



时富证券有限公司 Celestial Securities Limited

时富商品有限公司 Celestial Commodities Limited

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网址 Website: http://www.cashon-line.com

此表格应以英文版本为准 The English version shall be applied and prevailed in this form

此表格须与条款及条件小册子(版本编号与本表格相同)一并阅读

This form shall be read with the Terms &amp; Conditions booklet bearing the same version code

Master Document - Version 10 - 2012/09

户口号码 Account No.:

日期 Date:

## 开户表格 - 公司账户 ACCOUNT OPENING FORM - CORPORATE ACCOUNT

A. 账户类别 Account Type			
客户身份 Entity of the Client*	<input type="checkbox"/> 上市公司 Listed Company	<input type="checkbox"/> 非上市有限公司 Unlisted Limited Company	<input type="checkbox"/> 无限公司 Unlimited Company
	<input type="checkbox"/> 离岸公司 Offshore Company	<input type="checkbox"/> 信托 Trust	
	<input type="checkbox"/> 独资企业 Sole Proprietorship	<input type="checkbox"/> 合伙企业 Partnership	<input type="checkbox"/> 其他 Others _____
综合账户 Omnibus Account	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No		
公司 Company	账户类别 Account Type	交易系统 Trading Platform	
时富证券有限公司 Celestial Securities Limited (中央编号CE Number: AAF532)	<input type="checkbox"/> 证券现金 Securities Cash	<input type="checkbox"/> 电子 Electronic#	<input type="checkbox"/> 专业交易系统 Professional Trading Platform
	<input type="checkbox"/> 证券保证金 Securities Margin	<input type="checkbox"/> 电话 Offline	<input type="checkbox"/> 专业交易系统 Professional Trading Platform
时富商品有限公司 Celestial Commodities Limited (中央编号CE Number: AAF557)	<input type="checkbox"/> 股票期权 Stock Options	<input type="checkbox"/> 电话 Offline	<input type="checkbox"/> 专业交易系统 Professional Trading Platform
	<input type="checkbox"/> 商品(期货及期权) Commodities (Futures & Options)	<input type="checkbox"/> 电子 Electronic#	<input type="checkbox"/> 专业交易系统 Professional Trading Platform
		<input type="checkbox"/> 电话 Offline	<input type="checkbox"/> 专业交易系统 Professional Trading Platform
备注 Remarks: #互联网/音频/3G Internet/ IVRS / 3G ##互联网 Internet			
B. 客户资料 Client Particulars			
1. 公司资料 Corporate Information			
商号名称 Business Name	(中文Chinese)	(英文English)	
业务类别 Business Nature		经营该业务的年数 No. of Years in the Business	
登记地址 Registered Address			邮编Postal Code:
商号地址(如有) Business Address (if any)	与登记地址相同Same as Registered Address/		邮编Postal Code:
注册成立日期 Establishment Date		注册成立国家 Country of Establishment	
注册编号 Incorporation No.		商业登记编号(如有) Business Registration No. (if any)	
2. 联络资料 Contact Information			
电话号码 Tel. No.	(手机Mobile) ( ) - ( ) -	(办公室Office) ( ) - ( ) -	传真号码 Fax No. ( ) - ( ) -
电邮地址 Email Address	这电邮地址用作递送有关上市公司之股份权益表格、时富快讯、新股认购通知或其他通知。 The email address is for sending corporate action form(s), daily CFSG news, IPO subscription notice or other notice(s).		
通讯地址* Correspondence Address*	(如使用邮政信箱作通讯地址, 请提供邮政信箱租用单据副本) (Please provide a copy of P.O. Box rental receipt if P.O. Box is used as correspondence address)		
<input type="checkbox"/> 登记地址 Registered Address	<input type="checkbox"/> 商号地址 Business Address		
<input type="checkbox"/> 其他 Others	邮编Postal Code:		
综合结算单递送方法 Combined Statement Delivery Method*	<input type="checkbox"/> 电邮 By Email	<input type="checkbox"/> 邮寄至通讯地址 By Post to Correspondence Address	
综合结算单语言 Combined Statement Language*	<input type="checkbox"/> 繁体中文 Traditional Chinese	<input type="checkbox"/> 简体中文 Simplified Chinese	<input type="checkbox"/> 英文 English
网上登入密码 Electronic Login Password*	<input type="checkbox"/> 自行设定 Self Setting	<input type="checkbox"/> 邮寄至通讯地址 By Post to Correspondence Address	
(只适用于电子账户及SP专业版 For Electronic Account & SP Advanced Version Only)			
3. 最终拥有权(不适用于上市公司) Ultimate Ownership (not applicable to Listed Company)			
独资企业/合伙企业/最终股东名称 Name of Sole Proprietor / Partner / Ultimate Shareholder		权益百分比 % of Interest	
4. 董事 Directorship			
董事姓名 Name of Director		住址 Residential Address	
		邮编Postal Code:	
		邮编Postal Code:	
		邮编Postal Code:	
5. 财务状况 Financial Status			
已缴股本 Paid Up Capital	流动资产 Liquid Assets	资产净值 Asset Net Worth	最新年度溢利 The Latest Annual Profit

请在适当地方加上“√”号 Please tick "√" where applicable:

+请删去不适用者 +Please delete if not applicable

\*以“√”号选择一项 \*tick "√" one

\*\*以“√”号选择最少一项 \*\*tick "√" at least one

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6. 投资目的及经验 (证监会规定填写) Investment Objective & Experience (as required by the SFC)						
投资目标 Investment Objective**	<input type="checkbox"/> 对冲 Hedging	<input type="checkbox"/> 资本增值 Capital Gain	<input type="checkbox"/> 股息/利息收入 Dividend / Interest Income	<input type="checkbox"/> 其他 Others _____		
投资经验 Investment Experience	投资经验年期 Years of Investment Experience					
投资产品 Investment Products	无 Nil	一年以下 <1Year	一至五年 1-5Years	六至十年 6-10Years	十年以上 >10Years	
股票 Shares*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
外汇/黄金 Forex / Bullion*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
债券/基金 Bonds / Funds*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
衍生工具 Derivatives*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
其他 Others*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

7. 投资者分类 (证监会规定填写) Investor Characterization (as required by the SFC)		
客户是否有意图购衍生产品? Is the Client wish to purchase derivative products?	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 否 No
若客户有意购衍生产品, 请回答以下问题。 If the Client wish to purchase derivative products, please answer the following questions.		
1. 客户是否曾接受有关衍生产品性质和风险的一般知识培训或修读相关课程? Has the Client ever undergone training or attended courses on derivative products with general knowledge of the nature and risks of derivatives?	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 否 No
2. 客户现时或过去是否从事与衍生产品有关的工作? Is the Client currently or previously working in relation to derivative products?	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 否 No
3. 客户是否在过去三年曾买卖过至少五次任何衍生产品的交易 (不论是否在交易所买卖)? Has the Client traded at least 5 transactions in any derivative product (whether traded on an exchange or not) within the past 3 years?	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 否 No

C. 银行账户资料 Bank Account Information			
	银行名称 Bank Name	银行账户号码 Bank Account No.	地区 District
港元 HKD			<input type="checkbox"/> 香港 HK <input type="checkbox"/> 其他 Others _____
人民币 CNY			<input type="checkbox"/> 香港 HK <input type="checkbox"/> 其他 Others _____
美元 USD			<input type="checkbox"/> 香港 HK <input type="checkbox"/> 其他 Others _____

D. 账户操作 Account Operation
须于董事会决议案内详细列明授权人士作签署, 给予授权签名安排及口头指示。 Authorized Signatories, Oral Instructions and Signing Arrangement shall be set out in the Board Resolution.

E. 声明 Declarations
<b>1. 身份声明 Identity Declaration</b>
账户之任何董事、主要股东或最终实益拥有人, 或其配偶、伴侣、子女或父母, 或其子女的配偶或伴侣, 或与其关系密切的人, 是否担任或曾担任重要公职, 包括国家元首、政府首长、资深从政者、高级政府、司法或军事官员、国有企业高级行政人员及重要政党干事? Is any director, substantial shareholder or the ultimate beneficial owner of the Account, or his spouse, partner, child, parent, spouse or partner of his child, or a close associate with him entrusted or has been entrusted with a prominent public function, which includes a head of state, head of government, judicial or military official, senior executive of a state-owned corporation and an important political party official?
<input type="checkbox"/> 否 No <input type="checkbox"/> 是, 请说明 Yes, Please Specify _____
账户之任何董事、主要股东或最终实益拥有人是否联交所或期交所之交易所参与者或证监会之持牌人或注册人之董事、雇员或认可人士? Is any director, substantial shareholder or the ultimate beneficial owner of the Account, a director or employee or accredited person of an exchange participant of the Stock Exchange or Futures Exchange, or a licensed or registered person of the Securities and Futures Commission ("SFC")?
<input type="checkbox"/> 否 No <input type="checkbox"/> 是, 请说明 Yes, Please Specify _____

只适用于保证金账户 For Margin Account Only	
<b>2. 相关保证金融资账户 Related Margin Financing Account(s)</b>	
客户是否控制本公司之其他公司保证金融资账户35%或以上之表决权? Does the Client control 35% or more of the voting rights of another corporate financing margin account with the Company?	
<input type="checkbox"/> 否 No <input type="checkbox"/> 是, 请说明 Yes, please Specify _____	户口号码 Account no. _____
	账户持有人姓名 Name of Account Holder _____
客户是否有以客户旗下之公司开立保证金融资账户? Does the Client have a margin financing account opened by one of the companies of the Client?	
<input type="checkbox"/> 否 No <input type="checkbox"/> 是, 请说明 Yes, please Specify _____	户口号码 Account no. _____
	账户持有人姓名 Name of Account Holder _____

3. 客户之确认 Client's Acknowledgement
客户确认
<ul style="list-style-type: none"> <li>在本账户表格所填写的资料均属真实、完全及正确, 并明白条款及条件以及交易政策所载的条文, 并接受及同意受该等文件约束; 及</li> <li>本开户表格所指名的申请人是账户及交易的最终实益持有人; 及</li> <li>风险披露声明内容已按照客户选择的语言提供; 及</li> <li>客户被邀请阅读该等风险披露声明、提出问题及征求独立意见 (如客户有此意愿); 及</li> <li>所有有关开户之文件可随时于本公司网站下载。</li> </ul>
The Client confirms that
<ul style="list-style-type: none"> <li>the information sets out in this Account Opening Form is true, complete and correct and understands all provisions set out in the Terms &amp; Conditions and the Trading Policy and agrees to be bound thereby; and</li> <li>the Client named in this Account Opening Form is the ultimate beneficial owner of the Account(s) and transaction(s); and</li> <li>the Risk Disclosure Statements were provided in a language of the Client's choice; and</li> <li>the Client was invited to read the Risk Disclosure Statements, to ask questions and take independent advice (if the Client wishes); and</li> <li>the Account Opening Documents could be downloaded from the website of the Company at any time.</li> </ul>

客户签署及公司印章 Client Signature & Company Chop	
客户名称 Client Name	
日期 Date	

请在适当地方加上“√”号 Please tick "√" where applicable: \*以“√”号选择一项 \*tick "√" one \*\*以“√”号选择最少一项 \*\*tick "√" at least one  
+请删去不适用者 +Please delete if not applicable

**F. 风险披露声明及确认(由本公司填写) Risk Disclosure Statements & Acknowledgement (to be completed by the Company)****持牌人员声明 Declaration by Licensed Person**

下列签署之持牌人员确认已按照客户选择的语言提供风险披露声明，并邀请客户阅读该等风险披露声明、提出问题及征求独立意见（如客户有此意愿）。

The Undersigned licensed person of the Company confirms that the Client has been provided the Risk Disclosure Statements in a language of the Client's choice and has invited the Client to read the same, ask questions and take independent advice (if the Client wishes).

姓名 Name	本公司持牌人员签名
职位 Position	Signature of Licensed Person
中央编号 CE No.	日期 Date

代表时富证券有限公司/时富商品有限公司

For and on behalf of Celestial Securities Limited / Celestial Commodities Limited

授权签名 Authorized Signature

职员姓名 Staff Name

日期 Date

**仅供职员填写 For Official Use Only**

营业代表名称 AE Name \_\_\_\_\_ 营业代表编号 AE Code \_\_\_\_\_ 与营业代表认识多久 How Long Known to AE \_\_\_\_\_

负责账户的本公司职员（如适用）Staff of the Company Responsible for the Account (if applicable):

	姓名 Name	注册编号（中央编号）及注册类别 Registration No. (CE No.) & Type of Registration	电话号码 Telephone No.
只适用于商品（期货及期权）账户 For Commodities (Futures & Options) Account Only			
只适用于股票期权账户 For Stock Options Account Only			

佣金收费 Commission Rate:

证券账户 Securities Account	
商品（期货及期权）账户 Commodities (Futures & Options) Account	<input type="checkbox"/> 公司收费 House Charge <input type="checkbox"/> 营业代表收费（须附收费表） AE Charge (Charge as Table Attached)
股票期权账户 Stock Options Account	

营业代表签署 AE Signature \_\_\_\_\_ 相关户口号码 Related Account No. \_\_\_\_\_

**开立账户核对清单 Account Opening Checklist**

有最终受益拥有人 Ultimate Beneficial Owner Involved  信贷记录 Credit Record:  有 Yes  无 No  政治人物记录 PEP Record:  有 Yes  无 No

**文件核对清单 Document Checklist**

- |  |   |  |
|--|---|--|
| <input type="checkbox"/> 商业登记证副本（如有，必须一并递交）<br>Copy of Business Registration Certificate (mandatory, if any) | <input type="checkbox"/> 所有董事之担保书（必须一并递交）<br>Guarantees of All Directors (mandatory)  | <input type="checkbox"/> 流动电话简讯信息（如需要）<br>SMS (if required)  |
| <input type="checkbox"/> 公司注册证书副本（必须一并递交）<br>Copy of Certificate of Incorporation (mandatory)                | <input type="checkbox"/> 所有董事及获授权者之身份证/护照副本（必须一并递交）<br>ID / Passport Copies of All Directors & Authorized Persons (mandatory) | <input type="checkbox"/> 登入密码 <input type="checkbox"/> 邮寄 <input type="checkbox"/> 自行设定<br>Login Password By Post Self Setting |
| <input type="checkbox"/> 公司章程大纲及细则副本（必须一并递交）<br>Copy of Memorandum & Articles of Association (mandatory)     | <input type="checkbox"/> 董事之地址证明<br>Address Proof of Directors  | <input type="checkbox"/> 开户表格副本及开户卡<br>Account Opening Form Copy and Card  |
| <input type="checkbox"/> 公司董事记录册或D2表格副本（必须一并递交）<br>Copy of Register of Directors or Form D2 (mandatory)      | <input type="checkbox"/> 开户存款（如需要）<br>Initial Deposit (if required)   | <input type="checkbox"/> 其他<br>Others _____  |
| <input type="checkbox"/> 公司股东记录册副本（必须一并递交）<br>Copy of Register of Members (mandatory)                        | <input type="checkbox"/> 自动转账（如需要）<br>Auto Bank-in (if required)  | 客户尽职审查等级: <input type="checkbox"/> 低 <input type="checkbox"/> 中 <input type="checkbox"/> 高<br>CDD Level: Low Normal High       |
| <input type="checkbox"/> 董事会议案（必须一并递交）<br>Board Resolution (mandatory)                                       | <input type="checkbox"/> 授权书（如需要）<br>Power of Attorney (if required)  |  |
| <input type="checkbox"/> 公司报告 或 查册报告（必须一并递交）<br>Company Report or Company Search Report (mandatory)          | <input type="checkbox"/> 存续证明书（如需要）<br>Certificate of Incumbency (if required)  |  |

批核事项 Approval Items:

_____	批核签名 Approval Signature (如需要 if required)
_____	
_____	
_____	

经手人 Handled by	资料输入人 Inputted by	批准人 Approved by	存档核对人 Archived by
覆核人 Checked by	覆核人 Checked by		

请在适当地方加上“✓”号 Please tick "✓" where applicable:

+请删去不适用者 +Please delete if not applicable

\*以“✓”号选择一项 \* tick "✓" one

\*\*以“✓”号选择最少一项 \*\*tick "✓" at least one

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