



時富證券有限公司 Celestial Securities Limited  
時富商品有限公司 Celestial Commodities Limited

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此表格應以英文版本為準 The English version shall be applied and prevailed in this form

此表格須與條款及條件小冊子(版本編碼與本表格相同)一併閱讀  
This form shall be read with the Terms & Conditions booklet bearing the same version code

Master Document - Version 11 - 2014/02

戶口號碼 Account No.:

日期 Date:

## 開戶表格 - 公司賬戶 ACCOUNT OPENING FORM - CORPORATE ACCOUNT

### A. 賬戶類別 Account Type

客戶身份 Entity of the Client*	<input type="checkbox"/> 上市公司 Listed Company	<input type="checkbox"/> 非上市有限公司 Unlisted Limited Company	<input type="checkbox"/> 無限公司 Unlimited Company
	<input type="checkbox"/> 離岸公司 Offshore Company	<input type="checkbox"/> 信託 Trust	
	<input type="checkbox"/> 獨資企業 Sole Proprietorship	<input type="checkbox"/> 合夥企業 Partnership	<input type="checkbox"/> 其他 Others
綜合賬戶 Omnibus Account	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No		
公司 Company	賬戶類別 Account Type	交易系統 Trading Platform	
時富證券有限公司 Celestial Securities Limited (中央編號CE Number: AAF532)	<input type="checkbox"/> 證券現金 Securities Cash	<input type="checkbox"/> 電子 Electronic#	<input type="checkbox"/> 專業交易系統 Professional Trading Platform
	<input type="checkbox"/> 證券保證金 Securities Margin	<input type="checkbox"/> 電話 Offline	
時富商品有限公司 Celestial Commodities Limited (中央編號CE Number: AAF557)	<input type="checkbox"/> 股票期權 Stock Options	<input type="checkbox"/> 電話 Offline	<input type="checkbox"/> 專業交易系統 Professional Trading Platform
	<input type="checkbox"/> 商品(期貨及期權) Commodities (Futures & Options)	<input type="checkbox"/> 電子 Electronic#	<input type="checkbox"/> 專業交易系統 Professional Trading Platform
	<input type="checkbox"/> 電話 Offline		
備註 Remarks: #互聯網/音頻/3G Internet/ IVRS / 3G ##互聯網 Internet			

### B. 客戶資料 Client Particulars

#### 1. 公司資料 Corporate Information

商號名稱 Business Name	(中文Chinese)	(英文English)
業務類別 Business Nature		經營該業務的年數 No. of Years in the Business
登記地址 Registered Address	郵編Postal Code:	
商號地址(如有) Business Address(if any)	與登記地址相同Same as Registered Address/ 郵編Postal Code:	
註冊成立日期 Establishment Date	註冊成立國家 Country of Establishment	
註冊編號 Incorporation No.	商業登記編號(如有) Business Registration No.(if any)	

#### 2. 聯絡資料 Contact Information

電話號碼 Tel. No.	(手機Mobile)	(辦公室Office)	傳真號碼 Fax No. ( ) -
電郵地址 Email Address	這電郵地址用作遞送有關上市公司之股份權益表格、時富快訊、新股認購通知或其他通知。 The email address is for sending corporate action form(s), daily CFSG news, IPO subscription notice or other notice(s).		
通訊地址* Correspondence Address*	(如使用郵政信箱作為通訊地址, 請提供郵政信箱租用單據副本) (Please provide a copy of P.O. Box rental receipt if P.O. Box is used as correspondence address)		
<input type="checkbox"/> 登記地址 Registered Address	<input type="checkbox"/> 商號地址 Business Address		
<input type="checkbox"/> 其他 Others	郵編Postal Code:		
綜合結算單遞送方法 Combined Statement Delivery Method*	<input type="checkbox"/> 電郵 By Email	<input type="checkbox"/> 郵寄至通訊地址 By Post to Correspondence Address	
綜合結算單語言 Combined Statement Language*	<input type="checkbox"/> 繁體中文 Traditional Chinese	<input type="checkbox"/> 簡體中文 Simplified Chinese	<input type="checkbox"/> 英文 English
網上登入密碼 Electronic Login Password*	<input type="checkbox"/> 自行設定 Self Setting	<input type="checkbox"/> 郵寄至通訊地址 By Post to Correspondence Address	
(只適用於電子賬戶及SP專業版 For Electronic Account & SP Advanced Version Only)			

#### 3. 最終擁有權(不適用於上市公司) Ultimate Ownership (not applicable to Listed Company)

獨資企業/合夥企業/最終股東名稱 Name of Sole Proprietor / Partner / Ultimate Shareholder	權益百分比 % of Interest

#### 4. 董事 Directorship

董事姓名 Name of Director	住址 Residential Address
	郵編Postal Code:
	郵編Postal Code:
	郵編Postal Code:

#### 5. 財政狀況 Financial Status

已繳股本 Paid Up Capital	流動資產 Liquid Assets	資產淨值 Asset Net Worth	最新年度溢利 The Latest Annual Profit
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請在適當地方加上“✓”號 Please tick "✓" where applicable: \*以“✓”號選擇一項 \*tick "✓" one \*\*以“✓”號選擇最少一項 \*\*tick "✓" at least one

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

**6. 投資目的及經驗 (證監會規定填寫) Investment Objective & Experience (as required by the SFC)**投資目標 Investment Objective\*\*  對沖 Hedging  資本增值 Capital Gain  股息/利息收入 Dividend / Interest Income  其他 Others \_\_\_\_\_

投資經驗 Investment Experience

投資經驗年期 Years of Investment Experience

投資產品 Investment Products	無 Nil	一年以下 <1Year	一至五年 1-5Years	六至十年 6-10Years	十年以上 >10Years
股票 Shares*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
外匯/黃金 Forex / Bullion*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
債券/基金 Bonds / Funds*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
衍生工具 Derivatives*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
其他 Others*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**7. 投資者分類 (證監會規定填寫) Investor Characterization (as required by the SFC)**客戶是否有意認購衍生產品? Is the Client wish to purchase derivative products?  是 Yes  否 No

若客戶有意認購衍生產品, 請回答以下問題。If the Client wish to purchase derivative products, please answer the following questions.

1. 客戶是否曾接受有關衍生產品性質和風險的一般知識培訓或修讀相關課程? Has the Client ever undergone training or attended courses on derivative products with general knowledge of the nature and risks of derivatives?  是 Yes  否 No2. 客戶現時或過去是否從事與衍生產品有關的工作? Is the Client currently or previously working in relation to derivative products?  是 Yes  否 No3. 客戶是否在過去三年曾買賣過至少五次任何衍生產品的交易(不論是否在交易所買賣)? Has the Client traded at least 5 transactions in any derivative product (whether traded on an exchange or not) within the past 3 years?  是 Yes  否 No**C. 銀行戶口資料 Bank Account Information**

銀行名稱 Bank Name	銀行戶口號碼 Bank Account No.	地區 District
港元 HKD		<input type="checkbox"/> 香港 HK <input type="checkbox"/> 其他 Others _____

**D. 賬戶操作 Account Operation**

須於董事會決議案內詳細列明授權人士作簽署, 給予授權簽名安排及口頭指示。

Authorized Signatories, Oral Instructions and Signing Arrangement shall be set out in the Board Resolution.

**E. 聲明 Declarations****1. 身份聲明 Identity Declaration**

賬戶之任何董事、主要股東或最終實益擁有人, 或其配偶、伴侶、子女或父母, 或其子女的配偶或伴侶, 或與其關係密切的人, 是否擔任或曾擔任重要公職, 包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事?

Is any director, substantial shareholder or the ultimate beneficial owner of the Account, or his spouse, partner, child, parent, spouse or partner of his child, or a close associate with him entrusted or has been entrusted with a prominent public function, which includes a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a stated-owned corporation and an important political party official?

 否 No  是, 請說明 Yes, Please Specify \_\_\_\_\_

賬戶之任何董事、主要股東或最終受益擁有人是否聯交所或期交所之交易所參與者或證監會之持牌人或註冊人之董事、僱員或認可人士?

Is any director, substantial shareholder or the ultimate beneficial owner of the Account, a director or employee or accredited person of an exchange participant of the Stock Exchange or Futures Exchange, or a licensed or registered person of the Securities and Futures Commission ("SFC")?

 否 No  是, 請說明 Yes, Please Specify \_\_\_\_\_ 本公司已註冊成為FATCA之海外金融機構, 本公司之註冊編號為 \_\_\_\_\_

We have already registered for FATCA. Our Global Intermediary Identification Number (GIIN) is \_\_\_\_\_

 本公司為美國註冊之公司 We are a U.S. registered entity 本公司並非FATCA 規例下之海外金融機構 We are not a FFI under FATCA 本公司為Passive NFFE (主要股東(持股10%以上之股東)必須填妥“個人聲明”)

We are a Passive NFFE (Substantial Shareholder (holding 10% or more of the shares) has to complete the "Self Declaration")

**2. 相關保證金融資賬戶 Related Margin Financing Account(s) 只適用於保證金賬戶 For Margin Account Only**

客戶是否控制本公司之其他公司保證金融資賬戶35%或以上之表決權?

Does the Client control 35% or more of the voting rights of another corporate financing margin account with the Company?

 否 No  是, 請說明 Yes, please Specify \_\_\_\_\_

戶口號碼 Account no. \_\_\_\_\_

賬戶持有人姓名 Name of Account Holder \_\_\_\_\_

客戶是否有以客戶旗下之公司開立保證金融資賬戶? Does the Client have a margin financing account opened by one of the companies of the Client?

 否 No  是, 請說明 Yes, please Specify \_\_\_\_\_

戶口號碼 Account no. \_\_\_\_\_

賬戶持有人姓名 Name of Account Holder \_\_\_\_\_

**3. 客戶之確認 Client's Acknowledgement**

客戶確認 The Client confirms that

● 在本賬戶表格所填寫的資料均屬真實、完全及正確, 並明白條款及條件以及交易政策所載的條文, 並接受及同意受該等文件約束; 及 the information sets out in this Account Opening Form is true, complete and correct and understands all provisions set out in the Terms &amp; Conditions and the Trading Policy and accepts and agrees to be bound thereby; and

● 本開戶表格所指定的申請人是賬戶及交易的最終實益持有人; 及the Client named in this Account Opening Form is the ultimate beneficial owner of the Account(s) and transaction(s); and

● 風險披露聲明內容已按照客戶選擇的語言提供; 及the Risk Disclosure Statements were provided in a language of the Client's choice; and

● 客戶被邀請閱讀該等風險披露聲明、提出問題及徵求獨立意見(如客戶有此意願); 及 the Client was invited to read the Risk Disclosure Statements, to ask questions and take independent advice (if the Client wishes); and

● 所有有關開戶之文件可隨時於本公司網站下載。the Account Opening Documents could be downloaded from the Company website at any time

**4. 個人資料之使用 Use of personal information**

本公司及其聯屬公司及/或其合作伙伴擬使用客戶之姓名、電話號碼及地址以直接促銷以下之服務及產品。請在本開戶文件簽署以表示你的同意。如你不同意, 請在以下空格加上「√」號。

本人反對使用個人資料於直接促銷  金融服務及產品  家俬及家品 銀行、娛樂、家居、健康和保健、社交網絡、生活資訊、服裝、餐飲、消費產品、課程、環境保護或慈善捐款

The Company and its associated companies and/or their business partners intend to use Client's name, telephone number and address in conducting direct marketing activity for the following services and products. Please sign on this Account Form to indicate your agreement. Please tick the following box if you do not agree.

I do not agree to the use of my personal information in direct marketing for  financial services and products  furniture and home appliances  banking, entertainment, household, healthcare, social networking, lifestyle, apparel, food and beverage, consumer products, courses, environmental protection or donation**客戶簽署及公司印章 Client Signature & Company Chop**

客戶名稱 Client Name \_\_\_\_\_

日期 Date \_\_\_\_\_

請在適當地方加上“√”號 Please tick "√" where applicable:

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

\*以“√”號選擇一項 \* tick "√" one

\*\*以“√”號選擇最少一項 \*\*tick "√" at least one

**F. 風險披露聲明及確認(由本公司填寫) Risk Disclosure Statements & Acknowledgement (to be completed by the Company)****持牌人員聲明 Declaration by Licensed Person**

下列簽署之持牌人員確認已按照客戶選擇的語言提供風險披露聲明，並邀請客戶閱讀該等風險披露聲明、提出問題及徵求獨立意見（如客戶有此意願）。

The Undersigned licensed person of the Company confirms that the Client has been provided the Risk Disclosure Statements in a language of the Client's choice and has invited the Client to read the same, ask questions and take independent advice (if the Client wishes).

姓名 Name	本公司持牌人員簽名
職位 Position	Signature of Licensed Person
中央編號 CE No.	日期 Date

代表時富證券有限公司/時富商品有限公司

For and on behalf of Celestial Securities Limited / Celestial Commodities Limited

授權簽名 Authorized Signature

職員姓名 Staff Name

日期 Date

**僅供職員填寫 For Official Use Only**

營業代表名稱 AE Name \_\_\_\_\_ 營業代表編號 AE Code \_\_\_\_\_ 與營業代表認識多久 How Long Known to AE \_\_\_\_\_

負責賬戶的本公司職員（如適用）Staff of the Company Responsible for the Account (if applicable):

	姓名 Name	註冊編號（中央編號）及註冊類別 Registration No. (CE No.) & Type of Registration	電話號碼 Telephone No.
只適用於商品（期貨及期權）賬戶 For Commodities (Futures & Options) Account Only			
只適用於股票期權賬戶 For Stock Options Account Only			

佣金收費 Commission Rate:

證券賬戶 Securities Account	
商品（期貨及期權）賬戶 Commodities (Futures & Options) Account	<input type="checkbox"/> 公司收費 House Charge <input type="checkbox"/> 營業代表收費（須附收費表）AE Charge (Charge as Table Attached)
股票期權賬戶 Stock Options Account	

營業代表簽署 AE Signature \_\_\_\_\_ 相關戶口號碼 Related Account No. \_\_\_\_\_

**開立賬戶核對清單 Account Opening Checklist**

- 有最終受益擁有人 Ultimate Beneficial Owner Involved  信貸記錄 Credit Record:  有 Yes  無 No  政治人物記錄 PEP Record:  有 Yes  無 No

**文件核對清單 Document Checklist**

- |  |   |  |
|--|---|--|
| <input type="checkbox"/> 商業登記證副本（如有，必須一併遞交）<br>Copy of Business Registration Certificate (mandatory, if any) | <input type="checkbox"/> 所有董事之擔保書（必須一併遞交）<br>Guarantees of All Directors (mandatory)  | <input type="checkbox"/> 流動電話簡短訊息（如需要）<br>SMS (if required)  |
| <input type="checkbox"/> 公司註冊證書副本（必須一併遞交）<br>Copy of Certificate of Incorporation (mandatory)                | <input type="checkbox"/> 所有董事及獲授權者之身份證/護照副本（必須一併遞交）<br>ID / Passport Copies of All Directors & Authorized Persons (mandatory) | <input type="checkbox"/> 登入密碼 <input type="checkbox"/> 郵寄 <input type="checkbox"/> 自行設定<br>Login Password By Post Self Setting |
| <input type="checkbox"/> 公司章程大綱及細則副本（必須一併遞交）<br>Copy of Memorandum & Articles of Association (mandatory)     | <input type="checkbox"/> 董事之地址證明<br>Address Proof of Directors  | <input type="checkbox"/> 開戶表格副本及開戶卡<br>Account Opening Form Copy and Card  |
| <input type="checkbox"/> 公司董事記錄冊或D2表格副本（必須一併遞交）<br>Copy of Register of Directors or Form D2 (mandatory)      | <input type="checkbox"/> 開戶存款（如需要）<br>Initial Deposit (if required)   | <input type="checkbox"/> 其他<br>Others _____  |
| <input type="checkbox"/> 公司股東記錄冊副本（必須一併遞交）<br>Copy of Register of Members (mandatory)                        | <input type="checkbox"/> 自動轉賬（如需要）<br>Auto Bank-in (if required)  | 客戶盡職審查等級: <input type="checkbox"/> 低 <input type="checkbox"/> 中 <input type="checkbox"/> 高<br>CDD Level: Low Normal High       |
| <input type="checkbox"/> 董事會議案（必須一併遞交）<br>Board Resolution (mandatory)                                       | <input type="checkbox"/> 授權書（如需要）<br>Power of Attorney (if required)  |  |
| <input type="checkbox"/> 公司報告 或 查冊報告（必須一併遞交）<br>Company Report or Company Search Report (mandatory)          | <input type="checkbox"/> 存續證明書（如需要）<br>Certificate of Incumbency (if required)  |  |

批核事項 Approval Items:

	批核簽名 Approval Signature (如需要 if required)
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經手人 Handled by	資料輸入人 Inputted by	批准人 Approved by	存檔核對人 Archived by
覆核人 Checked by	覆核人 Checked by		

請在適當地方加上“✓”號 Please tick "✓" where applicable: \*以“✓”號選擇一項 \* tick "✓" one \*\*以“✓”號選擇最少一項 \*\*tick "✓" at least one  
+請刪去不適用者 +Please delete if not applicable

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