開立專業投資者戶口，則個人／聯名戶口持有人須提供不少於八百萬港元由款項、存款證及／或證券組成的資產組合之證明)</p>	<p>Documents set out in Box A which shall be certified by: A 欄所載的文件須由下列人士認證：</p> <p>(a) a person licensed by or registered with the SFC or its affiliate; 獲證監會發牌或註冊的人士或其聯號；</p> <p>(b) a Justice of the Peace; or 太平紳士；或</p> <p>(c) a professional person such as a branch manager of a bank, a practising certified public accountant, a practising lawyer or a notary public. 專業人士，例如銀行分行經理、執業會計師、執業律師或公證人等。</p>	<p>Documents set out in Box A, AND: A 欄所載的文件，及： (not applicable for opening Joint Account) (不適用於開立聯名戶口)</p> <p>– Provide a cheque in the amount of not less than HK\$10,000 bearing the Client's name (as shown in Hong Kong Identity Card or Passport) issued by the Client and drawn on the Client's account with a licensed bank in Hong Kong (the signature on the cheque and the signature on the Account Application must be the same); and 客戶由名下於香港的持牌銀行開設的帳戶發出不少一萬港元的支票 (該支票的簽署必須與交易戶口申請書的簽署相同)；及</p> <p>– Account(s) will not be activated until the cheque is cleared. 交易戶口須於該支票兌現後始能啟用。</p>

Note: This is an important document. Client should carefully read and fully understand the contents of this Account Application and the terms and conditions of the Client Agreement (as attached) ("Client Agreement") in respect of Mighty Brokerage (Asia) Limited ("Mighty Brokerage"), and seek independent legal or other professional advice as necessary before signing the Account Application or related documents. In case of discrepancies between the English and Chinese versions of this Account Application and the terms and conditions set out herein, the English version shall prevail.

註: 這是重要的文件。客戶應仔細閱讀並充分理解本交易戶口申請書的內容及敏哲證券有限公司(“敏哲證券”)客戶協議書(見如附件)(「客戶協議書」)的條款,並在簽署本戶口申請書或相關文件前,徵求獨立法律或(如需要)其他專業意見。倘若本交易戶口申請書及其條款的中英文文本有不相符之處,概以英文文本為準。

(Please choose the appropriate 請選擇合適者)

<b>TYPE OF ACCOUNT 賬戶類別</b>		
Entity of client 客戶身份 <input type="checkbox"/> Individual Account 個人戶口 <input type="checkbox"/> Joint Account 聯名戶口		
Type of service 服務類別 <input type="checkbox"/> Cash Securities Trading Account 現金證券交易戶口 <input type="checkbox"/> Margin Securities Trading Account 保證金證券交易戶口	Method of placing order 落盤方式 <input type="checkbox"/> Mobile Trading 手機交易 <input type="checkbox"/> Internet Trading 網上交易	
<b>SECTION A THE CLIENT PARTICULARS 客戶資料 (Individual Applicant 個人申請人)</b>		
<b>Personal Information 個人資料</b>		
Name 姓名 (English) _____ (中文) _____		
Date of Birth(day/month/year) 出生日期(日/月/年)	Sex 性別 <input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女	Nationality 國籍
Hong Kong Identity Card/Passport No. 香港身份證/護照號碼		Place of Issue 簽發地點
Marital Status 婚姻狀況 <input type="checkbox"/> Single 未婚 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Divorced 已離婚 <input type="checkbox"/> Separated 分居		
Residential address (P.O. Box not acceptable) 住宅地址 (不接受郵政信箱) _____ _____		
Residential Tel No.住宅電話號碼	Business/Office Tel No.營業/辦公電話號碼	Mobile Phone No.手提電話號碼
Fax No.傳真號碼	E-mail address 電子郵件地址	
Education Level 教育程度 <input type="checkbox"/> Below Secondary 中學以下 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Tertiary/University or above 大專/大學或以上		
Employment status 職業現況 <input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Others 其他: _____		
Employment 受僱資料 Name of Employer (if self-employed, please specify) 僱主名稱 (如屬自僱, 請列明): _____ Position 職位: _____ Business Type 業務類型: _____ Year(s) of Service 任職年期: _____ Office address 辦公地址 _____		

**Financial Profile 財務概況**

Source of Income 收入來源 (choose one or more 可選多項)

- Salary & Commission 薪金及佣金       Business Profit 業務溢利       Rent 租金  
 Dividend/Interest 股息/利息       Others 其他 (Please specify 請列明) \_\_\_\_\_

Annual Income (HK\$) 每年收入 (以港元計):

- Less than 少於 200,000       200,000 - 500,000       500,001 - 1,000,000       1,000,001 - 2,000,000  
 2,000,001 - 5,000,000       Over 多於 5,000,000

Net Assets (HK\$) 資產淨值 (以港元計):

- Less than 少於 500,000       500,000 - 1,000,000       1,000,001 - 3,000,000       3,000,001 - 8,000,000  
 8,000,001 - 40,000,000       Over 多於 40,000,000

**Investment Experience 投資經驗**

Investment experience in the following products 對以下產品有投資經驗

(choose one or more 可選多項)

- Equities 證券       Leveraged Forex/Bullion 槓桿式外匯交易/黃金  
 Commodities/Futures 商品/期貨       Mutual Fund/Unit Trust 互惠基金/單位信託基金  
 Hedge Funds 對沖基金       Options/Warrants/Structured Products/Others 期權/窩輪/結構性產品/其他

Years of investment experience 投資經驗年期

- Less than 1 year 一年以下       1 to 3 years 一年至三年       4 to 6 years 四年至六年  
 7 to 9 years 七年至九年       More than 10 years 十年或以上

Investment Objectives 投資目標

- Short term 短線       Long term 長線       Speculation 投機  
 Others 其他 (Please specify 請列明) \_\_\_\_\_

**SECTION B DESIGNATED BANK ACCOUNT FOR PAYMENT 指定銀行戶口作支付款項**

Details of the Client's bank account for payment of money by Mighty Brokerage to the Client (under the name of the Client) **UNLESS SIGN THE STANDING AUTHORITY FOR THIRD PARTY PAYMENT (SEE ATTACHED FORM 2) & BE APPROVED. PAYMENT CANNOT BE MADE TO ACCOUNTS IN THE NAMES OF THIRD PARTIES.**

可供敏哲証券用作支付任何款項予客戶之客戶銀行帳戶詳細資料(需以客戶名義持有)除戶口持有人簽署第三者常設授權付款表格(見附表格二)及獲批准外,付款一概不會向第三者名下的戶口作出。

Designated Bank 指定銀行: \_\_\_\_\_

Account No. 戶口號碼: \_\_\_\_\_

Name of account holder/payee

戶口持有人/收款人姓名: \_\_\_\_\_

**SECTION C RELATED MARGIN SECURITIES TRADING ACCOUNT  
(FOR MARGIN SECURITIES TRADING ACCOUNT ONLY)  
相關保證金證券交易戶口 (只適用於保證金證券交易戶口)**

**(Individual Applicant 個人申請人)**

Is your spouse a margin client of Mighty Brokerage?

客戶的配偶是否為敏哲證券保證金客戶?

No 否  Yes, please specify 是, 請列明: Name 姓名: \_\_\_\_\_

Account No. 戶口號碼: \_\_\_\_\_

Do you alone or jointly with your spouse control 35% or more of the voting rights of a corporate margin client of Mighty Brokerage?

客戶是否單獨或與配偶共同控制一個敏哲證券保證金公司客戶 35%或以上的表決權?

No 否  Yes, please specify 是, 請列明: Name 姓名: \_\_\_\_\_

Account No. 戶口號碼: \_\_\_\_\_

**SECTION D IDENTITY DECLARATION 身份聲明**

Is the Client 客戶是否:

a person licensed by or registered with the Securities and Futures Commission or an employee of such person?

證券及期貨事務監察委員會持牌或註冊人士或該人士之僱員?

No 否  Yes, please specify the company name

是, 請列明公司名稱: \_\_\_\_\_

an employee of Mighty Brokerage or a relative of such person?

敏哲證券之任何僱員或該人士之親屬?

No 否  Yes, please specify the name of the employee

是, 請列明該僱員的姓名: \_\_\_\_\_

holders of senior public positions of foreign countries e.g. senior government officials, political party leaders, religious leaders, etc. or their family members?

是否外國之公眾人物, 例如: 政府高官、政黨領袖、宗教領袖等或其家人?

No 否  Yes, please specify

是, 請列明: \_\_\_\_\_

**SECTION E ULTIMATE BENEFICIARY 最終實益持有人**

Is the Client the ultimate beneficiary of the Account?

客戶是否為戶口最終實益持有人?

Yes 是  No, please specify the details of the ultimate beneficiary 否, 請列明最終實益持有人的詳細資料

Name 姓名

(English) \_\_\_\_\_ (中文) \_\_\_\_\_

Hong Kong Identity Card/Passport No.

香港身份證/護照號碼 \_\_\_\_\_

Place of Issue

簽發地點 \_\_\_\_\_

Residential Address

住宅地址 \_\_\_\_\_

(Please provide the certified true copy of Hong Kong Identity Card or Passport and Residential Address Proof of ultimate beneficiary)

(請提供所有最終實益持有人之香港身份證或護照經認證真確副本及住宅地址證明)

**SECTION F INSTRUCTION ORIGINATOR DECLARATION 指示發出人聲明**

Is the Client ultimately responsible for originating the instruction in relation to a transaction?

客戶是否為戶口最終負責作出交易指示的人士?

Yes 是  No 否 (If a non-account holder is to be appointed to operate the account, please complete the Letter of Authorisation (see attached Form 1).)

(如有關戶口將委任非戶口申請人管理, 請填寫授權書 (見附表一)。)

**SECTION G CORRESPONDENCE ADDRESS 通訊地址**

Daily/monthly statements language 日/月結單語言選擇

 Traditional Chinese 繁體中文  English 英文  Simplified Chinese 簡體中文

Address for correspondence and forwarding of daily/monthly statements and trade confirmations

通訊及轉達日/月結單及交易核實資料書的地址

 E-mail address 電郵地址

I/we hereby consent to receive daily/monthly statements issued by Mighty Brokerage by means of e-mail.

本人/我們茲同意透過電郵收取敏哲証券發出之日/月結單。

I/we also confirm my understanding and acceptance of the risks associated with the electronic system and the use of the Service set out in the Client Agreement and undertake to notify Mighty Brokerage without delay if for any reason there is an error of the daily/monthly statements sent to me/us or if I/we do not receive daily/monthly statements promptly after any dealings have taken place. I/we further agree that in case of any system failure, Mighty Brokerage may send the daily/monthly statements to me/us by facsimile transmission at the fax number provided or by mail to my/our residential address.

本人/我們明白電子系統及使用網上交易服務存在一定風險，並同意如在任何交易後因任何原因收到錯誤的日/月結單，或沒有收到日/月結單，本人/我們會立即通知敏哲証券。本人/我們亦同意如發生系統故障，敏哲証券可以把日/月結單傳真至提供之號碼或以郵遞方式寄給本人/我們的住宅地址。

Recipient 收件人 (choose one only 只可選一項)

 Individual applicant/Primary applicant for the joint account 個人申請人/聯名戶口主要申請人 Other applicant for the joint account 聯名戶口其他申請人

Address 地址 (choose one only 只可選一項)

 Residential address 住宅地址 Business/Office address 營業/辦公地址**Joint Account Only (只適用於聯名戶口)**

We and each of us understand and accept the consequences and risks of this arrangement. Each of us who will not receive the correspondence directly from you acknowledge the importance of reviewing in person all the confirmations and statements relating to the Joint Account and transactions involving the Joint Account in detail to ensure that any anomalies or mistakes can be detected in a timely fashion.

吾等及吾等各自明白及接受此安排的後果及風險。吾等各自將不會直接從 貴公司收取通訊，承諾親身詳細覆核吾等聯名戶口的所有確認及結單的重要性，以確保可及時察覺任何差異或錯誤。

We and each of us understand and agree that if we wish to dispute the accuracy of any information contained in any confirmations and statements, or raise any inquiry, we must do so immediately upon receipt to the same and, in any event, within the period specified in the account terms and conditions for such purpose, or no later than the date as specified in the confirmations and statements, whichever is later.

吾等及吾等各自明白及同意，倘若吾等有意就任何確認及結單中的任何資料之準確性提出異議，或提出任何查詢，吾等必須在收到確認及結單後立即向 貴公司提出，及在任何情況下，應於戶口條款及條件指定的期間內，或最遲於確認或結單指定的日期前(以較後者為準)，向 貴公司提出有關異議或查詢。

In consideration of your agreeing to act in accordance with the above instruction, we shall jointly and severally keep you indemnified against all claims, losses, damage, costs and expenses which may be brought against you or incurred by you either directly or indirectly as a result of or in connection with your acting on the above instruction.

就 貴公司同意按上述指示行事，吾等共同及各別承諾彌償 貴公司因或在有關情況下執行上述的指示直接或間接引起針對或招致 貴公司的任何申索、損失、損害、費用及支出。

The above instruction shall remain valid and effective unless you receive from each and all of us 14 days prior written notice of revocation.

除非 貴公司收到吾等 14 天前書面撤銷指示通知書，否則以上的指示一直有效和生效。


**SECTION H SPECIMEN OF AUTHORISED SIGNATURES 授權簽名式樣**


Specimen signature of account holders to give instruction and receipts on the client's behalf: **(for Individual Account)**  
 代表發出指示及收取相關單據的戶口持有人簽署式樣：(供個人戶口使用)


Any \_\_\_\_\_\* of the following specimen signatures of joint account holders is authorised to give instructions and receipts on behalf of and so as to bind all joint account holders: **(for Joint Account)**


憑以下\_\_\_\_\_ \* 式聯名戶口持有人簽署式樣獲授權代表所有聯名戶口持有人發出指示及收取相關單據：  
 (供聯名戶口使用)

\* Please write appropriate number 請填寫適當數目

Signature of account holder 戶口持有人簽署  
Client name 客戶姓名

Signature of account holder 戶口持有人簽署  
Client name 客戶姓名

Signature of account holder 戶口持有人簽署  
Client name 客戶姓名

Signature of account holder 戶口持有人簽署  
Client name 客戶姓名

**(If a non-account holder is to be appointed to operate the Account, a separate Letter of Authorisation (see attached Form 1) shall be signed by the Account Holder(s).)**

(如有關戶口由非戶口持有人管理，戶口持有人須簽署另一份授權書(見附表格一)。)

**SECTION I CLIENT ACKNOWLEDGEMENT, DECLARATION AND SIGNATURES 客戶確認、聲明及簽署**

The Client hereby acknowledges and declares that:  
 客戶謹此確認並聲明：

1. This Account Application is subject to the Client Agreements and Schedules as amended from time to time. This Account Application, together with the Client Agreement and Schedules and other relevant documents shall form a single agreement between the Client and Mighty Brokerage. Terms defined in the Client Agreement and Schedules have the same meaning when used in this Account Application (save where otherwise expressly provided herein). In the event of any inconsistency between the Client Agreement and Schedules and this Account Application, Client Agreement and Schedules shall prevail to the extent of such conflict or inconsistency.  
 本戶口申請書乃受客戶協議書(經不時修訂)所規限。本戶口申請書連同客戶協議書及其他相關文件乃構成客戶及敏哲證券之間的單一協議。本戶口申請書所用詞語與客戶所協議所界定者具有相同涵義(本戶口申請書文意另有所指則除外)。倘若客戶協議書及本戶口申請書有不相符之處，概以客戶協議書為準。
2. Mighty Brokerage will not automatically release the Client's name and address as supplied in this Account Application to Hong Kong Securities Clearing Company Limited for receiving corporate communication directly from the listed issuer on the record date, separate authorisation to Mighty Brokerage by the Client is required.  
 敏哲證券不會自行將此戶口申請書上所提供之客戶姓名及地址披露予香港中央結算公司以作直接收取上市發行人公司通訊之用途。客戶需另行向敏哲證券作出有關授權安排。
3. The Client irrevocably and by way of security appoints Mighty Brokerage as his/her lawful attorney to execute any documents and do all things which Mighty Brokerage in good faith considers necessary and which the Client ought reasonably to do in furtherance or as a consequence of the terms of this Account Application.  
 客戶以不可撤銷及擔保形式委任敏哲證券擔任客戶的合法授權代表簽署及處理任何文件，以及作出任何敏哲證券真誠認為必須的及客戶應當合理作出以貫徹或基於本合約條款而產生的事宜。

4. The Client declares and represents that the information provided on or with this Account Application is true, accurate complete and up to date that Mighty Brokerage is entitled to rely fully on such information and representations for all purposes, unless Mighty Brokerage receive(s) notice in writing of any change. Mighty Brokerage is authorised at any time to contact anyone, including banks, brokers or any credit agency, for purposes of verifying the information provided on or with this Account Application. **The Client undertakes to notify Mighty Brokerage promptly, and in any event, within 30 days of any change in his/her address or other material change in the information provided in this Account Application or the Client Agreement(s).** Furthermore, the Client undertakes to inform Mighty Brokerage of any subsequent appointment, change, revocation or removal of an Authorised Person (if any) and understand and accept that such notification must be provided in writing and shall not take effect until 5 days (or such shorter period as Mighty Brokerage may accept) after the day of actual receipt of such written notification by Mighty Brokerage.

客戶聲明及確認本戶口申請書上提供及隨附的資料皆為屬實、真確、完整及最新的。除非敏哲證券接獲客戶以書面通知的任何變更，否則有權完全依賴此等資料及聲明作一切用途。此外，敏哲證券亦獲授權在任何時間聯絡任何人士（包括銀行、經紀或任何信貸機構），以確定本戶口申請書上提供及隨附的資料。**客戶承諾在地址更改或其他本戶口申請書上的資料發生轉變的 30 天內，及時通知敏哲證券。再者，客戶承諾以書面知會敏哲證券有關授權人士往後的任何委任、變更、撤銷或免任，並明白及接納該知會必須以書面通知敏哲證券，且僅會於敏哲證券收妥該通知書當日起五日後（或敏哲證券可接受的較短時間）生效。**

5. The Client confirms that the **Risk Disclosure Statements** in or accompanying this Account Application have been provided in a language of his/her choice (English or Chinese) and that the Client has been invited to read the risk disclosure statements, to ask questions and take independent advice.

客戶確認載於或附隨本合約的**風險披露聲明書**已按客戶選擇語言（英文或中文）提供予客戶，且獲邀閱讀風險披露聲明書，提出問題與徵求獨立的意見。

6. The Client should familiarise himself/herself with and, where applicable, take advice on the laws and regulations applicable to the subscription, holding and realisation of the investments in respect of this Account in all relevant jurisdictions including the place of his/her domicile/residence. In particular, by opening this Account and signing below, the Client represent and warrant that he/she is not a U.S. or Canadian resident/entity for tax or other purposes, and that he/she is not acting as agent for or on behalf of any U.S. or Canada resident. If the Client's tax or resident status changes, he/she undertakes to notify Mighty Brokerage within 30 days of such changes. The Client warrants and represents that under the laws of his/her place of domicile/residence, the Client is lawfully entitled to open and maintain a trading account with Mighty Brokerage.

客戶應熟悉在客戶居籍/居留地適用於認購、持有及變現投資的法律及規則。尤其當客戶開設該戶口及簽署如下，客戶聲明及保證客戶並非美國或加拿大繳稅或其他目的的居民／實體，又或以代表任何美國或加拿大居民的代理人身份行事。倘若客戶的稅務或居留地的情況有變，客戶承諾在該轉變發生的 30 天內，通知敏哲證券。客戶保證及聲明根據客戶居籍/居留地的法律，客戶有權合法地在敏哲證券開設並維持交易戶口。

7. The Client confirms that he/she is acting as principal in relation to the Account(s). Notwithstanding the foregoing, the Client agrees to provide to Mighty Brokerage evidence of the identity of any ultimate beneficiary, ultimate principal beneficiary or a person or an entity on whose behalf the Client is acting in relation to the Account(s) immediately upon Mighty Brokerage's request. The Client acknowledges that Mighty Brokerage has obligations to provide information to government and/or competent regulatory bodies and undertake to indemnify Mighty Brokerage for any delay in responding to any reasonable request by Mighty Brokerage for information.

客戶確認就該戶口而言，客戶乃以主事人身份行事。儘管如前述，當敏哲證券要求關於該戶口最終實益持有人，最終主要實益持有人或客戶所代表行事的人士的身份證據，客戶同意給予有關的身份證據。客戶確認敏哲證券有義務向政府及/或監管機構提供資料；而且若客戶就回應敏哲證券任何要求資料的合理要求，有所延誤，客戶承諾會賠償敏哲證券。

8. The Client confirms that he/she has read, is aware of and understands the terms out in the Options Information Statement, Hang Seng Indices Futures Disclaimer, Hang Seng Indices Options Disclaimer and HK Exchange Disclaimer in or accompanying the Client Agreement(s).

客戶確認已閱讀，知道並完全明白載於或附隨客戶協議書之期權資料說明，香港期交所免責聲明、恆生指數期貨免責聲明、恆生指數期權免責聲明。

9. The Clients, jointly and severally, acknowledge they are fully aware that in case of death of a joint-account holder:

- (i) the Joint Account may be frozen in accordance with the law or general banking practice; and
- (ii) Mighty Brokerage is under no obligation to accept any instruction(s), including (without limitation) dealing in securities or withdrawal of monies by the surviving joint-account holder unless and until the surviving joint-account holder shall have presented such official documents from the Hong Kong Court (or other competent authority) to the satisfaction of Mighty Brokerage but Mighty Brokerage shall not in any circumstances whatsoever be liable in any way for any loss, damages, liability, cost, expenses or whatsoever suffered or incurred by any of us arising in or in connection with accepting or refusing to accept any instruction(s) of the surviving joint-account holder.

客戶各別及共同確認他們充份知悉到，若聯名戶口任何一名持有人逝世，則：

- (i) 有關的聯名戶口可能會根據法律及一般銀行慣例被凍結；及
- (ii) 敏哲證券並無責任去接受任何指示（包括（但不限於）證券交易或由尚存的聯名戶口持有人提取款項）除非與直至尚存的聯名戶口持有人提交令敏哲證券信納的由香港法院（或其他主管機關）發出的官方文件；惟由於接受或拒絕接受由尚存的聯名戶口持有人所發出的任何指示，而引致他們當中任何人蒙受或承擔損失、損害、債務、費用、支出或任何情況，敏哲證券在任何情況下均不負上任何責任。



10. The Client has read and fully understood the terms of this Account Application and the corresponding Client Agreement(s) and Schedules and agree to be bound by them.  
 客戶已閱讀並完全明白本戶口申請書及有關客戶協議書之合約條款,且同意受該條款約束。
11. Joint Account only: Each joint account holder hereby declares that the Joint Account is held by the joint account holders with right of survivorship.  
 只適用於聯名戶口: 所有聯名戶口申請人謹此聲明, 該聯名戶口是以存續之聯名戶口持有人享有全部所有權的方式持有。

Executed as a deed on 簽訂作契約於

Day 日		Month 月		Year 年	

Signed, sealed and delivered by 簽署、蓋印及送達:

**Individual Applicant/Primary Applicant for the Joint Account**  
 個人申請人/聯名戶口主要申請人

**Other Applicant for the Joint Account**  
 聯名戶口其他申請人

Client's Signature 客戶簽署	←
Client name 客戶姓名	

Client's Signature 客戶簽署	←
Client name 客戶姓名	

**DECLARATION by licensed person/employee of Mighty Brokerage** (to be completed where Account Application is signed before a licensed person accredited to Mighty Brokerage or an employee of Mighty Brokerage)  
 隸屬於敏哲証券持牌人士/僱員聲明 (如戶口申請書在隸屬於敏哲証券的持牌人或敏哲証券僱員面前簽署請填此欄)

I hereby declare that I have met and identified the Client named in this Account Application who executed this Account Application before me, and that I have verified the original Hong Kong Identity Card(s) or Passport(s) of the Client.  
 本人謹此聲明, 本人已經與客戶會晤, 核對其身份並查核其香港身份證或護照正本, 該客戶已在本人面前簽署本戶口申請書。

Signature of licensed person/employee of Mighty Brokerage 敏哲証券持牌人士/僱員簽署
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Day 日		Month 月		Year 年	

Name of licensed person/employee of Mighty Brokerage (please print): 敏哲証券持牌人士/僱員姓名 (正楷):
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CE Number (if applicable): 中央編號 (如適用):
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I hereby declare that I have provided the **risk disclosure statements** in or accompanying the Client Agreement(s) and Schedules in a language of the Client's choice (English or Chinese), and have invited the Clients to read the **risk disclosure statements**, ask questions and take independent advice if the Client wishes.

本人謹此聲明，本人已經按客戶所選擇語言（英文或中文）提供載於或附隨客戶協議的**風險披露聲明書**，並已邀請客戶閱讀該**風險披露聲明書**，提出問題及徵求獨立的意見。

Signature of licensed person of Mighty Brokerage

敏哲証券持牌人士簽署

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Day 日

Month 月

Year 年

Name of licensed person of Mighty Brokerage (please print):

敏哲証券持牌人姓名（正楷）：

CE Number:

中央編號：

**CERTIFICATION** (to be completed where Account Application not signed before a licensed person accredited to Mighty Brokerage or an employee of Mighty Brokerage)

**核證**（如戶口申請書並非在隸屬於敏哲証券的持牌人士或敏哲証券僱員面前簽署請填寫此欄）

I am a\* licensed or registered person or its affiliate, Justice of the Peace, branch manager of a bank, practising lawyer, practising certifiical public accountant or notary public and I hereby certify that I have met and identified the Client named in this Account Application who executed this Account Application before me, and that I have verified the original Hong Kong Identity Card(s) or Passport(s) of the Client.

本人乃\*持牌或註冊人士或其聯號、太平紳士、銀行分行經理、執業律師、執業會計師或公證人，並證實已經與客戶會晤，核對其身份並查核其香港身份證或護照正本，該客戶已在本人面前簽署本戶口申請書。

Signature 簽署

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Day 日

Month 月

Year 年

Name(please print):

姓名(正楷):

Profession (please print):

職業(正楷):

CE Number (if applicable):

中央編號(如適用):

**TRADING MUST NOT COMMENCE UNTIL ALL REQUIRED DOCUMENTS ARE PRESENTED AND THE DOCUMENTATION CHECKED, SIGNED AND APPROVED BY MIGHTY BROKERAGE.**

在提交及由除敏哲証券查對，簽署及批核一切所需文件之前，不得開始進行買賣。