



一中證券有限公司 One China Securities Ltd.

香港中環德輔道中 86 號章記大廈 2 字樓
電話: 3188 2299 傳真: 3188 9838

*僅供內部使用 For Internal Use Only

Cash Account No.

Account Open Date

AE Name

Cash Account

開戶申請表格 ACCOUNT OPENING FORM

(法團帳戶 Corporate Account)

帳戶類別 Type of Account (請以 <input checked="" type="checkbox"/> 選擇) (Please <input checked="" type="checkbox"/> as appropriate)	<input type="checkbox"/> 港幣法團現金戶 <input type="checkbox"/> HKD Corporate Cash Account <input type="checkbox"/> 分戶 Sub A/C <input type="checkbox"/> 美元 USD <input type="checkbox"/> 人民幣 CNY
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公司資料 Corporate Information

1. 公司名稱 Company Name 中文 in Chinese _____ 英文 in English _____				
2. 註冊國家 Place of Registration		3. 成立日期 Date of Incorporate 日 Day 月 Month 年 Year		
4. 註冊編號 C.I. Number		5. 商業登記編號 B.R. Number		
6. 公司性質 Nature of Entity: <input type="checkbox"/> 獨資 Sole-Proprietorship <input type="checkbox"/> 合夥 Partnership <input type="checkbox"/> 有限公司 Limited Company <input type="checkbox"/> 組織/社團 Organization/Society <input type="checkbox"/> 其他(請註明) Other (Please specify): _____				
7. 業務性質 Nature of Business: <input type="checkbox"/> 出入口 Import/Export <input type="checkbox"/> 製造 Manufacturing <input type="checkbox"/> 批發 Wholesale <input type="checkbox"/> 零售 Retail <input type="checkbox"/> 金融/投資 Finance/Investment <input type="checkbox"/> 其他(請註明) Other (Please specify): _____				
8. 股東資料(持有百份之十或以上股權) Particulars of Shareholder(s) (Shareholding 10% or above):				
股東名稱 Shareholder(s) Name	身份證/護照號碼 ID/Passport No.	地址 Address	聯絡電話 Contact No.	所佔股權(%) Shareholding (%)
9. 董事資料 Particulars of Director(s):				
董事名稱 Director(s) Name	身份證/護照號碼 ID/Passport No.	地址 Address	聯絡電話 Contact No.	

財務資料 Financial Information

10. 法定股本 Authorized Share Capital

11. 已發行股本 Issued Share Capital

12. 每年收入 Annual Income

13. 淨資產值 Net Assets

14. 資金來源 Source of Funds

- 股東資金 Shareholders Fund 業務收入 Revenue of Business
 股東貸款 Shareholders Loan 其他 Other (請註明 Please specify): _____

聯絡資料 Contact Details

15. 註冊地址 Registered Address (郵箱號碼恕不接受 P.O. Box not accepted)

16. 辦事處地址 Business Address (郵箱號碼恕不接受 P.O. Box not accepted)

17. 公司電話 Office Telephone

18. 傳真 Fax

19. 電郵地址 Email Address

20. 客戶是否香港證券及期貨事務監察委員會(證監會)註冊公司?

Are you an employee of a company registered with the Securities and Futures Commission (SFC) of Hong Kong?

- 否 No 是 Yes

遞送帳戶結單 Delivery of Account Statements

21. 主要通訊語言 Preferred Communication Language 中文 Chinese 英文 English

22. 通訊地址 Correspondence Address

- 註冊地址 Correspondence Address
 辦事處地址 Business Address
 其他，請列明 Others, please specify

23. 文件送達方式 Mode of Delivery

- 郵寄* By Mail* 電郵 By Email

* 郵寄結單列印版本的行政費為每月港幣20元，費用會從閣下的證券帳戶內收取。

* A monthly handling fee of HKD20 will be charged to your Securities Account for mailing of statement.

投資經驗及目的 Investment Experience and Objectives

24. 投資產品 Investment Products (可選多於一項 Can choose more than 1 categories)

- 沒有 Nil
 股票 Equity
 認股證 Equity Warrants
 衍生權證 Derivatives Warrants
 債券 Bonds
 牛熊證 Callable Bull/Bear Contracts
 其他 Other (請註明 Please specify): _____

25. 投資經驗 Investment Experience

- 沒有 Nil
 少於三年 Less than 3 years
 三至十年 3-10 years
 十年以上 Over 10 years

26. 投資目標 Investment Objective (可選多於一項 Can choose more than 1 categories)

- 股息收入 Dividend Income
 長線資本增值 Long Term Capital Gain
 投機 Speculating
 對沖 Hedging
 其他 Other (請註明 Please specify): _____

衍生工具產品的認識評估 Assessment on Knowledge of Derivative Products

27. 客戶曾接受有關衍生產品的培訓或修讀相關課程?

The client attended trainings or courses in relation to derivative products?

- 有 Yes
 沒有 No

28. 客戶現時或過去擁有與衍生產品有關的工作經驗?

The client has current or previous work experience related to derivative products?

- 有 Yes
 沒有 No

29. 客戶於過去 3 年曾執行 5 次或以上有關衍生產品的交易，例如：衍生權證、牛熊證、交易所買賣基金及期貨或期權合約等。 The client has executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Exchange Traded Fund and Futures/Options, etc.

- 有 Yes
 沒有 No

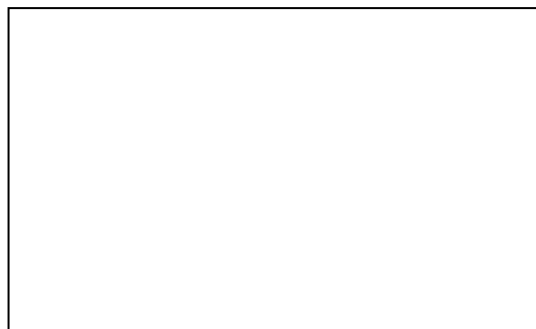
30. 客戶投資意向 Client Investment Intentions

- 是，客戶**有意**於一中證券有限公司進行衍生產品買賣交易。客戶現謹此確認根據以上的評估，客戶對投資衍生產品已有經驗及/或認識。客戶亦確認已完全明白各類衍生產品所附帶的相關風險。一中證券有限公司沒有向客戶作出衍生產品買賣的招攬及建議行為，並已按照客戶之投資意向向客戶提供及解釋各類衍生產品所附帶的相關風險。

Yes, the client **wish** to trade derivative products at One China Securities Limited (OCSL). The client hereby confirm that based on the above assessment, the client acknowledge we have experience and/or knowledge on derivative products. The client further confirm that we fully understand the relevant risks of the derivative products, which have been explained to us by OCSL. OCSL has not solicited or provided recommendation to us on trading of derivative products.

- 否，客戶**無意**於一中證券有限公司進行各類衍生產品交易。

No, the client **do not wish** to trade derivative products at OCSL.



公司印章及授權簽署

Business Chop & Authorized Signature

授權交易人士 Authorized Dealing Person(s)

31. 本賬戶根據下列名單中，任何____位授權人士獨立／共同*發出口頭或書面交易的指示方為有效：
 The dealing instruction of the Account can be given orally or in written by any _____ of the following alone/jointly* shall be valid:

獲授權人士姓名 Authorized Person's Name	身份證/護照號碼 ID/Passport No.	職業／職位 Occupation/ Position	聯絡電話 Contact No.

* 請刪去不適用者 Please delete if not applicable

授權結算人士 Authorized Settlement Person(s)

32. 本賬戶根據下列名單中，任何____位授權人士獨立／共同*發出口頭或書面的結算指示方為有效：
 The settlement instruction of the Account can be given orally or in written by any _____ of the following alone/jointly* shall be valid:

獲授權人士姓名 Authorized Person's Name	身份證/護照號碼 ID/Passport No.	職業／職位 Occupation/ Position	聯絡電話 Contact No.

* 請刪去不適用者 Please delete if not applicable

帳戶最終實益擁有人 Ultimate Beneficiary

33. 公司客戶最終實益擁有人是：

The ultimate beneficial owner(s) of the Corporate Client of securities account opened in One China Securities is/are:

姓名 Name	身份證/護照號碼 ID/Passport No.	地址 Address	聯絡電話 Contact No.

指定銀行帳戶 Designated Bank Account

在收到客戶的提款指示後，將款項轉到以下銀行帳戶。 Funds will be transferred to the following bank account after receiving the client's fund withdrawal instruction.

34. 銀行名稱 Bank Name

35. 銀行帳戶號碼 Bank Account Number

授權簽名及公司印章式樣 Specimen of Authorized Signature and Business Chop

<p>36. 姓名 Name _____</p> <p>身份證/護照號碼 I.D./Passport No. _____</p>	<p>簽名 Signature</p>
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<p>37. 姓名 Name _____</p> <p>身份證/護照號碼 I.D./Passport No. _____</p>	<p>簽名 Signature</p>
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38. 公司印章式樣 Specimen of Business Chop

申請網上證券買賣服務 Application for Online Securities Trading Service

39. 申請網上證券買賣服務 Apply for Online Securities Trading Service

否 No

是 Yes (請☑選一項 Please ☑ one)

\$0	查詢戶口狀況 Account Portfolio Status
\$268	報價 Price Quote
\$323	報價+圖表+通告(港交所) Price Quote + Chart + Notice (HKEX)
\$123	報價 Price Quote (只限國內登入 For Mainland China Only)
\$176	報價+圖表+通告(港交所) Price Quote + Chart + Notice (HKEX) (只限國內登入 For Mainland China Only)

同時開立手機 App 服務 Also apply for Mobile App Service

否 No

是*Yes* *必須為網上證券買賣服務客戶，如成功使用手機 App 買賣，月費港幣 5 元。

* Must also apply for the Online Securities Trading Service, a monthly fee of HK\$5 will be charged for successful use of the App service.

客戶現向貴公司申請網上買賣服務並遵守本協議書之一切交易守則及條款。客戶現確認已明白及接受一切風險及支付不時所需費用(如有)。
If the client undertakes the above online securities trading service and/or mobile app service, the client understands and agrees to be bound by those terms set out in the terms and conditions of the Trading Agreement. Client understands and agrees to bear the risks and pay for any charges (if any).

防止洗黑錢/恐怖份子籌資 Anti-Money Laundering and Counter-Terrorist Financing

40. 客戶之股東/董事/獲授權人士/最終負責就賬戶發出指示/賬戶的最終實益擁有人是否擔任或曾擔任重要公職或政界人士(包括國家元首、政府首長、資深從政者、高級政府官員、司法或軍事官員、國有企業高級行政人員及重要政黨幹事等等)，或以上人士之家人(包括配偶、伴侶、子女或父母，或該名個人的子女的配偶/伴侶)及其他關係密切的人？

Is the shareholder(s)/Director(s)/Authorized person(s)/the person(s) ultimately responsible for giving instructions for the Account/the ultimate beneficial owner(s) of the Account entrusted or has been entrusted with prominent public or political function (includes head of state/government, senior politician, Senior Official of Government, Judicial or Ministry official, senior executive of government-owned corporation, important political party official, etc.), or the family members of the aforesaid person (including spouse, companion, children or parents, or spouse / companion of the children) and other closely connected person?

否 No 是，請說明 Yes, please specify _____

41. 客戶的業務性質/職業是否特別容易蒙受較高的洗錢/恐怖分子資金籌集風險或接觸大量現金往來？如現金密集型業務(包括找換店、賭場及其他博彩相關業務)、昂貴或名貴商品經銷商(包括藝術品及古董經銷商及拍賣行，名貴金屬、寶石或珠寶經銷商)或不受監管的慈善團體及其他不受監管的非牟利組織。

Is the nature of the Client's business / occupation particularly susceptible to money laundering / terrorist financing risk or related to large amount of cash transaction? Such as cash intensive business (Includes money changer, casino and other gambling related business), dealers in high value or precious goods (includes art and antique dealers and auction houses; dealers in precious metals, stones or jewels) or unregulated charities and other unregulated non-profit organizations.

否 No 是，請說明 Yes, please specify _____

美國海外帳戶 FATCA 身分聲明書(法團) FATCA Self-Certification (Corporate)

美國指標問卷(必須作答) U.S. Indicia Questionnaire (Mandatory)

本部分允許您根據<外國帳戶稅務合規法案> (FATCA)申報您的身份。

This section allows you to declare your identity under the Foreign Account Tax Compliance (FATCA) classification.

42. 請只選擇一項 Please Select ONE Only	須額外提交表格作開戶之用 Additional Form Required for Account Opening
<input type="checkbox"/> 本法團是在美國或根據美國法律或美國任何州份(包括哥倫比亞特區、關島和美屬波多黎各)的法律註冊成立、創立或組成。 The entity is incorporated, created or organized in the United States of America or under the law of the United States of America or of any of the States of the United States of America, including the District of Columbia, Guam and The Commonwealth of Puerto Rico.	表格 W9 Form
<input type="checkbox"/> 本法團是金融機構。The entity is a financial institution.	表格 W8 BEN-E Form
<input type="checkbox"/> 本法團是有持有超過 10%股權的重大權益股東為美國公民/美國稅務居民。 The entity has U.S. citizen(s) / U.S. tax resident(s) who is/are substantial shareholder(s) owning more than 10% of shareholding.	表格 W8 BEN-E Form
<input type="checkbox"/> 本法團是成立為投資工具(如對沖基金)，並有持有 10%股權的重大權益股東為美國公民/美國稅務居民。The entity is setup as an investment vehicle (e.g. hedge fund) having U.S. citizen(s) / U.S. tax resident(s) who is/are substantial shareholder(s) owning more than 10% of shareholding.	表格 W8 BEN-E Form
<input type="checkbox"/> 本法團成立為信託，並有信託受益人為美國公民/美國稅務居民。 The entity is setup as trust which has U.S. citizen(s) / U.S. tax resident(s) who is/are beneficiary(ies) of the trust.	表格 W8 BEN-E Form
<input type="checkbox"/> 其他法團實體。Other entities.	不需要 No

I understand and agree that One China Securities Limited (or hereafter "the Company") may request additional information to verify the self-certification hereunder, and provide such on behalf of me to withholding agent(s) to prove my identity certified as a Non-U.S. taxpayer. I also have read the Notice of Foreign Account Tax Compliance Act, the Terms and Conditions in relations to Foreign Account Tax Compliance Act of the United States and the Notice to Client – Use of Personal Data relating to Foreign Account Tax Compliance Act of the United States, understand and agree to its regulations and requirement.

本人了解並同意一中證券有限公司(以下簡稱 貴公司)為證實上述聲明內容得於必要時向本人索取相關證明文件;得代理本人向美國稅法的扣繳義務人出示本聲明書或交付本聲明書之複本以協助本人聲明非屬美國稅務居民。本人已詳細閱讀美國海外帳戶稅收遵循法案說明書,美國海外帳戶稅收遵循法條款及有關美國海外帳戶稅收遵循法使用個人資料的客戶通知,了解並同意其規定與要求。

I will inform the Company of any changes on contents made on this self-certification within 30 days of the occurrence, and I understand and agree that the Company has the power and right to verify the validity of the self-certification and modify the rights of the account holder accordingly, including but not limited to withholding U.S. taxes or closing the account according to Chapter 4 of the U.S. Internal Revenue Codes.

若上述聲明內容及其他開戶相關文件之資訊產生變動,而造成本開戶文件不正確或不完整時,本人至遲應於變更日起 30 天內主動告知 貴公司。本人了解並同意 貴公司有權合理認定上開聲明內容之真偽或變更情形而對本人帳戶權利為必要的處置行為,包含但不限於辦理美國稅扣繳或終止帳戶服務。

公司印章及授權簽署
Business Chop & Authorized Signature

自我證明表格—實體 Self-Certification Form – Entity

重要提示：

Important Notes:

- 這是由帳戶持有人向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
This is a self-certification form provided by an account holder to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- 如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。
An account holder should report all changes in his/her tax residency status to the reporting financial institution.

(一) 實體類別 Entity Type

在其中一個適當的方格內加上✓號，並提供有關資料。Tick one of the appropriate boxes and provide the relevant information.

財務機構 Financial Institution	<input type="checkbox"/> 託管機構、存款機構或指明保險公司 Custodial Institution, Depository Institution or Specified Insurance Company <input type="checkbox"/> 投資實體，但不包括由另一財務機構管理（例如：擁有酌情權管理投資實體的資產）並位於非參與稅務管轄區的投資實體 Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction.
主動非財務實體 Active NFE	<input type="checkbox"/> 該非財務實體的股票經常在_____（一個具規模證券市場）進行買賣 NFE the stock of which is regularly traded on _____, which is an established securities market <input type="checkbox"/> _____ 的有關連實體，該有關連實體的股票經常在_____（一個具規模證券市場）進行買賣 Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market <input type="checkbox"/> 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體 NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities <input type="checkbox"/> 除上述以外的主動非財務實體（請說明_____） Active NFE other than the above (Please specify _____)
被動非財務實體 Passive NFE	<input type="checkbox"/> 位於非參與稅務管轄區並由另一財務機構管理的投資實體 Investment entity that is managed by another financial institution and located in a non-participating jurisdiction <input type="checkbox"/> 不屬主動非財務實體的非財務實體 NFE that is not an active NFE

(二) 控權人 (如實體帳戶持有人是被動非財務實體，填寫此部)

Controlling Persons (Complete this part if the entity account holder is a passive NFE)

就帳戶持有人，填寫所有控權人的姓名在列表內。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。
Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official.

每名控權人須分別填寫一份 IR1457 表格 (自我證明表格 – 控權人)。

Complete Form IR1457 (Self-Certification Form – Controlling Person) for each controlling person.

(1)	(5)
(2)	(6)
(3)	(7)
(4)	(8)

(三) 居留司法管轄區及稅務編號或具有等同功能的識別編號(以下簡稱「稅務編號」)
Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent("TIN")

請提供以下資料，列明(a)帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區(包括香港在內)及(b)該居留司法管轄區發給帳戶持有人的稅務編號。請列出所有(不限於2個)居留司法管轄區。

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's TIN for each jurisdiction indicated. Indicate all (not restricted to two) jurisdictions of residence.

如沒有提供稅務編號，必須填寫合適的理由：If a TIN is unavailable, provide the appropriate reason A, B or C:

理由 A – 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

Reason A – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

理由 B – 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。

Reason B – The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.

理由 C – 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

Reason C – TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

居留司法管轄區 Jurisdiction of Residence	稅務編號 TIN	如沒有提供稅務編號，填寫理由 A、B 或 C Enter Reason A, B or C if no TIN is available	如選取理由 B，解釋帳戶持有人不能取得稅務編號的原因 Explain why the account holder is unable to obtain a TIN if you have selected Reason B
(1)			
(2)			
(3)			
(4)			
(5)			

本人知悉及同意，財務機構可根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文，(a)收集本表格所載資料並可備存作自動交換財務帳戶資料用途及(b)把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人 / 本人獲帳戶持有人授權簽署本表格。

I certify that I am the account holder / I am authorized to sign for the account holder # of all the account(s) to which this form relates.

本人承諾，如情況有所改變，以致影響本表格第 1 部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知一中證券有限公司，並會在情況發生改變後 30 日內，向一中證券有限公司提交一份已適當更新的自我證明表格。

I undertake to advise One China Securities Limited of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide One China Securities Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

公司印章及授權簽署
Business Chop & Authorized Signature

客戶聲明及簽署 Client Declaration and Signature(s)

本人謹此聲明此開戶申請表上填報的資料均屬真實、完全及正確的。本人亦重申一中證券有限公司或其代理人，已獲本人授權，可隨時聯絡本人之銀行、經紀及任何信貸諮詢機構，以作評核本人信貸之用。

本人聲明及承認(1) 本人已閱讀本協議書之英文/中文版本及有關之風險披露聲明；(2) 有關方面已按照本人選擇的語言(英文或中文)向本人提供本協議書之條款、條件及相關之風險披露聲明；(3) 本人確認已收到一份交易條款及守則包括風險披露聲明及已獲邀閱讀該風險披露聲明、提出問題及徵求獨立意見(如本人有此意願)；(4) 本人完全明白所有此等條款及條件，並同意受其約束；及(5) 本人已在下述日期在此文下在此協議書上簽署(及蓋上印章)。

I hereby confirm and represent that the information set out in this client information form is true, complete and correct. I further confirm that One China Securities limited or any of its agents is hereby authorized at any time to contact anyone, including my bankers or brokers or any credit agency, to obtain credit information in assessing my creditworthiness.

I declare and acknowledge that (1) I have read the English/Chinese version of this agreement and relevant risk disclosure statement and (2) the terms and conditions of this agreement and those relevant risk disclosure statement was provided to me in a language of my choice (English or Chinese) and (3) I acknowledged that receipt of a copy of the terms and conditions, including risk disclosure statement and circular relating to personal data (privacy) ordinance and was invited to read the risk disclosure statement, to ask questions and take independent advice (if I wished) and (4) I fully understand all of such terms and conditions and agree to bound by them and (5) I have signed (and sealed) this agreement on the date shown below.

日期 Dated :

簽署，印章及送交之人士為

Signed, sealed and delivered by

*上述客戶簽名式樣將被用作核證任何就帳戶運作之書面指示。

* Client signature style will be used for certifying any written instructions on the operation of the account.

公司印章及授權簽署

Business Chop & Authorized Signature

見證者為 in the presence of

[見證人姓名、地址及職業]

[Witness Name, Address and Occupation]

姓名 Name : _____

地址 Address : _____

職業 Occupation : _____

見證人簽名

Witness Signature

經由一中證券有限公司承認及接納

Acknowledged and accepted by

ONE CHINA SECURITIES LIMITED

授權簽名及公司印章

Authorized Signature and Business Chop

持牌代表聲明

DECLARATOIN BY LICENSED REPRESENTATIVE

我經已於香港中環德輔道中 86 號章記大廈 2 字樓 / _____

(進行解釋的地址) 按客戶明白的語言向 _____ (客戶姓名) 清楚解釋風險披露聲明的內容，並已邀請客戶閱讀該風險披露聲明，提出問題及徵求獨立的意見(如客戶有此意願)。

I have fully explained the contents of the risk disclosure statement to _____ (Name of Client) at 2/F.,

Cheong K. Building, 86 Des Voeux Road Central, Central, Hong Kong / _____

(Address where the explanation took place) in a language which the client fully understands and have invited the client to read the risk disclosure statements, ask questions and take independent advice (if the client wished).

日期 Date : _____

持牌代表簽署 Signed by licensed representative

CE Number : _____

持牌代表姓名 Name of licensed representative

(請用正楷)

(In block letters)

* 備註 / Note : 見證人需為其他註冊人、註冊人的聯繫人士、太平紳士或專業人士，例如銀行分行經理，執業會計師，律師或公證人。

Witness should be any other registered person, an affiliate of a registered person, a Justice of the Peace, or a professional person such as a branch manager of a bank, certified public accountant, lawyer or notary public.

只供內部使用

處理及覆核文件		
身份證明和開戶文件查核列：	申請人：	備註：
1. 董事會決議 (批准於一中證券開立公司戶口；及授權簽署人操作所開立之公司戶口)	<input type="checkbox"/> 取得	
2. 公司章程 (或其他同類文件)	<input type="checkbox"/> 取得	
3. 公司註冊證(C.I.)副本	<input type="checkbox"/> 取得	
4. 商業登記證(B.R.)副本	<input type="checkbox"/> 取得	
5. 授權簽署人之身份證明文件	<input type="checkbox"/> 取得	
6. 私人擔保	<input type="checkbox"/> 取得 <input type="checkbox"/> 不適用	
7. 擔保人身份證明文件	<input type="checkbox"/> 取得 <input type="checkbox"/> 不適用	
8. 公司通訊地址證明 (最近三個月內發出的地址證明副本一份，如電費單或銀行月結單等)	<input type="checkbox"/> 取得	
9. 美國海外帳戶 FATCA 身份聲明書(法團)	<input type="checkbox"/> 已簽署	
10. 自我證明表格—實體	<input type="checkbox"/> 已簽署	
11. 公司註冊處之周年申報表(AR)或董事申報表	<input type="checkbox"/> 取得	
12. 申請網上證券買賣服務	<input type="checkbox"/> 是 <input type="checkbox"/> 否	
13. 遞送帳戶結單	<input type="checkbox"/> 郵寄 <input type="checkbox"/> 電郵	
14. 進行衍生產品買賣交易	<input type="checkbox"/> 是 <input type="checkbox"/> 否	
15. 已將「現金客戶協議及附件」交予客戶	<input type="checkbox"/> 是	
授權人之個人／信貸審查：	申請人：	備註：
16. 特定美國人	<input type="checkbox"/> 是 <input type="checkbox"/> 否	
17. 證監會持牌人士	<input type="checkbox"/> 是 <input type="checkbox"/> 否	
18. 衍生產品的認識或投資經驗	<input type="checkbox"/> 有 <input type="checkbox"/> 無	
19. 政治人物	<input type="checkbox"/> 是 <input type="checkbox"/> 否	
20. 負面新聞	<input type="checkbox"/> 有 <input type="checkbox"/> 無	
21. 從事洗黑錢／恐怖分子籌資高風險行業	<input type="checkbox"/> 是 <input type="checkbox"/> 否	
22. 來自洗黑錢／恐怖分子籌資高風險國家/地區	<input type="checkbox"/> 是 <input type="checkbox"/> 否	
23. 防止洗黑錢／恐怖分子籌資資料庫	<input type="checkbox"/> 有 <input type="checkbox"/> 無	
24. 防止洗黑錢／恐怖分子籌資風險評估	<input type="checkbox"/> 高 <input type="checkbox"/> 低	

只供內部使用

Account introduced by:		Name of Account Executive:	
Commission Rate:	Min.	Commission Plan:	
Trading Limit:		Penalty Interest Rate	P + %

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	Approved By	Input By	Checked By
Signature:			
Name:			
Date:			