



# 中達證券投資有限公司

CENTRAL WEALTH SECURITIES INVESTMENT LIMITED

Account No 帳戶號碼: \_\_\_\_\_

Date 日期: \_\_\_\_\_

AE Code: \_\_\_\_\_

香港金鐘夏慤道16號遠東金融中心18樓1801-1802室

Room 1801-1802, 18F, Far East Finance Centre,

16 Harcourt Road, Admiralty, Hong Kong, CE No.: AVE583

Website 網址: www.cwsi.com.hk Email 電郵: cs@cwsi.com.hk Tel 電話: 3958 4600 Fax 傳真: 39584666

## ACCOUNT OPENING FORM 開戶表格 (CORPORATE ACCOUNT 公司帳戶)

### Account Type(s) 帳戶類別 (Please tick appropriate box. 請在適當空格加v)

- Securities Account (Cash) 證券帳戶(現金)                       Securities Account (Margin) 證券帳戶 (保證金)
- Stock Options Account 股票期權帳戶                       Electronics Trading 電子交易服務

### CORPORATE INFORMATION: 公司資料:

Company Name (English): 公司名稱(英文): \_\_\_\_\_

Company Name (Chinese): 公司名稱(中文): \_\_\_\_\_

Business Registration No.: 商業登記號碼: \_\_\_\_\_

Certificate of Incorporation No.: 公司註冊號碼: \_\_\_\_\_

Country of Incorporation: 註冊國家: \_\_\_\_\_

Date of Incorporation: 註冊日期: \_\_\_\_\_

Registered Address:

註冊地址: \_\_\_\_\_

Business Address:  Same As Registered address 與註冊地址相同

商業地址: \_\_\_\_\_

Business Tel. No.:

商業電話: \_\_\_\_\_

Contact person Tel. No.:

聯絡人電話號碼: \_\_\_\_\_

Fax No.:

傳真號碼: \_\_\_\_\_

E-mail Address: 電子郵件地址: \_\_\_\_\_

CCASS Investor Account Name & No.: 中央結算投資者戶口名稱及號碼: \_\_\_\_\_

All Correspondence and Statements to be sent to: (please select either one) 所有書信及賬單請寄交本人: (只選一項):

- Residential Address 住宅地址                       Business Address 商業地址
- Email 電子郵件                       Others: 其他 \_\_\_\_\_

### FATCA INFORMATION: 外國帳戶稅收合規法案資料:

Nature of Business: 業務性質:

- Non-Financial Institution: 非金融機構: \_\_\_\_\_  Financial Institution: 金融機構: \_\_\_\_\_

U.S. Tax Obligation: 美國稅務責任:

- No 沒有  Yes 有 (TIN 稅務身份號碼: \_\_\_\_\_)

Global Intermediary Identification Number (GIIN):

全球中介人身份號碼: \_\_\_\_\_

### DIRECTOR INFORMATION 董事資料

### SHAREHOLDER INFORMATION 股東資料

Name(s) of All Director(s)

全部董事姓名

I.D. Card No./ Passport No.

身份證號碼/護照號碼

Shareholder(s) Name

股東姓名

Shareholding

所佔股權(%)

1.

1.

2.

2.

3.

3.

4.

4.

5.

5.

6.

6.

7.

7.

8.

8.

9.

9.

10.

10.



**Identity Declaration 身份聲明**

1. 客戶是帳戶的最終及唯一實益擁有人，並完全負責為該(等)帳戶運作所發出的一切指示? The Client is the ultimate and sole beneficial owner(s) of the Account(s) and is fully responsible for all instructions for the operation of the said Account(s)?

是 Yes  否 No 如不是，請披露最終權益人。If not, please specify the ultimate beneficial owner(s)

姓名: Name: \_\_\_\_\_ 身份證/護照號碼: ID/Passport No.: \_\_\_\_\_ 電話號碼: Tel. No.: \_\_\_\_\_

2. 客戶之任何董事、主要股東、最終實益持有人、最終主要實益持有人或獲授權人士是否香港交易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, ultimate beneficiary, ultimate principal beneficial owner or Authorized Person of the Client a director or an employee or an accredited person of any exchange participant of the Hong Kong Exchange or any licensed or registered person of the Securities and Futures Commission?

否 No  是 Yes (If yes, please specify: 如果是，請述明具體：持牌法團/註冊機構名稱: \_\_\_\_\_)

職位: Position: \_\_\_\_\_ 中央編號 CE No.: \_\_\_\_\_ (Please provide employer's consent letter 請提供僱主之書面同意書)

3. 客戶之任何董事、主要股東、最終實益持有人、最終主要實益持有人或獲授權人士是否與中達證券投資有限公司("中達證券")或其各自之聯營公司之董事或僱員有任何親戚關係? Does any director, substantial shareholder, ultimate beneficiary, ultimate principal beneficial owner or Authorized Person of the Client have any relationship with the director(s) or employee(s) of CENTRAL WEALTH SECURITIES INVESTMENT LIMITED ("CWSI") or their respective associated companies?

否 No  是 Yes, \_\_\_\_\_

(Name of Director or Employee 董事或僱員姓名/ Relationship 關係)

4. 客戶之任何董事、主要股東、最終實益持有人、最終主要實益持有人或獲授權人士是否中達證券投資有限公司("中達證券")的客戶? Is any director, substantial shareholder, ultimate beneficiary, ultimate principal beneficial owner or Authorized Person of the client a client of CENTRAL WEALTH SECURITIES INVESTMENT LIMITED ("CWSI")?

否 No  是 Yes, 帳戶姓名: Name of the Account: \_\_\_\_\_ 帳戶號碼: Account No.: \_\_\_\_\_

**收款(香港)銀行戶口 Receiving (Hong Kong) Bank Account (只供入數之用 For Fund Deposit Only)**

Currency 貨幣	Name of Bank 銀行名稱	Account Name 賬戶名稱	A/C No. 賬戶號碼
HKD			
USD			
RMB			

**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	ID Card/Passport No. 身份證/護照號碼	Contact Tel. No. 聯絡電話號碼	Specimen Signature(s) 簽名式樣
1			
2			
3			
4			
5			

**SIGNING ARRANGEMENT 簽名安排**

以下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。

The following individuals are authorized to deposit/withdraw fund/shares to/from the Account, give settlement instructions and any other instructions on behalf of the Client.

簽署指示 Signing Instruction : 單簽 Anyone can sign singly 任何兩人同簽 Any two must sign jointly 其他 Others : \_\_\_\_\_

Name of Authorized Person(s) 被授權人姓名	ID Card/Passport No. 身份證/護照號碼	Specimen Signature(s) 簽名式樣
1		
2		
3		
4		
Company Chop Specimen 公司印章式樣		

**Personal Data 個人資料**

中達證券投資有限公司 ("中達證券")擬使用閣下的個人資料作直接促銷，為此須取得閣下的同意。通過簽署此開戶申請表格，你同意中達證券向你發放關於財務、證券、投資的服務和產品的推廣資料。你亦同意中達證券與其集團公司分享閣下的個人資料作行銷用途。CENTRAL WEALTH SECURITIES INVESTMENT LIMITED ("CWSI") intends to use your personal data in direct marketing which requires your consent. By signing this account opening form, you agree to receive promotional and direct marketing information from CWSI in respect of financial, insurance, securities, investment services and products CWSI may offer. You further agree that CWSI may share your personal data with its group companies for marketing purposes.

**Acknowledgement and Execution by Client 客戶確認及簽署**

- 吾等確認中達證券投資有限公司(下稱“中達證券”)已按吾等選擇的語言(英文或中文)提供了客戶協議書及電子交易服務條款(如適用)及風險披露聲明之副本。
- 吾等謹此聲明在本開戶表格所提供之資料全部為真實、完整及正確，除非中達證券接到更改有關本開戶表格內容之書面通知，否則中達證券有權完全依賴此等資料及聲明作一切用途。中達證券或其代理獲授權可隨時就核對本開戶表格資料事宜，與任何人包括吾等之銀行、經紀或任何信用機構進行諮詢。
- 吾等現申請開立吾等在本開戶表格頁首選擇之帳戶及服務類別。吾等確認已閱讀並明白附上之中達證券有限公司客戶協議書(該協議書)的所有有關條款並且接受及同意受可不時被修改的該協議書之條款所約束，吾等在此以書面通知、及確認並授權中達證券行使其在該協議書內的全部常設授權。
- 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。
- 吾等進一步確認中達證券已經邀請吾等閱讀風險披露聲明及電子交易服務條款(如適用)、提出問題及徵求獨立的意見(如吾等有此意願)。
- 吾等已仔細閱讀、完全理解並同意接受及遵守客戶協議書內之個人資料收集聲明。
- 吾等欲使用互聯網證券交易服務，吾等已經閱讀並明白在中達證券投資有限公司標準章則中，所載之互聯網交易協議的條款，並接受這些條款的約束。(如適用)
- 假如我們[中達證券投資有限公司]向閣下招攬銷售或建議任何金融產品，該金融產品必須是我們經考慮閣下的財政狀況、投資經驗及投資目標後而認為合理地適合閣下的。本協議的其他條文或任何其他我們可能要求閣下簽署的文件及我們可能要求閣下作出的聲明概不會減損本條款的效力。

1. We, the undersigned client(s) hereby confirm that We have been provided the Client Agreement ("the Agreement") of CENTRAL WEALTH SECURITIES INVESTMENT LIMITED ("CWSI") and the terms of Electronic Trading Service (if applicable) and the Risk Disclosure Statement in a language of our choice (receipt of a copy whereof is hereby acknowledged by us).

2. We, the undersigned client(s) hereby confirm and represent that the information on this Account Opening Form is true, complete and correct. CWSI is entitled to rely fully on such information and representations for all purposes, unless CWSI receives notice in writing of any change. CWSI or any of its agents is hereby authorized at any time to contact anyone, including our banks or any credit agency, for the purpose of verifying the information provided on this Account Opening Form.

3. We, the undersigned client(s) hereby apply to open the types of account(s) and service(s) which We choose on the front page of this Account Opening

Form and confirm that We have read and understand the relevant provisions of the attached Client Agreement and accept and agree to be bound by the Agreement as the same may be amended from time to time, and We hereby give you notice in writing that we confirm and authorize CWSI to exercise all the powers of the Standing Authorities under the Client Agreement.

4. 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.

5. We, the undersigned client(s) further acknowledge and confirm that We have been invited by CWSI to read the Risk Disclosure Statement and the terms of Electronic Trading Service (if applicable), ask questions and take independent advice, if We wish.

6. We, the undersigned client(s) have carefully read, fully understood and agreed to accept and be bound by the Personal Information Collection Statement of the Agreement.

7. We want to use the internet Securities Trading Service. We have read and understood the provisions of the Internet Trading Agreement as set out in the Standard Terms and Conditions of CENTRAL WEALTH SECURITIES INVESTMENT LIMITED and We accept to be bound by the same. (if applicable)

8. If we [CENTRAL WEALTH SECURITIES INVESTMENT LIMITED] solicit the sale of or recommend any financial product to you (the client), the financial product must be reasonably suitable for you having regard to your financial situation, investment experience and investment objectives. No other provision of this agreement or any other document we may ask you to sign and no statement we may ask you to make derogates from this clause.

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Authorized Signature(s) with company chop

公司印章及授權簽名

Date 日期: \_\_\_\_\_

Name of Authorized signatory(ies):

被授權簽署人姓名:

Position:

職位:

Signature of Witness:

見證人簽署:

Name of Witness:

見證人姓名:

**Declaration by Licensed Staff 持牌職員聲明 :**

本人，以持牌人士身份，確認本人已按照上述客戶所選擇的語言提供風險披露聲明之副本及邀請客戶閱讀該風險披露聲明、提出問題及徵求獨立意見(如客戶有此意願)。I, a registered person, declare that I have provided the above client with a copy of the Risk Disclosure Statement in a language of the Client's choice and invited the client to read the Risk Disclosure Statement, ask questions and take independent advice if the client so wishes.

Signature of Licensed Person:

持牌人士簽署:

CE No.:

中央編號:

Name of Licensed Person:

持牌人士姓名:

Date:

日期:

**注意 Notes:**

如此開戶文件不是在中達證券投資有限公司持牌的職員或經紀前開立，客戶必須遵從以下其中一個程序要求:

If this document is not executed by the Client in front the licensed Staff or Account Executive of Central Wealth Securities Investment Ltd, Client should comply with either one of the following procedure:

a) 客戶必須交給中達證券投資有限公司由客戶在香港的持牌銀行開立的帳戶所簽發的個人支票，支票上要有客戶的身份證明文件上所顯示的姓名以及簽名必須與此開戶表格上的客戶簽名相符，抬頭人為“中達證券投資有限公司”而支票數額不少於港幣 10,000 元。待支票兌現以及所有相關文件驗證後，此帳戶才可使用。

Client should send Central Wealth Securities Investment Ltd a personal cheque bearing his/ her name shown in his/her identity document and drawn on his/ her account with a licensed bank in Hong Kong with his/ her same signature(s) as shown on this Form in favor of "Central Wealth Securities Investment Limited" for not less than HK\$10,000. This account will be activated after the cheque is cleared and all related documents are verified.

b) 此開戶表格及相關身份證明文件的見證，必須由其他持牌人士、中達證券投資有限公司的聯繫人士、太平紳士、專業人士如銀行分行經理、執業會計師、律師或公證人加以驗證。

The signing of this form and sighting of related identity documents should be certificated by other licensed person, an affiliated of Central Wealth Securities Investment Ltd, a Justice of Peace (JP) or a professional person such as a branch manager of a bank, certified public accountant, lawyer or notary public.

**公司專用 For Official Use Only**

## 核對資料 Checklist:

- 1) 客戶的公司註冊證書的核證副本(或商業登記書或其它顯示妥當註冊的任何證據)、組織章程大綱及章程細則(或其他憲章文件)。  
Certified True copy of the Certificate of Incorporation (or Business Registration Certificate or other evidence of due incorporation), Memorandum and Articles of Association (or other constitutional documents) of the Client.
- 2) 客戶過去兩年的經審計帳目的核證副本及不超過本開戶表日期前兩個月的資產負債表或其他中達不時同意的財務資料。  
Certified True copy of audited accounts of the Client of the last two years and a balance sheet at a date not more than two months before the date of this form, or such other financial information as Central Wealth Securities Investment Limited may from time to time agree.
- 3) 客戶有關開戶及運作此公司帳戶的董事局決議的核證副本。  
Certified True copy of the board resolution of directors with respect to opening and operating the account.
- 4) 所有獲授權代理人、董事及本帳戶的最終權益擁有人的香港身份證或護照副本。  
Copies of the Hong Kong ID Card(s) or Passport(s) of all Authorized Person(s), Director(s) and beneficial owner(s).
- 5) 客戶的董事名冊核證副本。  
Certified True copy of the Register of Directors of the Client.
- 6) 客戶的股東名冊核證副本。  
Certified True copy of the Register of Members of the Client.
- 7) 授權人表格。(如需要)  
Authorized Person Form.
- 8) HKMA, SFC Licensing & AML checking

Checked By: 查核:

職員姓名 Name of the Staff:

簽署 Signature:

帳戶介紹人:

Account introduced by:

經紀姓名及編號:

Name and Code of AE:

資料輸入:

Inputted by :

職員姓名 Name of the Staff:

簽署 Signature:

日期 Date:

帳戶批核:

Approved by:

職員姓名 Name of the Staff:

簽署 Signature:

日期 Date:

客戶佣金:

Client Commission rate:

交易限額/信貸限額:

Trading Limit / Credit Limit:

其他資料(例如:已獲得銀行及信貸參考):

Other information (e.g. bank and credit reference obtained):

## Corporate Resolution of Client

RESOLUTION OF THE BOARD OF DIRECTORS OF \_\_\_\_\_ (the "Company") duly and effectively passed in accordance with the laws of the Company's place of incorporation and the Company's constitution on \_\_\_\_\_ (Date)

### **RESOLVED THAT:**

1. the Company does open and maintain the (\*Cash / Margin) account with Central Wealth Securities Investment Limited ("CWSI") for dealing in securities, the Terms of Conditions of Client Agreement and Client information Statement which have been produced by CWSI to the Company are hereby approved;
2. Authorized to sign the Client Information Statement, Client Agreement and any agreement relating to the opening and maintaining the account with CWSI for trading in securities for and on behalf of the Company;
3. Authorized to give dealing instructions on behalf of Company to trade as aforementioned in accordance with the Client Agreement, the company will notify any change from time to time;
4. Authorized to give settlement instructions on behalf of Company as aforementioned in accordance with the Client Agreement.

\_\_\_\_\_  
Director of Meeting

Name:

\*Delete as appropriate

\_\_\_\_\_  
Chairman of Meeting

Name:

### 董事局決議案

\_\_\_\_\_ (公司名稱) ("公司") 於 \_\_\_\_\_ (日期) 召開董事局會議，期間具備會議所需的合法人數， 並且正式通過以下決議案：

- 一. 決議通過以公司的名義，在中達證券投資有限公司 ("中達證券") 開立一個 (\*現金 / 保證金) 證券買賣戶口，並按照中達證券的客戶協議書及開戶表格 (統稱 "開戶協議") 內之條文所約束及運作。
- 二. 決議通過現時在本會議出示及填妥的開戶協議及授權公司任何董事代表公司簽署該開戶協議 (並在有需要時加蓋公司的印章)。
- 三. 決議通過開戶協議所詳述之 "獲授權人士" 獲公司授權運作公司的證券買賣戶口，公司並需將不時有關的更改通知中達證券。
- 四. 決議通過開戶協議所詳述之 "獲授權人士" 獲公司授權給與交收指示。 下述簽署人茲證明上述各項乃董事局會議記錄中摘錄之正式決議案。

\_\_\_\_\_  
董 事

姓名:

\* 刪去不適用者

\_\_\_\_\_  
主 席

姓名: