

保證金證券賬戶申請 – 個人

Margin Account Application Form - Individual

致：道口證券有限公司（「道口證券」）：

To : DaoKou Securities Limited (“the Company”):

☐ 請為本人/吾等在 道口證券所開立以下現金帳戶之外，另行**新增保證金賬戶**。

Please open a Margin Account for me/us with the Company, in addition to a Cash Account as detailed below.

☐ 請將本人/吾等在 道口證券所開立以下**現金帳戶轉為保證金賬戶並保留一切獲授權人**。

Please change the account type of my/our securities, details listed below, with the Company from a Cash Account to a Margin Account and keep all Authorized Persons unchanged.

本人/吾等已閱讀、明白並接受 道口證券《證券客戶協議書》及附件 G《保證金客戶協議書》的條款，特別是附錄 G 部分有關保證金賬戶運作、追收保證金、押記、違約及風險披露的條款。

本人/吾等同時簽署《客戶證券常設授權(客戶證券及客戶款項)》並同意其條款，以授權 貴公司進行有關操作。

I/We have read, understood and accepted the terms of the Securities Client Agreement and the Margin Client Agreement (Appendix G) provided by the Company, in particular the provisions in Appendix G relating to the operation of the Margin Account, margin calls, charges, defaults and risk disclosures. I/We also enclosed the signed Standing Authority (Client Securities and Client Money) with this application.

賬戶號碼 Account No.: _____

賬戶名稱 Account Name: _____

生效日期 Effective Date: _____

1. 閣下個人或與閣下之配偶是否控制任何道口證券保證金客戶 35%或以上的投票權 Do you, either alone or with your spouse, control 35% or more of voting rights of any corporate margin client of the Company:

☐ 是 (如有，請述明) Yes, please specify: _____.

☐ 否 No.

2. 閣下之配偶是否在道口證券開有保證賬戶 Is your spouse currently maintaining a margin account of the Company:

☐ 是 (如有，請述明) Yes, please specify: _____.

☐ 否 No.

3. 除上述賬戶外，閣下是否其他道口證券保證金帳戶(配偶除外)的實益擁有人 Other than the aforementioned accounts and spouse accounts, are you the beneficial owner of other margin accounts with the Company:

☐ 是 (如有，請述明) Yes, please specify: _____.

☐ 否 No.

4. 閣下有否為其他道口證券保證金帳戶提供擔保 Are you a guarantor of any other margin account with the Company:
- ☐ 是 (如有, 請述明) Yes, please specify: _____ .
- ☐ 否 No.
5. 是否有任何人士 / 公司為閣下的道口證券保證金帳戶提供任何擔保 Is there any person / company providing any guarantee for your margin account with the Company:
- ☐ 有擔保安排, 擔保人並非道口證券保證金帳戶客戶(請回答第(6)項)
Yes. Guarantor is NOT a margin client with the Company. (Please answer item (6) below)
- ☐ 有擔保安排, 擔保人為道口證券保證金帳戶客戶(請回答第(6)項)
Yes. Guarantor is a margin client with the Company. (Please answer item (6) below)
- (如有, 請述明) Please specify: _____ .
- ☐ 沒有任擔保安排 Without any guarantee arrangement
6. 承上題(5)項, 如閣下保證金帳戶的擔保人並非道口證券保證金帳戶客戶, 就閣下所知, 該名擔保人有否為其他道口證券保證金帳戶提供擔保 Further to question (5) above, if the guarantor of your margin account with the Company is not a margin client of the Company, to your best knowledge, is that the same guarantor of other margin accounts maintained with the Company:
- ☐ 是 (如有, 請述明) Yes, please specify: _____ .
- ☐ 否 No.

客戶簽署 Account Holder's Signature(s)

簽署日期 Date:

註 Note:

- 1) 賬戶須沒有任何未交收買賣, 但不包企業行動;
There should be no unsettled transactions in the Margin account, except corporate actions if any;
- 2) 更改賬戶需要一至兩個工作日。 The above request takes 1 to 2 working days to handle.

For Official use only			
AE/Dealing:	R.O.	S.V.	Input: