

根據《證券及期貨條例》就第 1、2、4 及 9 類受規管活動獲發牌的持牌法團 CE 編號 AYY768 及香港聯合交易所有限公司（「聯交所」）交易所參與者 A corporation licensed for Type 1, 2, 4 & 9 regulated activities under the Securities and Futures Ordinance with CE no. AYY768 and an exchange participant of the Stock Exchange of Hong Kong Limited (the "Exchange")

|                       |  |
|-----------------------|--|
| 戶口號碼:<br>Account No : |  |
|-----------------------|--|

## 開戶表 – 公司帳戶

### Account Opening Form – Corporate Account

|                      |  |                   |  |
|----------------------|--|-------------------|--|
| 客戶主任姓名<br>Name of AE |  | 客戶主任編號<br>AE Code |  |
| 戶口種類<br>Account Type | <input type="checkbox"/> 證券現金帳戶 Securities Cash Account <input type="checkbox"/> 證券保證金帳戶 Securities Margin Account<br><input type="checkbox"/> 資產管理帳戶 Asset Management Account |                   |  |

#### A. 公司資料 Company Information

|   |  |  |  |             |  |
|---|--|--|--|-------------|--|
| 公司中文名稱<br>Company Chinese Name  |  |  |  |             |  |
| 公司英文名稱<br>Company English Name  |  |  |  |             |  |
| 註冊日期<br>Date of Incorporation   |  | 註冊地點<br>Place of Incorporation           |  |             |  |
| 註冊證書號碼<br>Certificate of Incorporation No.  |  | 香港商業登記號碼<br>HK Business Registration No. |  |             |  |
| 註冊地址<br>Registered Address  |  |  |  |             |  |
| 主要辦事處地址<br>Principal Business Address   |  |  |  |             |  |
| 業務性質<br>Nature of Business  |  |  |  |             |  |
| 電話號碼<br>Telephone No  |  | 聯絡人<br>Contact Person                    |  | 職位<br>Title |  |
| 傳真號碼<br>Fax No  |  | 電郵地址<br>E-mail Address                   |  |             |  |
| 交易確認通知和帳戶結單遞送至 (只選一項) Trading confirmation and statement to be sent to your (select one)  |  |  |  |             |  |
| <input type="checkbox"/> 電郵地址 E-mail Address <input type="checkbox"/> 辦公室地址 Office Address <input type="checkbox"/> 註冊地址 Correspondence Address |  |  |  |             |  |
| 股本<br>Share Capital   | 法定股本 _____ 股，面值為美元/港元/其他貨幣 (請註明) _____ 元之股份。<br>Authorized Share Capital _____ share of par value USD/HKD/Other (please specify) _____ each share.<br>已發行股本 _____ 股，面值為美元/港元/其他貨幣 (請註明) _____ 元之已繳足/未繳足股份。<br>Issued Share Capital _____ share of par value USD/HKD/Other (please specify) _____ each share,<br>fully/partly paid. |  |  |             |  |

## B. 董事及主要股東資料 Directors and Major Shareholders Information

全部董事/主要股東 (持股 25%或以上) [如有需要請加設附頁]

All Directors/Major Shareholders (Shareholding of 25% or more) [Please attach sheet if necessary]

| 董事/股東<br>Director/Shareholder | 姓名<br>Name | 護照/身份證號碼<br>Passport/ID No. | 簽發地點<br>Place of issue | 住址<br>Residential Address |
|-------------------------------|------------|-----------------------------|------------------------|---------------------------|
|                               |            |                             |                        |                           |
|                               |            |                             |                        |                           |
|                               |            |                             |                        |                           |

## C. 銀行帳戶資料 Bank Account Information

除客戶另行指示外，須付予客戶的款項將會被轉入下列銀行帳戶

Unless otherwise instructed by client, all monies payable to you are to be credited to the following bank account(s)

|   |  |
|---|--|
| 銀行名稱<br>Bank Name                         |  |
| 銀行帳戶貨幣/號碼<br>Bank Account Currency/Number | <input type="checkbox"/> 港幣 帳戶號碼 HKD A/C# _____<br><input type="checkbox"/> 美元 帳戶號碼 USD A/C# _____<br><input type="checkbox"/> 人民幣 帳戶號碼 CNY A/C# _____ |
| 帳戶持有人名稱<br>Bank Account Holder's Name     |  |

## D. 財務狀況 Financial Profile

|   |
|---|
| 1. 每年稅後純利 Annual net profit after tax<br>(港元 HKD/美元 USD/其他貨幣 (請註明) Other (please specify) _____ 財政年度 for fiscal year ending _____   |
| 2. 客戶資產淨值 Total net worth<br>(港元 HKD/美元 USD/其他貨幣 (請註明) Other (please specify) _____ 財政年度 for fiscal year ending _____   |
| 3. 客戶是否擁有任何資產 / 物業 Do you own any property / real estate?<br><input type="checkbox"/> 否 No<br><input type="checkbox"/> 有, 詳情為 Yes, details are<br><input type="checkbox"/> 有借貸 With financing<br><input type="checkbox"/> 無借貸 Without financing |

## E. 獲授權主要投資決策者的投資經驗 Investment Experience of the Authorized Chief Investment Officer

|   |  |
|---|--|
| 1. 證券投資經驗年期 Years of Experience in Securities Investment:                                       |  |
| <input type="checkbox"/> 沒有 Nil   | <input type="checkbox"/> 一至三年 1-3 years <input type="checkbox"/> 三至五年 3-5 years <input type="checkbox"/> 五至十年 5-10 years <input type="checkbox"/> 超過十年 Over 10 years |
| 2. 期貨、期權及衍生產品投資經驗年期 Years of Experience in Futures, Options and Derivative Products Investment: |  |
| <input type="checkbox"/> 沒有 Nil   | <input type="checkbox"/> 一至三年 1-3 years <input type="checkbox"/> 三至五年 3-5 years <input type="checkbox"/> 五至十年 5-10 years <input type="checkbox"/> 超過十年 Over 10 years |
| 3. 投資產品經驗 Experience in Investment Products:  |  |
| <input type="checkbox"/> 香港上市股票 HK Listed Stocks:   | <input type="checkbox"/> 中國上市股票 China Listed Stocks:   |
| <input type="checkbox"/> 香港期貨和期權 HK Futures & Options:  | <input type="checkbox"/> 中國期貨和期權 China Futures & Options:  |
| <input type="checkbox"/> 海外上市股票 Overseas Listed Stocks:   | <input type="checkbox"/> 互惠基金/單位信託 Mutual Funds/Unit Trust:  |
| <input type="checkbox"/> 海外期貨和期權 Overseas Futures & Options:                                    | <input type="checkbox"/> 債券 Bonds  |

## F. 險承受能力問卷 Risk Profile Questionnaire

請回答下列問題，針對每條問題選擇一項與 貴公司的觀點最接近的答案，以幫助貴公司評估對風險的態度以及投資資源和目標。  
Please answer the following questions and choose the answer which is closest to your company's view in each question in order to help your company to assess your company's attitude towards risk, investment resources and objectives.

|   |    |
|---|----|
| Q1. Has your company appointed a professional to handle investment? 貴公司有否委派專業人士處理投資事宜?  |    |
| <input type="checkbox"/> No, and the person handling our company's investments does not have much knowledge on investment products.<br>無，而且本公司負責處理投資事宜的人員對投資產品的瞭解並不多。 | 10 |
| <input type="checkbox"/> No, but the person handling our company's investments has basic knowledge on investment products.<br>無，但本公司負責處理投資事宜的人員對投資產品有基本認識。            | 20 |
| <input type="checkbox"/> No, but the person handling our company's investments has extensive knowledge on investment products.<br>無，但本公司負責處理投資事宜的人員對投資產品十分熟悉。         | 40 |
| <input type="checkbox"/> Yes 有。   | 50 |
| Q2. How would you describe your company expected revenue over the next 5 years? 貴公司會如何描述未來 5 年的預期收入?  |    |
| <input type="checkbox"/> Decrease 減少  | 10 |
| <input type="checkbox"/> Remain steady 保持穩定   | 30 |
| <input type="checkbox"/> Increase 增加  | 50 |
| Q3. What is your company's net idle current asset (Counted in HKD)? 貴公司現有閒置的流動資產淨值 (以港幣計算)?   |    |
| <input type="checkbox"/> Below 低於 \$1,000,000   | 10 |
| <input type="checkbox"/> 1,000,001-3,000,000  | 20 |
| <input type="checkbox"/> 3,000,001-5,000,000  | 30 |
| <input type="checkbox"/> 5,000,001-10,000,000   | 40 |
| <input type="checkbox"/> More than 高於 10,000,000  | 50 |

|   |    |
|---|----|
| Q4. What is your company's investment horizon? 貴公司的投資期限是多久?       |    |
| <input type="checkbox"/> No more than 1 year 不超過 1 年              | 10 |
| <input type="checkbox"/> No more than 3 years 不超過 3 年             | 20 |
| <input type="checkbox"/> No more than 5 years 不超過 5 年             | 30 |
| <input type="checkbox"/> No more than 8 years 不超過 8 年             | 40 |
| <input type="checkbox"/> No investment horizon limitation 無投資年期限制 | 50 |

|  |    |
|--|----|
| Q5. Which of the followings statements best describe your company's investment attitude? 以下哪項描述最能表達貴公司的投資取向?   |    |
| <input type="checkbox"/> We are not willing to take risk and do not accept investment depreciation.<br>本公司很不願意承擔風險，而且不接受投資貶值。  | 10 |
| <input type="checkbox"/> We want capital protection but willing to take low risk in order to obtain a return slightly better than bank deposits.<br>本公司希望保本，但願意接受低度風險從而實現稍高於銀行存款的回報。 | 20 |
| <input type="checkbox"/> We are willing to accept medium risk in order to obtain a return greater than inflation.<br>本公司願意承擔中度風險，以便實現高於通貨膨脹的回報。                                      | 30 |
| <input type="checkbox"/> We are willing to take medium high risk in order to obtain a higher return.<br>本公司願意承擔中高風險，以便實現較高的潛在回報。   | 40 |
| <input type="checkbox"/> We are willing to take high risk in order to maximize the return.<br>本公司願意承擔高較風險，以便將回報提至最高。   | 50 |

|  |    |
|--|----|
| Q6. How do your company respond to fluctuations in your company's investment? 貴公司如何應對投資中的波動?   |    |
| <input type="checkbox"/> We will sell and stop loss immediately.<br>本公司會即時沽售以止蝕。   | 10 |
| <input type="checkbox"/> We will consider to sell and stop loss even if the fluctuation is smaller than our expectation.<br>即使波動少於本公司預期，本公司也會考慮沽售以止蝕。  | 20 |
| <input type="checkbox"/> We will consider to sell and stop loss if the fluctuation is greater than our expectation.<br>如果波動大於本公司預期，本公司會考慮沽售以止蝕。        | 30 |
| <input type="checkbox"/> We will consider to sell and stop loss if the fluctuation is much greater than our expectation.<br>如果波動遠遠大於本公司預期，本公司會考慮沽售以止蝕。 | 40 |
| <input type="checkbox"/> We will accept any fluctuation and sell only if we make a profit.<br>本公司接受任何波動，並只會在賺錢的情況下才沽售。                                 | 50 |

|  |    |
|--|----|
| Q7. What is the maximum loss that your company can accept? 貴公司可承擔的最大損失是多少? |    |
| <input type="checkbox"/> Below 低於 5%                                       | 10 |
| <input type="checkbox"/> 5 % to 14.9%                                      | 20 |
| <input type="checkbox"/> 15% to 24.9%                                      | 30 |
| <input type="checkbox"/> 25% to 35%  | 40 |
| <input type="checkbox"/> More than 高於 35%                                  | 50 |

|  |    |
|--|----|
| Q8. What is your company's investment purpose? 貴公司的投資目的是?                                      |    |
| <input type="checkbox"/> capital preservation 保本   | 10 |
| <input type="checkbox"/> savings and wealth accumulation 儲蓄、累積財富                               | 20 |
| <input type="checkbox"/> make stable income and capital appreciation 賺取穩收入及資本增值                | 30 |
| <input type="checkbox"/> capital appreciation 資本增值   | 40 |
| <input type="checkbox"/> Willing to take high risk for higher potential return 願承受高風險以賺取較高潛在回報 | 50 |

總分數 Total Score: \_\_\_\_\_

### 風險承受能力分析 Risk Tolerance Analysis

| 總分數<br>Total Score                           | <160  | 161-250  | >251  |
|--|---|--|---|
| 風險承受程度<br>Risk Tolerance                     | <input type="checkbox"/> 低風險<br>Low Risk  | <input type="checkbox"/> 中風險<br>Medium Risk  | <input type="checkbox"/> 高風險<br>High Risk   |
| 投資者的一般特徵<br>Investor General Characteristics | <p><b><u>保守型 Conservative</u></b></p> <p>閣下願意承受底度的風險，亦明白會接受比較保守回報。</p> <p>You are willing to accept low risks. In return, you understand that you will receive low returns.</p> | <p><b><u>平衡型 Balance</u></b></p> <p>閣下願意承受中度的風險，於中長線換取潛在回報。</p> <p>You are willing to accept medium risks in exchange for some potential returns over the medium to long term.</p> | <p><b><u>進取型 Aggressive</u></b></p> <p>閣下願意承受高度的風險，於長線換取最大的潛在回報。閣下亦明白到有可能招致損失大部或全部本金。</p> <p>You are will to accept very high risks to maxim the size your potential return over the long term. You understand that you may lose a significant part or all of your capital.</p> |

