

INNOVATION SECURITIES CO., LIMITED (CE No.: BGN336)
 鼎新證券有限公司(證監會持牌法團編號 BGN336)
 Unit 2601, 26/F, FWD Financial Centre, 308 Des Voeux
 Road Central, Hong Kong
 香港德輔道中 308 號富衛金融中心 26 樓 2601 室
 Tel 電話: 3105 1088

For official use only 只供本行使用

Account No. 戶口號碼:

AE Code 客戶主任號碼:

Date Opened 開戶日期:

請提供:

1. 經簽名驗證之複印本:

- 授權人士操作帳戶的授權文件 (例如: 董事會的決議案或類似書面授權及授權簽署人及交易員名單);
- 授權簽署人、授權交易員、董事及股東/實益擁有人之護照或身份證;
- 公司查冊報告 (適用於本地註冊的公司, 在過去 6 個月內簽發);
- 現任職位證明書 (適用於海外註冊的公司, 在過去 6 個月內簽發);
- 公司註冊證明書;
- 商業登記證 (如適用);
- 組織章程大綱及章程細則;
- 業務地址證明 (如與註冊地址不同);
- 董事聲明有關擁有權的圖表 (如適用);及
- 最近期之公司註冊處週年申報表、資料更改通知及董事及股東名冊

2. 交收指示 (如適用)

3. 財務報表 / 個人擔保書 (所有擔保人之護照或身份證副本, 如適用)

4. 公司《海外帳戶稅收合規法案》自行認證

Please provide:

1. Certified true copies of:

- Document giving authority to the authorized persons to operate the Account (e.g. Board Resolution or similar Written Authority and List of Authorized Signatories and Traders);
- Passports or identity cards of Authorized Signatories, Authorized Traders, Directors and Shareholders/Beneficial Owners;
- Company Search Report (for locally incorp. & issued within last 6 months);
- Certificate of Incumbency (for overseas incorp. & issued within last 6 months);
- Certificate of Incorporation;
- Business Registration Certificate (if applicable);
- Memorandum & Articles of Association;
- Address proof of Business Address (if different from Registered Address);
- Director's Declaration on Ownership Chart (if applicable); and
- Latest Annual Return, Notification of Change and Register of Directors and Shareholders.

2. Settlement Instructions (if applicable)

3. Financial Statements / Personal Guarantee (copy of passport/identity card of all guarantors, if applicable)

4. Corporate FATCA Self-Certification

開戶申請表格 (公司賬戶)
ACCOUNT OPENING FORM (CORPORATE ACCOUNT)

1. Please select the type of account 請選擇戶口類別

Cash Securities Trading 現金證券買賣戶口 Margin Securities Trading 保證金證券買賣戶口

Do you require internet trading services? 客戶是否需要開通網上交易服務? Yes 是 No 否

Do you require trading in non-HK stocks? 客戶是否需要開通港股以外的其他股票交易? Yes 是 No 否

If yes, please specify 如是, 請述明具體: _____

2. CORPORATE INFORMATION 公司資料

Company Name 公司名稱 (English 英文) _____
 (Chinese 中文) _____

Nature of business 業務性質 Place of incorporation 公司註冊地點 Date of incorporation 公司註冊日期

Registration number in country of incorporation / establishment 公司註冊號碼 Business Registration No. 商業登記號碼

Private limited company 私人公司 Public limited company 公共企業 Sole proprietor 獨資經營

Partnership 合伙經營 Others 其他

Registered address 公司註冊地址				
Business address (if different) 公司營業地址(如有不同)				
Telephone no. 電話號碼		Fax no. 傳真號碼 / Telex no.電傳號碼		Email address 電郵地址
3. FATCA INFORMATION 外國帳戶稅收合規法案資料				
Nature of Business 業務性質:				
<input type="checkbox"/> Financial Institution 金融機構: _____ <input type="checkbox"/> NonFinancial Institution 非金融機構: _____				
U.S. Tax Obligation 美國稅務責任:			Global Intermediary Identification Number (GIIN):	
<input type="checkbox"/> Yes 有 (TIN 稅務身份號碼: _____) <input type="checkbox"/> No 沒有			全球中介人身份號碼	
4. DIRECTOR INFORMATION 董事資料				
Director(s) Name 董事姓名			Director(s) Home Address 董事住址	
(1)				
(2)				
(3)				
5. SHAREHOLDER INFORMATION 股東資料				
Shareholder(s) Name 股東姓名	Shareholder(s) Home Address 股東住址	Shareholding 所佔股權(%)	Is Shareholder U.S. Person (i.e. U.S. Citizen, U.S. Resident, U.S. Passport or Green Card holder)? 股東是 否美國人士 (即: 美國公民 、美國居民、美國護照或綠 卡持有人)?	Family Relationship with Other Shareholder(s) 與其他股東存在家屬關係
(1)			<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是
(2)			<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是
(3)			<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是
6. Latest Financial Information 最近期之財務資料				
Issued / paid capital 已發行/已繳足股本			Net tangible assets 有形資產淨值 (as at 日期)	
HK\$			HK\$	
Sales turnover for the past two years 最近 2 年之營業額			Profit after tax for the last 2 years 最近 2 年之除稅後溢利	
1. HK\$ _____ () Year 年			1. HK\$ _____ () Year 年	
2. HK\$ _____ () Year 年			2. HK\$ _____ () Year 年	
7. Investment Experience 投資經驗				
<input type="checkbox"/> Nil 無 <input type="checkbox"/> Warrants 認股證 _____ year 年				
<input type="checkbox"/> HK listed Stock 香港上市證券 _____ year 年 <input type="checkbox"/> Overseas listed stocks 海外上市證券 _____ year 年				
<input type="checkbox"/> HK futures / options 香港期貨/期權 _____ year 年 <input type="checkbox"/> Overseas futures / options 海外期貨/期權 _____ year 年				

8. Investment Objectives 投資目標	9. Risk Factors 風險因素
<input type="checkbox"/> Income 收入 <input type="checkbox"/> Capital gain 資本增值 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Speculation 投機	<input type="checkbox"/> Low 低風險 <input type="checkbox"/> High 高風險 <input type="checkbox"/> Medium 中風險 <input type="checkbox"/> Very High 極高風險
10. Knowledge of Derivatives 衍生產品的認識 (Please tick the appropriate box. 請在適當空格加√)	
<p>Have your authorized person for making investment decisions ever attended any courses or seminars on structured or derivative product(s)? 為客戶作出投資決定的授權代表曾否接受有關結構性或衍生產品的培訓或相關課程?</p> <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是	
<p>Has any of your authorized person for making investment decisions current work experience been related to structured or derivative product(s)? 為客戶作出投資決定的授權代表現時的工作經驗是否與結構性或衍生產品有關?</p> <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是	
<p>Has any of your authorized person for making investment decisions previous work experience ever been related to structured or derivative product(s)? 為客戶作出投資決定的授權代表以往的工作經驗是否與結構性或衍生產品有關?</p> <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是 Name of employer 僱主名稱: _____ Relevant employment period 在職日期: _____	
<p>Do your authorized person for making investment decisions ever have any trading experience in structured or derivative product(s)? 為客戶作出投資決定的授權代表以往曾否有買賣結構性或衍生產品的經驗?</p> <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是 Please state the structured or derivative product(s) you traded: 請提供客戶以往有買賣的結構性或衍生產品: <input type="checkbox"/> Callable Bull/Bear Contracts (CBBC) 牛熊證 <input type="checkbox"/> Derivative Warrants 衍生認股證 <input type="checkbox"/> Equity Linked Instruments / Notes (ELI/ELN) 股票掛鈎產品 <input type="checkbox"/> Exchange Traded Convertible Bonds 交易所買賣換股債券 <input type="checkbox"/> Exchange Traded Funds 交易所買賣基金 <input type="checkbox"/> Futures and Options 期貨或期權合約交易 <input type="checkbox"/> Rights 供股權 <input type="checkbox"/> Stock Options 股票期權 <input type="checkbox"/> Others 其他 : _____	

Have you executed five or more transactions in structured or derivative products within the past three years?

客戶曾否在以往三年內執行過五宗或以上結構性或衍生產品交易?

Yes 是 No 不是

Have you interest in trading of structured or derivative products in our Company?

客戶是否有意於本公司進行各類衍生產品交易?

Yes 是 No 不是

11. Nominated Bank Account 指定銀行戶口

Please pay the money received on my/our behalf into the following bank account opened in my/our own name upon my request.

請在本人要求時將為本人/吾等代收的款項轉帳到下列以本人/吾等名義開設的銀行帳戶。

Bank Name 銀行名稱: _____

Branch(es) / Address(es) 分行/地址: _____

Account Name(s) 戶口名稱: _____

Account Number 戶口號碼: _____

Account Type(s) 戶口類別: Saving 儲蓄 Current 往來 Others 其他 _____

12. Related Accounts 關聯戶口

Do you have any related company which has already opened an account with Innovation Securities Co., Limited?

是否有任何與貴公司同一集團之成員已在鼎新證券開立戶口?

Yes, name of the related company 是, 該公司名稱: _____ No 否

Account number: 戶口號碼: _____

Is any client of Innovation Securities Co., Limited, either alone or with his spouse, in control of 35% or more of your voting right?

是否有任何鼎新證券的客戶單獨或與其配偶共同控制貴公司 35%或以上的表決權?

Yes, name of client 是, 客戶名稱: _____ No 否

Account number: 戶口號碼: _____

13. Shareholders & Ultimate Beneficial Owner(s) of the Account 股東及戶口最終權益擁有人

The Client hereby declares that 客戶茲聲明

1. The name and address of the shareholder(s) (use separate sheet if necessary) 股東之名稱及地址(如空位不足, 請另加紙填寫)

Name 姓名

Address 地址

_____	_____
_____	_____

2. The ultimate beneficial owner(s) of the account is ;

以下人士為此戶口最終權益擁有人;

Name 姓名	I.D. / Passport No. 身份證 / 護照號碼

The Client is acting as a financial intermediary and the Client shall inform Innovation Securities Co., Limited or the Hong Kong Regulators of the ultimate beneficiary of the Account upon request 客戶本身作為金融中介機構, 而客戶須應要求通知鼎新證券或香港監管機構有關此戶最終權益擁有人資料。

3. Is any of the above beneficial owner a registered person, or a director or an employee of a member of the Futures Exchange or a registered person of SFC? 最終權益擁有人是否期交所或證監會的註冊人士, 或任何註冊人士之董事或僱員?

Yes, name of the registered person 是, 註冊人士名稱:

No

4. Is any of the above beneficial owner(s) related to the director(s) or employee(s) of Innovation Securities Co., Limited or the group companies?

最終權益人是否與鼎新證券或鼎新同一集團之其他成員公司的董事或僱員有直屬關係?

Yes, name of the director(s) or employee(s) 是, 董事或僱員名稱:

No

14. Authorized Persons 獲授權人士

(a) Instructions in relation to the operation of the Account and to effect Transactions and other dealings in futures/options contact:

以下人士獲授權運作此戶口及發出買賣指示:

Name 姓名

Title 職位

Telephone No. 電話號碼

1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____

(b) Responsible for settlement on behalf of the Client: 以下人士負責處理交收事宜:

Name 姓名

Title 職位

Telephone No. 電話號碼

1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____

15. Specimen Authorized Signatures 授權簽署式樣

The following person(s) is/are authorized to operate the account 以下人士獲授權簽署:

A total of _____ signatures, any _____ signature(s) will be valid. 總共 _____ 個簽名, 任何 _____ 個簽名有效。

Name:
姓名: _____
H.K.I.D. / Passport No.:
香港身份證號碼/護照號碼: _____
Specimen Signature:
簽署式樣:

Name:
姓名: _____
H.K.I.D. / Passport No.:
香港身份證號碼/護照號碼: _____
Specimen Signature:
簽署式樣:

Name:
姓名: _____
H.K.I.D. / Passport No.:
香港身份證號碼/護照號碼: _____
Specimen Signature:
簽署式樣:

Name:
姓名: _____
H.K.I.D. / Passport No.:
香港身份證號碼/護照號碼: _____
Specimen Signature:
簽署式樣:

Name:
姓名: _____
H.K.I.D. / Passport No.:
香港身份證號碼/護照號碼: _____
Specimen Signature:
簽署式樣:

Name:
姓名: _____
H.K.I.D. / Passport No.:
香港身份證號碼/護照號碼: _____
Specimen Signature:
簽署式樣:

Name:
姓名: _____
H.K.I.D. / Passport No.:
香港身份證號碼/護照號碼: _____
Specimen Signature:
簽署式樣:

Name:
姓名: _____
H.K.I.D. / Passport No.:
香港身份證號碼/護照號碼: _____
Specimen Signature:
簽署式樣:

16. Declaration 聲明

We hereby declare that the information given in this form is true and correct and that we have not willfully withheld any material fact(s). We understand that We may be required to provide additional information or submit documentary proof as to the information provided in this form when requested to do so. We understand that our submission of this form and the acceptance of this form by you in no way implies approval for opening of the Account for us and that you reserves the right to reject our application. 吾等謹此聲明表格上提供之所有資料均為真實及正確，吾等並未刻意隱瞞任何重要事實。除上述提供的資料外，吾等清楚閣下會要求吾等提供更多相關的資料或證明文件。吾等明白吾等遞交此表格及閣下接納此表格並非表示閣下同意開立帳戶予吾等，並清楚閣下保留拒絕吾等開戶申請之權力。

We request you to open a Securities Trading Account (“the Account”) and agree to abide by the rules and regulations of The Stock Exchange of Hong Kong Limited (“SEHK”) or any other regulatory body(ies) as amended from time to time governing the purchase and sale of securities quoted on the SEHK or any other stock exchanges. 吾等向閣下申請開立證券買賣帳戶並同意遵守香港交易所及其他監管機構不時修訂以監管於香港交易所或其他交易所進行證券買賣之條例及規則。

We have carefully read and understood the contents of the Client Agreement for Securities Client Account Number _____ (please copy the Client Account Number from the cover page of the Client Agreement for Securities Trading). We expressly agree and consent, as evidence by our signature(s) below, to each and all the terms and provisions contained in the Client Agreement for Securities Trading. We also acknowledge that we have been invited to ask questions about the relevant laws and regulations, commission and fees schedules as well as the Risk Disclosure Statements in Clause 14 of the Client Agreement for Securities Trading. We have satisfied with the explanations and clarifications provided to us. We hereby declares that we are willing and capable of fulfilling the duties and obligations as specified in the Client Agreement for Securities Trading. 吾等已仔細審閱並理解此證券交易客戶協議書帳戶號碼_____ (請轉抄自證券交易客戶協議書首頁的帳戶號碼)的全部內容。吾等的以下簽名表明吾等完全同意和接受此證券交易客戶協議書的全部條款和細節。吾等並在此聲明，吾等確認吾等有被邀請詢問有關法律法規、佣金費用和此證券交易客戶協議書第14條中有關風險披露聲明等問題。吾等充分理解相關問題的解釋和說明，吾等有能力和願意履行承擔此證券交易客戶協議書規定的權利和義務。

Authorized Signature(s) with company chop 公司印章及授權簽名

Name of Authorized signatory(ies) (Please Print) 被授權簽署人姓名 (請書寫)

Date 日期

SIGNED by Witness 見證人簽署

I, the undersigned, have witnessed the signature and inspected the original identity documents of the above-named client. 本人已見證及驗證上述客戶之簽署及有關其身分證明文件之正本。

SIGNED and DECLARED by Licensed Representative who has explained to the Client the Risk Disclosure Statements in Clause 14 of the Client Agreement for Securities Trading. 向客戶解釋此證券交易客戶協議書第14條中有關風險披露聲明的持牌代表簽署

Signature of Witness 見證人簽署

Signature of Licensed Representative 持牌代表簽署

Full Name of Witness (Print) 見證人姓名(請以正楷書寫)

Full Name of Licensed Representative (Print) 持牌代表姓名(請以正楷書寫)

Witness' Qualification 見證人職位

CE Number of Licensed Representative 持牌代表中央編號

Date 日期

Date 日期

ACKNOWLEDGEMENT BY INNOVATION SECURITIES CO., LIMITED

鼎新證券有限公司

We acknowledge and agree to the above

確認並同意此帳戶開立表格內容

Authorized Signer for and on behalf of Innovation Securities Co., Limited

Date

正式授權代表 鼎新證券有限公司

日期

17. For Official Use Only 只供本行使用

Client Commission Rate 客戶佣金:	AE Rebate 客戶主任佣金:
Introduced by 介紹人:	How Long Known to Client : 與客戶相識年期:
Name of Account Executive 客戶主任姓名:	AE No 客戶主任號碼:
Bank and Credit References Obtained 已獲銀行及信貸參考: Yes 是/ No 否	Credit Limit Suggested by AE 客戶主任建議之信用額:
Documents Inputed By 文件輸入:	Account Executive Signature 客戶主任簽署:
Documents Checked By 文件查核:	Account Approved By 批准: