

中信證券經紀 (香港) 有限公司 ("中信證券經紀香港") CITIC Securities Brokerage (HK) Limited ("CSBHK") C.E. 編號: AAE 879

證券帳戶號碼 Securities Account Number
期貨帳戶號碼 Futures Account Number
分行號碼 Branch Code
經紀號碼 A.E. Code

中信證券期貨 (香港) 有限公司 ("中信證券期貨香港") CITIC Securities Futures (HK) Limited ("CSFHK") C.E. 編號: AHR 752

1. 戶口種類 Account Type
與中信證券經紀香港的證券交易戶口 Account (s) for Securities trading with CSBHK
與中信證券期貨香港的期貨及期權交易戶口 Account (s) for Futures and Options trading with CSFHK

2. 個人資料 Personal Data
客戶名稱 Name of Client
身份證 / 護照號碼 ID / Passport No.
住宅地址 Home Address
郵寄地址 (若與以上地址不同) Mailing Address
住宅電話 Home Phone No.
手提電話 Mobile Phone No.
傳真號碼 Fax No.
此電郵地址將會用作收取電子帳單 This email address will be registered for electronic statement.

3. 客戶常設交收銀行戶口指示 Bank Account Standing Instruction for Securities / Futures Account Settlement
銀行名稱 Bank Name
帳戶號碼 Account No.
* 除非客戶於提款指示中指定另外之付款方式, 由客戶證券 / 期貨戶口提取之款項將會存入以上之銀行戶口。

4. 財務及投資資料摘要 Financial and Investment Summary
每年總收入 Annual Income
估計淨資產值 Estimated Net Worth
資金來源 Source of Fund
財產來源 Source of Wealth
投資經驗 Investment Experiences
投資目的 Investment Objective

CSI-1-2403 / 16 (CE)

投資目標 Investment Target :	<input type="checkbox"/> 短期 (少於 3個月) Short Term (<3 months)	<input type="checkbox"/> 中期 (3 - 12個月) Medium Term (3 - 12 months)
	<input type="checkbox"/> 長期 (一年以上) Long Term (>1 year)	
預期交易活動 (年計) Anticipated Level of Activity (Yearly) :	總交易金額(港幣) Total Transaction Amount (HKD):	
	<input type="checkbox"/> HK\$0 - HK\$5,000,000	<input type="checkbox"/> HK\$5,000,001 - HK\$10,000,000
	<input type="checkbox"/> HK\$10,000,001 - HK\$30,000,000	<input type="checkbox"/> >HK\$30,000,000

5. 資料披露 Disclosure of Information

5.1 相關身份披露 Disclosure of identity

- i. 閣下是否任何交易所、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、合伙人、董事或員工？

Are you 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?

<input type="checkbox"/> 否 No	<input type="checkbox"/> 是 (請詳述) Yes (Please provide details):	交易所、交易委員會、結算所、銀行、信託公司、證券經紀、期貨經紀或持牌法團名稱: Name of the exchange, board of trade, clearing house, bank, trust company, securities broker, futures broker or licensed corporation:
		閣下同意中信證券經紀香港或中信證券期貨香港可於提供任何服務給予閣下前接觸上述人士並須得到該人士同意。 You agree that CSBHK or CSFHK may approach the above person to obtain its consent before providing any service to you.

- ii. 閣下有沒有親屬於中信證券經紀香港或中信證券期貨香港工作 Relative(s) working in CSBHK or CSFHK:

<input type="checkbox"/> 沒有 No	<input type="checkbox"/> 有 (請詳述) Yes (Please provide details):	親屬名稱 Name:	關係 Relationship:
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5.2 最終受益於交易及承擔風險人士 Person ultimately benefiting from the transactions and bearing the risks:

<input type="checkbox"/> 客戶本人 The Client:	<input type="checkbox"/> 其他 (請詳述) Others (Please provide details):	名稱 Name:	身份證 / 護照號碼 ID / Passport No.:
		地址 Address:	
		(郵編 Postal Code)	電話 Phone No.: () -

5.3 最終負責發出指示的人士 Person ultimately responsible for originating instructions:

