



戶口服務種類更改書 Account Type Amendment Form

只接受正本: Original Only

僅供現有客戶使用: For Existing Customers Only 只接受正本表格 Original Copy Only

*****Not Applicable for cancellation of Account 不適用於取消戶口*****

申請日期 Application Date:	
戶口名稱 Account Name:	戶口號碼 Account No:
經紀名稱 A.E. Name:	經紀編號 A.E. No.:

A. 增設服務/戶口 Additional Services/Account

增設網上交易 Additional On-line Trading

我/我們欲使用 *POEMS* 電子服務。我/我們已經閱讀並明白網上交易協議的條款，並接受這些條款的約束。

I/We want to use the *POEMS Electronic Services*. I/We have read and understand the provisions of the On-line Trading Agreement and accept to be bound by the same.

增設股票期權戶口 Additional Stock Options Account

請按照期權協議為我/我們(在下面簽名的客戶)開立期權戶口。我/我們已經明白期權戶口協議的條款，並接受這些條款的約束。

Please open an Options Account for me/us, the undersigned Customer(s), in accordance with the terms set out in the Options Trading Agreement, which I/We have read and accept to be bound by the same.

關於SEOCH基於証券組合的按金的確認

Acknowledgement in respect of SEOCH Margining on a portfolio basis

I/We the undersigned Customer, hereby authorize the company to submit a claim with the SEHK Options Clearing House Ltd. ("SEOCH") in respect of my/our open positions to the effect that SEOCH will calculate and collect margin in respect of such positions on a portfolio basis. 我/我們(在下方簽名的客戶)在此授權公司向香港聯合交易所期權結算所(簡稱[期權結算所])提交關於我/我們之持倉由期權結算所以組合基礎計算及收取有關之按金

個人/主要帳戶持有人簽署 Individual/Primary Joint Signature:	聯名帳戶第二持有人簽署 Secondary Joint Account Holder's Signature:
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B. 更改戶口 Change of Account Type

由現金戶口轉為孖展戶口 Cash Account Change To Margin Account

請為我/我們(在下面簽署的客戶)轉為孖展戶口。我/我們已經閱讀並明白附表 5 中闡明孖展客戶協議的條款，並接受這些條款的約束。 Please close my/our cash account and open a new margin account for me/us, the undersigned Customer(s), I/We have read and understand the provisions of the Margin Client Agreement as set out in Schedules 5 and accept to be bound by the same.

由孖展戶口轉為現金戶口 Margin Account Change To Cash Account

請為我/我們(在下面簽署的客戶)取消孖展戶口並開立現金戶口，我們已經閱讀並明白證券客戶協議的條款，並接受這些條款的約束。 Please close my/our margin account and open a new cash account for me/us, the undersigned Customer(s). I/We have read and understand the provisions of the Securities Client Agreement and accept to be bound by the same.

個人/主要帳戶持有人簽署 Individual/Primary Joint Signature:	聯名帳戶第二持有人簽署 Secondary Joint Account Holder's Signature:
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C. 客戶聲明/確認 Declaration/Acknowledgement by Customer

(只供個人/聯名戶口使用 For Individual/Joint Account)

1. 你的配偶是否輝立證券的孖展客戶?

Is your spouse a margin client of Phillip Securities (HK) Limited?

是 Yes: 帳戶名稱 Account Name: _____ 帳戶編號 Account No: _____
 否 No

2. 你是否個人或與你的配偶共同控制輝立證券的公司孖展客戶 35% 或以上的投票權

Do you or your spouse alone or jointly control 35% or more of the securities in the margin account?

是 Yes: 帳戶名稱 Account Name: _____ 帳戶編號 Account No: _____
 否 No

****只適用於期權客戶 For Option Accounts Only****

3. 你是否會委託授權人運作本戶口有關事宜?

Will you appoint any person to operate and deal with all matters in relation to your option account?

是 Yes: 請填妥委託帳戶授權書如仍未填妥。Please complete the "Agreement of Authorized Person" if not yet completed
 否 No

I/We acknowledge that 本人/吾等確認:

- i. I was/We were invited to read the Risk Disclosure Statement in Schedule 3 of the Client Agreement with Phillip Securities (Hong Kong) Limited, ask questions and take independent advice, if I/We wished. 本人/吾等曾被邀請細閱輝立證券(香港)有限公司之客戶協議書中附表三的的風險披露聲明內容, 如本人/吾等有需要, 本人/吾等可以發問及尋求獨立意見。
- ii. The agreement and the schedules attached were provided in a language (English or Chinese) of my choice. 協議書及附表內容均以本人/吾等所選擇的語言(中文或英文)提供。
- iii. The personal data herein shall be use for processing your application for change of account type. Handling of personal data will be in accordance with the Company's Personal Information Collection Statement, as stated in the Client Agreement provided upon account opening. 本協議書內所載列之個人資料僅用作財務建議服務的申請。客戶個人資料將依據本公司客戶協議中的個人資料收集聲明來處理。
- iv. Phillip Securities (Hong Kong) Limited shall either confirm your application by written notice or inform you of our refusal thereof via telephone no later than 14 working days after receipt of it. 輝立證券(香港)有限公司於收妥閣下申請表後 14 工作天內以書面形式確認閣下之申請, 或以電話形式通知閣下之申請不被接納。

D. 職員或客戶主任聲明 Declaration by Staff/A.E

(請用正楷填寫 Please complete in block letters)

我 _____ (註冊人員姓名正楷), 確認已經以附件 3 的形式向客戶提供了風險披露聲明, 詢問有關問題, 如果客戶要求, 亦提供了獨立的意見。

I, _____ (Print name of registered person) confirm that I have provided that Risk Disclosure Statement as set out in schedule 3 in a language (English or Chinese) of the Customer's choice and that I have invited the Customer to read the Risk Disclosure Statement, ask questions and take independent advice, if the Customer wishes.

職員簽署 Signature of Staff:	CE 編號 CE No.
職員姓名 Name of Staff:	日期 Date:

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批核 Approval:

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

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