

**開戶表格 Account Opening Form - (公司帳戶 CORPORATE ACCOUNT)**

客戶名稱 Account Name:		期貨帳戶號碼 Futures Account No.:	
負責客服姓名 Responsible CSO :		證券帳戶號碼 Securities Account No.:	
開戶日期 Account Open Date:			
本公司(等)特此申請開立以下交易帳戶(請適當地方加上「√」): I hereby request to open the following trading accounts (please tick where applicable):			
交易帳戶類型 Trading Account Type	<input type="checkbox"/>	證券現金帳戶 Securities Cash Account	<input type="checkbox"/>
		期貨帳戶 Futures Account	

**A. 公司資料 Company Information**

公司名稱 Company Name			
業務性質 Nature of Business		聯絡人 Contact Person	Mr./Ms.
註冊地址 Registered Address		主要辦事處地址(如不同) Principal Business Address (if different)	
	郵政編號 Postal Code		郵政編號 Postal Code
註冊日期 (日 / 月 / 年) Date of Incorporation (DD/MM/YY)		註冊地方 Place of Incorporation	
註冊證書號碼 Certificate of Incorporation No.:		香港商業登記號碼 HK Business Registration No.	
聯絡電話 Contact No.	1. (+ ) 2. (+ )	傳真號碼 Fax No.	1. (+ ) 2. (+ )

交易確認、帳單及所有郵遞信件透過電郵方式發送  
 Trading confirmations, statements and all postal correspondence will be sent by email

電郵地址 E-mail Address (最多 50 個字母 Max. 50 characters)

**全部董事 / 主要股東 (持股 10%或以上) All Directors/Major Shareholders (Shareholding of 10% or more)\***

姓名 Names	住址 Residence Address	護照/身份證號碼/簽發地方 Passport/ID card No./Place of Issue	董事 / 股東 Director / Shareholder

代表公司給予指示的獲授權人士資料 **Information of the person(s) authorized to give instructions on Customer's behalf: \***  
 帳戶將根據以下所列人士中\_\_\_\_人的指令運作(每位都應是獲授權人士) **The Account may be operated on the instruction(s) of \_\_\_\_\_ of the following person(s) (each an Authorized Person)**

姓名 Names	職位 Position	電話 Phone No.	護照 / 身份證號碼 Passport/ID card No.	簽名 Signature
		(+ )		
		(+ )		
		(+ )		
		(+ )		

\*若空格不敷使用，請另附紙填寫，並予以簽署。 Please attach extra sheets and sign if necessary.

## B. 銀行資料 Bank Reference

下述銀行帳戶將用作交收銀行帳戶，而冠力金融發出之支票將依據以下之帳戶名稱

This bank account below will be used as the settlement bank account and the cheque issued by Grandly Financial will be accorded to the account name below.

### 銀行帳戶紀錄(只供存款用途) BANKING ACCOUNT RECORD (For fund deposit only)

除非另有指示及惟冠力金融所接納，貴司的款項將會被轉入下列銀行帳戶：

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

銀行 Bank: \_\_\_\_\_ 帳戶名稱 Account Name: \_\_\_\_\_  
分行 Branches: \_\_\_\_\_ 帳戶號碼 Account Number: \_\_\_\_\_  
帳戶類別 Account Type(s):  儲蓄 Savings  往來 Current  其他 Others: \_\_\_\_\_

## C. 財政狀況 Financial Situation

授權股本 Authorized Capital	HKD	發行股本 Paid-up Capital	HKD
流動資產 (HKD) Liquid Assets (HKD)	<input type="checkbox"/> <HKD100,000 <input type="checkbox"/> HKD100,000 - HKD500,000 <input type="checkbox"/> HKD500,001 - HKD1,000,000 <input type="checkbox"/> HKD1,000,001 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD10,000,000 <input type="checkbox"/> Other: HKD : _____	資金來源 Source of Funds	<input type="checkbox"/> 股東的個人資本 Shareholders Capital <input type="checkbox"/> 投資溢利 Investment Profits <input type="checkbox"/> 營業溢利 Business Profits <input type="checkbox"/> 集團內公司款項 Funds from Group companies <input type="checkbox"/> 金融機構貸款 Loan from Financial Institution <input type="checkbox"/> 其他 Other:
盈利 / 虧損 Profit / Loss	<input type="checkbox"/> <HKD100,000 <input type="checkbox"/> HKD100,000 - HKD500,000 <input type="checkbox"/> HKD500,001 - HKD1,000,000 <input type="checkbox"/> HKD1,000,001 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD10,000,000 <input type="checkbox"/> Other: HKD : _____		

\*根據最近之審核財務報表。 Based on the latest audited accounts.

## D. 投資經驗及衍生產品認識 Investment Experience & Derivative Products Knowledge

按以下選擇，在下列方格中加上「」

Refer to the following statements and tick the appropriate box(es) below

投資目標：

Investment Objective:

- 賺取收入 Generating Income  投機 Speculation  
 資本增長 Capital Appreciation  對沖 Hedging  
 其他 (請註明) Other (Please Specify): \_\_\_\_\_

對衍生產品之認識  
Derivative  
Products  
Knowledge

- 代表公司作投資決定的人士，最少一位了解衍生產品的性質和風險  
At least one of the person(s) responsible for making investment decisions UNDERSTAND(S) the nature and risks of derivative products due to
1. 曾參與有關培訓或課程:  
Attending relevant training or attending course in
- 監管機構 Regulatory Authority  
 交易所 Exchange  
 金融機構 Financial Institution  
 教育機構 Education Institute  
 大專院校 Tertiary Institution
2. 於金融機構擁有有關的工作經驗:  
Gaining relevant work experience in financial institution(s)
- 經紀公司或銀行 Brokerage Firm or Bank  
 基金或資產管理公司 Fund House or Asset Management Firm  
 監管機構或交易所 Regulatory Authority or Exchange  
 受監管持牌人士 Regulated Licensed Person  
 與衍生工具相關後勤 Derivatives Related Back Office  
 管理層 Management

續第三頁 .../Page 3

	<input type="checkbox"/> 於過去三年內進行五次或以上有關衍生產品的交易(不論是否在交易所進行交易) Executing five or more transactions in derivative products (whether traded on an exchange or not) within the past three years	
	<input type="checkbox"/> 本人對衍生產品全無認識 I have NO knowledge of derivative products	
投資經驗(年數) : Investment Experience (Year(s)):  (可選多於一項) (Can choose more than one)	<input type="checkbox"/> 上市證券 Listed Securities <input type="checkbox"/> 期貨或期權 Futures or Options <input type="checkbox"/> 槓桿式外匯 Leveraged Foreign Exchange <input type="checkbox"/> 單位信託基金或債券 Unit Trusts or Bonds <input type="checkbox"/> 其他 Others _____ <input type="checkbox"/> 沒有 None	( ) ( ) ( ) ( ) ( )

### E. 客戶聲明 Declaration by Client

1. 最終實益擁有人是否與股東不同? 如是, 請提供: Is the ultimate beneficial owner(s) different from the shareholder(s)? If yes, please provide 名稱 護照/身份證號碼 Name: _____ Passport /ID card No.: _____ 地址 Address: _____	<input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes
2. 您的任何董事、股東或獲授權人士是否證券/期貨交易所參與者或於證監會註冊的持牌法團/註冊機構的僱員/代理人? (如是, 必須提供持牌法團/註冊機構的書面同意書): Is any director(s), shareholder(s) or authorized person(s) of you an employee or agent of any exchange participant of a stock/futures exchange, or a licensed corporation or registered institution? (If yes, consent letter from licensed corporation or registered institution must be provided): 名稱 職位 Name: _____ Position _____	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
3. 您們是否有董事或股東是冠力金融或其聯營公司的僱員/代理人? 如是, 請提供: Is any of your director(s) or shareholder(s) an employee or agent of Grandly Financial or its associated companies? If yes, please provide: 名稱 職位 Name: _____ Position _____	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
4. 您的任何董事、股東、獲授權人士或關連公司, 是否在冠力金融持有帳戶? 如是, 請提供: Is any director(s), shareholder(s) or authorized person(s) or related company of you currently maintaining an account with Grandly Financial? If yes, please provide: 名稱 帳戶號碼 Name: _____ Account No. _____	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
5. 您的最終實益擁有人、股東、董事、合伙人及獲授權人是否擔任或曾經擔任重要公職, 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 the ultimate beneficial owner, shareholder, director, partner and authorized person of you entrusted or has been entrusted with a prominent public function, including a head of state, head of government, judicial or military official, senior executive of a state-owned corporation and important political party official?	<input type="checkbox"/> 是 Yes (請另填寫 增強客戶盡職調查表) (Please fill in Enhanced Client Due Diligence Form) <input type="checkbox"/> 否 No
6. 您們是否已註冊成為FATCA之海外金融機構? 如是, 請提供: Have you registered as a FFI under FATCA? If yes, please provide:  註冊編號 Global Intermediary Identification Number (GIIN) _____	<input type="checkbox"/> 是 Yes  <input type="checkbox"/> 否, 本公司並非 FATCA 規例下之海外金融機構 No, we are not a FFI under FATCA

## F. 注意事項 Notes

1. 於本開戶表格，凡提及「冠力金融」，即指「冠力金融服務有限公司」。  
In this Account Opening Form, references to "Grandly Financial" shall be construed as references to "Grandly Financial Services Limited".
2. 請提供以下經簽署作實之公司文件：  
The following corporate documents to be provided herewith:
  - A. 已填妥的開戶表格 Completed Account Opening Form
  - B. # 公司組織章程大綱及細則 Memorandum & Articles of Association
  - C. # 公司註冊證書 Certificate of Incorporation
  - D. # 商業登記證\* Business Registration Certificate\*
  - E. # 通過在冠力金融開立戶口及委任授權人士運作戶口的董事會決議案\*\*\*  
Board resolution(s) on approving account opening with Grandly Financial and the appointment of authorized person(s) to operate the account \*\*\*
  - F. # 所有董事，獲授權人士及戶口最終受益人的身份證明文件（香港身份證/護照）  
Identity document of all company directors, authorized person(s) and ultimate beneficial owner(s) (H.K. ID card/passport)
  - G. # 所有董事/主要股東/實際控制人之地址證明（最近發布的公用事業帳單（郵政信箱恕不接受））  
Address proof of all directors/major shareholders/ultimate beneficial owner(s) (a recently issued utility bill (P.O. box is not accepted))
  - H. # 擔保書\*\*\*並連同擔保人的身份證明文件（香港身份證/護照）—僅適用於開立期貨戶口  
Guarantee\*\*\* attached with the identity document of guarantor (H.K. ID card/passport) – for Futures Account only
  - I. # 最近之審核財務報表 Latest audited Financial Statements
  - J. # 最近之周年報表 Latest annual return filed with the Companies Registry
  - K. # 董事名冊及股東名冊\*\* Registers of Directors and Registers of Members\*\*
  - L. # 最近 6 個月內的董事在職證明，存續證明或其他相等證明文件\*\*  
Certificate of Incumbency, Certificate of Good Standing or equivalent document within the last 6 months\*\*
  - M. # 有效通訊地址證明文件\*\* Valid Correspondence Address Proof\*\*
  - N. 公司集團架構圖（需由公司董事簽署）Corporate Group Structure diagram (signed by a Director of the company)
  - O. 最近 6 個月內的公司股權控制企業的董事在職證明（或其他相等證明文件）Certificate of Incumbency (or equivalent document) within the last 6 months for any intermediate layer entities \*\*

# 需要原件或者經簽署屬實的副本 Original or certified true copy required

\*只適用於本地註冊公司 Only applies to local registered company

\*\*只適用於海外註冊公司 Only applies to overseas registered company

\*\*\*文件樣本可向冠力金融索取 Sample documents can be obtained from Grandly Financial

附註：開戶表格必須由公司的一位董事填妥並在冠力金融的持牌人或授權主管見證下簽署。如開戶文件並非在持牌人或註冊人的僱員面前簽立，則客戶應在註冊會計師，律師或公證人在場的情況下執行開戶文件和相關文件。Note: Account Opening Form must be signed by at least one Director in the presence of an employee of the licensed or registered person. Where the account opening documents are not executed in the presence of an employee of the licensed or registered person, client should execute the account opening documents and related documents in the presence of a certified public accountant, lawyer or notary public.

3. 任何有關個人資料的刪改必須由帳戶持有人的授權人士簽署作實。  
Any deletion or amendment of the personal information must be signed by authorized person of account holders.
4. 帳戶持有人的款項將會被存入本開戶表格內所提供的指定銀行賬戶，除非另行通知。  
All monies payable to the account holder will be credited to the designated bank account nominated on this Account Opening Form, unless otherwise instructed.
5. 冠力金融恕不接受第三者存款。任何例外情況都需要管理層的預先批准。  
Third-party deposit will not be accepted. Any exception is subject to prior management approval

## G. 客戶確認書及執行書 Acknowledgment and Execution by Client

### 1. 條款及細則及風險披露聲明

客戶確認：已獲提供、並且確認已經收到一份客戶證券帳戶協議及/或一份客戶期貨帳戶協議。客戶亦確認，已用客戶選擇的語言（中文或英文）向客戶解釋刊載於客戶證券帳戶協定附件 2 及/或客戶期貨帳戶協定附表 3 的風險披露聲明。客戶進一步確認，其已獲邀提出疑問及徵求獨立意見(如客戶有此意願)。

#### 1. Client Account Agreement and Risk Disclosure Statements

The Customer acknowledges that a copy of the Securities Account Client Agreement and/or Futures Account Client Agreement has been provided to the Customer who acknowledges receipt thereof. The Customer also acknowledges that the Risk Disclosure Statements set out in Appendix 2 of the Securities Account Client Agreement and/or Schedule 3 of the Futures Account Client Agreement were offered to be explained in either English or Chinese. The Customer further acknowledges that it was invited to ask questions and take independent advice (if the Customer so wishes).

### 2. 提供準確信息

載於本開戶表格中的信息是真實和準確的。客戶將通知冠力金融任何信息之重大更改。冠力金融有權聯絡任何人士，包括客戶之銀行、經紀或任何貸款中介所，以求核實本開戶表格中的信息。

#### 2. Accuracy of Information provided

The information contained in this Account Opening Form is true and accurate. The Customer will notify Grandly Financial of any material change of that information. Grandly Financial is authorized to contact anyone, including Customer's banks, brokers or any credit agency, for verifying the information provided on this Account Opening Form.

**3. 商品期貨之持倉限制**

客戶確認其被告知和/或被邀請閱讀有關申報、限制及平倉之規則。

**3. Position limits for Commodity Futures**

The Customer acknowledges that he/she was made aware and / or invited to read the Rules in relation to reporting, limiting and closing out of positions.

**4. 客戶費用確認**

客戶確認，證券賬戶客戶協議和/或期貨賬戶客戶協議之相關費用已獲解釋，並且理解此費用。

**4. Client Acknowledgement of Fees**

The Client acknowledges that the fees associated with the Securities Account Client Agreement and/or the Futures Account Client Agreement has been explained and the Client understands these fees.

**5. 推薦或介紹費**

客戶確認冠力金融於所有適用法律、規則及規例容許的範圍內，可向任何向冠力金融推薦或介紹客戶的人(下稱“介紹人”)支付費用，而該介紹人不是冠力金融的代理人。

**5. Referral or introduction fees**

The Customer acknowledges that Grandly Financial may, to the extent permitted by all applicable laws, rules and regulations, pay fees to any person(s) who referred or introduced the Customer to Grandly Financial (the "Introducer"), and that the Introducer is not an agent of Grandly Financial.

6. 客戶確認，客戶已完全明白客戶證券帳戶協議及/或客戶期貨帳戶協議的條款及細則之條款及條件，且同意受該等條款及條件的約束。  
6. The Customer acknowledges that the Customer has fully understood the terms and conditions of the Securities Account Client Agreement and/or Futures Account Client Agreement and agrees to be bound by all those terms and conditions.

7. 載於本開戶表格的信息是真實和準確的。冠力金融有權為各種目的完全依賴這些資料及陳述，除非冠力金融收到任何資料更改的書面通知。冠力金融有權隨時聯絡任何人，包括你的銀行，經紀或任何信貸中介，以求核實本開戶表格上的信息。  
7. The information contained in this Account Opening Form is true and accurate. Grandly Financial is entitled to rely fully on such information and representations for all purposes, unless Grandly Financial receives notice in writing of any change. Grandly Financial 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 Account Opening Form.

8. (適用於非美國人士) 客戶確認及聲明，客戶或獲授權人士(如有)並非《海外帳戶稅收合規法案》項下所定義之美國人士(下稱「美國人士」)，且如客戶或獲授權人士(如有)此後成為美國人士，客戶會即時以書面通知冠力金融。客戶進一步確認及明白，冠力金融並不對任何客戶或獲授權人士(如有)因疏忽或蓄意不通知冠力金融最新資料而引致的一切直接或間接後果而承擔任何責任，並承諾就未有通知冠力金融上述資料而招致冠力金融的所有損失或損害承擔賠償責任。

8. (Applicable to non U.S. Person) The Customer acknowledges and declares that the Customer and the Customer's Authorized Person(s) (if any) are not U.S. person (the "US Person") as defined under the "Foreign Account Tax Compliance Act" and shall notify Grandly Financial in writing forthwith as and when the Customer or the Customer's Authorized Person(s) (if any) holds U.S. citizenship or permanent right of abode. The Customer further acknowledges and understands that Grandly Financial shall not be liable for any direct or indirect consequences in relation to the negligence or premeditation on reporting the updated information as aforesaid to Grandly Financial by the Customer and the Customer's Authorized Person(s) (if any) and the Customer and the Customer's Authorized Person(s) (if any) shall solely responsible for Grandly Financial's losses and damages resulting from or in connection with the failure by the Customer and the Customer's Authorized Person(s) (if any) in respect thereof.

簽署人 Signed by:

名稱:  
Name: \_\_\_\_\_

職位:  
Position: \_\_\_\_\_

日期:  
Date: \_\_\_\_\_

\_\_\_\_\_  
公司印章及授權代表簽署 / Authorized Signature(s) with company chop

見證人名稱:  
Witness Name: \_\_\_\_\_

見證人簽署:  
Witness Signature: \_\_\_\_\_

職業:  
Occupation: \_\_\_\_\_

\_\_\_\_\_  
日期 / Date:



## 職員聲明 Declaration by Staff

我確認已經向客戶提供一份客戶證券帳戶協議及/或一份客戶期貨帳戶協議。我確認：客戶證實已用客戶選擇的語言（中文或英文）向客戶解釋刊載於客戶證券帳戶協議附件2及/或客戶期貨帳戶協議附表3的風險披露聲明。客戶進一步確認，其已獲邀提出疑問及徵求獨立意見(如客戶有此意願)。

I confirm that I have provided a copy of the Securities Account Client Agreement and/or Futures Account Client Agreement. I confirm that the Customer has acknowledges receipt thereof and that the Risk Disclosure Statements set out in Appendix 2 of the Securities Account Client Agreement and Schedule 3 of the Futures Account Client Agreement were provided and offered to be explained in either English and Chinese. The Customer further acknowledges that it was invited to ask questions and take independent advice (if the Customer so wishes).

AML 風險級別 AML Risk Category	(參考 AML 政策) (refer to AML policy)	<input type="checkbox"/> 低/LOW <input type="checkbox"/> 中/MEDIUM <input type="checkbox"/> 高/HIGH	AML Officer Signature:
-------------------------------	--------------------------------------	--	------------------------

### 主要負責你的賬戶的註冊職員 Representative(s) primarily responsible for your account(s)

職員簽署 Signature of Staff	職員姓名 Name of Staff	CE 編號 CE No.
日期 Date		

### 只供內部使用 For Office Use Only

<b>Account Opening Documents</b> <input type="checkbox"/> 1. Account Opening Form (Corporate Account) <input type="checkbox"/> 2. Corporate Client Investment Risk Preference Questionnaire <input type="checkbox"/> 3. Standing Authority <input type="checkbox"/> 4. Non-Professional Self Certification Form <input type="checkbox"/> 5. CRS - Self-Certification Form (Entity) <input type="checkbox"/> 6. Form W-8BENE (or other) <input type="checkbox"/> 7. 中國銀行(香港)子帳戶服務申請表 (optional)	<b>Document Requirements</b> <input type="checkbox"/> 1. Memorandum & Articles of Association <input type="checkbox"/> 2. Certificate of Incorporation <input type="checkbox"/> 3. Business registration certificate <input type="checkbox"/> 4. Board resolution(s) on approving account opening with Grandly Financial Services Limited and the appointment of authorized person(s) to operate the account <input type="checkbox"/> 5. Letter of Guarantee attached with the identity document of guarantor (H.K. ID card/passport) (including identity documents of the guarantor) – for Futures Account only <input type="checkbox"/> 6. Latest audited financial statements <input type="checkbox"/> 7. Latest annual return filed with the Companies Registry* <input type="checkbox"/> 8. Certificate of Incumbency, Certificate of Good Standing or equivalent document within the last 6 months** <input type="checkbox"/> 9. Register of Directors / Register of Members <input type="checkbox"/> 11. Corporate Group Structure diagram (signed by a Director of the company) <input type="checkbox"/> 12. Identity document of all company directors, authorized person(s) and ultimate beneficial owners (Passport, Hong Kong ID or Mainland China ID). <input type="checkbox"/> 13. Residence Address Proof of all company directors and authorized person(s) (e.g. a recently issued utility bill). <input type="checkbox"/> 14. Residence Address Proof of all ultimate beneficial owners of the company (e.g. a recently issued utility bill) <input type="checkbox"/> 15. Certificate of Incumbency (or equivalent document) for any intermediate layer entities within the last 6 months**
---	--

#### 客戶資料及文件核對(負責人員) Client information and document reviewed by (Responsible Officer)

職員姓名 Name of Staff	職員簽署 Signature by Staff	日期 Date
-----------------------	----------------------------	------------

#### 佣金收費 % Commission charge

網上交易 Online Trade	其他 Others	最低收費 Minimum Charge
----------------------	--------------	------------------------

#### 交易限額 Trading Limit (Responsible Officer)

本地證券交易 Local Securities Trading	外國證券交易 Foreign Securities Trading
------------------------------------	--------------------------------------

#### 開戶批核 Account Opening reviewed and approved by (Managing Director / Manager-in-Charge of Compliance):

職員姓名 Name of Staff	職員簽署 Signature by Staff	日期 Date
-----------------------	----------------------------	------------

#### 客戶資料及文件核對(營運部) Client information and document reviewed by (Operation Dept.)

職員姓名 Name of Staff	職員簽署 Signature by Staff	日期 Date
-----------------------	----------------------------	------------

備註 Remarks
------------