<input type="checkbox"/> 客戶本人 The Client:	<input type="checkbox"/> 其他 (請詳述) Others (Please provide details):	名稱 Name:	身份證 / 護照號碼 ID / Passport No.:
		地址 Address:	
		(郵編 Postal Code)	電話 Phone No.: () -

5.4 關連客戶 Connected Client

適用於中信證券經紀香港的客戶 For customer of CSBHK only

請披露閣下是否為中信證券經紀香港或其所屬集團的「關連客戶」(根據香港聯合交易所有限公司證券上市規則所定義)及其詳情。

Please disclose whether you are a "connected client" (as defined under the Rules Governing the Listing of Securities of The Stock Exchange of Hong Kong Limited) of CSBHK or the group in which CSBHK is a member and if so, please provide the details.

<input type="checkbox"/> 否 No	<input type="checkbox"/> 是 (請詳述) Yes (Please provide details):	
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5.5 其他 Other

居於香港以外地區的個人客戶? Is the individual customer resided outside Hong Kong?

- i. 是 - 請填寫法律文件接收人委任表格 否
Yes - please complete Process Agent appointment form No

- ii. 適用條款的管轄語文版本 Prevailing language version of the applicable Terms and Conditions

中文 Chinese 英文 English

6. 保證金戶口客戶資料披露 Margin Account Customer's Disclosure of Information

適用於中信證券經紀香港的保證金客戶 For Margin Account customer of CSBHK only

- i. 閣下的配偶是否中信證券經紀香港的保證金客戶? Is your spouse a margin customer of CSBHK?

<input type="checkbox"/> 否 No	<input type="checkbox"/> 是 (請詳述) Yes (Please provide details):	配偶名稱 Spouse Name:	保證金戶口號碼 Margin Account No.:
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- ii. 閣下是否個人或與閣下的配偶共同控制任何中信證券經紀香港的公司保證金客戶35%或以上的投票權?

Are you, either alone or with your spouse, in control of 35% or more of the voting rights of any corporate margin customer of CSBHK?

<input type="checkbox"/> 否 No	<input type="checkbox"/> 是 (請詳述) Yes (Please provide details):	公司名稱 Company Name:	保證金戶口號碼 Margin Account No.:
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- iii. 閣下是否有任何集團公司為中信證券經紀香港的公司保證金客戶?

Is any of your group company a corporate margin customer of CSBHK?

<input type="checkbox"/> 否 No	<input type="checkbox"/> 是 (請詳述) Yes (Please provide details):	公司名稱 Company Name:	保證金戶口號碼 Margin Account No.:
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7. 客戶聲明 Customer's Declaration

本人 / 吾等保證上述資料為真實及正確，並授權中信證券經紀香港及 / 或中信證券期貨香港 (視屬何情況而定) 通過任何人士進行核實。本人 / 吾等承諾在客戶資料表格提供的資料如有任何變更，會立即通知中信證券經紀香港及 / 或中信證券期貨香港 (視屬何情況而定)。

此客戶資料表格受中信證券經紀香港的證券買賣條款及 / 或中信證券期貨香港的期貨及期權買賣條款 (視屬何情況而定) 及附錄 (如適用) 約束。本人 / 吾等已閱讀並已明白中信證券經紀香港證券買賣條款及 / 或中信證券期貨香港期貨及期權買賣條款 (視屬何情況而定) 及附錄 (如適用) 以及提供予本人 / 吾等的有關香港個人資料 (私隱) 條例之通告，並且同意受不時經修改及 / 或補充的該等條款及該通告所約束。本人 / 吾等確認已按照本人 / 吾等選擇的語言獲提供包含於上述中信證券經紀香港的證券買賣條款及 / 或中信證券期貨香港的期貨及期權買賣條款 (視屬何情況而定) 內的風險披露聲明，並已獲邀閱讀該風險披露聲明、提出問題及徵求獨立意見 (如本人 / 吾等有此意願)。

本人 / 吾等知悉並確認已填寫年度常設授權書，授權中信證券經紀香港及 / 或中信證券期貨香港 (視屬何情況而定) 按照年度常設授權書的條文，處理證券戶口 (定義見中信證券經紀香港的證券買賣條款) 戶口 (定義見中信證券期貨香港的期貨及期權買賣條款) 以及任何不時代表本人 / 吾等持有的其他綜合戶口的資金。此項授權由本人 / 吾等簽署年度常設授權書當日起計為期不超過12個月，並可按照年度常設授權書內具體列明的適用法律及規則續訂權限或被視為續訂權限。

I / We warrant that the above information is true and correct, and authorize CSBHK and / or CSFHK (as the case may be) to verify it with any source. I / We undertake to promptly notify CSBHK and/or CSFHK (as the case may be) if there is any change in the information provided by me/us in this Customer Information Statement.

This Customer Information Statement is subject to the Terms and Conditions for Securities Trading of CSBHK and / or the Terms and Conditions for Futures and Options Trading of CSFHK (as the case may be) and any Addendum (if applicable) from time to time. I / We confirm that I / we have read and understood the Terms and Conditions for Securities Trading of CSBHK and / or the Terms and Conditions for Futures and Options Trading of CSFHK (as the case may be) and any Addendum (if applicable) from time to time and Circular relating to the Personal Data (Privacy) Ordinance provided to me / us, and agree to be bound by each of the above as amended and / or supplemented from time to time. I / We confirm that the Risk Disclosure Statement contained in the aforesaid Terms and Conditions for Securities Trading of CSBHK and / or the Terms and Conditions for Futures and Options Trading of CSFHK (as the case may be) have been provided to me / us in the language of my / our choice and that I / we have been invited to read the same, to ask questions and to take independent advice (if I / we wish).

I / We acknowledge and confirm that I / we have completed an Annual Standing Authority form whereby I / we have authorized CSBHK and / or CSFHK (as the case may be) to deal with funds in the Securities Account (as defined in the Terms and Conditions for Securities Trading of CSBHK), the Account (as defined in the Terms and Conditions for Futures and Options Trading of CSFHK) and any other segregated accounts held on my / our behalf from time to time in accordance with the provisions of the Annual Standing Authority form. This authority is given for a period of not more than twelve months from the date on which I / we sign the Annual Standing Authority form and may be renewed or deemed to be renewed in accordance with the applicable laws and rules and as specified in the Annual Standing Authority form.

本人 / 吾等反對本人 / 吾等的個人資料被用作貴公司個人資料 (私隱) 條例之通告中所指的服務或產品的直接促銷，及 / 或轉移至中信證券國際有限公司 (「中信證券國際」)、中信銀行 (國際) 有限公司 (「中信銀行國際」) 及 / 或它們的任何集團公司用作相關直接促銷。

(*如閣下未有在空格上加「✓」，但在客戶資料表格上簽署表示接納有關個人資料 (私隱) 條例之通告，將表示閣下不反對 (即同意) 閣下的個人資料可被用作相關直接促銷，或轉移至中信證券國際、中信銀行國際，及 / 或它們的任何集團公司用作相關直接促銷，然而閣下可隨時撤銷該同意，以停止接收任何推廣資料或物品。)

I / We object to the use of my personal data for direct marketing as specified in your company's Circular relating to the Personal Data (Privacy) Ordinance and/or transfer of my personal data to CITIC Securities International Company Limited ("CSI") and China CITIC Bank International Limited ("CNCBI") and their group companies for direct marketing.

(*If you do not tick the box but sign on the Customer Information Statement to signify your acceptance of the Circular relating to the Personal Data (Privacy) Ordinance, you will be regarded as having indicated that you have no objection (i.e. consent) to the use or transfer to CSI, CNCBI and their group companies of your personal data for direct marketing as stated in the Circular. You may still opt-out from receiving any marketing information or materials at any time should you wish to withdraw your consent.)

只適用於保證金戶口客戶 For Margin Account customer only

本人 / 吾等現申請中信證券經紀香港之保證金證券貸款服務，並同意接受中信證券經紀香港的保證金證券貸款條款及其證券買賣條款及其不時的修改所約束。本人 / 吾等確認本人 / 吾等已閱讀有關條款 (尤其是其分別的風險披露聲明)。本人 / 吾等確定已按照本人 / 吾等選擇的語言獲提供包含於證券買賣條款及保證金證券貸款條款內的風險披露聲明，並已獲邀閱讀該風險披露聲明、提出問題及徵求獨立的意見 (如本人 / 吾等有此意願)。

本人 / 吾等謹此承諾及確認本人 / 吾等已授權中信證券經紀香港根據上述保證金證券貸款條款第5條規定處理本人 / 吾等的證券及證券抵押品。授權有效期為由協議日期起計不超過12個月，有關授權可根據適用的法律及規則，在 (1) 協議訂立之年份的最後一天或之前及 (2) 隨後之每個曆年的最後一天或之前，經本人 / 吾等同意延續或被視為延續，而每一次延續有效期為12個月。

I / We hereby apply for the Margin Financing Service of CSBHK and agree to be bound by the Terms and Conditions for Margin Financing of CSBHK as amended and / or supplemented from time to time in addition to its Terms and Conditions for Securities Trading. I / We confirm that I / we have read and understood the said Terms and Conditions (in particular their respective Risk Disclosure Statements). I / We confirm that the Risk Disclosure Statements contained in the Terms and Conditions for Securities Trading and the Terms and Conditions for Margin Financing have been provided to me/us in the language of my / our choice, and that I/we have been invited to read the same, to ask questions and to take independent advice (if I / we wish).

I / We acknowledge and confirm that I / we have authorized CSBHK to deal with my / our securities and securities collateral in accordance with Clause 5 of the aforesaid Terms and Conditions for Margin Financing. This authority is given for a period of not more than twelve months from the date hereof and may be renewed by my / our consent, or deemed to be renewed, at or before the end of (1) the calendar year of the date hereof and (2) each subsequent calendar year for, in each instance, a further twelve months in accordance with the applicable laws and rules.



此帳戶可根據以下指示方式操作 (請在適當空格加 ✓) :

The Account can be operated under the instruction of (please tick the appropriate box) :

- 客戶本人 The client 任何一位帳戶持有人的指示 Either one of the account holder 兩位帳戶持有人的指示 Both account holders 多於兩位帳戶持有人的指示 More than 2 account holders

(*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).)

客戶簽署 / 簽署式樣* Client Signature / Specimen Signature*  (個人) (Individual) 日期 Date	客戶簽署 / 簽署式樣* Client Signature / Specimen Signature*  (聯名客戶) (Joint) 姓名 Name (聯名 Joint): 日期 Date
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由持牌代表填寫 To be completed by Licensed Representative

本人 _____ (姓名以正楷書寫) 持有C.E.編號 _____ 確認本人已按上述客戶選擇的語言版本，為其提供中信證券經紀香港的證券買賣條款及保證金證券貸款條款及 / 或中信證券期貨香港的期貨及期權買賣條款 (視屬何情況而定)，本人並已邀請該客戶閱讀該等條款、提出問題及徵求獨立意見 (如客戶有此意願)。

I, _____ (name in block letters) with C.E. number _____ confirm that I have provided the Risk Disclosure Statements contained in the Terms and Conditions for Securities Trading and the Terms and Conditions for Margin Financing of CSBHK and / or in the Terms and Conditions for Futures and Options Trading of CSFHK (as the case may be) in the language of the above customer's choice to the above customer and that I have invited the customer to read the same, to ask questions and to take independent advice (if customer wishes).

持牌代表簽名 Licensed Representative Signature:	日期 Date:
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內部專用 For Internal Use

- 香港證券交易 HK Securities Trading 美國證券交易 US Securities Trading 香港恒指期貨及期權交易 HK Index Futures and Options Trading 國際期貨交易 Global Futures Trading

開戶備忘 Account Opening Checklist

- | | |
|---|---|
| <input type="checkbox"/> 客戶及最終受益人身份證明文件副本 (附見證人簽署)
香港身份證 / 護照 / 當地居民身份證
Copy of Identity Documents of Client and Ultimate Beneficial Owner(s) with Witness Signature
Hong Kong Identity Card / Passport / Local Resident Identity Card | <input type="checkbox"/> 期貨及期權買賣條款之附錄 (只適用於申請國際期貨交易之客戶)
Addendum to Terms and Conditions for Futures and Options Trading (For Global Futures Trading only) |
| <input type="checkbox"/> 客戶及最終受益人近三個月之地址證明
Proof of Address of Client and Ultimate Beneficial Owner(s) within 3 Months | <input type="checkbox"/> 第三者授權書 (附被授權人之身份證副本)
Third Party Authorization with ID Copy of Authorized Person(s) |
| <input type="checkbox"/> 銀行月結單副本
Bank Statement Copy | <input type="checkbox"/> 每年常設指示 (付款予第三者)
Annual Client Instruction (Payment to third party) |
| <input type="checkbox"/> 防止洗黑錢問卷
Anti-Money Laundering Risk Assessment Questionnaire | <input type="checkbox"/> 預先確認報告申請表
Pre-confirmation Request Form |
| <input type="checkbox"/> 「免責聲明」確認書 (只適用於中信證券期貨香港之客戶)
Acknowledgement of Disclaimer (For CSFHK only) | <input type="checkbox"/> 法律文件接收人委任書
(只適用於: 甲. 無香港地址之保證金戶口及期貨戶口, 或
乙. 無香港地址而又申請港幣5百萬以上之託管 / 現金戶口)
Process Agency Appointment Document if [For (a) Margin account and Futures account without HK address, or (b) Custodian / DVP account without HK address and trading limit >= HK\$5M] |
| <input type="checkbox"/> 年度常設授權 (只適用於中信證券期貨香港之客戶)
Annual Standing Authority (For CSFHK only) | <input type="checkbox"/> 其他文件
Other Documents |
| <input type="checkbox"/> W-8BEN表格 (只適用於申請美股或國際期貨交易之客戶)
W-8BEN Form (For US Securities or Global Futures Trading only) | |

佣金 / 交易限額 / 信貸限額及利息 Commission Rate / Trading Limit / Credit Limit & Interest

		標準收費 Standard Rate	新建議 Proposed		標準收費 Standard Rate	新建議 Proposed
證券 Securities	經紀佣金 (港股) Commission Rate (HK)	0.25%, \$100 (Min)	%, \$ (Min)	經紀佣金 (美股) Commission Rate (US)	0.20%, US\$20 (Min)	%, US\$ (Min)
	網上佣金 (港股) Internet Commission Rate (HK)	0.20%, \$80 (Min)	為經紀佣金收費的80%	網上佣金 (美股) Internet Commission Rate (US)	0.20%, US\$20 (Min)	%, US\$ (Min)
	信貸利息 (保証金) Interest Rate (Margin)	P + 2.5%	P + %	經紀佣金 (滬股) Commission Rate (SSE)	0.20%, CNY80 (Min)	%, CNY (Min)
香港期貨 HK Futures	期貨 (HSI) Futures (HSI)	\$60 (Day trade) \$100 (Overnight)	\$ (Day trade) \$ (Overnight)	期貨 (HHI) Futures (HHI)	\$40 (Day trade) \$70 (Overnight)	\$ (Day trade) \$ (Overnight)
	期貨 (MHI) Futures (MHI)	\$20 (Day trade) \$40 (Overnight)	\$ (Day trade) \$ (Overnight)	期貨 (MCH) Futures (MCH)	\$20 (Day trade) \$40 (Overnight)	\$ (Day trade) \$ (Overnight)
國際期貨 Global Futures	美國品種 U.S. Contracts			LME 銅 錫 鎳 Copper, Stannum, Nickel		
	東京膠 TOCOM Rubber			LME 鋁 鉛 鋅 Aluminium, Lead, Zinc		

• 在中信証券經紀 (香港) 有限公司 / 中信証券期貨 (香港) 有限公司的關連戶口 Related account(s) with CSBHK / CSFHK

配偶 (Spouse)	客戶名稱: Client name	帳戶號碼 a/c. no.
18歲以下的子女 (Children under 18 years old)	客戶名稱: Client name	帳戶號碼 a/c. no.
客戶為另一帳戶之擔保人 / 股東 / 受益人 (Client is a guarantor / shareholder / beneficiary of another account)	客戶名稱: Client name	帳戶號碼 a/c. no.
客戶開立另一聯名帳戶 (Client maintains another joint name account)	客戶名稱: Client name	帳戶號碼 a/c. no.

	新建議 Proposed	其他關連戶口 Other Related a/c(s)		其他關連戶口 Other Related a/c(s)		總數 Total
		帳戶號碼: a/c. no.:	百萬元 Mil	帳戶號碼: a/c. no.:	百萬元 Mil	
交易限額 Trading Limit	HK\$ 百萬元 Mil	HK\$ 百萬元 Mil	百萬元 Mil	HK\$ 百萬元 Mil	百萬元 Mil	百萬元 Mil (a)
信貸限額 Credit Limit	HK\$ 百萬元 Mil	HK\$ 百萬元 Mil	百萬元 Mil	HK\$ 百萬元 Mil	百萬元 Mil	百萬元 Mil (b)
期貨交易限額 ^{Note 1} Futures Trading Limit	HK\$ 百萬元 Mil	HK\$ 百萬元 Mil	百萬元 Mil	HK\$ 百萬元 Mil	百萬元 Mil	百萬元 Mil (c)
TOTAL EXPOSURE for Securities and Futures Trading account:						百萬元 Mil
						Trading Limit (a) + (c) HK\$ _____
						百萬元 Mil
						Credit Limit (b) HK\$ _____
						百萬元 Mil
Note 1: Futures Trading Limit is the total margin requirements in dollar amount of the open positions in the account						(如總數高於5百萬, 請遞交個別申請表至信貸部) (Please fill separate application form to Credit Department for total over HK\$5M)

申請原因 / 說明 Reasons / Explanation

1. 認識客戶年期 I have known the Client for: <1 yr 1 to 5 yrs >5 yrs
2. 介紹模式 Mode of Introduction: 自薦 Walk-in 引薦 Referral: _____ 其他 Others: _____
3. 客戶全年收入 (如有不同 if any different) 資產淨值
Client's annual income (HK\$ _____) net worth (HK\$ _____)
4. 客戶與中信証券國際或其他投資機構維持良好交易紀錄 (如其他經紀或銀行等)
Client's satisfactory settlement history with CSI or other investment company (e.g. other brokers or banks, etc.)
5. 客戶在中信証券國際之存倉值 Client's current portfolio value maintained with CSI
6. 獲其他投資機構授予相約交易 / 信貸限額 Comparable trading / credit limit granted by other investment companies.
7. 其他 Others: _____

一同附上之有關文件 Document(s) Attached For The Application

1. 收入 / 資產淨值之證明 (如銀行月結單、稅單等) Income / Net worth proof (e.g. bank statement, tax demand note, etc.)
2. 投資交易紀錄 (如其他經紀或銀行月結單等) Trading / investment history / record (e.g. other brokers, bank statements, etc.)
3. 信貸 / 交易限額協議 / 文件 (如其他經紀 / 銀行月結單或戶口開立協議等)
Trading / Credit Limit Agreement / Letter (e.g. other brokers / bank statements or account opening agreement, etc.)
4. 其他 Others: _____

Sign off By:		核對:	
核查及同意:		客戶服務主任 CSO	
Reviewed & Concurred By: _____ (Date: _____)	經紀 / 證券銷售員 AE / Salesperson (Name: _____ C.E. No.: _____)	Checked By: _____ (Date: _____)	客戶服務主任 CSO (Name: _____)
批核:		批核:	
Approved By: _____ (Date: _____)	分行經理 / 分組主管 Branch Manager / Team Head (適用於交易限額不多於港幣五十萬元及佣金高於 / 相等於0.20%) (Applicable to trading limit up to HK\$0.50M and commission rate ≥ 0.20%) (Name: _____ C.E. No.: _____)	負責人員 Responsible Officer (適用於交易限額為港幣五十萬元以上或佣金低於0.20%) (Applicable to trading limit > HK\$0.50M or commission rate < 0.20%) (Name: _____ C.E. No.: _____)	Approved By: _____ (Date: _____)