



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 15 - 2020/07

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	<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			
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			
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

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

F-CSD-67 (Aug20)

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**	<input type="checkbox"/> 對沖 Hedging	<input type="checkbox"/> 資本增值 Capital Gain	<input type="checkbox"/> 股息/利息收入 Dividend / Interest Income	<input type="checkbox"/> 其他 Others _____	
投資經驗 Investment Experience	投資經驗年數 Years of Investment Experience				
	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? Does the Client wish to purchase derivative products?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
若客戶有意認購衍生產品, 請回答以下問題。 If the Client wishes 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?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
2. 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?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
3. 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?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 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?
<input type="checkbox"/> 否 No <input type="checkbox"/> 是, 請說明 Yes, Please Specify _____
賬戶之任何董事、主要股東或最終實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")?
<input type="checkbox"/> 否 No <input type="checkbox"/> 是, 請說明 Yes, Please Specify _____

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?
<input type="checkbox"/> 否 No <input type="checkbox"/> 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?
<input type="checkbox"/> 否 No <input type="checkbox"/> 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
本人/吾等確認在本開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; 本人/吾等確認在開戶表格所指名的申請人是帳戶及交易的最終實益持有人; 本人/吾等確認已閱讀、明白及同意《條款及條件》中所載的《常設授權(客戶款項)》的條文, 並接受及同意受該等文件約束; 本人/吾等確認已閱讀、明白及同意《條款及條件》中所載的《風險披露聲明》。對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); 本人/吾等確認已閱讀、明白及同意《條款及條件》中所載的《有關共同匯報標準(CRS)及美國海外帳戶稅收合規法案(FATCA)之附註》的條文, 並接受及同意受該等文件約束。 I/We confirm that the information sets out in this Account Opening Form is true, complete and correct and I/we understand all provisions set out in the Terms & Conditions and the Trading Policy and accept and agree to be bounded thereby. I/We confirm that the Account Holder(s) named in this Account Opening Form is / are the ultimate beneficial owner(s) of the Account(s) and transaction(s). I/We confirm that I/we have read, understand and agree to all provisions on Standing Authority (Client Money) set out in the Terms & Conditions and accept and agree to be bounded thereby. I/We confirm that I/we have read, understand and agree to all provisions on Risk Disclosure Statements set out in the Terms & Conditions. I/We have asked questions and took independent advice (if I/we wish). I/We confirm that I/we have read, understand and agree to all provisions on Notes Relating to the Common Reporting Standard (CRS) and the Foreign Account Tax Compliance Act (FATCA) set out in the Terms & Conditions and accept and agree to be bounded thereby.

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。 <input type="checkbox"/> 本人/吾等同意使用個人資料於直接促銷金融服務及產品、傢俬及家品、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 Clients' name(s), telephone number(s) and address(es) in conducting direct marketing activity for the following services and products. <input type="checkbox"/> I/We agree to the use of my/our 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: *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

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）
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）
Guarantees of All Directors (mandatory) | <input type="checkbox"/> 流動電話簡短訊息（如需要）
SMS (if required) |
| <input type="checkbox"/> 公司註冊證書副本（必須一併遞交）
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）
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
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）
Copy of Memorandum & Articles of Association (mandatory) | <input type="checkbox"/> 董事之地址證明
Address Proof of Directors | <input type="checkbox"/> 開戶表格副本及開戶卡
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）
Copy of Register of Directors or Form D2 (mandatory) | <input type="checkbox"/> 開戶存款（如需要）
Initial Deposit (if required) | <input type="checkbox"/> 其他
Others _____ |
| <input type="checkbox"/> 公司股東記錄冊副本（必須一併遞交）
Copy of Register of Members (mandatory) | <input type="checkbox"/> 自動轉賬（如需要）
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
CDD Level: Low Normal High |
| <input type="checkbox"/> 董事會議案（必須一併遞交）
Board Resolution (mandatory) | <input type="checkbox"/> 授權書（如需要）
Power of Attorney (if required) | |
| <input type="checkbox"/> 公司報告 或 查冊報告（必須一併遞交）
Company Report or Company Search Report (mandatory) | <input type="checkbox"/> 存續證明書（如需要）
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:

+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

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