



北京首通証券香港集團有限公司  
Beijing Shoutong Securities Hong Kong Group Limited  
電話 Tel: (852) 3899 1333 傳真 Fax: (852) 3899 1388

香港灣仔港灣道18號中環廣場4005室  
Suite 4005, Central Plaza, 18 Harbour Road,  
WanChai, Hong Kong

CE No. 中央編號:



# **Beijing Shoutong Securities Hong Kong Group Limited**

## 北京首通証券香港集團有限公司

### **CLIENT INFORMATION FORM (Corporate Account)**

客戶資料表格（公司帳戶）



CLIENT INFORMATION FORM (Individual or Joint Account)

客戶資料表格 (公司帳戶)

Account Name

客戶名稱

Account Number

客戶帳號

Application for Securities trading 申請證券交易帳戶為

- ☐ Cash Account 現金帳戶\* ☐ Online & Mobile Phone Trading Account 網上及手機交易帳戶  
☐ Margin Account 保證金帳戶\*

I. Particulars of Client 客戶資料

Company Name (English)

公司名稱(英文)

Company Name (中文)

公司名稱(中文)

Trading Name (If different from above)

經營名稱 (如與上述不同)

Registered Address and Country of Residence

注册地址及國家

Place of Incorporation

註冊地點

Date of Incorporation

註冊日期

Certificate of Incorporation

No. 公司註冊號碼

Business Registration

Certificate No.

商業登記證號碼

Nature of Business 業務性質

Nature of Entity 實體性質

- ☐ Listed Company ☐ Unlisted Company  
上市公司 非上市公司  
☐ Partnership ☐ Other  
合夥經營 其他 \_\_\_\_\_

Tel. No. 電話號碼

Fax No. 圖文傳真

Email Address 電郵地址

All postal communication including statements of account to be sent to the following address 所有郵寄品包括結算單  
送往以下地址^

- ☐ Registered Address 注册地址  
☐ Principal Office or Place of **Business** 主要辦事處或商業地址

\* Please tick one only 請選其一

^ Only one type of postal address is allowed for all cases 於所有情況下, 只准許一種郵遞地址類別



## II. Declaration in related to U.S. Foreign Account Tax Compliance Act (FATCA)

### 有关美国<海外账户税收合规法案>的声明

Please choose the appropriate status 请选择适当的身份

- ☐ You are a foreign (non-United States) corporation, company, partnership, or association who is the beneficial owner of an account receiving amounts subject to withholding, please provide Form [W-8BEN-E](#)

閣下是外国(非美国)企业、公司、合伙人或聯营实体及閣下的最终受益人受预扣税款所约束, 请提 [W-8BEN-E](#) 表格

- ☐ You are a foreign (non-United States) person acting as an intermediary, please provide Form [W-81MY](#)

閣下是外国(非美国)担任中介机构角色者, 请提供表格 [W-81MY](#)

- ☐ Others, please specify and provide appropriated form

其他, 请列明及提供适当的表格 \_\_\_\_\_



III. Ownership and Control Structure 拥有权及控制权结构			
Particulars of Shareholders (holding 10% or more of the voting rights or share capital) of the Company (not applicable to Listed Company) 公司股东 (持有 10% 或以上的投票权或股本) 详情 (不适用于上市公司)			
*if necessary, please state in a separate sheet 如有需要, 请陈述在独立页表上			
	(1)	(2)	(3)
Name 姓名			
Shareholding % 持股权益			
ID Card/ Passport/ Cert. of Incorporation No. 身份证/护照/公司注册证号码			
Date of Birth/ Incorporation 出生/注册日期			
Place of Birth (if applicable) 出生地 (如适用)			
Nationality/ Place of Incorporation 国籍/注册地点			
Residential Address and Country of Residence (and Permanent Address if different)/ Registered Address and Country of Residence (and Principal Office or Place of Business if Different) 住址及国家(及永久地址, 如不相同)/ 注册地址及国家(及主要办事处或商业地址, 如不相同)			
For (1)			
For (2)			
For (3)			
Are you a U.S. Resident?	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是, TIN No.	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是, TIN No.	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是, TIN No.
IV. Directorship 董事			
Particulars of Directors of the Company 公司董事详情			
*if necessary, please state in a separate sheet 如有需要, 请陈述在独立页表上			
	(1)	(2)	(3)
Name 姓名			
ID Card/ Passport No. 身份证/护照号码			
Date of Birth 出生日期			
Nationality 国籍			
Residential Address and Country of Residence (and Permanent Address if different) 住址及国家 (及永久地址, 如不相同)			
For (1)			
For (2)			
For (3)			
Are you a U.S. Resident?	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是, TIN No.	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是, TIN No.	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是, TIN No.



#### V. Bank Information 銀行資料

Unless otherwise instructed by you, all monies payable to you are to be credited to the following bank account:

除經客戶另行指示外，須付予客戶的款項將會被轉入下列銀行賬戶：

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

Bank Account No.: \_\_\_\_\_

Bank Account Holder's Name (name shown on bank statements and this form should match)

賬戶持有人名稱(須與客戶的銀行結單及此表格上的名稱相符)

\_\_\_\_\_



## VI. Board Resolution (if applicable) 董事局委任決議書 (如適用)

Name of Company 公司名稱 \_\_\_\_\_

Minutes of a Meeting of the Board of Directors of the Company held at 本董事會在

Address 地址 \_\_\_\_\_

on 并于 (Date 日期 \_\_\_\_\_) 舉行的董事會會議紀錄。

Present (Full name of Directors Present) 出席人(出席董事全名):

\_\_\_\_\_

Chairman of the meeting 會議主席: \_\_\_\_\_

### Notice and Quorum 通知書及法定人數

The requisite notices having been given and a quorum being present, the Chairman declared the meeting duly constituted. 有關通知已按要求發出, 且與會人數符合會議法定人數的要求, 主席宣布會議有效。

#### 1. Signing Officer 授權簽署人

It was resolved that with immediate effect a securities trading account be opened with Beijing Securities Group Limited and that the following person(s) is/are appointed as signing officer of the Company. Any one of the signing officers can act on behalf of the Company: (i) to sign, execute and deliver all agreements and documents in relations to the account; and (ii) to sign instruction to transfer/ withdraw any money, securities, collateral or other property into or out of the account, and deal with all settlement matters in relation to the account.

茲決議本公司將於北京首通証券集團有限公司開立證券交易賬戶, 並且授權下列人士為賬戶授權簽署人, 即時生效。任何一位授權簽署人可代表本公司: (i) 簽署、簽訂及交付與賬戶相關之所有協議或文件; 及(ii) 簽發指令向/ 向賬戶提取/ 轉賬任何資金、證券、抵押品或其他資產, 及處理所有與賬戶結算相關之事宜。

Name 姓名	ID Card/ Passport No. 身份證/護照號碼	Contact Phone No. 聯絡電話	Specimen 簽署樣式
(1)			
(2)			
(3)			
(4)			

#### 2. Trading Officer 交易人

It was resolved that with immediately effect, the following person(s) is/are appointed as trading officer and authorized to give trading instructions (whether verbally, electronically, in writing or otherwise) for and on behalf of the Company:

茲決議下列人士被授權為本公司賬戶的交易人, 並代表本公司進行買賣(包括透過以口頭、電子、書面或其他方式), 即時

生效。

Name 姓名	ID Card/ Passport No. 身份證/護照號碼	Contact Phone No. 聯絡電話	Specimen 簽署樣式
(1)			
(2)			
(3)			
(4)			

Company Stamp Specimen (if applicable)

公司印章 (如適用)



End of Meeting 会议结束

There being no further business, the Chairman declared the meeting closed. 没有进一步的讨论, 主席宣布会议结束。

The Chairman 主席 \_\_\_\_\_



VII. Financial Information/ Investment Objective and Experience 财务资料/投资目标及经验						
1. Profit/Loss after tax based on the latest audit account(s) 最近其经核数师作实之税后盈/亏 <input type="checkbox"/> HK\$0 – HK\$500,000 <input type="checkbox"/> HK\$500,001 – HK\$3,000,000 <input type="checkbox"/> HK\$3,000,001 – HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 – HK\$30,000,000 <input type="checkbox"/> >HK\$30,000,000 <input type="checkbox"/> other 其他 _____						
2. Net Asset Based on the latest audited account(s) 最近其经核数师作实之净资产值 <input type="checkbox"/> <HK\$1,000,000 <input type="checkbox"/> HK\$1,000,000 – HK\$10,000,000 <input type="checkbox"/> > HK\$10,000,000 – HK\$50,000,000 <input type="checkbox"/> >HK\$50,000,000 - HK\$100,000,000 <input type="checkbox"/> >HK\$100,000,000						
3. Ownership of property/ real estate <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (e.g. real estate, time deposit 如物业, 定期存款) 拥有资产/物业 _____ <input type="checkbox"/> with financing 有借贷 <input type="checkbox"/> without financing 无借贷						
4. Source of funding (√one or more) <input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Saving 储蓄 <input type="checkbox"/> Rent 租金 <input type="checkbox"/> Business Profit 业务溢利 资金来源 (可√超过一项) <input type="checkbox"/> Dividend / Interest 股息/利息收入 <input type="checkbox"/> Others (please specify) 其他(请注明) _____						
5. Origin of funding (√one or more) <input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Macau 澳门 <input type="checkbox"/> China 中国 资金源地 (可√超过一项) <input type="checkbox"/> Others (please specify) 其他(请注明) _____						
6. Investment Objective <input type="checkbox"/> Speculation 投机 <input type="checkbox"/> Capital Appreciation 资产增值 投资目标 <input type="checkbox"/> Dividend / Interest 股息/利息收入 <input type="checkbox"/> Hedging 对冲 <input type="checkbox"/> Others (please specify) 其他(请注明) _____						
7. Investment horizon <input type="checkbox"/> Short term (<1 year) 短线(少于1年) <input type="checkbox"/> Short to medium term(1-5 years) 中短线(1-5年) 投资年期 <input type="checkbox"/> Medium term (6-10 years) 中线(6-10年) <input type="checkbox"/> Long Term (>10 years) 长线(>10年)						
8. Risk tolerance 承受风险 <input type="checkbox"/> Low 低 <input type="checkbox"/> Medium 中 <input type="checkbox"/> High 高						
9. Derivative Product Experience in past 3 years <input type="checkbox"/> 1-5 Trades <input type="checkbox"/> Over 5 trades <input type="checkbox"/> Nil 过往3年投资衍生产品经验    1-5次交易    超过5次交易    没有						
<b>10. Investment experience 投资经验</b>						
	Nil 无	< 1 year 1年以下	1 to 5 years 1至5年	6 to 10 years 6至10年	> 10 years 10年以上	
Equities 证券	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Derivative Products (e.g. warrants/options/CBBCs) 衍生产品 (例如:窝轮/期权/牛熊证)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Futures 期货	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Mutual Funds/ Unit Trust 互惠基金/单位信托基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Hedge Funds 对冲基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Unlisted Structure Products (e.g. ELN/ELI) 非上市结构性产品 (例如:股票挂钩投资)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Fixed Income Securities (e.g. Bonds) 固定收益证券 (例如:债券)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Others (e.g. Forex/Precious metal) 其他 (例如:外汇交易/贵金属)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
VIII. Identity Declaration 身份声明						
1. Are your directors, partners or substantial shareholders an agent, officer or employee of any exchange, board of trade, clearing house, bank or trust company; or affiliate of any introducing broker; or an officer, partner, director or employee of any securities broker, futures broker or licensed corporation? 贵公司之董事、合伙人或主要股东是否任何交易所、交易委员会、结算所、银行或信托公司代理人、高级人员、员						





工; 或任何何引荐经纪的联属人; 或任何证券经纪、期货经纪或持牌法团的高级人员、合伙人、董事或员工?

☐ No ☐ Yes (please provide details): Name of the person and name of Institution

否 是 (请详述): 该人士的姓名及机构名称 \_\_\_\_\_

2. Do any of your directors, partners or substantial shareholders have relative(s) working in Beijing Securities Group Limited? 贵公司之董事、合伙人或主要股东有没有亲属于北京首通証券集团有限公司工作?

☐ No ☐ Yes (please provide details): Name of the person and name of Institution

否 是 (请详述): 该人士的姓名及机构名称 \_\_\_\_\_

#### VIII. Identity Declaration 身份声明 (继续)

3. Person ultimately benefiting from the transactions and bearing the risks:

最终受益于交易及承担风险人士:

☐ The Company (we are not acting as nominee company for a third party)

本公司 (本公司不是替第三者作为公司代理人处理帐户)

☐ Others (Please provide details / supporting documents) 其他(请详述 / 提供附件):

Name 名称: \_\_\_\_\_ ID/Password No. 身份证/护照号码 \_\_\_\_\_

Phone No.: \_\_\_\_\_ Address 地址: \_\_\_\_\_

4. Person ultimately responsible for originating instructions:

最终负责发出指示的人士:

☐ The Company (we are not acting as nominee company for a third party)

本公司 (本公司不是替第三者作为公司代理人处理帐户)

☐ Others (Please provide details / supporting documents) 其他(请详述/提供附件):

Name 名称: \_\_\_\_\_ ID/Password No. 身份证/护照号码 \_\_\_\_\_

Phone No.: \_\_\_\_\_ Address 地址: \_\_\_\_\_

5. Related Margin Account 相连保证金账户 (applicable to Margin client only 只适用于保证金账户)

Is any member of your group companies a margin client of Beijing Securities Group Limited?

客户的公司集团内任何成员是北京首通証券集团有限公司的保证金客户?

☐ No 否 ☐ Yes 是, Account Name 客户姓名: \_\_\_\_\_ A/C No. 帐户号码: \_\_\_\_\_

#### IX. Customer Declaration 客户声明

☐ 1. (a) We hereby declare that the information contained in this Client Information Form is true, complete and accurate. Beijing Securities Group Limited is entitled to rely fully on such information and representations for all purposes, unless Beijing Securities Group Limited receives notice in writing of any change. Beijing Securities Group Limited is authorized at any time to contact anyone, including your banks, brokers or any credit agency, for the purpose of verifying the information provided on this Client Information Form. A copy of Beijing Securities Group Limited's "Circular relating to the Personal Data (Privacy) Ordinance" is available upon request.

吾等谨此声明本客户资料表之资料均属真实、完整及正确。除非北京首通証券集团有限公司收到任何客户资料

料改变的书面变更通知, 北京首通証券集团有限公司完全可以依靠这些资料及陈述作任何目的。客户授权北京首通証券

集团有限公司可在任何时间联络任何人, 包括客户的银行、经纪或任何信贷机构, 藉以确定及查证本客户资料表内的资料。客户可随时索阅北京首通証券集团有限公司的"个人资料(私隱)条例的通告"副本。

1. (b) We, the undersigned Client, have read and understood the provisions of the attached current version of the Client Agreement of Beijing Securities Group Limited ("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 acknowledge by us) including its Standard Terms and Conditions and relevant Schedule(s) and/or Annex(es) as the same may be amended from time to time.

吾等, 下述签署客户, 已阅读过及明白附上的北京首通証券集团有限公司最新版本的客户协议书("协议")。



而本文件乃協議的一部份。吾等現申請開立上述類別的賬戶，並同意接受可不时被修改的協議(謹此聲明吾等已收妥其副本)包括其標準條款及細則及有關的附件及/或附錄所約束。

1. (c) We acknowledge and confirm that Beijing Securities Group Limited has provided the Agreement and the Risk Disclosure Statements in a language of our choice (English or Chinese) and We have been invited to read the Risk Disclosure Statements in or accompanying the Agreement, to ask questions and take independent advice if We wish.

吾等北京首通証券集團有限公司已按照吾等選擇的語言(中文或英文)獲提供協議和載或附於協議的風險披露聲明，及已獲邀閱讀該風險披露聲明、提出問題及徵求獨立的意見(如吾等有此意願)。

- ☐ 2. (Applicable to Margin Clients only) We acknowledge and confirm that We have authorized Beijing Securities Group Limited to deal with the Securities Collateral in accordance with Clause 24 of Schedule 1 - <Terms for Margin Trading> and the contents of that Clause have been explained to me/us and I/We understand the contents and related risks of that Clause.

(只適用於保證金客戶) 吾等謹此承認並確定吾等已根據附表一<保證金融資買賣條款>第24條授權北京首通証券集團有限公司處置證券抵押品，並且本吾等明白就該條款的內容及有關風險。

\_\_\_\_\_  
Client Signature and Company Stamp 客戶簽署及蓋章

Name 名稱:\_\_\_\_\_

Date 日期:\_\_\_\_\_



#### X. Witness for account opening by Licensed Employee 持牌雇员的开户见证

I, Beijing Securities Group Limited licensed representative, hereby declare and confirm that I have provided the Risk Disclosure Statements in or accompanying the Agreement 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 wishes.

本人為北京首通証券集團有限公司的持牌代表，並謹此聲明及確認本人已按照上述客戶所選擇的語言(中文或英文) 提供載或附於該協議書的風險披露聲明及邀請客戶閱讀該風險披露聲明、提出問題及尋求獨立的意見(如客戶有此意願)。

The above Client signature was made in my presence 以上客戶簽署乃本人面前簽立。

Signature of Staff 職員簽署

Name and CE. No. 名稱及中央編號

Date (dd/mm/yyyy) 日期 (日/月/年)

#### XI. Witness for Postal Account Opening or Account Opening by non-employee of Beijing Securities Group Limited

##### 郵遞開戶的見證或非北京首通証券集團有限公司的雇員開戶見證

If you are opening this Account by way of post, or Account opening is not executed in presence of the employee of licensed person or registered person, please arrange for other person registered with SFC, an affiliate of a registered person, a Justice of the Peace, or a professional person such as branch manager of a bank, certified public accountant, lawyer or notary public to witness your signature of this Agreement and sighting of related identity documents by using "Witness for Postal Account Opening or Account Opening by non-employee of Beijing Securities Group Limited" section.

如閣下以郵遞方式開戶，或開戶並非在持牌人或註冊人的雇員面前簽立，請安排其他在證監會註冊人、註冊人的聯系人士、太平紳士或專業人士如銀行分行經理、執業會計師、律師或公證人在“郵遞開戶的見證或非北京首通証券集團有限公司的雇員開戶見證” 欄中見證閣下簽立本協議及驗證有關身份證明文件。

I, the undersigned witness, hereby certify that I have witnessed the signing of this agreement by the Client and have sighted the related identity documents of the Client.

本人為下述簽署人，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 LETTERS) 見證人姓名 (正楷)

Profession/ Occupation 專業/職業 (牌照號碼，如有)

Name of Company 公司名稱

Company Address 公司地址

Date and Company Stamp 日期及公司印章

#### XII. Account Opening Check List 開戶備忘

公司戶口

請提供以下公司文件：

- ☐ 公司註冊證書\* ☐ 商業登記證\* ☐ 三個月內之地址證明\*
- ☐ 所有董事及獲授權人之身份證、護照副本或公司註冊牌照副本\*
- ☐ 戶口最終受益人之護照副本 或 公司註冊牌照副本\*
- ☐ 六個月內簽發之公司查冊 或 六個月內簽發之現任職位證明書\*



☐ 公司章程或細則\* ☐ 有關開設戶口之董事決議 ☐ 擔保書 及 擔保人之身份證明文件、住址證明

☐ 最近期財政報告 或 良好記錄證書 ☐ W-8BEN-E 表格

\* 副本文件須經由證監會認可的專業人士 (如：律師、執業會計師、本地持牌銀行經理、公證人) 核證。



**For Official Use Only (只供本公司使用)**

經紀 / 證券銷售員 AE / Salesperson : \_\_\_\_\_

認識客戶年期 I have known the Client for: ☐ > 1 year ☐ 1-5 years ☐ > 5 years

介紹模式 Mode of Introduction: ☐ 自薦 Walk-in ☐ 引薦 Referral: \_\_\_\_\_

☐ 其他 Others: \_\_\_\_\_

Account Name 戶口姓名: \_\_\_\_\_

Account Number 戶口號碼: \_\_\_\_\_

**Commission Rate/ Trading Limit/ Credit Limit & Interest (Securities) 佣金/交易限額/信貸限額及利息 (證券)**

	Standard Rate	Proposed
Commission Rate 經紀佣金	0.25%, \$100 (min)	
Internet Commission Rate 網上佣金	0.20%, 100 (min)	
Interest Rate (Margin) 信貸利息	P + 4.5%	
Trading Limit 交易限額	HK\$	
Credit Limit 信貸限額	HK\$	

Sign off By:

核查及同意: Reviewed & Concurred By: \_\_\_\_\_ (Date: \_\_\_\_\_)

經紀 / 證券銷售員 AE / Salesperson (Name: \_\_\_\_\_ C.E. No.: \_\_\_\_\_)

核對: Checked By: \_\_\_\_\_ (Date: \_\_\_\_\_)

Compliance (Name: \_\_\_\_\_)

批核: Approved By: \_\_\_\_\_ (Date: \_\_\_\_\_)

負責人員 Responsible Officer

(Name: \_\_\_\_\_ C.E. No.: \_\_\_\_\_)