



ACCOUNT OPENING FORM

開戶文件
(Corporate)
(公司)

- Securities Account (Cash) 證券帳戶 (現金)
- Securities Account (Margin) 證券帳戶 (保證金)

Client Name 客戶姓名: _____

Client Account No. 帳戶號碼: _____



Leeds Securities Investment Limited

競富證券金融有限公司

證監會中央編號 CE No. BMS480

Room 2701-2703 27/F, Everbright Centre,
108 Gloucester Road, Wanchai, Hong Kong
香港灣仔告士打道 108 號光大中心 27 樓 2701-
2703 室
Tel 電話: (852) 3106 2213
Fax 傳真: (852) 3106 0001

Account Name 帳戶姓名:	Account No. 帳戶號碼:
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Account Opening Form 開戶表格
(Corporate 公司)

Account Type(s) 帳戶類別	<input type="checkbox"/> Securities Cash 證券現金 <input type="checkbox"/> Securities Margin 證券保證金
Internet Trading 網上交易	<input type="checkbox"/> Web & Mobile App 網頁及手機應用程式交易服務

(I) Client Information
客戶資料

Account Name 帳戶名稱:		
Client Name in English 客戶英文名稱:		Client Name in Chinese 客戶中文名稱:
Trading Name of the Client (if different) 客戶經營名稱 (如有異於上述):		
Nature of Entity 企業類別: <input type="checkbox"/> Private Co. 私人公司 <input type="checkbox"/> Public Co. 公眾公司 <input type="checkbox"/> Legal Body 法團 <input type="checkbox"/> Others 其他: _____		
Nature of Business 業務性質:		Business Registration No. 商業登記證號碼:
Place of Incorporation/ Establishment 註冊/成立地點:	Registered No. of Incorporation/ Establishment 公司註冊號碼:	Date of Incorporation/ Establishment (DD/MM/YY) 註冊/成立日期(日/月/年):
Registered Address 註冊地址:		
Principal Place of Business (If different from the above) (PO Box not allowed) 主要營業地址(如與上述地址不同)(不接受郵政信箱):		
Tel No. 電話號碼:	Fax No. 傳真號碼:	Email 電郵:

(II) Particulars of the Company Director(s)
公司董事詳情

Name 姓名	I.D. Card/ Passport No. 身份證/護照號碼	Place of Issue 簽發地	Tel. No. 電話號碼	Address 地址

(III) Particulars of the Company's Ultimate Beneficial Owner(s) 公司最終實益擁有人*詳情
(Not applicable to public listed companies 上市公司不用填寫)

Name 姓名	I.D. Card/ Passport No. 身份證/護照號碼	Tel. No. 電話號碼	Nationality 國籍 (Please fill in ALL Nationality(ies) 請填上所有國籍)	Place of Birth 出生地點	Address 地址	% holding 持有 百分比

*The individuals who hold 25% or more of the ultimate beneficial interest of the Company.

*擁有百分之二十五或以上的公司最終權益擁有人

(IV) Financial Information
財務資料

Authorized Capital 法定股本:	Paid-up Capital 繳足股本:
Profit after taxation for the latest financial year 最近財政年度之稅後盈利:	HK\$港元 _____

Financial Situation
財政狀況

Source of Funding 資金來源	Annual Income (HK\$) 每年收入(港幣)	Type(s) of Asset 資產項目	Net Asset Value (HK\$) 資產淨值(港幣)
<input type="checkbox"/> Business Profit 營業溢利	<input type="checkbox"/> ≤ 200,000	<input type="checkbox"/> Land & Property 房地產	<input type="checkbox"/> ≤ 500,000
<input type="checkbox"/> Dividend/ Interest 股息/利息	<input type="checkbox"/> 200,001-1,000,000	<input type="checkbox"/> Cash/ Deposit 現金/存款	<input type="checkbox"/> 500,001-1,000,000
<input type="checkbox"/> Investment Gain 投資收入	<input type="checkbox"/> 1,000,001-5,000,000	<input type="checkbox"/> Listed Shares 上市證券	<input type="checkbox"/> 1,000,001-5,000,000
<input type="checkbox"/> Shareholders Loan 股東貸款	<input type="checkbox"/> 5,000,001-10,00,000	<input type="checkbox"/> Others 其他: _____	<input type="checkbox"/> 5,000,001-40,000,000
<input type="checkbox"/> Others 其他: _____	<input type="checkbox"/> > 10,000,000		<input type="checkbox"/> > 40,000,000
	<input type="checkbox"/> Others其他: _____		<input type="checkbox"/> Others其他: _____

	Turnover (HK\$) 交易金額(港幣)	Trade Frequency 交易次數
Account Movement Estimation (Annually) 預計戶口活動(每年)	<input type="checkbox"/> < 500,000 <input type="checkbox"/> 500,001- 5,000,000 <input type="checkbox"/> > 5,000,001	<input type="checkbox"/> < 50 <input type="checkbox"/> 51- 500 <input type="checkbox"/> > 501

(V) Designated Bank Account
指定銀行戶口

Name of Bank 銀行名稱: _____	Bank Account No. 銀行帳戶號碼: _____
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(VI) Communication Method
通訊方式

- Registered Address 註冊地址 Business Address 公司地址 Fax 傳真 E-mail 電郵 SMS 短訊
 Other Correspondence Address 其它通訊地址: _____

(VII) Statement Receiving Method
結單收取方式

- By E-mail 透過電郵 By Mail 透過郵寄信件(需繳付每月費用)

(VIII) Promotion 優惠及推廣資訊

(Please refer to Personal Information Collection Statement 請參閱個人資料收集聲明)

- The Client agrees to receive information of promotion and marketing of the Company by the following channel(s)
閣下同意透過以下途徑接收本公司之優惠及相關通知:
- Any Channels 任何途徑 E-mail 電郵 Post 郵寄 Telephone 電話
- SMS & Instant Communication App 短訊及即時通訊應用程式
- The Client does not agree to receive information of promotion and marketing of the Company by the following channel(s)
閣下不同意接收本公司之優惠及相關通知

(V) Investment Experience & Derivative Products Knowledge
投資經驗及衍生產品認識

1. Investment Objective
投資目標
- Dividend 股息收入 Capital Gain 資本增值 Speculation 投機 Hedging 對沖 Others: _____
2. Investment Experience
投資經驗
- Stocks 股票 Year(s)年數: _____ Derivative Warrants 衍生認股證 Year(s)年數: _____
- CBBC 牛熊證 Year(s)年數: _____ Futures & Options 期貨及期權 Year(s)年數: _____
- Hedge Fund 對沖基金 Year(s)年數: _____ Structured Products 結構性產品 Year(s)年數: _____
- Bonds 債券 Year(s)年數: _____ Others 其他: _____ Year(s)年數: _____
- Mutual Fund 互惠基金 / Unit Trust 單位信託基金 / ETF 交易所買賣基金 Year(s)年數: _____
3. Assessment for Client's Knowledge of Derivative Products (Please answer all the questions)
客戶對衍生工具的認識評估 (請回答所有問題)
- (1) Has the Client undergo training or attended courses on derivative products? If Yes, please specify:
閣下是否曾接受任何有關介紹一般衍生產品之風險的培訓? 如有, 請註明
Name of Course/Seminar 課程/研討會名稱: _____
Organizer 主辦機構: _____ Year of Participation 參與年份: _____
- (2) Has the Client current or previous work experience related to derivative products? If Yes, please specify:
閣下是否擁有與衍生產品有關的工作經驗? 如是, 請註明:
Name of Employer 任職公司名稱: _____ Position 職位: _____
- (3) Has the Client executed five or more transactions within the past three years in derivative products? If Yes, please provide the names of related products:
閣下曾否在過去三年執行過五次或以上有關任何衍生產品的交易? 如有, 請提供有關產品的名稱:
- CBBC 牛熊證 Derivative Warrants 衍生認股證 Futures & Options 期貨及期權
- Hedge Fund 對沖基金 Structured Products 結構性產品 Bonds 債券
- Mutual Fund 互惠基金 / Unit Trust 單位信託基金 / ETF 交易所買賣基金

Assessment Result 評估結果
(For Official Use Only 只供本公司使用)

The Client is characterized as a client 上述客戶被歸類為

「without knowledge of derivatives 對衍生工具沒有認識」

「with knowledge of derivatives 對衍生工具有認識」

(IX) Disclosure of Related Account(s)
關連賬戶資料之披露

1. Are you and/or any of the ultimate beneficial owner(s) of the Account a person licensed by or registered with the SFC or an employee of a licensed/registered person?
客戶及/或任何之最終實益擁有人是否證監會之持牌人/註冊人或其僱員?
 No 否 Yes 是 Please specify 請註明: _____
2. Are you and/or any of the ultimate beneficial owner(s) of the Account related to any employee or director or licensed person of the Company and its subsidiaries?
客戶及/或任何之最終實益擁有人是否與本公司及其附屬公司之僱員/董事/持牌人士有任何關係?
 No 否
 Yes 是 Name of the employee/director/licensed person 僱員/董事/持牌人士姓名: _____
Relationship 關係: _____
3. Are you a substantial shareholder* or senior managing officer or director of any listed corporation?
客戶是否任何其股份在交易所或市場買賣的上市公司之主要股東*、高級人員或董事?
 No 否 Yes 是 Company Name 公司名稱: _____
Stock Code 上市編號: _____
- *in relation to a company, a person who is entitled to exercise, or control the exercise of, 10% or more of the voting power at any general meeting of that company. 就一間公司而言，任何人士其於該公司之任何股東大會擁有權行使，或可控制行使，10%或以上之投票權*
4. Are any of your group companies or related companies a margin client of the Company?
貴集團旗下之任何公司或相關公司是否本公司之現有保證金客戶?
 No 否
 Yes 是 Account Name 帳戶姓名: _____ Account No. 帳戶號碼: _____
5. Has the company or any of the directors been subjected to bankruptcy or insolvency proceedings?
貴公司或其董事是否曾經破產或受破產訴訟?
 No 否 Yes 是

(X) Authorized Person
獲授權人士

The Client's Securities Cash/ Margin Account(s) can be operated on the dealing and settlement instructions of the Authorized Person(s) and the Client hereby declares that the Client will be fully responsible for any dealing and settlement instructions given or purported to be given by the Authorized Person(s), and will fully indemnify the Company against all damages, losses, costs and expenses whatsoever incurred as a result of any act or omission of the Authorized Person(s).

客戶之現金/保證金證券賬戶可根據獲授權人士之買賣及交收指示運作。客戶茲聲明對由獲授權人士或聲稱由獲授權人士所發出之任何買賣及交收指示承擔全部責任，並會就本公司因獲授權人士之任何行為或不為而引致的一切賠償、損失、費用及開支向哪吒 II 證券投資作出全部彌償。

Please provide board minutes/written resolution approving the opening of the Account, authorized signatories, the provision of oral instructions and other relevant instructions. All instructions and Authorized Person(s) details will follow the Client's board minutes/written resolution.

請提供批准開戶的董事會會議記錄/書面決議、授權簽署人、口頭指示及其他相關指示。所有指示及授權人士詳情，將以客戶的會議記錄/書面決議為準。

(XI) FATCA Certification
海外帳戶稅收合規法案聲明書

The Foreign Account Tax Compliance Act ("FATCA") enacted in the United States of America ("US") become effective 1 July 2014. The new US tax regulations require Hong Kong financial institutions to identify and report US persons to the relevant tax authority.

美國制定的《海外帳戶稅收合規法案》於2014年7月1日起生效。此等新稅務條例要求香港金融機構識別客戶是否美國公民或居民，並向美國稅務當局匯報。

Certification 聲明:

I hereby consent for the Company and its subsidiaries to disclose, report or share my relevant information with local and overseas regulators or tax authorities where necessary to establish my tax liability in any jurisdiction. I declare that I have examined the information on this self-certification and to the best of my knowledge and belief; it is true, correct, and complete. I will inform your company within 30 days if any information herein becomes incorrect.

本人同意貴公司及其子公司可向本地及海外監管機構或稅務機構披露、呈交或提供本人的資料以確立本人於任何司法管轄區的稅務責任。本人在此聲明本人已查閱此聲明之內容，並盡本人所知及確信，聲明內容均屬真實，正確及完整。本人同意如以上聲明有變更，將於30日內通知貴公司。

(XII) Automatic Exchange Of Financial Account Information
自動交換財務帳戶資料**Important Notes 重要提示:**

- This is a self-certification form provided by an account holder to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
這是由帳戶持有人向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- An account holder should report all changes in his/her tax residency status to the reporting financial institution.
如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。
- All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (*) are required to be reported by the reporting financial institution to the Inland Revenue Department.
除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄/部標有星號(*)的項目為申報財務機構須向稅務局申報的資料。

Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”)

居留司法管轄區及稅務編號或具有等同功能的識辨編號（以下簡稱「稅務編號」）

The Client need to provide information, indicate the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and the account holder's TIN for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence.

客戶需提供資料，以列明帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區（香港包括在內）及該居留司法管轄區發給帳戶持有人的稅務編號。列出所有（不限於5個）居留司法管轄區。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. If a TIN is unavailable, provide the appropriate reason:

如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。如沒有提供稅務編號，必須填寫合適的理由：

Reason A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

理由A – 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

Reason B - The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.

理由B – 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。

Reason C - TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

理由C – 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

Declaration 聲明:

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the Company for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the Company to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

本人知悉及同意，貴公司可根據《稅務條例》（第112章）有關交換財務帳戶資料的法律條文，（a）收集本表格所載資料並可備存作自動交換財務帳戶資料用途及（b）把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

I certify that I am the account holder of all the account(s) to which this form relates.

本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人。

I undertake to advise the Company of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide the Company with a suitably updated self-certification form within 30 days of such change in circumstances.

本人承諾，如情況有所改變，以致影響本表格第1部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知貴公司，並會在情況發生改變後30日內，向貴公司提交一份已適當更新的自我證明表格。

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).

警告：根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級（即\$10,000）罰款。

(XIII) Declaration by Client
客戶聲明

1. The undersigned Client(s) agree to open the above account(s) with the Company.
客戶(等)(簽署本開戶表格之客戶)同意與本公司開立上述帳戶。
2. The Client(s) have read and understood the provisions of the Cash Client's Agreement, and/or Margin Client's Agreement applicable to the type of account(s) that the Client(s) agree to open and the Client(s) accept to be bound by the same.
客戶(等)已閱讀並明白在現金客戶協議書及/或保證金客戶協議書中所載的適用於客戶所選擇之帳戶類別之一切條款，並接受這些條款的約束。
3. The information contained in this Account Opening Form is true and accurate. The Company is entitled to rely fully on such information for all purposes, unless the Company receive notice in writing of any change.
客戶(等)載於開戶表格中的資料是真實和準確的。除非本公司收到資料更改的書面通知，本公司有權為任何目的信賴這些資料。
4. The Client(s) have received the English and Chinese versions of the Cash Client's Agreement (which including the Internet Securities Trading Agreement, Stock Options Trading Agreement, Personal Information Collection Statement), Margin Client's Agreement (which including the Internet Securities Trading Agreement, Stock Options Trading Agreement, Personal Information Collection Statement) and other legal documents of the Company.
客戶(等)已收取了本公司之現金客戶協議書(包括互聯網證券交易協議書、股票期權交易協議書及個人資料收集聲明)及/或保證金客戶協議書(包括互聯網證券交易協議書、股票期權交易協議書及個人資料收集聲明)及其他法律文件。
5. The Client(s) acknowledge that the Risk Disclosure Statement (including the relevant risks associated with trading of RMB securities and exchange-traded derivative products) of the securities account, Risk Disclosure Statement in Stock Options Trading Agreement (if applicable) and the Risk Disclosure Statement in the Internet Securities Trading Agreement (if applicable) were provided in a language of Client's own choice (English or Chinese) and the Client was invited to read the Risk Disclosure Statement, to ask questions and take independent advice if the client wishes.
客戶(等)確認已按照客戶選擇的語言(英文或中文)獲得證券帳戶的風險披露聲明書(包括有關買賣人民幣證券及在交易所買賣的衍生產品所涉及的風險)、股票期權交易協議書所載之風險披露聲明書(如適用)，及互聯網證券交易所載之風險披露聲明書(如適用)及已獲邀請閱讀該風險披露聲明書、股票期權交易協議書所載之風險披露聲明書(如適用)，及互聯網證券交易協議書所載之風險披露聲明書(如適用)及提出問題及徵求獨立的意見(如客戶有此意願)。
6. If the Client(s) are characterized as "without knowledge of derivatives", the Client(s) further acknowledge that the Client(s) have carefully read the relevant risks associated with investing in derivative products Risk Disclosure Statement in the Client's Agreement and fully understood the relevant risks herewith. Although the Client(s) might not have relevant derivatives product(s) trading experience, the Client(s) may still base on the own independent judgement of the Client(s) to request for entering into transaction(s) of derivatives product(s) and would take all risks associated.
如客戶(等)被歸類為「對衍生產品沒有認識」，客戶(等)進一步確認已仔細閱讀在現金客戶協議書及/或保證金客戶協議書所載之風險披露聲明書所列明的有關投資衍生產品所涉及的風險，並完全明白其中所述之相關風險。儘管客戶可能並沒有相關衍生產品交易經驗，客戶可能基於客戶獨立判斷仍要求進行衍生產品交易。客戶願意承擔所有相關衍生產品風險。
7. The Client(s) are NOT (1) resident(s) of the United States of America ("US") or (2) residents of Canada ("CN"), whether for US or CN securities or tax laws or for any other purposes. The Client(s) also confirm that the Client(s) are not acting as agent on behalf of any US resident and/or CN resident. The Client(s) undertake to immediately notify the Company should the Client(s) become or be deemed to be (1) resident(s) of the US or (2) resident(s) of CN at any future time.
無論就美國或加拿大的證券或稅務法例或其他方面而言，客戶承諾，如客戶(等)日後成為或被視作(1)美國居民或(2)加拿大居民，將立即通知本公司。
8. The Client(s) acknowledge that the Client(s) have read the Personal Information Collection Statement and agreed to the terms in it. The Client(s) understand and acknowledge that the Company intends to use the Client's personal data for direct marketing and the Company may not so use the Client's data unless the Company has received my/our consent to such intended use. The Client(s) expressly acknowledge, confirm and agree that unless the Client(s) decide to opt out the use of the Client's personal data for direct marketing as stated in Section F or by giving notice to the Company at any time as stipulated in Personal Information Collection Statement, the Company shall use the Client's personal data for direct marketing as stipulated in Personal Information Collection Statement by whatsoever channels.
客戶(等)承認已詳閱個人資料收集聲明，並完全同意其條款。客戶(等)明白及承認本公司擬把客戶(等)的資料使用於直接促銷及本公司須收到客戶(等)對該資料使用的同意，否則不得如此使用該資料。客戶(等)清楚明白、承認及同意除非客戶(等)決定如第(6)部份所述或根據有關個人資料收集聲明所載隨時通知本公司而拒絕該等使用，本公司能將根據個人資料收集聲明所載使用客戶(等)的個人資料以任何途徑於直接促銷。
9. For Client using the Internet Trading Service 適用於使用網上交易服務之客戶:
 - 9.1. the Client(s) have read and understood the provisions of the Internet Trading Agreement as set out in the Cash Client's Agreement, and/or Margin Client's Agreement of the Company and the Client(s) accept to be bound by the same.
客戶(等)已經閱讀並明白在本公司的現金客戶協議書或保證金客戶協議書的客戶協議書中，所載之互聯網交易協議的條款，並接受這些條款的約束。
 - 9.2. The Company will send the Internet Trading Account No. and Password to the Client(s) via "Short Message Service" (SMS) and/or email unless otherwise requested by the Client(s) in advance
除非客戶(等)另有要求，本公司將以手提電話短訊及/或電子郵件寄出網上交易帳號及密碼。
10. For Stock Options Client only 適用於股票期權客戶:
 - 10.1. the Client hereby authorizes the Company to submit a claim with the SEHK Options Clearing House Ltd. ("SEOCH") in respect of the Client's open positions to the effect that SEOCH will calculate and collect margin in respect of such positions on a portfolio basis.

本公司在此獲授權向香港聯合交易所有限公司(簡稱「聯交所」)提交關於客戶之持倉由期權結算所以組合基礎計算及收取相關之按金。

10.2.the Client confirms that the Client have read, understood and accepted the reporting requirements and the responsibilities of reporting as set out in the Rules for Options Trading Participants of the Stock Exchange and the Securities and Futures (Contract Limits and Reportable Positions) Rules and related guidance notes issued by the Securities and Futures Commission.

客戶(等)已獲邀請閱讀列於聯交所規則、證券及期貨(合約限量及須申報的持倉量)規則及由證監會發出的申報規定及責任。

11. The Client agree to read and understand the latest agreements at the Company website <https://www.leeds.hk>, and know that the Company will update the agreements from time to time.

客戶同意自行到本公司網站 <https://www.leeds.hk> 瀏覽最更新之相關客戶協議書條款，並知悉本公司會適時於本公司網站發佈最更新之各客戶協議書。

12. If there is a discrepancy between English and Chinese version of the Account Opening Form, the English version shall prevail.

如開戶表格之中英文版本文義有歧義，將以英文版本為準。

Signature of Authorized Person(s)

獲授權人士簽署

Name 姓名: _____

Date 日期: _____

Witness 見證人

The undersigned hereby certify

以下簽署特此核證如下：

- (i) the signing of the Account Opening Form by the Client; and
客戶簽署本開戶表格；及
- (ii) the sighting of the related identity documents of the Client
見證客戶的有關身份證明文件

Signature of Witness

見證人簽署:

Name of Witness 見證人姓名:

Profession/Title 所屬專業/銜頭:

Date 日期:

(XIV) Risk Statements 風險聲明

(to be completed by NIISIL 此欄由哪吒II 證券投資填寫)

Declaration by Licensed Person 持牌人士聲明：

I, a licensed or registered person, hereby declare that I have provided the above Client with a copy of the Risk Disclosure Statement (including the relevant risks associated with investing in RMB securities and exchange-traded derivative products) in a language of Client's choice (English or Chinese), and invited the Client to read the Risk Disclosure Statement referred to in the Cash Client's Agreement and/or the Margin Client's Agreement, to ask questions and take independent advice if the client wishes.

本人，以持牌人或註冊人身份，確認本人已按照上述客戶選擇的語言英文或中文提供風險披露聲明書(包括有關買賣人民幣證券及在交易所買賣的衍生產品所涉及的風險)、股票期權交易協議書所載之風險披露聲明書(如適用)及互聯網證券交易協議書所載之風險披露聲明書(如適用)，及提示客戶閱讀現金客戶協議書及/或保證金客戶協議書之風險披露聲明書、股票期權交易協議書所載之風險披露聲明書(如適用)及互聯網證券交易協議書所載之風險披露聲明書(如適用)，亦邀請客戶如有需要可以提出問題及徵求獨立的意見。

If the Client is characterized as “without knowledge of derivatives”, I further declare that I have explained to the Client the relevant risks associated with trading of exchange-traded derivative products which specified in the Risk Disclosure Statement and the Client fully understood the relevant risks herewith.

如客戶被歸類為「對衍生產品沒有認識」，本人進一步確認已向客戶解釋在風險披露聲明書內所列明的有關購買在交易所買賣的衍生產品所涉及的風險，及客戶已完全明白其中所述之相關風險。

Signature of Licensed Person 持牌人士簽署:	Name of Licensed Person 持牌人士姓名:	Position 職位:
	CE No.中央編號:	Date 日期:

FOR OFFICIAL USE ONLY

Name / Code of AE: _____

Document Check*For Hong Kong Company*

1. Certificate of Incorporation Yes N/A
2. Business Registration Yes N/A
3. Annual Return Yes N/A

For Overseas Company

4. Certificate of Registration issued by HK Companies Registry Yes N/A
5. Certificate of Incorporation Yes N/A
6. Certificate of Incumbency (issued within 6 months) Yes N/A
7. Certificate of Good Standing Yes N/A
8. Register of Shareholder(s) Yes N/A
9. Register of Director(s) Yes N/A

For ALL Type(s) Company

10. Board Minutes/ Board Resolution Yes
11. Group Chart Yes N/A
12. M&A Yes N/A
13. Audited Accounts for the latest financial year Yes N/A
14. I.D. Card / Passport Copy(ies) of ALL Director(s)/ Shareholder(s)/ Authorized Person(s) Yes
15. Address Proof (recent 3 months) of ALL Director(s)/ Shareholder(s)/ Authorized Person(s) Yes N/A
16. Address Proof of the Company Yes N/A
17. Bank and credit Reference (*if applicable*) e.g. Bank statement, title deeds etc. Yes
18. W8 Form Yes N/A
19. CRS Form Yes
20. Risk Profile Questionnaire Yes
21. Personal Information Collection Statement Yes
22. Standing Authority for Client Money Yes
23. Standing Authority for Client Securities (*For Margin Account Only*) Yes N/A
24. Third Party Authorization Form (*if applicable*) Yes N/A
25. Employer consent letter (*if applicable*) Yes N/A
26. Professional Investor Status Declaration (*if applicable*) Yes N/A
27. Other(s): _____ Yes N/A

Document reviewed by

Name of Staff: _____

Signature of Staff: _____

Date: _____

Account Type	Commission – by Telephone		Commission – by Internet Trading	
- Securities Cash	Brokerage (%)	Min.	Brokerage (%)	Min.
- Securities Margin	Brokerage (%)	Min.	Brokerage (%)	Min.

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Customer Risk Assessment

		(1)	(2)	(3)
	Risk Factor	<input type="checkbox"/> Account holder <input type="checkbox"/> Beneficial owner <input type="checkbox"/> Authorised person	<input type="checkbox"/> Account holder <input type="checkbox"/> Beneficial owner <input type="checkbox"/> Authorised person	<input type="checkbox"/> Account holder <input type="checkbox"/> Beneficial owner <input type="checkbox"/> Authorised person
A	For AE			
1	Account holder without regular income or discernible source of wealth			
2	Account holder is involved in cash intensive business e.g. casino, money exchanger/ remittance agent			
3	Account holder or a company in the ownership chain has issued bearer shares			
4	PEP			
5	Background and other information raises ML/TF concerns			
S	For Settlement			
1	On OFAC sanction list (attach print out)			
2	On UN sanction list (date list checked: _____)			
3	From high risk jurisdiction (i.e. nationality, place of incorporation)			
4	PEP			

Important Note:

1. Must not open an account if the answer to S1 and S2 is positive.
2. The customer is classified as high risk and opening of the account requires senior management approval if the answer to any other questions is positive.

AE Name:	Settlement Name:	Risk Classification (filled in by Settlement)	Senior Management Approval
Sign:	Sign:	Low / Medium / High	Sign:
Date:	Date:		Date:

Remark(s)

Data Input & Approval

Processed By		Checked By		Approved By (Director / RO)			
Signature		Signature		Signature			
Name of Staff: Date:		Name of Staff: Date:		Name of Staff: Date:			
Password Generated By		Welcome Message Sent By		Copy Scanned By		Filed By	
Signature:		Signature		Signature		Signature	
Name of Staff: Date:		Name of Staff: Date:		Name of Staff: Date:		Name of Staff: Date:	