

**ACCOUNT OPENING FORM 開戶資料表格**

**FOR INDIVIDUAL / JOINT ACCOUNT 個人 / 聯名賬戶**

Internal Only 內部使用

A/C No.: \_\_\_\_\_

Name: \_\_\_\_\_

**ACCOUNT INFORMATION 戶口資料**

Account Type 戶口種類:	Securities Trading Cash A/C 現金證券交易戶口		
Client Type 客戶種類:	<input type="checkbox"/> Individual Account 個人帳戶	<input type="checkbox"/> Joint Account 聯名帳戶	
Additional Services 附加服務:	<input type="checkbox"/> Internet Trading Services 網上交易服務		

**PERSONAL DETAILS 個人資料**

Primary Client 客戶		Joint Client 聯名客戶	
<input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Ms. 女士 <input type="checkbox"/> Mrs. 太太	English (Pinyin) Name: 英文(拼音)姓名  Chinese Name: 中文姓名	<input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Ms. 女士 <input type="checkbox"/> Mrs. 太太	English (Pinyin) Name: 英文(拼音)姓名  Chinese Name: 中文姓名
Passport / ID Card No. 護照 / 身份證號碼		Passport / ID Card No. 護照 / 身份證號碼	
Date of Birth 出生日期		Date of Birth 出生日期	
Nationality 國籍		Nationality 國籍	
Country of Birth 出生地		Country of Birth 出生地	
Statement Language 結單語言	<input type="checkbox"/> Chinese 中文 <input type="checkbox"/> English 英文	Relationship between the Primary Client and the Joint Client 客戶與聯名客戶的關係	
Residential Address 住址			
Corresponding Address 通訊住址			
Home Telephone No. 住宅電話號碼	( )	Home Fax No. 住宅傳真	( )
E-mail Address 電子郵件地址		Mobile No. 手提電話	( )
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 電郵 (Note 1/附註 1) <input type="checkbox"/> Residential 住宅 <input type="checkbox"/> Office 辦公室 <input type="checkbox"/> Mailing Address 通訊地址		
Education 教育程度	<input type="checkbox"/> Primary 小學 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> College 大專 <input type="checkbox"/> University or above 大學或以上 <input type="checkbox"/> Other 其他: _____		
Employment 就業情況	<input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自營 <input type="checkbox"/> Unemployment 待業 <input type="checkbox"/> Student 學生 <input type="checkbox"/> Housewife 主婦 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Other 其他: _____		
Current Employer of Primary Client 客戶現職僱主	Name 名稱		
	Nature of Business 業務性質	Present Position 現時職位	
Office Address 公司地址			
Office Tel. No. 公司電話	( )	Office Fax No. 公司傳真	( )

**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: \_\_\_\_\_

FINANCIAL INFORMATION 財政資料			
Source of Wealth / Funds 資產 / 資金來源	<input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Dividend / Interest 股息 <input type="checkbox"/> Household Income 家用 <input type="checkbox"/> Nil 無	<input type="checkbox"/> Commission 佣金 <input type="checkbox"/> Business Profit 業務溢利 <input type="checkbox"/> Retirement Pension 退休金 <input type="checkbox"/> Others 其他 _____	<input type="checkbox"/> Rent 租金 <input type="checkbox"/> Saving 儲蓄 <input type="checkbox"/> Mortgage / Loan 按揭 / 借貸
Annual Income (Note 2) 全年收入(附註2)	<input type="checkbox"/> < HKD120,000 <input type="checkbox"/> HKD360,001 – HKD600,000 <input type="checkbox"/> HKD _____	<input type="checkbox"/> HKD120,001 – HKD360,000 <input type="checkbox"/> HKD600,001 – HKD1,200,000	
Net Value of Assets (Note 3) 資產淨值(附註3)	<input type="checkbox"/> < HKD500,000 <input type="checkbox"/> HKD1,000,001 – HKD5,000,000 <input type="checkbox"/> HKD _____	<input type="checkbox"/> HKD500,001 – HKD1,000,000 <input type="checkbox"/> HKD5,000,001 – HKD10,000,000	
Asset Type 資產類別	<input type="checkbox"/> Land and Property 房地產 <input type="checkbox"/> Funds 基金 <input type="checkbox"/> Gold 黃金	<input type="checkbox"/> Cash / Deposit 現金 / 存款 <input type="checkbox"/> Bonds / Debentures 債券 <input type="checkbox"/> Stocks 股票	<input type="checkbox"/> Inheritance 遺產 <input type="checkbox"/> Foreign Exchange 外匯 <input type="checkbox"/> Others 其他 _____

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	Stock 股票 <input type="checkbox"/> NO <input type="checkbox"/> <1year 年 <input type="checkbox"/> 1-3years 年 <input type="checkbox"/> 3-5years 年 <input type="checkbox"/> >5years 年 Futures 期貨 <input type="checkbox"/> NO <input type="checkbox"/> <1year 年 <input type="checkbox"/> 1-3years 年 <input type="checkbox"/> 3-5years 年 <input type="checkbox"/> >5years 年 Warrants / Options 認股證/期權 <input type="checkbox"/> NO <input type="checkbox"/> <1year 年 <input type="checkbox"/> 1-3years 年 <input type="checkbox"/> 3-5years 年 <input type="checkbox"/> >5years 年 FX/Bullion 外幣/黃金 <input type="checkbox"/> NO <input type="checkbox"/> <1year 年 <input type="checkbox"/> 1-3years 年 <input type="checkbox"/> 3-5years 年 <input type="checkbox"/> >5years 年 Others 其他 _____ year(s)年    Please specify 請述明: _____
Investment Objectives 投資目的	<input type="checkbox"/> Capital Gain 增值 <input type="checkbox"/> Dividend Income 收入 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Arbitrage 套利
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√)
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 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? <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) 股票掛鉤產品 <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? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是

OTHER INFORMATION 其他資料
Reason for Choosing GGS for Account Opening 閣下選擇高寶開戶的原因 <input type="checkbox"/> Referral 親友 _____ <input type="checkbox"/> Others 其他 _____

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

Is you a senior officer or director of any listed company whose shares are traded on any exchange or market?  
您是否出任上市公司之高級職員／董事？

No 否       Yes 是      Company Name 公司名稱: \_\_\_\_\_  
Stock Code 股票編號: \_\_\_\_\_

Are you the employee of a SFC's licensed or registered person?  
您是否證監會持牌或註冊人的僱員？

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 \_\_\_\_\_  
I / We consent to GGS contacting my/our employer(s) in relation to the opening of my/our Account.  
本人/吾等同意高寶就有關本人/吾等開立賬目接觸本人/吾等之僱主。

Are you an employee or agent of Global Group Securities?  
閣下是否高寶集團證券之僱員或代理人？

No 否       Yes, the employer is  
是，僱主為: \_\_\_\_\_

Are you the relative of an employee of Global Group Securities (Note 4)?  
閣下是否高寶集團證券之僱員親屬(附註4)？

No 否       Yes, the name of the relative and relationship  
是，僱員親屬名稱及關係: \_\_\_\_\_

Do you have any other account with Global Group Securities?  
閣下是否在高寶集團證券擁有其他賬戶？

No 否       Yes 是      Account name 賬戶名稱: \_\_\_\_\_  
Account number 賬戶號碼: \_\_\_\_\_

Is your spouse currently maintaining Account with our company?  
閣下的配偶是否在本公司開有帳戶？

No 否       Yes 是      Account name 賬戶名稱: \_\_\_\_\_  
Account number 賬戶號碼: \_\_\_\_\_

Are you, either alone or with your spouse, in control of 35% or more of the issued shares of any corporate client of Global Group Securities?  
閣下是否個人或與您的配偶共同控制任何高寶集團證券有限公司的公司客戶 35% 以上的股權？

No 否       Yes 是      Account name 賬戶名稱: \_\_\_\_\_  
Account number 賬戶號碼: \_\_\_\_\_

Have you been arrested/tried/sentenced/disciplined for illegal activities or violating regulatory requirements?  
閣下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 \_\_\_\_\_)

Are you bankrupt/ ever bankrupt?  
閣下是否破產或曾經破產？

No 否       Yes 是 (If yes, date and details 如果是，相關日期及資料 \_\_\_\_\_)

Are you a politically exposed person, senior government official or senior executive of a state-owned corporation?  
閣下是否政治人物、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 \_\_\_\_\_)

Are you a US citizen or resident for US for tax purposes or have any relationship with US (e.g born in US, have any US residential/  
correspondence address (include US post office box) or telephone number)?  
您是否美國公民或就稅務目的而言的居民或跟美國有什麼關係(例如在美國出生，擁有美國的住址／通訊地址(包括美國郵政信箱)或美國電話號碼)？

No 否       Yes 是 (If yes, please complete W-9 form 如果是，請填 W-9 表格)

**JOINT ACCOUNT SIGNATURES ARRANGEMENT 聯名帳戶簽署安排**

The Account can be operated under the instruction of (please tick the appropriate box):  
此帳戶可根據以下指示方式操作(請在適當空格加√):

Either one joint account holder signing singly       Both joint account holders signing jointly  
其中一位聯名帳戶持有人單獨簽署      兩位聯名帳戶持有人共同簽署

**USE OF PERSONAL DATA 個人資料使用**

GGG intends to use my/our data and/or provide my/our data to its Affiliates (“Affiliates”, i.e. any company in which it is, now or hereafter, directly or indirectly related to GGS) in direct marketing (includes the name, contact details, portfolio information, transaction pattern and financial background of me/us may be used in direct marketing of investment or financial related products and services of GGS and/or its Affiliates (including research reports and special offers)). If I/we do not wish GGS to use and/or transfer my/our personal data for use in direct marketing, I/we may, without charge, exercise the right to opt-out.

高寶可使用本人/吾等的資料及/或提供本人/吾等的資料予任何高寶的聯營公司(「聯營公司」, 即指現時或日後, 任何直接或間接與高寶有關之公司)作直接促銷(包括本人/吾等的姓名、聯絡詳情、投資組合資料、交易模式及財務背景可被用於直接促銷高寶及/或其聯營公司的投資及有關財務產品及服務(包括研究報告及特別優惠))。若本人/吾等不願意高寶使用及/或轉送本人/吾等的個人資料作直接促銷, 本人/吾等可行使拒絕此安排的權利, 而且無須就此支付任何費用。

I/we object to the above, GGS can use and/or transfer my/our personal data in **direct marketing**.

本人/吾等反對上述, 高寶可使用及/或轉送本人/吾等的個人資料作出**直接促銷**。

**DECLARATION 聲明**

I/We hereby declare that I/we am/are the only party who has the ultimate interests in the Account and the information given in this form is true and correct and that I/We have not willfully withheld any material fact(s). I/We understand that I/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. I/We understand that my/our submission of this form and the acceptance of this form by you in no way implies approval for opening of the Account for me/us and that you reserve the right to reject my/our application.

本人/吾等謹此聲明本人/吾等為帳戶的最終實益擁有人, 表格上提供之所有資料均為真實及正確, 本人/吾等並未刻意隱瞞任何重要事實。除上述提供的資料外, 本人/吾等清楚閣下會要求本人/吾等提供更多相關的資料或證明文件。本人/吾等明白本人/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本人/吾等, 並清楚閣下保留拒絕本人/吾等開戶申請之權力。

I/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.



本人/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。

I/We have carefully read and understood the contents of the Client Master Agreement for Securities Trading / Futures Trading. I/We expressly agree and consent, as evidence by my/our signature(s) below, to each and all the terms and provisions contained in the Client Master Agreement. I/We have satisfied with the explanations and clarifications provided to me/us. I/We hereby declare that I/we am/are willing and capable of fulfilling the duties and obligations as specified in the Client Master Agreement for Securities Trading / Futures Trading.

本人/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。本人/吾等的以下簽名表明客戶完全同意和接受此客戶主協議書的全部條款和細節。本人/吾等充分理解相關問題的解釋和說明, 本人/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。

I/We also acknowledge that I/We have been invited to ask questions about the relevant laws and regulations, commission and fees schedules as well as the Risk Disclosure Statement in the Client Master Agreement.

本人/吾等等並在此聲明, 本人/吾等確認本人/吾等有被邀請詢問有關法律法規、佣金費用和此客戶主協議書中有關風險披露聲明等問題。

Signature of Client 客戶簽名: 	Signature of Joint Client (if any) 聯名客戶簽名(如有): 
Print name of Client 客戶名字:	Print name of Client 聯名客戶名字:

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

**Applicable to Clients opening more than one account in GGS 只適用於客戶於高寶開設多於一個帳戶**

To : Global Group Securities Limited

致：高寶集團證券有限公司

Standing Authority under Securities & Futures (Client Money) Rules

根據《證券及期貨（客戶款項）規則》所設立的常設授權

This standing authority covers all client money received or held by you on my/our behalf ("Monies").

本常設授權涵蓋一切由貴公司代表本人/吾等收取或持有之客戶款項（「款項」）。

Unless otherwise defined, the terms used in this standing authority shall have the same meanings as in the Securities & Futures Ordinance and Securities & Futures (Client Money) Rules as amended from time to time.

除非另有說明，本常設授權之名稱與《證券及期貨條例》和《證券及期貨（客戶款項）規則》不時修訂之定義具有相同意思。

This standing authority authorizes you to:

本常設授權書授權貴公司：

1. combine or consolidate any or all segregated accounts, of any nature whatsoever and either individually or jointly with others, maintained by Global Group Securities Limited and/or any of its associated entity, subsidiaries and/or affiliates (hereinafter referred to as "GGS") and you may transfer any sum of Monies to and between such segregated account(s) to satisfy my/our obligations or liabilities to GGS, whether such obligations and liabilities are actual or contingent, primary or collateral, secured or unsecured, or joint or several;  
組合或合併高寶集團證券有限公司及/或其任何有聯繫實體、附屬公司及/或聯繫公司（以下簡稱為「高寶」）所維持的任何或全部獨立帳戶，此等組合或合併活動可以個別地或與其他帳戶聯合進行，貴公司可將該等獨立帳戶內任何數額之款項作出轉移，以解本人/吾等對高寶的義務或法律責任，不論此等義務和法律責任是確實或或然的、原有的或附帶的、有抵押或無抵押的、共同或分別的；
2. transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by me/us with any member of the GGS;  
從高寶任何成員於任何時候為本/吾等所維持的任何獨立帳戶之間來回調動任何數額之款項；
3. pay/transfer the money to the client account(s) of other securities/futures broker(s) in Hong Kong or elsewhere for meeting the settlement or my/our financial obligations in my/our securities/futures trading in Hong Kong or elsewhere through that broker(s);  
支付/轉帳款項至位於香港或其他地方的別家證券/期貨經紀的客戶帳戶，以應付交收或本人/吾等經該經紀所要履行的財務責任；
4. pay/transfer the money held or received by you in Hong Kong to the account(s) outside Hong Kong; and  
將貴公司在香港為本人/吾等所持有或收到的款項支付/轉帳至香港以外的帳戶；及
5. exchange my/our money into any other currency(ies) at the rate of exchange conclusively determined by you to be applicable for meeting the settlement and/or my/our financial obligations.  
將本人/吾等的款項兌換至任何貨幣並根據貴公司所定下的兌換率作出對該貨幣之換算以交收或應付履行本人/吾等所要履行的財務責任。

You may do any of these things without giving me/us notice.

貴公司可不向本人/吾等發出通知而採取上述行動。

This authority is given without prejudice to other authorities or rights which you may have in relation to dealing in Monies in the segregated accounts.

本常設授權並不損害貴公司可享有有關處理該等獨立帳戶內款項的其他授權或權利

This standing authority is given to you in consideration of your agreeing to continue to maintain the securities/futures trading account(s) for me/us.

此賦予貴公司之授權乃鑑於貴公司同意繼續維持本人/吾等之證券/期貨交易戶口。

This standing authority is valid for a period of not more than 12 months ending 31-December this year. I/We understand that this standing authority may be revoked by giving you written notice. Such notice shall take effect upon the expiry of 14 days from the date of actual receipt of such notice by you.

本常設授權的有效期限不得超過 12 個月，並於本年 12 月 31 日屆滿。本人/吾等明白本人/吾等可以向貴公司發出書面通知，撤回本常設授權。該等通知之生效日期為貴公司真正收到該等通知之 14 日起計。

I/We understand that this standing authority may be deemed to be renewed on a continuing basis without my/our consent if you issue to me/us a written reminder at least 14 days prior to the expiry date of this standing authority, and I/we do not object to such deemed renewal before such expiry date.

本人/吾等明白貴公司若在本常設授權有效期屆滿前的最少 14 日之前，向本人/吾等發出書面通知，提醒本人/吾等常設授權即將屆滿，而本人/吾等沒有在此授權屆滿前反對此授權續期，本常設授權應當作在不需要本人/吾等的書面同意下按持續的基礎已被續期。

In the event of any difference in interpretation or meaning between the Chinese and English versions of this standing authority, I/we agree that the English version shall prevail.

倘若本常設授權的中文本與英文本在解釋或意義方面有任何歧義，本人/吾等同意應以英文本為準。

I/We acknowledge that this standing authority has been fully explained to me/us by \_\_\_\_\_ (CE No.: \_\_\_\_\_) (Licensed Representative) and I/we understand and agree with the contents of this standing authority.

本人/吾等確認就本常設授權的內容已獲得由 \_\_\_\_\_（中央編號：\_\_\_\_\_）（持牌代表）向本人/吾等全部解釋清楚，並且本人/吾等明白及同意本常設授權的內容。

Signature of Client 客戶簽名

Date 日期: \_\_\_\_\_

**OFFICE USE ONLY 內部專用**

**Declaration by Staff 職員聲明**

I, \_\_\_\_\_ (Print name of staff), confirm that I have provided the Risk Disclosure Statements in English and/or Chinese to the Client and 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/或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
- other location 其他地點: \_\_\_\_\_
- by phone 透過電話 \_\_\_\_\_

Signature 簽名 \_\_\_\_\_

CE Number CE 號碼 ( ) \_\_\_\_\_

Date 日期: \_\_\_\_\_

**Acceptance by GGS 接納**

For and on behalf of 代表

Global Group Securities Limited 高寶集團證券有限公司

Authorised Signature(s) 獲授權人簽名 \_\_\_\_\_

Name 姓名: \_\_\_\_\_ Date 日期: \_\_\_\_\_

**Notes: 附註**

- Client's daily and monthly statements and official documents to be delivered by email and due to the nature of internet, GGS will endeavor 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。
- The annual income should be based on regular income which is expected to continue such as salary and this should be the Client's own income not that of a spouse or other person. 全年收入按預期會繼續之固定收入(如薪金)計算, 而該收入須為客戶本身而非配偶或其他人士之收入。
- Net value of assets means the estimated value of capital assets such as a flat or other real property, Securities, bank deposits in any currency less any liabilities such as mortgages. Assets must be personally owned. Only half the value of an asset jointly owned with another person should be included. 資產淨值指資本資產如房屋或其他不動產、證券、任何貨幣之銀行存款減去按揭等負債後所得之估計價值。資產必須為個人擁有。如為與他人共同擁有之資產, 則計算時只會計入其一半價。
- 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。

**For Internal Use Only 內部專用**

**Individual/ Joint Account Checklist**

**Account Opening Documents:**

- Account Opening Form
- Standing Authority for more than one account
- Individual Tax Residency Self-Certification Form
- Form W-8Ben
- Risk Disclosure Statement
- Risk Profile Questionnaire (if any)
- Northbound China Stock Connect Orders Consent Letter

**Personal Documents:**

- Copy of ID Card/ Passport
- Proof of residential address (within 3 months)
- Bank Account Information
- Immigration records OR Exit-entry Permit
- Documents of Witness

**Know your client:**

- Check Contact
- Due Diligent Report

**Corporate Account Checklist**

**Account Opening Forms:**

- Account Opening Form
- Risk Disclosure Statements
- Form W-8Ben-E or W-8IMY
- Client Money Standing Authority
- Entity Tax Residency Self-Certification Form
- Risk Profile Questionnaire

**Corporate Documents:**

- Board Resolutions
- Certificate of Incorporation
- Memorandum & Articles of Association
- Certificate of Business Registration (For HK incorporation)
- Latest Annual Return and subsequent form(s) (For HK incorporation)
- Company Bank Reference
- ID / Passport copy of all Authorized Persons, Directors, Shareholders and Ultimate Beneficiaries
- Original Guarantee Letter (if any)
- ID and Address Proof for Guarantor (if any)
- Office or Correspondence address proof within the last 3 months
- Certificate of Incumbency and Certificate of Good Standing (For BVI and oversea incorporation)
- Register of directors and shareholders (For oversea incorporation)
- Financial Statement (If any)

**Know your client:**

- Check Contact
- Due Diligent Report

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*
		<input type="checkbox"/> Trust accounts * 信托帳戶*	<input type="checkbox"/> Companies whose place of incorporation is in countries with insufficient FATF regulations after internal country risk assessment 經本公司的國家風險評估後，機構所成立的國家被界定為沒有足夠「FATF 特別組織」管制法規的國家
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:

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