

Internal Only 內部使用

A/C No.: _____

Name: _____

ACCOUNT OPENING FORM 開戶資料表格

FOR CORPORATE ACCOUNT 公司賬戶

ACCOUNT TYPE 帳戶類別

Securities Trading Cash Account 現金證券交易戶口

Do you require internet trading services? 閣下是否需要開通網上交易服務?

Yes 是

No 否

CORPORATE INFORMATION 公司資料

Company Name (English) (Note 1) 公司名稱(英文)(附註 1)			
Company name (Chinese) (Note 1) 公司名稱(中文)(附註 1)			
Registered Address 註冊地址			
Business Address 商業地址			
E-mail address 電郵地址:		Statement Language 結單語言	<input type="checkbox"/> Chinese 中文 <input type="checkbox"/> English 英文
Date of incorporation 註冊日期:		Business registration number 商業登記證號碼:	
Country of incorporation 註冊國家:		Certificate of Incorporation number 公司註冊證書號碼:	
Office Tel. No. 辦公室電話號碼	()	Fax No. 傳真號碼	()
Contact Person 聯絡人	Name 姓名: _____		Tel. No. 電話號碼: _____
Mailing method 通訊方式	(Select either one 只選一項) (Charge for Mailing Statement HKD50.00 / month 郵寄結單費用為每月港幣 50 元)		
	<input type="checkbox"/> E-mail address 電郵地址(Note 2/附註 2)	<input type="checkbox"/> Registered address 註冊地址	<input type="checkbox"/> Business address 商業地址
Nature of Business 業務性質	<input type="checkbox"/> Financial Institution 金融機構: _____ <input type="checkbox"/> Non-Financial Institution 非金融機構: _____		
U.S Tax Obligation 美國稅務責任	<input type="checkbox"/> Yes 是 (TIN No: _____) <input type="checkbox"/> No 否	Global Intermediary Identification Number (GIIN) 全球中介人身份號碼	

STANDING PAYMENT INSTRUCTION 常設收款指示

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。

Name of Bank 銀行名稱: _____ Bank Account No. 銀行帳戶號碼: _____

Name of Standby Bank 備用銀行名稱: _____ Standby Bank Account No. 備用銀行帳戶號碼: _____

DIRECTOR INFORMATION 董事資料

Director(s) Name 董事姓名	Director(s) Passport/ID Card No. 董事護照/身份證號碼	Director(s) Home Address 董事住址
(1)		
(2)		
(3)		

SHAREHOLDER INFORMATION 股東資料

Shareholder(s) Name 股東姓名	Shareholder (s) Passport/ID Card No. 股東護照/身份證號碼	Shareholder (s) Home Address 股東住址	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 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 If yes, please specify 如是,請述明具體:
Shareholding 所佔股權(%)				
(2)			<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 If yes, please specify 如是,請述明具體:
Shareholding 所佔股權(%)				
(3)			<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 If yes, please specify 如是,請述明具體:
Shareholding 所佔股權(%)				

OTHER DISCLOSURES 其他資料披露 (Please tick appropriate box. 請在適當空格加√)

Please provide details of ultimate beneficial owner(s) if they are different from the above shareholder(s) information
如最終實益擁有人與上述股東不同, 請提供最終實益擁有人之資料:

Name 姓名: _____ (_____ %) Address 地址: _____

Name 姓名: _____ (_____ %) Address 地址: _____

Is member of your group companies currently maintaining account(s) with our company?
貴公司集團旗下公司成員有否在本公司開設帳戶?

No 否 Yes, Details are 是, 詳情為:
 Account name 帳戶名稱: _____
 Account number 帳戶號碼: _____

Is any of your company's directors or shareholders an employee or agent of an exchange participant of a stock/futures exchange, or a securities/futures dealer or investment adviser registered with the Securities & Futures Commission?
貴公司之任何董事或股東是否證券及期貨交易所參與者, 或證券及期貨事務監察委員會註冊之證券或期貨交易商或投資顧問之僱員或代理人?

No 否 Yes, the name of the related exchange participant or registered person is
 是, 有關之交易所參與者或註冊人為: _____

The director(s) or shareholder(s) concerned consent(s) to GGS contacting his / her / their employer(s) in relation to the opening of the company's Account.
有關之董事或股東同意高寶就有關開立公司帳戶接觸有關之董事或股東之僱主

Is any of your company's directors or shareholders an employee or agent of Global Group Securities?
貴公司之任何董事或股東是否高寶集團證券之僱員或代理人?

No 否 Yes 是 (If yes, please specify 如有, 請註明: _____)

Is any of your company's directors or shareholders the relative of an employee of Global Group Securities (Note 3)?
貴公司之任何董事或股東是否高寶集團證券之僱員親屬(附註 3)?

No 否 Yes, the name of the relative and the relative's employer are
 是, 僱員親屬及親屬僱主名稱為: _____

Is any of your company's directors or shareholders been arrested/tried/sentenced/disciplined for illegal activities or violating regulatory requirements?
貴公司之任何董事或股東是否曾經涉及違法或違反監管守則而被捕/受審/被判刑/被紀律處分?

No 否 Yes 是 (If yes, please specify 如果是, 請述明具體: _____)

Is any of your company's directors or shareholders a politically exposed person, senior government official or senior executive of a state-owned corporation?
貴公司之任何董事或股東是否政治人物、高級政府官員或國有企業高級行政人員?

No 否 Yes 是 (If yes, please specify 如果是, 請述明具體: _____)

FINANCIAL INFORMATION 財政資料		
Annual profit after tax 全年除稅後利潤	<input type="checkbox"/> < HKD250,000 <input type="checkbox"/> HKD500,001 – HKD1,000,000 <input type="checkbox"/> HKD _____	<input type="checkbox"/> HKD250,001 – HKD500,000 <input type="checkbox"/> HKD1,000,001 – HKD2,000,000
Net assets 淨資產	<input type="checkbox"/> < HKD500,000 <input type="checkbox"/> HKD2,500,001 – HKD5,000,000 <input type="checkbox"/> HKD _____	<input type="checkbox"/> HKD500,001 – HKD2,500,000 <input type="checkbox"/> HKD5,000,001 – HKD10,000,000
Based on audited accounts as at _____ (Date) 根據於 _____ (日期)之審計帳目		

INVESTMENT EXPERIENCE AND OBJECTIVES 投資經驗及目的	
Investment Knowledge 投資知識	<input type="checkbox"/> Excellent 精通 <input type="checkbox"/> Good 良好 <input type="checkbox"/> Some 較好 <input type="checkbox"/> Limited 有限 <input type="checkbox"/> None 全無
Investment Experience 投資經驗	<input type="checkbox"/> Stock 股票 _____ year(s)年 <input type="checkbox"/> Index Options / Futures 指數期權/期貨 _____ year(s)年 <input type="checkbox"/> Warrants / Stock Options 認股證/股票期權 _____ year(s)年 <input type="checkbox"/> FX/Bullion 外幣/黃金 _____ year(s)年 <input type="checkbox"/> Structured Investment Products 結構性產品 _____ year(s)年 <input type="checkbox"/> Others 其他 _____ year(s)年 Please specify 請說明: _____
Investment Objectives 投資目的	<input type="checkbox"/> Growth 增值 <input type="checkbox"/> Income 收入 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Hedging 對衝 <input type="checkbox"/> Other 其他
Risk Tolerance 承受風險	<input type="checkbox"/> Aggressive 高 <input type="checkbox"/> Moderate 中 <input type="checkbox"/> Conservative 低

KNOWLEDGE OF DERIVATIVES 衍生產品的認識 (Please tick the appropriate box. 請在適當空格加√)	
Please provide the name(s) and information relevant to the ultimate person(s) who control(s) the account or make(s) investment decision. 請帳戶最終控制/作投資人士提供以下資料:	
Name 名稱: _____	
Have you ever attended any courses or seminars on structured or derivative product(s)? 閣下曾否接受有關結構性或衍生產品的培訓或相關課程?	
<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是	
Has any of your previous work experience ever been related to structured or derivative product(s)? 閣下以往的工作經驗是否與結構性或衍生產品有關?	
<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: _____	
Do you ever have any trading experience in structured or derivative product(s)? 閣下以往曾否有買賣結構性或衍生產品的經驗?	
<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是	
Please state the structured or derivative product(s) you traded: 請提供閣下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?

您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

Has any of your current work experience been related to structured or derivative product(s)?

閣下現時的工作經驗是否與結構性或衍生產品有關？

Yes 是 No 不是

TRADING AUTHORISATION 交易授權

The following individuals are authorized to execute trades on behalf of the Client.

下列人士均可對帳戶以書面或口頭形式發出交易命令或指示

Name of Authorized Person(s) 被授權人姓名	Identity Card/Passport Number 身份證/護照號碼	Contact Tel. No. 聯絡電話號碼	Specimen Signature 簽名式樣
(1)		辦公室: Office: 手機: Mobile:	
(2)		辦公室: Office: 手機: Mobile:	
(3)		辦公室: Office: 手機: Mobile:	
(4)		辦公室: Office: 手機: Mobile:	
(5)		辦公室: Office: 手機: Mobile:	

SIGNING ARRANGEMENT 簽名安排

Any _____ of the undersigned individuals are authorized to deposit/withdraw fund/shares to/from the Account, give settlement instructions and any other instructions on behalf of the Client and the specimen signatures appearing against their names are the true signatures of the authorized individuals:

以下任何_____位授權人士簽署均可代表公司對帳戶進行資金/股票存儲/提取，發出清算指令和其他有關帳戶的指令，而授權人士之真實簽名樣本已於其姓名旁邊顯示：

Name of Authorized Person(s) 被授權人姓名	Identity Card/Passport Number 身份證/護照號碼	Specimen Signature 簽名式樣
(1)		
(2)		
(3)		
(4)		
(5)		

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 / Futures Trading Account (“the Account”) and agree to abide by the rules and regulations of The Stock Exchange of Hong Kong Limited (“SEHK”) / The Hong Kong Futures Exchange Limited (“HKFE”) or any other regulatory body(ies) as amended from time to time governing the purchase and sale of securities / futures contract quoted on the SEHK / HKFE or any other stock exchanges.

吾等向閣下申請開立證券買賣帳戶/期貨買賣帳戶，並同意遵守香港交易所/香港期貨交易所及其他監管機構不時修訂以監管於香港交易所/香港期貨交易所或其他交易所進行證券/期貨買賣之條例及規則。

We have carefully read and understood the contents of the Client Master Agreement for Securities Trading / Futures 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 Master Agreement. 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 the Client Master Agreement. We have satisfied with the explanations and clarifications provided to us. We hereby declare that we are willing and capable of fulfilling the duties and obligations as specified in the Client Master Agreement for Securities Trading / Futures Trading.

吾等已仔細審閱並理解附帶的證券/期貨交易客戶主協議書的全部內容。吾等的以下簽名表明吾等完全同意和接受此證券/期貨交易客戶主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/期貨交易客戶主協議書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/期貨交易客戶主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 am a Hong Kong SFC licensed or registered person, an affiliate of a licensed or registered person, a JP (Justice of the Peace), or a professional person such as a branch manager of a bank, certified public accountant, lawyer or notary public, hereby certify that I have witnessed the signing of this Agreement and have sighted the related identity documents of the Client.

本人為香港證監會的持牌人或註冊人、持牌人或註冊人的聯繫人士、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。茲核證本人見證客戶簽立本協議，並驗證有關客戶身份證明文件。

_____ Signature of Witness 見證人簽署	Name of Witness (Block Capital) 見證人姓名	
	Witness' Qualification 見證人職位	
	Witness' ID Card No 見證人身份證號碼	Date 日期

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Declaration by Staff 職員聲明

I, _____ (Print name of staff), confirm that I have provided the Risk Disclosure Statements in English and Chinese to the Client and that I have invited the Client to read the Risk Disclosure Statements, ask questions and take independent advice, if the Client wishes.

本人，_____ (職員姓名)，確認本人已以英文及中文向客戶提供風險披露聲明，及已邀請客人閱讀該風險披露聲明，提出問題及，如客戶有此意願，徵求獨立的意見。

Place to make the Risk Disclosure Statements to the client 與客戶作出聲明的地點

in the office of Global Group Securities Limited 在高寶集團證券有限公司

in other locations in Hong Kong 在香港其他地點: _____

by phone 透過電話

Signature 簽名 _____

CE Number 號碼 (_____)

Date 日期: _____

Acceptance by GGS 接納

For and on behalf of 代表
Global Group Securities Limited

Authorised Signature(s) 獲授權人簽名 _____

Name 姓名: _____

Date 日期: _____

Notes: 附註

- 1 *Company name should be as on its certificate of incorporation. 公司名稱應為其在法團註冊證書上之名稱。*
- 2 *Client's daily and monthly statements and official documents to be delivered by email and due to the nature of internet, GGS will endeavour to send the relevant documents by email and take all responsible actions to ensure that they are sent in a timely fashion and that for unforeseen technical reasons out of GGSs' control that a guarantee of receipt of the said emails is not possible. 高寶以電郵方式傳遞有關客戶之日結單、月結單及其他通告至客戶之電郵地址，在傳遞電郵過程中，已盡一切合理努力使有關電郵準時無誤地送達客戶之電郵地址，但考慮到其他非預見及非控制範圍內之技術問題，高寶不可能作出完全保證。*
- 3 *The term relative includes spouse, children (whether minor or adult), parents, grandparents, brother and sister. Where there is a connection, GGS may monitor the account in accordance with its group policy on trading by employees and relatives. 親屬一詞包括配偶、子女(不論是未成年人或成人)、父母、祖父母、兄弟及姊妹。倘有關係，高寶可根據其集團對僱員及親屬進行交易之政策，監察賬戶。*

ACCOUNT DETAILS 帳戶資料			
AE Name	AE Code		
Derivative Products	<input type="checkbox"/> Rejected	<input type="checkbox"/> Approved	Remark:
Interest Rate	<input type="checkbox"/> P+3%	<input type="checkbox"/> P+5%	<input type="checkbox"/> Other, please specify: _____ %
Client Commission Rate	<input type="checkbox"/> For Securities Account _____ % Min _____ <input type="checkbox"/> 0.03% Staff Discount Min \$35	<input type="checkbox"/> Bond/ Fund <input type="checkbox"/> 5% on nominal value, Min USD100 <input type="checkbox"/> Other, please specify: _____	
AE Commission Rate	_____ % Min _____		

CLIENT RISK CATEGORY CHECKLIST 客戶風險級別對照表			
Risk Level 風險水平	LOW 低	NORMAL 一般	HIGH 高
Risk Assessment 風險評估	<input type="checkbox"/> Financial institutions ("FI") * 金融機構 ("FI") *	<input type="checkbox"/> Individual clients 個人客戶	<input type="checkbox"/> Client has not been present for face-to-face interview/meeting for "identification purpose" 完全沒有為「身分識別的目的」而進行面對面會面的客戶
	<input type="checkbox"/> Listed companies 上市公司	<input type="checkbox"/> Limited private companies* 私人有限公司* (with no director(s), shareholder(s) or beneficial owner(s) as PEPs) (沒有董事、股東或實益擁有人為政治人物)	<input type="checkbox"/> Politically Exposed Persons ("PEPs") and their close associates 政治人物 ("PEPs") 及其關係密切的人
	<input type="checkbox"/> Government and public body 政府及公共機構	<input type="checkbox"/> Partnership * 合夥* (with no partner(s) as PEPs) (沒有合夥人為政治人物)	<input type="checkbox"/> Companies with director(s) or shareholder(s) or beneficial owner(s) as PEPs, whose source of wealth and funds are unclear or who requires the setting up of complex structure 機構內有政治人物為董事、股東或實益擁有人，而他們的資產和資金來源並不清晰；或要求成立一個複雜的架構
	<input type="checkbox"/> Solicitor's Client accounts 律師的當事人帳戶	<input type="checkbox"/> Sole proprietorships, associations, clubs, societies, co-operative and provident societies 獨資企業、會社、會所、社團、合作社和公積金社團 (with no PEPs as the beneficial owner) (沒有實益擁有人為政治人物)	<input type="checkbox"/> Cash intensive business such as casinos, sauna, military sector, money changer and remittance agencies 現金密集型業務包括賭場、桑拿、軍事部門、兌錢商和貨幣匯兌業*
Possible Customer Due Diligence 合適的客戶盡職審查	Simplified Due Diligence ("SDD") 簡化客戶盡職審查	Customer Due Diligence ("CDD") 客戶盡職審查	Enhanced Due Diligence ("EDD") 嚴格客戶盡職審查

*Regulated by Financial Action Task Force ("FATF") (www.fatf-gafi.org) or FATF equivalent jurisdiction which are internally assessed to be non-high risk.

*被財務行動特別組織 ("特別組織") (www.fatf-gafi.org) 或對等司法管轄區管制，並經本公司界定為非高風險

Classification Result: 分類結果:	<input type="checkbox"/> LOW 低	<input type="checkbox"/> NORMAL 一般	<input type="checkbox"/> HIGH 高
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Other Comments 其他意見:

Checked by AE / CS	Approved by Compliance	Approved by RO	Data Input by	Data Input Authorized by
Date:	Date:	Date:	Date:	Date: