

個人/聯名客戶開立證券買賣戶口需知
NOTE TO CLIENT (INDIVIDUAL/JOINT ACCOUNT)
RELATING TO OPENING SECURITIES TRADING ACCOUNT

客戶開立現金證券買賣戶口，必須填妥及簽署以下文件：

For opening a cash securities trading account, client shall complete and sign the following documents :

1. 客戶資料表 - 個人/聯名賬戶 Client Information Form –Individual/Joint Account
2. 北向交易投資者識別碼模式客戶同意書 Client Consent on the Northbound Investor ID Model
3. W-8BEN 表格 W-8BEN Form
4. 客戶投資風險取向 Client Risk Profile

客戶並須提供下列文件：

In support thereof, client shall provide the documents listed below :

1. 身份證/護照副本
I.D./Passport Copy
2. 三個月內之住址證明 (例如：銀行月結單，差餉單等等)
Proof of residential address within 3 months (e.g. bank statements, rate and rent etc.)
3. 香港銀行戶口證明副本 (例如：銀行咭，存摺，結單)
Bank proof copy (e.g. ATM card, passbook or bank statement)
4. 港澳通行證副本 (內地客戶)
Exit /Entry permit (Mainland resident)

如國內或海外客戶透過郵寄方式申請，客戶須填妥上述開戶文件並郵寄正本至本公司。

此外，申請人須選擇以下其中一項步驟核實身分證明：

If clients from Mainland China or overseas want to apply by mail, please mail the above-listed required documents to our company.

Additionally, clients must choose one of the procedures below to verify his/ her true identity:

(一) 郵寄 HK\$10,000 連劃線個人支票，存款可作交易之用。Mail a crossed personal cheque of HK\$10,000. This deposit can be used for trading.

支票須符合以下條件 The cheque must satisfy the following requirements :

- A. 支票抬頭注明本公司的名稱 Cheque made payable to our company names ;
- B. 必須是香港持牌銀行所發出的個人支票 Must be a personal cheque drawn on a licensed bank in Hong Kong ;
- C. 支票所顯示的客戶全名及簽署必須與開戶表格相符 Must bear identical name and signature as shown on the account opening form .

(二) 所有開戶文件須經在客戶居住當地的專業人仕 (如：律師、執業會計師、持牌銀行經理、公證人) 核證。

All account opening documents must be certified by a professional in the client's local area (e.g. lawyer, certified public accountant, branch manager of a bank, notary public).

如本公司要求，客戶亦須要提供收入證明。

Client shall provide income proof as well upon request by the Company.

以上有關文件未經本公司核證及批准前，客戶不可進行任何證券交易。

No trading will be allowed until all the relevant documents submitted are checked and approved by the Company.

注意：

本公司暫不接受以下人士開設個人帳戶

1. 美國公民及/或美國居民

Attention :

We do not accept account opening application from the following individual

1. U.S. citizen and/ or resident U.S.

感謝 客戶的合作及支持。

Thank you for your cooperation and support.



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