



Account No. 帳戶號碼 : \_\_\_\_\_

Date 日期 : \_\_\_\_\_

AE Code 經紀編號 : \_\_\_\_\_

AE Name 經紀姓名 : \_\_\_\_\_

Address: Unit 16, 22/F, Seapower Tower, Concordia Plaza, 1 Science Museum Road, Kowloon, Hong Kong

地址：香港九龍科學館道1號康宏廣場北座22樓16室

Website: 網站：www.jrsec.hk

Email: 電郵：info@jrsec.hk

Tel: 電話：3701 3900

Fax: 傳真：3188 9205

CE No.: 中央編號：BIH924

**ACCOUNT OPENING FORM (Corporate Account) 開戶表格 (公司帳戶)**

If applicable, please tick appropriate box 如適用，請在適當的空格加上✓號

**Account Type(s) 帳戶類別**

Cash Securities Trading Account 現金證券交易帳戶

Margin Securities Trading Account 保證金證券交易帳戶

**Service(s) 服務**

Electronic Trading Service 電子交易服務

**Corporate Account Information 公司帳戶資料**

Company Name (English):

公司名稱 (英文):

Company Name (Chinese):

公司名稱 (中文):

Certificate of Incorporation No.:

公司註冊號碼:

Business Registration No.:

商業登記號碼:

Date of Incorporation:

註冊日期:

Country of Incorporation:

註冊國家:

Business Nature

業務性質:

E-mail Address:

電子郵件地址:

Registered Address:

註冊地址:

Business Address:  Same as Registered Address 與註冊地址相同

業務地址:

Business Telephone No.:

商業電話號碼:

Contact Person Telephone No.:

聯絡人電話號碼:

Fax No.:

傳真號碼:

**Corporate Structure 公司結構**

Particular of Major Shareholders (Shareholding of 10% or more) (not applicable to public listed company)

主要股東資料細節 (持有百分之十或以上股權) (上市公司不適用)

Name: 名稱:	ID Card/Passport No.: 身份證/護照號碼:	Nationality: 國籍:	Residential Address: 住宅地址:	Shareholding(%): 股權(百分比):

Particular of Directors 董事資料細節			
Name: 名稱 :	ID Card/Passport No.: 身份證/護照號碼 :	Nationality: 國籍 :	Residential Address: 住宅地址 :
<b>Bank Information 銀行資料</b>			
Currency 貨幣	Name of Bank 銀行名稱	Account Name 帳戶名稱	Account No. 帳戶號碼
HKD 港幣			
CNY 人民幣			
USD 美元			
<b>Financial Status 財務狀況</b>			
Paid-up Share Capital (HK\$): 繳足股本 (港幣):		Liquid Assets (HK\$): 流動資產 (港幣):	
Net Asset Value (HK\$): 資產淨值 (港幣):		Latest Annual Profit (HK\$): 最近年度利潤 (港幣):	
<b>Client Investment Objective(s) and Experience 客戶目標及投資經驗</b>			
Investment Objective(s) : 投資目的 :			
<input type="checkbox"/> Long Term 長線 <input type="checkbox"/> Medium Term 中線 <input type="checkbox"/> Short Term 短線 <input type="checkbox"/> Capital Appreciation 資本增值 <input type="checkbox"/> Dividend Yield 股息回報 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Speculation 投機			
Investment Experience: 投資經驗 :			
<input type="checkbox"/> Less than 1 year 少於一年 <input type="checkbox"/> 1 - 5 years 一至五年 <input type="checkbox"/> 6 - 10 years 六至十年 <input type="checkbox"/> More than 10 years 十年以上			
Investment Products: 曾投資產品 :			
Product Type 產品種類	Less than 1 year 少於 1 年	1 - 5 years 1 - 5 年	Above 5 years 5 年以上
<input type="checkbox"/> Stocks 股票	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> CBBC 牛熊證	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Warrants 衍生權證 (窩輪)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Futures 期貨	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Options 期權	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Bonds 債券	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Funds 基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Others 其他 : _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Estimated Investment Amount (HK\$): 估計投資金額 (港幣) :			
<input type="checkbox"/> < 100,000 <input type="checkbox"/> 500,001 - 1,000,000 <input type="checkbox"/> 5,000,001 - 10,000,000 <input type="checkbox"/> 100,000 - 500,000 <input type="checkbox"/> 1,000,001 - 5,000,000 <input type="checkbox"/> > 10,000,000			

**Client's Knowledge of Derivative Products 客戶對衍生產品的認識**

We acknowledge and understand Joy Rich Securities Investment Limited ("JRSIL") will assess whether we have adequate knowledge on derivative products according to the information that we provided.

吾等知悉及明白海富證券投資有限公司（“海富證券”）將根據吾等提供的資料以評估吾等是否對衍生工具產品有認識。

At least one of the person(s) responsible for making investment decisions understand(s) the nature and risks of derivative products due to:

最少一位代表公司做投資決定的人士了解衍生產品的性質和風險：

1. We underwent training or attended courses on derivative products that provide general knowledge of the nature and risks of derivatives (e.g. courses offered by academic or financial institutions).

吾等已接受有關介紹一般衍生產品之性質及風險的培訓或課程（例如學術機構或金融機構所提供之課程）。

2. We have current or previous work experience related to derivative products.

吾等現時或過去擁有與衍生產品有關的工作經驗。

3. We have executed five or more transactions in derivative products within the past three years.

吾等於過去三年曾執行五次或以上有關衍生產品的交易。

The person(s) responsible for making investment decisions have NO knowledge of derivative products.

代表公司做投資決定的人士並未有衍生產品之認識。

**Ultimate Beneficial Owner(s) of the Account 帳戶的最終實益擁有人**

Is/Are the ultimate beneficial owner(s) of the Account(s) different from the shareholder(s)?

此帳戶之最終實益擁有人是否與股東不同？

No 否  Yes 是

If yes, please specify ultimate beneficial owner(s) information:

若是，請註明最終實益擁有人資料：

<input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Ms. 女士 <input type="checkbox"/> Mrs. 太太 <input type="checkbox"/> _____	English Name:	ID Card/Passport No.:
	英文姓名：	身份證/護照號碼：
	Chinese Name:	Date of Birth (DD/MM/YYYY):
	中文姓名：	出生日期（日/月/年）：
	Place of Birth:	Nationality:
	出生地點：	國籍：

Residential Address:

住宅地址：

Correspondence Address:

通訊地址：

Home Telephone No.:

住宅電話號碼：

Mobile Phone No.:

手提電話號碼：

Office Telephone No.:

辦公室電話號碼：

Fax No.:

傳真號碼：

E-mail Address:

電子郵件地址：

**Identity Declaration 身份聲明**

1. Is any director(s), shareholder(s), authorized person(s) and/or the ultimate beneficial owner(s) of the Account, a person licensed by or registered with the Securities and Futures Commission ("SFC") or an employee of such person? If yes, please provide the written consent from your employer.

任何一位董事、股東、獲授權人士及/或此帳戶最終權益擁有人是否證券及期貨事務監察委員會（“證監會”）持牌或註冊人士或該人士之僱員？若是，請提供閣下的僱主書面同意書。

No 否  Yes 是

If yes, please specify: 若是，請列明：\_\_\_\_\_

2. Is any director(s), shareholder(s), authorized person(s) and/or the ultimate beneficial owner(s) of the Account related to any employee(s) or director(s) of JRSIL?

任何一位董事、股東、獲授權人士及/或此帳戶最終權益擁有人是否與海富證券之僱員或董事有任何關係？

No 否  Yes 是

If yes, please specify the information of the employee(s) or director(s):

若是，請列明該僱員或董事資料：

Name 姓名 \_\_\_\_\_ Relationship 關係 \_\_\_\_\_

3. Is any director(s), shareholder(s), the ultimate beneficial owner(s) 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 state-owned corporation and an important political party official?  
 任何一位董事、股東及/或此帳戶最終權益擁有人，或其配偶、伴侶、子女、父母或其子女的配偶或伴侶或與其關係密切的人，是否擔任重要公職，包括國家元首、政府首長、資深政客、高級政府官員、司法或軍事官員、國有企業高級行政人員及重要政黨幹事？  
 No 否  Yes 是 If yes, please specify: 若是，請列明：  
 Name of Politicians 政治人物姓名 \_\_\_\_\_  
 The Location & Position 地區及所擔任的公職 \_\_\_\_\_  
 Years in Occupation 所擔任公職的年期 \_\_\_\_\_  
 Relationship 關係 \_\_\_\_\_

4. Is your Company incorporated in U.S. or generating income for U.S. tax purpose?  
 貴公司是否在美國成立或其產生的收入為美國稅務目的？  
 No 否  Yes 是  
 Is any shareholder of your Company a U.S. citizen (e.g. holding U.S. Passport) or U.S. resident alien (e.g. holding U.S. green card)?  
 貴公司的任何一位股東是否為美國公民（持有美國護照）或美國居民（持有美國綠卡）？  
 No 否  Yes 是  
 Is the ultimate beneficial owner(s) of this Account a U.S. citizen or U.S. resident alien?  
 此帳戶最終權益擁有人是否為美國公民或美國居民？  
 No 否  Yes 是  
 If yes for any of the above, please fill in Form W-9 and specify TIN: \_\_\_\_\_  
 若上述任何一項為是，請填寫 W-9 表格及註明稅務身份碼： \_\_\_\_\_

**Related Margin Account(s) (For Margin Account only) 相關保證金帳戶（只適用於保證金帳戶）**

1. Is your Company in control of 35% or more of the voting rights of another corporate margin account(s) of JRSIL?  
 貴公司是否控制另一海富證券的公司保證金帳戶 35%或以上之表決（投票）權？  
 No 否  Yes 是  
 If yes, please specify the information of the account:  
 若是，請列明該帳戶資料：  
 Account Name: 帳戶名稱： \_\_\_\_\_  
 Account No.: 帳戶號碼： \_\_\_\_\_  
 Percentage: 百分比： \_\_\_\_\_

2. Does another individual/joint margin account(s) or corporate margin account(s) of JRSIL control 35% or more of the voting rights of your Company (if the margin account(s) is an individual/joint margin account(s), includes the voting rights of his/her spouse)?  
 另一海富證券的個人/聯名保證金帳戶或公司保證金帳戶是否控制貴公司 35%或以上之表決（投票）權（如該保證金帳戶為個人/聯名帳戶，則包括其配偶的表決（投票）權）？  
 No 否  Yes 是  
 If yes, please specify the information of the account:  
 若是，請列明該帳戶資料：  
 Account Name: 帳戶名稱： \_\_\_\_\_  
 Account No.: 帳戶號碼： \_\_\_\_\_  
 Percentage: 百分比： \_\_\_\_\_

3. Are your Company and another corporate margin account(s) of JRSIL members of same group of companies?  
 貴公司與另一海富證券的公司保證金帳戶是否均屬同一公司集團的成員？  
 No 否  Yes 是  
 If yes, please specify the information of the account:  
 若是，請列明該帳戶資料：  
 Account Name: 帳戶名稱： \_\_\_\_\_  
 Account No.: 帳戶號碼： \_\_\_\_\_

**Method of Communication 通訊方法**

Please select one of the following method of communication 請選擇以下其中一項通訊方法：  
 By Mail – Business Address 郵遞 – 商業地址  By E-mail 電郵  
 By Mail – Correspondence Address 郵遞 – 通訊地址

Please select one of the following language of communication 請選擇以下其中一項通訊語言：  
 English 英文  Chinese 中文

**Authorized Person 獲授權人士**

All instructions will follow the Client's Board Resolution 所有指示以客戶的董事決議為準。

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

1. We, the undersigned Client, hereby declare that the information contained in this Account Opening Form is true, complete and accurate. JRSIL is entitled to rely fully on such information and representations for all purposes, unless JRSIL receives notice in writing of any change. We authorize JRSIL at any time to contact anyone, including our banks, brokers or any credit agency, for the purpose of verifying the information provided on this Account Opening Form.  
吾等，下述簽署客戶謹此聲明本開戶表格的資料均屬真實、完整及正確。除非海富證券收到任何客戶資料改變的書面通知，海富證券完全可以依靠這些資料及陳述作任何目的。吾等授權海富證券可在任何時間聯絡任何人，包括吾等的銀行、經紀或任何信貸機構，藉以確定及查證本開戶表格內的資料。
2. We have read and understood the provisions of the attached current version of the Client Agreement of JRSIL ("Agreement") of which this document forms a part. We hereby apply to open the above type of account and agree to be bound by the Agreement (receipt of a copy whereof is hereby acknowledged by us) including its General Terms and Conditions and relevant Schedule(s) and/or Annex(es) as the same may be amended from time to time.  
吾等已閱讀過及明白附上的海富證券最新版本之客戶協議書（“協議”）。而本文件乃協議的一部份。吾等現申請開立上述類別的帳戶，並同意接受可不時被修改的協議（僅此聲明吾等已收妥其副本）包括其一般性條款及細則及有關的附件及/或附錄所約束。
3. We hereby declare that unless specifically stated otherwise, we are the persons who are ultimately responsible for originating the Instruction and who stand(s) to gain the commercial or economic benefit of the transaction and/or bear the commercial or economic risk.  
吾等謹此聲明，除非另有明確說明，否則吾等是最終負責發出指示之人士，吾等亦為從交易取得商業或經濟利益及/或承擔其商業或經濟風險的人。
4. We acknowledge and confirm that we have been invited by JRSIL to read the Risk Disclosure Statements and ask questions and take independent advice, if we wish.  
吾等確認海富證券已經邀請吾等閱讀風險披露聲明，提出問題及徵求獨立意見（如吾等有此意願）。
5. We have carefully read, understood and agreed to accept and be bound by the Notice to Clients relating to the Personal Data (Privacy) Ordinance as set out in the Client Agreement.  
吾等已仔細閱讀、理解並同意接受及遵守客戶協議書內之個人資料（私隱）條例的客戶通知，並接受這些條款的約束。
6. We have carefully read, understood and agreed to accept and be bound by the Terms for Electronic Trading Service (if applicable) as set out in the Client Agreement.  
吾等已仔細閱讀、理解並同意接受及遵守客戶協議書內之電子交易服務條款（如適用），並接受這些條款的約束。

Date: 日期： \_\_\_\_\_

_____ Authorized Signature(s) with company chop 公司印章及獲授權簽署	Name of Authorized Signatory(ies): 獲授權簽署人姓名：
	Position of Authorized Signatory(ies): 獲授權簽署人職位：
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**

I, a licensed or registered person, hereby declare that I have provided the above Client with the Risk Disclosure Statements in a language of the Client's choice (English or Chinese) and invited the Client to read the Risk Disclosure Statements, ask questions and take independent advice (if the Client so wishes).  
本人，以持牌人士或註冊人士身份，確認本人已按照上述客戶所選擇的語言(英文或中文)提供風險披露聲明及邀請客戶閱讀風險披露聲明，提出問題及徵求獨立意見（如客戶有此意願）。

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： _____
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**For Official Use Only 僅供本公司專用**

Checklist: 核對資料:

- 1) Certificate of Incorporation  
公司註冊證書
- 2) Business Registration Certificate (applicable for Hong Kong companies)  
商業登記證 (香港公司適用)
- 3) Memorandum and Articles of Association  
組織章程大綱及章程細則
- 4) Latest Annual Return (applicable for Hong Kong companies)  
最新周年申報表 (香港公司適用)
- 5) Board Resolutions  
董事會決議
- 6) Business Address Proof and/or Registered Office Address Proof  
營業地址證明及/或註冊辦事處地址證明
- 7) HKID/Passport and \*Residential Address Proof of directors, shareholders, ultimate beneficiary owners and authorized signatories  
董事、股東、最終實益擁有人及獲授權簽署人士的香港身份證/護照及\*住址證明
- 8) Duly signed Account Opening Form  
已簽署之開戶表格
- 9) Form W-8 BEN-E (for non-US entities/citizens/residents)  
W-8 BEN-E 表格 (適用於非美國實體/公民/居民)
- 10) Form W-9 (for non-US entities/citizens/residents)  
W-9 表格 (適用於非美國實體/公民/居民)
- 11) Entity Tax Residency Self-Certification Form  
實體稅務居民自我證明表格
- 12) Standing Authority (Client Securities) (For Margin Account only)  
常設授權書(客戶證券) (只適用於保證金帳戶)
- 13) Certificate of Incumbency (applicable for offshore companies)  
在職證明書 (離岸公司適用)
- 14) Register of Directors (applicable for offshore companies)  
董事名冊 (離岸公司適用)
- 15) Register of Shareholders (applicable for offshore companies)  
股東名冊 (離岸公司適用)
- 16) Valid and verified signed cheque (if applicable)  
核實簽署之支票 (如適用)
- 17) Employer's consent letter (if applicable)  
僱主之書面同意書 (如適用)

\*Residential Address Proof such as bank statement, mobile phone bill, utility bill, recent correspondence from a Government department or agency must be within the last 3 months.

\*住址證明必須於最近三個月內發出如銀行結單、流動電話結單、公共事業機構帳單、由政府部門或機構發出的通訊。

Account introduced by: 帳戶介紹人:	Name and Code of AE: 經紀姓名及編號:
Client Commission rate and Minimum Commission rate: 客戶佣金及最低佣金:	Trading Limit / Credit Limit: 交易限額/信貸限額:
Interest Rate: 利率:	Other information (e.g. bank and credit reference obtained): 其他資料 (例如: 已獲得銀行及信貸參考):
Checked by: 資料核對:	Signature: 簽署:
Name of the Staff: 職員姓名:	Date: 日期:
Approved by: 帳戶批核:	Signature: 簽署:
Name of the Staff: 職員姓名:	Date: 日期: