

## 授權第三者操作本人 / 吾等之戶口 Authorization for Third Party to Operate Account

致： 東航國際金融(香港)有限公司  
To: CES Capital International (Hong Kong) Co., Limited  
香港灣仔分域街18號捷利中心22樓全層  
22/F Jubilee Centre, 18 Fenwick Street, Wan Chai, Hong Kong

個人 / 主要戶口持有人  
Individual / Primary Joint Account Holder

聯名戶口第二持有人  
Secondary Joint Account Holder

由  
From: \_\_\_\_\_  
姓名 Name

姓名 Name \_\_\_\_\_

身份證號碼 / 護照號碼 Identity Card Number / Passport Number \_\_\_\_\_

身份證號碼 / 護照號碼 Identity Card Number / Passport Number \_\_\_\_\_

客戶號碼 Account No.

- 證券現金戶口 Securities Cash Account  
 證券保證金戶口 Securities Margin Account  
 期貨戶口 Futures Account  
 槓杆式外匯戶口 Leveraged Foreign Exchange Account  
 單位信託戶口 Unit Trust Account

本人 / 吾等現授權下列人士 (下稱"獲授權人士")代本人 / 吾等於貴公司操作上述戶口, 包括發出口頭或書面交易指示及確認交易。

With reference to the above mentioned Account(s) opened and operated by me/us with you, I/we hereby authorize the following person (the "authorized person") to give oral or written trading instructions and to confirm the transaction(s) for and on my/our behalf.

獲授權人士姓名  
Name of Authorized Person \_\_\_\_\_  
聯絡電話號碼  
Contact Phone Number \_\_\_\_\_  
住宅地址  
Residential Address \_\_\_\_\_

身份證號碼 / 護照號碼  
Identity Card Number / Passport Number \_\_\_\_\_  
電郵地址  
Email Address \_\_\_\_\_

- 茲附上獲授權人士的身份證或護照副本 Copy of ID card or Passport of Authorized person has been attached  
 茲附上獲授權人士的住址證明 Residential Proof of Authorized person has been attached

戶口持有人與獲授權人士之關係 Relationship between Account Holder and Authorized Person

- 父母與子女 Parent and Child  配偶 Spouse  親屬 Relatives  朋友 Friend  其他, 請註明 Others, please specify \_\_\_\_\_

獲授權人士是否為證監會或金管局之持牌或註冊人士

Is the authorized person, licensed by, or registered with the SFC or HKMA.

- 否 No  是, 請提供以下資料 Yes, please provide the following information

持牌或註冊人士姓名 Licensed / Registered Name of authorized person	
中央編號 CE. No.	
持牌公司名稱 Name of Licensed Corporation	

授權第三者操作帳戶的原因。

Reason for Authorizing third party to operate account(s). \_\_\_\_\_

本人 / 吾等亦同意, 所有此等指示均須視作同本人 / 吾等之指示, 並對本人 / 吾等具有約束效力。

I/We also agree that any such instruction of the Transaction shall be deemed to be my/our instructions and shall be binding on me/us.

本人 / 吾等進一步同意對獲授權人士之作為或不作為負全責, 並就貴公司能因此蒙受或承擔之損失或損害, 作出全數彌償。

I/We further agree to be fully responsible for any acts or omissions of the Authorized Person and to keep you fully indemnified against all losses or damages which you may suffer or incur as a result of such acts or omissions.

貴公司已向本人解釋第三方授權的風險, 本人願意自行承擔授權風險, 對授權人的疏忽負責。

I/We understand the potential risk of Third Party Operate Account, I/We agree to be fully responsible for any risk, negligence and fault due to the mentioned action by the Authorized Person.

貴公司無需對此項授權遭受之任何損失, 損害及後果負責。

I/We agree "CES" is not responsible for any loss, damages or indemnity for the account.

本人 / 吾等明白在任何情況下, 獲授權人均不獲准提取、轉出, 或以其他方式挪走授權人戶口中的任何款項或交易產品。

I/We further agree that Authorized Person is not allowed to withdraw, transfer or by any methods to transfer money or asset out from my/our account under any circumstances.

本人 / 吾等知曉並同意本人/吾等在貴公司的第三方授權人數總計不能超過2位。

I/We further agree that we can only assign to a maximum of 2 Authorized Persons to operate the account maintained with you.

本人 / 吾等及獲授權人明白, 獲授權人同意不能再進行第三方授權, 以保障帳戶安全及減低損失。

I/We and the Authorized Person agree that any sub delegate of Third Party Operation by the Authorized Person is prohibited.

本人 / 吾等明白，該項授權將持續有效，直至貴司接獲本人或獲授權人取消授權的書面通知，而本人及獲授權人仍需就接獲取消授權前已進行之交易所導致及可能導致的損失負上責任。

I/We further acknowledge this authorization will be effective until any revocation written by me/us or by the Authorized Person is received by "CES", I/we shall be liable and responsible for any loss incurred or may incur in the account and transactions done within the authorization period.

本人 / 吾等確認此授權服務之第三方獲授權人不會得到任何酬勞。

I/We further confirm that the Authorized person shall not receive any remuneration for the Third Party Operate Account Authorization.

本人 / 吾等明白可以向貴公司位於上述所列明之地址發出書面通知以撤回此授權書，該等通知之生效日期為貴公司真正收到該等通知後之 14 日起計。

This authorization may be revoked by giving you written notice at your address specified above. Such notice shall take effect upon the expiry of 14 days from the date of your actual receipt of such notice.

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。

This authorization has been explained to me/us and I/we understand the contents of this letter.

**個人 / 主要戶口持有人簽署**

Signed by Individual / Primary Account Holder

**聯名戶口第二持有人簽署**

Signed by Secondary Account Holder

**獲授權人士簽署**

Signed by Authorized Person :

日期 Date :

日期 Date :

日期 Date :

**東航國際金融 (香港) 有限公司 CES Capital International (Hong Kong) Co., Ltd (下稱 "東航金融" hereinafter "CES")**

東航金融為獲准從事第1類(證券交易)、第2類(期貨交易)、第3類(槓桿式外匯交易)、第4類(就證券提供意見)、第5類(就期貨合約提供意見)、第9類(提供資產管理)受規管活動之持牌法團(證監會中央編號: AGT955)和香港聯合交易所有限公司的交易所參與者。  
CES is a licensed corporation to carry on Type 1 (Dealing in Securities), Type 2 (Dealing in Futures Contracts), Type 3 (Leveraged Foreign Exchange Trading), Type 4 (Advising on Securities), Type 5 (Advising on Futures Contracts), Type 9 (Asset Management) regulated activities (SFC CE No: AGT955) and an Exchange Participant of the Stock Exchange of Hong Kong Limited.

**第三方獲授權人資料 Authorized Person Information**

**第三方獲授權人資料 Authorized Person Information**

<input type="checkbox"/> 先生 Mr.	<input type="checkbox"/> 小姐 Miss	<input type="checkbox"/> 女士 Ms.	<input type="checkbox"/> 太太 Mrs.	中文姓名 Chinese Name
英文姓名 (先寫姓氏), 姓名必須與閣下的身份證/護照相符 English name (Surname First) as per your identity card / passport				出生日期 Date of Birth
身份證號碼 / 護照號碼 (請附副本) Identity Card Number / Passport Number (Please enclose copy)			身份證/護照簽發國家 Identity Card / Passport Issuing Country	
國籍 Nationality	<input type="checkbox"/> 香港居民 Hong Kong Resident	<input type="checkbox"/> 其他, 請註明 Others, please specify	婚姻狀況 Marital Status	子女數目 Child no.
	<input type="checkbox"/> 中國 the People's Republic of China		<input type="checkbox"/> 單身 Single	
			<input type="checkbox"/> 已婚 Married	<input type="checkbox"/> 離婚 divorced
學歷 Education Level	<input type="checkbox"/> 小學 Primary	<input type="checkbox"/> 中學 Secondary	<input type="checkbox"/> 預科 / 專上學院 Post Secondary	<input type="checkbox"/> 大學或以上 University or above
職業 Occupation	<input type="checkbox"/> 自僱 Self-employed	<input type="checkbox"/> 受僱 Employed	<input type="checkbox"/> 學生 Student	僱主名稱 Name of Employer
	<input type="checkbox"/> 待業 Unemployed	<input type="checkbox"/> 主婦 Housewife	<input type="checkbox"/> 退休 Retired	職位 Position
				任職年期 Year of Service
業務性質 Business Industry	<input type="checkbox"/> 公職 Government	<input type="checkbox"/> 醫療 Health Services	<input type="checkbox"/> 公共服務 Public Services	<input type="checkbox"/> 家居服務 Household Services
	<input type="checkbox"/> 製造 Manufacturing	<input type="checkbox"/> 批發 Wholesale	<input type="checkbox"/> 地產 Real Estate	<input type="checkbox"/> 飲食 Restaurant
	<input type="checkbox"/> 出入口 Import/Export	<input type="checkbox"/> 零售 Retail	<input type="checkbox"/> 建築 Construction	<input type="checkbox"/> 酒店/旅館 Hotel/Inn
			<input type="checkbox"/> 信息科技 IT Services	<input type="checkbox"/> 其他 Others
住宅電話號碼 Residential Phone No.	手提電話號碼 Mobile Phone No.	辦公室電話號碼 Office Phone No.	傳真號碼 Fax No.	
電郵地址 Email Address				
住宅地址 Residential Address				
通訊地址, 如與住宅地址不同, 請列明 Correspondence Address, please specify if different from Residential Address				
住宅業權 Ownership of Residence	<input type="checkbox"/> 自置物業 Self-Owned	<input type="checkbox"/> 按揭物業 Mortgage	<input type="checkbox"/> 租住 Rented	<input type="checkbox"/> 宿舍 Quarters
			<input type="checkbox"/> 與家人同住 Living with family	
	每月供款 Monthly Installment / 每月租金 Monthly rental HK\$ _____			
<b>通訊方式 Correspondence Methods</b>				
<input type="checkbox"/> 以電郵地址收取 by Email	<input type="checkbox"/> 郵寄至住宅地址 Mail to Residential Address	<input type="checkbox"/> 郵寄至通訊地址 Mail to Correspondence Address		
<b>財政狀況 Financial Situation</b>				
資產淨值 Net Worth	其他, 請註明 Others, please specify			
<input type="checkbox"/> HK\$0 - HK\$500,000	<input type="checkbox"/> HK\$500,001 - HK\$1,000,000	<input type="checkbox"/> HK\$1,000,001 - HK\$3,500,000	<input type="checkbox"/> HK\$3,500,001 - HK\$7,800,000	<input type="checkbox"/> _____
流動資產, 例如現金、股票、短期存款 Liquid Asset (HK\$), for example, cash, stock, short-term fixed deposit	其他, 請註明 Others, please specify			
<input type="checkbox"/> HK\$0 - HK\$500,000	<input type="checkbox"/> HK\$500,001 - HK\$1,000,000	<input type="checkbox"/> HK\$1,000,001 - HK\$3,500,000	<input type="checkbox"/> HK\$3,500,001 - HK\$7,800,000	<input type="checkbox"/> _____
年薪 Annual Income	其他, 請註明 Others, please specify			
<input type="checkbox"/> HK\$0 - HK\$120,000	<input type="checkbox"/> HK\$120,001 - HK\$300,000	<input type="checkbox"/> HK\$300,001 - HK\$600,000	<input type="checkbox"/> HK\$600,001 - HK\$1,200,000	<input type="checkbox"/> _____

**身份聲明 Identity Declaration**

- 你是否此賬戶的最終實益擁有人? (若是, 則這是你的賬戶、並非為其他人士操作賬戶)  
Are you the ultimate beneficial owner(s) in relation to the Account? (i.e. if yes, you are acting for your own account and not for a third party)  
 是 Yes  否, 賬戶的最終實益擁有人是: No, the ultimate beneficiary owner(s) is / are:  
姓名 Name \_\_\_\_\_ 聯絡電話 Phone No. \_\_\_\_\_  
地址 Address \_\_\_\_\_  
身份證/護照號碼 Identity Card/Passport No. \_\_\_\_\_ 簽發地 Place of issue \_\_\_\_\_
- 你或最終實益擁有人是否香港證券及期貨事務監察委員會持牌或註冊人士或該人士的僱員或董事?  
Are you, or the ultimate beneficial owner(s), a person licensed by or registered with the Hong Kong Securities and Futures Commission or an employee or a director of such person?  
 否 No  是, 持牌人姓名 Yes, the name of licensed person \_\_\_\_\_ CE No. 中央編號 \_\_\_\_\_  
 已呈交僱主的同意信 Provided consent letter from Employer.  沒有僱主的同意信 No consent letter from Employer.
- 你或最終實益擁有人是否與東航金融的代理人或職員有親屬關係? (如是, 請註明)  
Are you a relative of an agent / employee of CES? (If Yes, please specify)  
 否 No  是, 代理人/職員姓名 Yes, Name of agent/employee \_\_\_\_\_ 關係 Relationship \_\_\_\_\_
- 你的配偶是否東航金融的證券保證金客戶?  
Is your spouse a securities margin client of CES?  
 否 No  是, 賬戶名稱 Yes, Account Name \_\_\_\_\_ 客戶賬號 Account No. \_\_\_\_\_
- 你個人或與配偶是否 (共同) 控制一間公司的35%或以上投票權, 且此公司為東航金融的證券保證金客戶?  
Are you, either alone or with your spouse, in control of 35% or more of the voting rights of a company which is a securities margin client of CES?  
 否 No  是, 賬戶名稱 Yes, Account Name \_\_\_\_\_ 客戶賬號 Account No. \_\_\_\_\_

6 你本人有否操作在其他公司或金融機構開立的第三方帳戶？

Do you operate any third party accounts which are set up outside CES?

否 No  是，本人總共操作 \_\_\_\_\_ 個在其他公司或金融機構開立的第三方帳戶

Yes, I operate \_\_\_\_\_ third party accounts set up outside CES

該些帳戶在下列公司或金融機構開立： \_\_\_\_\_

These third party accounts set up in : \_\_\_\_\_

### 投資經驗及產品認識 Investment Experience & Product Knowledge

請在以下適當的方格加上"√" (Please indicate your choice(s) by ticking "√")

#### 投資習慣 Investment Habits

短線 Short term  中線 Medium term  長線 Long term

其他，請註明 Others, please specify \_\_\_\_\_

#### 投資目標 Investment Objectives

投機 Speculation  對沖 Hedging  套利 Arbitrage

其他，請註明 Others, please specify \_\_\_\_\_

#### 承受風險程度 Risk Tolerance Level

低風險 Low (不宜投資含有保證金性質之產品，例如期貨、外匯或證券孖展 Not suitable to invest into marginable products such as futures, forex or securities margin)

中等風險 Medium

高風險 High

### 對各類產品的一般性質及風險的認識及經驗 General Knowledge on the nature and risks of different products and years of experience

各類產品 Different Products	對產品無認識 No knowledge	在過去三年內完成了 五次或以上之交易 Executed 5 or more trades within the past three years	瞭解此產品的 性質及風險 Understand product's nature and risks	如何瞭解此產品性質及風險 Way to understand product's nature & risks	
				曾參加培訓/課程 Attended training / course	擁有相關工作經驗 (請寫僱主名稱) Have relevant working experience Please state the name of employer
(a) 香港股票 Hong Kong Stock	<input type="checkbox"/>	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是, 僱主名稱 _____
(b) 美國股票 USA Stock	<input type="checkbox"/>	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是, 僱主名稱 _____
(c) 海外股票 Overseas Stock	<input type="checkbox"/>	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是, 僱主名稱 _____
(d) 認股權證/牛熊證 Derivative Warrant / Callable Bull/Bear Contracts	<input type="checkbox"/>	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是, 僱主名稱 _____
(e) 交易所基金 Exchange Trade Funds (ETF)	<input type="checkbox"/>	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是, 僱主名稱 _____
(f) 香港期貨及期權 HK Futures & Options	<input type="checkbox"/>	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是, 僱主名稱 _____
(g) 海外期貨及期權 Overseas Futures & Options	<input type="checkbox"/>	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是, 僱主名稱 _____
(h) 貴金屬及商品 Precious Metals & Commodities	<input type="checkbox"/>	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是, 僱主名稱 _____
(i) 股票期權 Stock Options	<input type="checkbox"/>	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是, 僱主名稱 _____
(j) 槓杆式外匯交易 Leverage Foreign Exchange Trading	<input type="checkbox"/>	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是, 僱主名稱 _____
(k) 互惠基金 / 單位信託基金 Mutual Fund / Unit Trust	<input type="checkbox"/>	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是, 僱主名稱 _____
(l) 對沖基金 Hedge Funds	<input type="checkbox"/>	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是, 僱主名稱 _____
(m) 固定收益證券 Fixed Income Securities	<input type="checkbox"/>	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 是, 僱主名稱 _____
(n) 其他 Others (請註明產品及交易經驗 Please specify products and investing experience)					

### 獲授權人聲明 Declaration of Authorized Person

1. 本人確認和東航國際金融(香港)有限公司並無任何關係，本人所有交易行為及損失，均和貴公司無關。

I ("authorized person") confirm that there is no any relationship between CES Capital (HK) Limited ("CES") and me, CES shall not be liable and responsible for any loss or damages incurred or may incur in the account and transactions done.

2. 本人知曉並同意：在任何情況下，本人均無權提取，轉出或以其他方式挪走授權人戶口中的任何款項或交易產品。

I ("authorized person") acknowledge and agree that it is not allow for me to withdraw, transfer or by any methods to transfer money or asset out from the account under any circumstances.

3. 本人知曉本人無權對授權人帳戶進行第三方授權，並同意遵守是條款。

I ("authorized person") acknowledge that any sub delegate of Third Party Operation from me is prohibited.

4. 本人知曉是項授權將持續有效，直至貴司接獲本人或授權人取消授權的書面通知，而本人及授權人仍需就接獲取消授權前已進行之交易所導致及可能導致的損失負責。

I ("authorized person") acknowledge that this authorization will be effective until any revocation written by account owner or by me is received by "CES", I and account owner shall be liable and responsible for any loss incurred or may incur in the account and transactions done within the authorized period.

5. 本人知曉並同意在貴公司最多只能接受2位客戶的第三方授權。

I ("authorized person") acknowledge and agree that I can only operate a maximum of 2 third party accounts maintained with you.

6. 本人確認此項授權服務不會收取任何酬勞。

I ("authorized person") further confirm that there is no any remuneration for the Third Party Operate Account Authorization.

7. 本人同意上述條款內容，並對所提交資料內容的真實性及準確性負責。

I ("authorized person") fully agree the above terms of agreement, and I am liable and responsible to the accuracy of the information provided.

本人 / 吾等證實上述資料乃屬正確及完整，並授權東航國際金融(香港)有限公司(以下簡稱"東航金融")向任何方面查證，包括信貸查詢。除非東航金融收到更改資料的書面通知，東航金融有權為任何目的而信賴這些資料。此表格不可被視為對任何投資產品及服務的銷售或購買之邀請，亦不應當被視為投資建議。

I / We confirm that the information given above is correct and complete, and authorize CES Capital International (Hong Kong) Co., Limited (the "CES") to confirm this information from any source that CES considers appropriate, including the conduct of any credit checks on me / us. CES is entitled to rely fully on such information for all purposes, unless CES receives notice in writing of any change. This form is not an offer to sell or a solicitation for an offer to buy any financial products and services and they should not be considered as investment advice.

簽署  
Signature