## **免責聲明 Disclaimer :**

1. 本問卷的結果是從您向本集團提供的資料，並根據若干普遍接納的假設及合理估算而得出。本問卷採用的方法及取值僅供說明用途，本集團對本問卷所載資料及/或所得結果的準確性或完整性並不負責或承擔任何法律責任。  
The results of this questionnaire are derived from the information that you have provided to Grand China Securities Limited (“Grand China”) and on certain generally accepted assumptions and reasonable estimate. Calculations and values used in this questionnaire are used for illustration purpose only. Grand China accepts no responsibility or liability as to the accuracy or completeness of the information containing in this questionnaire and/or the results.
2. 本問卷及所得結果僅供您參考，並非購買或出售任何金融產品及服務的要約或招攬，亦不應被視為投資意見或推薦。  
This questionnaire and the results only serve as a reference for your consideration, and are not an offer to sell or a solicitation for an offer to buy any financial products and services and they should not be considered as investment advice or recommendation.
3. 請注意，倘若您未能全面披露所有或任何有關您的個人狀況（如財務狀況）、不正確、不完整或過時的資料可能影響本集團評估您對投資風險的態度及承受能力。如您的狀況出現變動而可能影響本問卷中任何問題的答案，我們極力建議您再次填寫本問卷。  
Please be reminded that any failure to fully disclose all or any of your personal circumstances (e.g. financial situation), inaccurate, incomplete or outdated information may affect our assessment of your attitude and capacity for investment risks. If there is any change in circumstances which may affect your answer(s) to any question in this questionnaire. We strongly recommend that you should complete this questionnaire again.

## **客戶聲明 Customer Declaration :**

本人（等）謹此聲明：本人（等）為本問卷所提供資料為真實、正確及全面，並同意上述的投資風險承受能力分析為正確。

I/we hereby declare that the information I/we have provided in this form is in all respects true, accurate and complete and agree that my investment risk tolerance analysis is correctly stated above.

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客戶簽署並蓋章  
Client Signature(s) with company chop

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客戶簽署代表人姓名及職銜  
Authorized signatory's name(s) and title

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日期 (日/月/年) Date (dd/mm/yy)

## G. 客戶聲明 Declaration by Customer

1. 客戶是否戶口之最終受益人：  
Is client the ultimate beneficial owner(s) of this Account?
- 是 Yes
- 否 No (請提供以下資料 Please provide the follow information)  
(華業證券在一般情況下並不接受申請人並非其戶口之最終受益人 Normally Grand China Securities Limited would not accept the Applicant who is not the ultimate beneficial owner(s))
- 名稱 \_\_\_\_\_ 身份證/護照號碼 \_\_\_\_\_  
Name \_\_\_\_\_ ID/Passport No. \_\_\_\_\_
- 地址 \_\_\_\_\_  
Address \_\_\_\_\_
2. 客戶是否為證券及期貨事務監察委員會定義之持牌法團或註冊機構?  
Is client a licensed corporation registered with the Securities and Futures Commission or registered institution under the Banking Ordinance?
- 是 Yes, 中央編號為 CE No. is \_\_\_\_\_
- 否 No
3. 客戶之任何董事、股東或授權人士是否華業證券的客戶?  
Is any director, shareholder or authorized person of the client a client of Grand China Securities Limited?
- 是 Yes, 帳戶名稱 Account Name: \_\_\_\_\_ 帳戶號碼 Account No. : \_\_\_\_\_
- 否 No
4. 客戶之任何董事、股東或授權人士是否華業證券的職員?  
Is any director, shareholder or authorized person of the client a staff of Grand China Securities Limited?
- 是 Yes, 職員名稱 Name: \_\_\_\_\_ 職位 Position: \_\_\_\_\_
- 否 No
5. 客戶之任何董事、股東或授權人士與華業證券職員是否有親戚關係?  
Does any director, shareholder or authorized person of the client have any relationship with the employee of Grand China Securities Limited?
- 是 Yes, 職員名稱 Name: \_\_\_\_\_ 關係 Relationship: \_\_\_\_\_
- 否 No
6. 客戶之任何董事、股東或授權人士是否為香港聯合交易所參與者或任何根據證券及期貨條例註冊持牌法團或銀行業條例之註冊機構之僱員 (不管閣下現時是否為證監會持牌代表/ 金管局註冊人士)?  
Is any director, shareholder or authorized person of the client an employee of any participant of the Stock Exchange of Hong Kong, a licensed corporation under the Securities and Futures Ordinance, or a registered institution under the Banking Ordinance (whether he/ she is currently a SFC licensed/ HKMA registered person or not)?
- 是 Yes, 參與者/ 持牌法團/ 註冊機構名稱:  
Participant/ Licensed Corporation/ Registered Institution Name: \_\_\_\_\_
- 職位 Position: \_\_\_\_\_ 中央編號 CE No.: \_\_\_\_\_
- 否 No  
(必須出示所屬持牌法團或註冊機構之授權信 Consent Letter from licensed corporation or registered institution must be provided)

7. 客戶之任何董事、股東或授權人是否任何上市公司的董事/大股東?

Is any director, shareholder or authorized person(s) a director or major shareholder of a listed company(ies)?

否 No

是 Yes (請提供上市公司的名稱和上市地點 Please state the name of the listed company(ies) and the listing place)

8. 客戶之任何董事、股東及/或其授權人、其各自的配偶、伴侶、子女或父母、或該名個人的子女的配偶或伴侶、或與該名個人有關係密切的人是否在任何地方擔任或曾擔任重要的公職 (包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事)?

Is any director, shareholder or authorized person(s), their respective spouses, partners, children or parents, or a spouse or a partner of a child of such individual, or close associate of such individual is or has been entrusted with a prominent public function in any place (which shall include 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)?

否 No

是 Yes (如是, 請提供以下詳情 If Yes, please provide details below)

政治人物的名稱 Name of the politically exposed person : \_\_\_\_\_

地方及所擔任的公職 Place and public function entrusted with : \_\_\_\_\_

所擔任的公職的年期 Term of the public function entrusted with : \_\_\_\_\_

與客戶之關係 Relationship with the client : \_\_\_\_\_

9. 客戶現時是否持有或運作其他於華業證券有限公司開立之戶口, 或擁有其他於華業證券有限公司開立之戶口的最終實益?  
Does the Client maintain, operate or has beneficial interests in any other Account(s) with Grand China Securities Limited?

否 No

是 Yes (如是, 請提供以下詳情 If Yes, please provide details below)

戶口名稱 Account Name: \_\_\_\_\_

戶口號碼 Account No: \_\_\_\_\_

戶口類別 Account Type: \_\_\_\_\_

與戶口申請人關係 Relationship with Account Holder: \_\_\_\_\_

10. 客戶是否控制任何華業證券有限公司的公司客戶30%或以上的投票權?

Does the Client control 30% or more of the voting rights of any corporate clients of Grand China Securities Limited?

否 No

是 Yes (如是, 請提供以下詳情 If Yes, please provide details below) 戶口名稱

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

戶口號碼 Account No: \_\_\_\_\_

戶口類別 Account Type: \_\_\_\_\_



## H. 客戶確認及承諾 Customer Acknowledgement and Consent

倘簽署本部份，客戶即聲明、同意及確認：

By signing this Part, the Client declares, acknowledges and confirms that:

1. 本開戶表格提供的資料，均為完整、真實及準確；  
The information provided in this Account Opening Form is complete, true and accurate;
2. 客戶已獲提供風險披露聲明(英文或中文)，及已獲邀閱讀該風險披露聲明，並按其意願提出問題及徵求獨立的意見。如客戶欲開立保證金賬戶，客戶確認華業證券有限公司已通知客戶其會再質押證券抵押品；  
The Risk Disclosure Statements was provided to the Client in a language of the Client's choice (English or Chinese) and the Client has been invited to read the Risk Disclosure Statements, to ask questions and take independent advice if the Client wishes. Where a Margin Account is to be opened, the Client confirms that the Client has been informed by Grand China Securities Limited that it has the practice of repledging securities collateral;
3. 客戶謹此確認已收到並細閱及明白以上之「風險披露聲明書- 交易所買賣之衍生產品」。客戶並且確認其財務狀況確可承受買賣交易所買賣之衍生產品所引致之潛在損失。客戶亦聲明在其財務狀況有所變更時，將盡速地通知華業證券有限公司。  
The Client hereby confirms that they have received and read through and fully understood the above "Risk Disclosure Statement for Derivative Products traded on an exchange". The Client further confirms that the financial status can bear the possible losses associated with investing in derivative products traded on an exchange. The Client also declares that they would inform Grand China Securities Limited promptly should their financial status changes.
4. 客戶已閱讀、明白和確認及同意本開戶表格及客戶協議書內列載的一切有關條款，並同意接受其約束；及  
The Client has read, understood and confirmed, and agrees and accepts to be bound by all the provisions of this Account Opening Form and the Client Agreement; and
5. 客戶已參閱給予客戶有關<個人資料(私隱)條例>的通知，並明白且同意其條款。  
The Client has read the notice to Client on the Personal Data (Privacy) Ordinance, understands it and agrees to its terms.
6. 本公司已閱讀並明白客戶協議的條款，並接受這些條款的約束。  
We have read and understood the provisions of the Client Agreement and accept to be bound by the same.
7. 我/我們同意華業證券有限公司或聯繫人士各種方式提供投資或有關財務產品及服務的資料，其包括研究報告及特別優惠等。  
I/We consent to Grand China Securities Limited or its Associates providing information about investment or financial related products and services including research reports and special offers by any means.

\_\_\_\_\_  
客戶簽署並蓋章 Client Signature(s) with company chop

\_\_\_\_\_  
客戶簽署代表人姓名及職銜 Authorized signatory's name(s) and title

\_\_\_\_\_  
日期 (日/月/年) Date (dd/mm/yy)

## I. 開戶核對表 Account Opening Checklist

### I. 需要填妥的文件 Documents To Be Completed

- 已填妥及簽署的開戶申請表  
Duly completed and signed Account Opening Application Form
- 由每位獲授權人填妥及簽署的客戶投資風險問卷  
Duly completed and signed Customer Investment Risk Questionnaire by each Authorized Signatory

### II. 供核實的基本證明文件 Supporting Basic Documents For Verification

- 地址證明（近三個月內發出的水電費帳單、政府部門或機構發出的通訊或香港或海外持牌銀行發出的銀行結單  
Proof of Address (Utility bill, correspondence from a government department or agency, or statement issued by a licensed bank in Hong Kong or overseas that have been issued within 3 months.)
- 有效商業登記證  
Valid Business Registration Certificate
- 每一位獲授權操作戶口人士之身份證或有效護照  
Identity card or valid passport of each person authorized to operate the account
- 每一位持有不少於 10% 投票權、股東的股本、資本、利潤、或既得利益（視屬何情況而定）人士之身份證或有效護照  
Identity card or valid passport of each ultimate beneficial owners holding not less than 10% of the voting rights, share capital, capital, profits or vested interest (as the case may be)
- 每一行使對該實體的管理最終的控制權人士之身份證或有效護照  
Identity card or valid passport of each individual who exercises ultimate control over the management of the entity
- 擁有權架構圖/ 公司組織架構圖  
Ownership Chart / Company Organization Chart
- 個人擔保書（如適用）  
Personal Guarantee Letter (where appropriate)
- 最近期的經審計的財務報表  
Latest Audited Financial Statement
- W-8BEN-E 外國人扣繳憑證表單  
Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Entities)

### III. 不同類型的實體需要提供的證明文件 Specific Supporting Documents Required For Different Types Of Entities

#### 公司適用 For Corporations

- 公司註冊證明書及公任何更改公司名稱的官方證明書（如有）  
Certificate of Incorporation and official certificates showing any change of name(s) (if any)
- 公司現時的組織章程細則及其他章程文件連同有關修訂（如有）  
Current Articles of Association or other constitutional documents with amendments (if any)
- 最近期的周年申報表（適用於香港公司）  
Latest Annual Report (for Hong Kong companies)
- 於過去六個月由公司註冊代理人發出之職權證明書或等同文件（只適用於海外公司）  
Certificate of Incumbency issued by the registered agent issued within last 6 months or their respective equivalent (For Overseas Corporations Only)
- 最近期的董事及成員登記冊  
Latest Register of Director(s) & Registered of Member(s)
- 所有董事的身份證或有效護照  
Identity card or valid passport of ALL Director(s)
- 由華業認可的董事會決議的副本或核證摘錄（如本申請表內的董事決議的核證摘錄不適用）  
Board Resolution or Certified Extracts in such form as may be approved by Grand China (if the Certified Extracts of Board Resolutions in the application form is not applicable)

#### 合夥企業適用 For Partnership

- 合夥契據  
Partnership Deed
- 所有合夥人及控制人的身份證或有效護照  
Identity card or valid passport of ALL Partner(s) and Controller(s)
- 向合夥企業取得授權開立戶口及賦權有關人士操作戶口的委託書  
Mandate from the partnership authorizing the opening of the account and conferring authority on those who will operate it

#### 獨資經營者適用 For Sole Proprietorship

- 獨資經營者及所有控制人的身份證或有效護照  
Identity card or valid passport of the sole proprietor

ALL the documents to be submitted in accordance with Part II and Part III above **MUST** be certified by a practicing lawyer, practicing certified public accountant and notary public.

所有根據第 II 及第 III 部份提供的文件**必需**由執業律師、執業會計師或法律公證人核證。

## J. 注意事項 Important Notes

如開戶表格並非在華業證券或聯繫人士的職員/代理人面前簽署，帳戶持有人必須遵從以下程序要求：

If this account opening form is not executed by the client(s) in front of Grand China Securities Limited's employee, customer should comply with the following procedural requirement

- (i) 交給華業證券在香港持牌行開立的帳戶所簽發不少於港元 10,000 的個人支票，該支票的簽名及姓名須與本表格的客戶簽名及身份證明文件相符，而支票抬頭須為“華業證券有限公司”。客戶的帳戶必須待支票兌現後才可使用；或  
Send a personal cheque in favour of Grand China Securities Limited for not less than HKD10,000 drawn on an account with a licensed bank in Hong Kong, bearing the signature(s) as on this Form and name(s) as on the identity document(s). The new account will not be activated until the cheque is cleared; or
- (ii) 由其他持牌人或註冊人、華業證券的聯繫人士、太平紳士、銀行分行經理、執業會計師、律師或公證人見證客戶的簽名及身份證明文件。  
Have any other licensed or registered person, Associate of Grand China Securities, justice of the peace, branch manager of a bank, certified public accountant, lawyer or notary public certify the signature and identity documents of the account holders.

|                                    |  |                                    |  |
|------------------------------------|--|------------------------------------|--|
| 見證人中文姓名<br>Chinese Name of Witness |  | 見證人英文姓名<br>English Name of Witness |  |
| 職業<br>Occupation                   |  | 牌照編號<br>License No                 |  |
| 身份證/護照號碼<br>ID Card No/Passport No |  | 聯絡電話<br>Phone No                   |  |
| 見證人簽署<br>Signature                 |  | 日期<br>Date                         |  |
| 辦公室地址<br>Office Address            |  |                                    |  |

**董事局決議案核證摘要**  
**Certified Extract of Board Resolution**

We hereby certify that the following board resolutions have been passed by the Board of Directors of \_\_\_\_\_  
\_\_\_\_\_ ( “the Company” ) at a Meeting of the Board duly convened and held at (address) \_\_\_\_\_

on (date) \_\_\_\_\_ at which a quorum was present and acted throughout in accordance with the Articles of the Company  
and have been duly recorded in the Minutes Book of the Company without amendment and that the same are now in full force and effect.

本公司茲確認，下列決議案經 \_\_\_\_\_ ( 下稱 “本公司” ) 董事會於 \_\_\_\_\_ 年 \_\_\_\_\_ 月 \_\_\_\_\_ 日  
於 (地址) \_\_\_\_\_ 正式召開之董事局會議通過，

該會議自始至終有足夠法定人數出席，按照本公司章程規定舉行並載入本公司之會議記錄冊內，而該決議案未有被修訂，並且正全  
面生效及有效。

**IT WAS RESOLVED:**

**決議通過:**

1. That (an) account(s) (the “Account”) be opened and maintained in the name of the Company with Grand China Securities Limited ( “Grand China Securities” ) for the purpose of the Company engaging in **Cash Securities Trading / Margin Securities Trading / Asset Management** (*please delete not applicable*) and related services subject to and in accordance with the provisions of the Account Opening Form and the applicable terms and conditions for the Account in force from time to time, as the same may be replaced, amended, added or supplemented from time to time ( “Terms” );  
以本公司名義在華業證券有限公司 ( “華業證券” ) 開立及運作一個或以上的帳戶 ( “帳戶” )，從而令公司得以使用華業證券所提供的**現金證券買賣 / 保證金證券買賣 / 資產管理** (請刪除不適用) 及有關服務，並且受開戶表格及適用於帳戶之不時生效之條款，包括經不時替換、修訂、增添或補充之條款 ( “條款” ) 所規限；
2. That the Account Opening Form and the Terms in such form as completed and produced to the Meeting be and are hereby approved and that the authorized person(s) at Item 6 of this resolution be and is hereby authorized to sign the same for and on behalf of the Company and to deliver the signed originals to Grand China Securities;  
批准經填妥並於本次會議上提交之開戶表格及條款，並授權決議第6點的獲授權人，代表本公司簽署上述之開戶表格及條款，並將經簽署之該等文件正本送交至華業證券；
3. That Grand China Securities be instructed to honour and comply with all directions and instructions given for or in respect of the Accounts and any other accounts of any kind whatsoever on behalf of the Company provided that such directions, if verbal, are given by any of the Authorised Persons and, if written, are signed in accordance with the signing instructions specified in the Account Opening Form;  
華業證券獲指示遵守及執行代表公司發出的所有關乎帳戶及其他任何類別帳戶的指令和指示，如屬口述指示，該指示須由獲授權人發出，如屬書面指示，須按開戶表格的簽署安排簽署。
4. That a copy of any resolution of the Board of the Company purporting to be certified as correct by the Chairman of the Meeting shall as between Grand China Securities and the Company be conclusive evidence of the passing of the resolution so certified.  
在華業證券及公司之間，任何公司董事局的決議被聲稱為經董事會主席認證的副本將成為該決議已被通過的終局性證明。
5. That resolutions in connection with or in respect of the Accounts, Securities Transactions and dealings with Grand China Securities be communicated to Grand China Securities and they shall remain in full force and effect until receipt by Grand China Securities of a resolution or resolutions to the contrary and certified as correct by the Chairman of the Meeting.  
所有與帳戶、證券交易及與華業證券往來有關的決議應提供予華業證券。該等決議將維持完全有效直至華業證券收到相反及經董事會主席認證的決議案副本。

6. All Purposes Authorization (Including Item 7 for Other Authorization)所有操作授權 (包括第7項的其他操作授權)

It was further resolved that any \_\_\_ of the following are empowered to operate the said Account and to execute all documentation related to the operation of the Account:

本公司決議授權下列任何\_\_\_人有權簽訂各相關文件及處理此帳戶之一切運作：

| 姓名及職位<br>Name and Position | 電話/ 手提電話號碼<br>Phone/ Mobile No. | 護照/ 身份證號碼/ 簽發地點<br>Passport/ ID No./ Place of issue | 簽名樣本<br>Specimen Signature |
|----------------------------|---------------------------------|---|----------------------------|
|                            |                                 |   |                            |
|                            |                                 |   |                            |
|                            |                                 |   |                            |

7. Other Authorization 其他操作授權

It was further resolved that any one of the following is authorized to operate the account according to the specified activities indicated below:

本公司決議授權下列任何一人代表公司給予指示，相關授權範圍如下：

請選擇授權活動:

Please select the authorized activities:

1. 授權交易人 For trading purpose only
2. 授權轉帳及交收人 For transfer and settlement purpose only
3. 授權查詢人 For enquiring purpose only

| 姓名<br>Name | 電話/ 手提電話號碼<br>Phone/ Mobile No. | 護照/ 身份證號碼/ 簽發地點<br>Passport/ ID No./ Place of issue | 簽名樣本<br>Specimen Signature | 授權活動<br>Authorized Activities   |
|------------|---------------------------------|---|----------------------------|---|
|            |                                 |   |                            | <input type="checkbox"/> 1. <input type="checkbox"/> 2. <input type="checkbox"/> 3. |
|            |                                 |   |                            | <input type="checkbox"/> 1. <input type="checkbox"/> 2. <input type="checkbox"/> 3. |
|            |                                 |   |                            | <input type="checkbox"/> 1. <input type="checkbox"/> 2. <input type="checkbox"/> 3. |

客戶公司蓋章或印章式樣 Specimen of your company chop or seal

We further certify that the identities of the Authorized Persons to operate the Account on behalf of the Company and their specimen signatures are correct and genuine.

本公司進一步證明獲授權代表公司運作「帳戶」人仕的身份及簽名樣式均屬正確及真實。

X

X

會議主席簽名 Chairman of the Meeting

董事簽名 Director

姓名 Name:

姓名 Name:

日期 Date:

日期 Date:

**職員/經紀聲明 Declaration by Staff / Account Executive**

本人，以持牌人身份，謹此聲明及確認本人已經以客戶選擇的語言（英文或中文）提供了載於證券客戶協議附表的風險披露聲明，本人並且已經邀請客戶閱讀風險披露聲明，提出有關問題及尋求獨立意見（如客戶有此意願）。

I, licensed person, hereby declare and confirm that I have provided the Risk Disclosure Statements as set out of the Securities Client Agreement in a language (English or Chinese) of the Customer's choice. I have also invited the Customer to read the Risk Disclosure Statements, ask questions and take independent advice if the Customer wishes.

\_\_\_\_\_  
持牌人簽署  
Signature of Licensed Person

\_\_\_\_\_  
持牌人姓名  
Name of Licensed Person

\_\_\_\_\_  
CE編號  
CE No.

\_\_\_\_\_  
日期  
Date

**只供本行使用 For Official Use Only**

**文件查核 Document reviewed by**

職員簽署 Signature of Staff:

職員姓名 Name of Staff:

日期 Date:

**客戶風險審查/評估 AML Checking/AML Risk Assessment**

客戶風險審查 AML Checking:

沒有洗錢/恐怖分子資料 No adverse AML news/No match on terrorist list

有洗錢/恐怖分子資料 Potential adverse AML news/Match on terrorist list:

審查員簽署 Signature of Checker: \_\_\_\_\_

姓名 Name: \_\_\_\_\_

日期 Date: \_\_\_\_\_

客戶風險評估 AML Risk Assessment :

高 High--政治人物；來自高風險國家；不明收入來源；現金密集型業務；公司結構複雜；高風險的第三者授權人；涉及金融罪行。  
Politically exposed persons; from high risk countries; unknown source of income; cash intensive business; complex corporate structures; high risk authorized persons to operate account; involved in financial crimes.

中 Medium--與客戶相識年期較短；步入式客戶；非面對面開戶；未決的法律訴訟；與高風險國家有業務往來。  
Short known history to AEs/GCS; walk-in customers; non-face-to-face account opening; pending legal litigation; business exposed in high-risk countries.

低 Low--與客戶相識年期長；擁有受僱收入；具驗證收入/財富來源。  
Long known to AEs/GCS; with incomes from employment; with verified source of income or wealth.

評估負責人簽署 Assessment RO: \_\_\_\_\_

姓名 Name: \_\_\_\_\_

**佣金 Basic Commission**

港元佣金(%)  
HKD Brokerage (%)

港元最低佣金  
HKD Minimum Commission

人民幣佣金(%)  
CNY Brokerage (%)

人民幣最低佣金  
CNY Minimum Commission

**開戶批核 Account Opening Approval**

批核人簽署 Signature of Approver:

批核人姓名 Name of Approver:

日期 Date:

備註 Remarks: