



orientiert XYZ Securities Limited

Room 3301, Tower One, Lippo Centre, No.89 Queensway, Hong Kong

香港金鐘道 89 號力寶中心一座 3301 室

Tel: (852) 2172 0988 Fax: (852) 2172 0999

**ACCOUNT OPENING APPLICATION FORM
CORPORATE ACCOUNT**

開戶申請表格
公司帳戶

Account Name 帳戶姓名	Account No. 帳戶編號

Name of Account Executive 經紀名稱	Code of Account Executive 經紀編號

Account Type 帳戶類別
<input type="checkbox"/> Cash Account without Online Trading Services 現金帳戶（不設網上交易服務）
<input type="checkbox"/> Cash Account with Online Trading Services 現金帳戶（設有網上交易服務）

Account Opening Application Form – Corporate Account
開戶申請表格 - 公司帳戶

1. 公司資料		
Name of Company (in English) 公司名稱(英文)	Name of Company (in Chinese) 公司名稱(中文)	
Address of Registered Office in Country of Incorporation 成立國家之註冊地址		
Business Address (if different from above) 辦事處地址 (如與上述地址不相同) Please provide address proof within the latest 3 months 請提供最近三個月之地址證明		
Business Registration No. 商業登記號碼	Certificate of Incorporation No. 註冊成立證書號碼	Nature of Business 業務性質
Date of Incorporation 註冊日期	Country of Incorporation 註冊國家	Business Phone No. 辦事處電話
Facsimile No. 傳真號碼	Name of Contact Person 聯絡人姓名	Phone No. of Contact Person 聯絡人電話
Email Address 電郵地址		
Country of Tax Residency 所屬稅務管轄國		Tax Identification Number (TIN) 稅務識別號碼
2. Method of Communication 通訊方式		
Please choose one of the following method of communication only 請只選擇其中一項通訊方法:		
<input type="checkbox"/> By Post to Correspondence address 郵寄至通訊地址 <input type="checkbox"/> Business Address 辦事處地址 <input type="checkbox"/> Other Address 其他地址: _____ <i>(please provide correspondence address proof within latest 3 months 請提供最近三個月之通訊地址證明)</i> <i>(Communication by posting is subject to additional handling fee by the Company 若客戶選擇以郵寄作為通訊方式，本公司將有權收取額外手續費)</i>		
<input type="checkbox"/> By Email 電子郵件		
3. Authorized Person 獲授權人士		
All instructions will follow the Client's Board Resolution/ Minutes. 所有指示以客戶的董事會決議/會議紀錄為準。		
4. Disclosure of Identity 相關身份披露		
<p>a) Is any of the shareholder(s)/director(s) of the Client, the Client's authorized person(s), the person ultimately responsible for giving instructions for the Account(s) or the ultimate beneficial owner(s) of the Account(s) (in each case, a "Relevant Person"), a director, an employee or a representative of any intermediary licensed/registered under the Securities and Futures Ordinance? 客戶的任何股東 / 董事、客戶的獲授權人、最終負責就帳戶發出指示的人士或帳戶最終實益擁有人（統稱為「相關人士」）是否為《證券及期貨條例》之下持牌 / 註冊的任何中介人的董事、僱員或代表? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes*, please provide name of the Relevant Person 是*, 請列出相關人士的名稱 _____ Name of the intermediary 中介人名稱: _____ Position held at intermediary 在中介人處擔任的職位: _____ * Please attach a consent letter of account opening from the intermediary. 請附上該中介人發出之開戶同意書 </p>		
<p>b) Is any of the Relevant Person, a relative of any director, employee or representative of orientiert XYZ Securities Limited or its group companies? 客戶的任何相關人士是否與 orientiert XYZ Securities Limited或其集團公司之任何董事、職員或代表有親屬關係? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 _____ (please provide name of the employee and relationship with the employee 請列出該職員名稱及與此人之關係) </p>		
<p>c) Is any of the Relevant Person, his/her spouse, child, or parent, 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? 客戶的任何相關人士、其配偶、子女或父母，是否擔任重要公職，包括國家元首、政府首長、司法或軍事官員、國有企業高級行政人員及重要政黨幹事? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify: 是，請說明: _____ </p>		
<p>d) Is any of the Relevant Person, born in the U.S.? 客戶的任何相關人士是否出生於美國? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify: 是，請說明: _____ </p>		
<p>e) Is any of the Relevant Person, a U.S. citizen, a green card (United States Permanent Resident Card) holder or residing in the U.S.? 客戶的任何相關人士是否美國公民、綠卡（美國永久居民卡）持有人或居住於美國? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify: 是，請說明: _____ </p>		
<p>f) Has any of the Relevant Person been arrested/tried/sentenced/disciplined for illegal activities or violating regulatory requirements? 客戶的任何相關人士是否曾經涉及違法或違反監管守則而被捕/受審/被判刑/被紀律處分? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify: 是，請說明: _____ </p>		
<p>g) Is any of the Relevant Person, either alone or his/her spouse, in control of 35% or more of the voting rights of voting rights of another client of orientiert XYZ Securities Limited? 客戶的任何相關人士（不論單獨或與其配偶）是否控制orientiert XYZ Securities Limited其他客戶35%或以上之表決權? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify the name and account number : _____ 是，請說明帳戶名稱和帳戶號碼: _____ </p>		

5. Financial Background of the Company 公司財務狀況	
Profit/Loss after tax based on the latest audited account(s) (in HK\$) 最近期經核數師作實之稅後盈虧 (以港幣計算)	
<input type="checkbox"/> Less than 少於 \$250,000	<input type="checkbox"/> \$250,001 - \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> More than 多於 \$1,000,000
Net Asset Value based on the latest audited account(s) (in HK\$) 最近期經核數師作實之資產淨值 (以港幣計算)	
<input type="checkbox"/> less than 少於 \$50,000	<input type="checkbox"/> \$50,001 - \$200,000 <input type="checkbox"/> \$200,001 - \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000-
<input type="checkbox"/> \$1,000,001 - \$5,000,000	<input type="checkbox"/> \$5,000,001 - \$8,000,000 <input type="checkbox"/> \$8,000,001 - \$40,000,000 <input type="checkbox"/> more than 多於 \$40,000,000
Source of Fund 資金來源	
<input type="checkbox"/> Company Operation Income 公司營運收入	<input type="checkbox"/> Return on Investments 投資回報 <input type="checkbox"/> Others 其他 _____
Any Latest Financial Accounts Record provided? 有否提供最近的財務帳目記錄? <input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	
Ongoing Source(s) of Funds 持續資金來源:	
a) Means of fund transfer(s) 資金轉移的方式:	
<input type="checkbox"/> Cash 現金 <input type="checkbox"/> Cheque/ Bank Draft 支票/銀行本票 <input type="checkbox"/> Telegraphic Transfer 電匯 <input type="checkbox"/> Others 其他 (Please specify 請說: _____)	
b) Country(ies) of Origin(s) 資金來源地:	
<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Mainland China 中國內地 <input type="checkbox"/> Macau 澳門 <input type="checkbox"/> United States 美國 <input type="checkbox"/> Other 其他 (Please specify 請說明: _____)	
6. Investment Experience 投資經驗	
Securities Trading 證券交易	<input type="checkbox"/> No 沒有 <input type="checkbox"/> Less than 1 year 少於 1 年 <input type="checkbox"/> 1 - 3 years 1 至 3 年 <input type="checkbox"/> More than 3 years 多於 3 年
Futures / Options Trading 期貨 / 期權交易	<input type="checkbox"/> No 沒有 <input type="checkbox"/> Less than 1 year 少於 1 年 <input type="checkbox"/> 1 - 3 years 1 至 3 年 <input type="checkbox"/> More than 3 years 多於 3 年
Stock Options 股票期權交易	<input type="checkbox"/> No 沒有 <input type="checkbox"/> Less than 1 year 少於 1 年 <input type="checkbox"/> 1 - 3 years 1 至 3 年 <input type="checkbox"/> More than 3 years 多於 3 年
Leverage Forex Trading 槓桿式外匯交易	<input type="checkbox"/> No 沒有 <input type="checkbox"/> Less than 1 year 少於 1 年 <input type="checkbox"/> 1 - 3 years 1 至 3 年 <input type="checkbox"/> More than 3 years 多於 3 年
Bullion Trading 貴金屬交易	<input type="checkbox"/> No 沒有 <input type="checkbox"/> Less than 1 year 少於 1 年 <input type="checkbox"/> 1 - 3 years 1 至 3 年 <input type="checkbox"/> More than 3 years 多於 3 年
Derivative Warrants 衍生權證交易	<input type="checkbox"/> No 沒有 <input type="checkbox"/> Less than 1 year 少於 1 年 <input type="checkbox"/> 1 - 3 years 1 至 3 年 <input type="checkbox"/> More than 3 years 多於 3 年
Callable Bull/Bear Contracts 牛熊證交易	<input type="checkbox"/> No 沒有 <input type="checkbox"/> Less than 1 year 少於 1 年 <input type="checkbox"/> 1 - 3 years 1 至 3 年 <input type="checkbox"/> More than 3 years 多於 3 年
Exchange Traded Funds 交易所買賣基金交易	<input type="checkbox"/> No 沒有 <input type="checkbox"/> Less than 1 year 少於 1 年 <input type="checkbox"/> 1 - 3 years 1 至 3 年 <input type="checkbox"/> More than 3 years 多於 3 年
Equity Linked Instruments 股票掛鉤票據交易	<input type="checkbox"/> No 沒有 <input type="checkbox"/> Less than 1 year 少於 1 年 <input type="checkbox"/> 1 - 3 years 1 至 3 年 <input type="checkbox"/> More than 3 years 多於 3 年
Mutual Funds / Unit Trust 互惠基金 / 單位信託基金	<input type="checkbox"/> No 沒有 <input type="checkbox"/> Less than 1 year 少於 1 年 <input type="checkbox"/> 1 - 3 years 1 至 3 年 <input type="checkbox"/> More than 3 years 多於 3 年
Fixed Income Securities (e.g. Bonds) 固定收益證券 (例如債券)	<input type="checkbox"/> No 沒有 <input type="checkbox"/> Less than 1 year 少於 1 年 <input type="checkbox"/> 1 - 3 years 1 至 3 年 <input type="checkbox"/> More than 3 years 多於 3 年
Leverage and Inverse Products 槓桿及反向產品	<input type="checkbox"/> No 沒有 <input type="checkbox"/> Less than 1 year 少於 1 年 <input type="checkbox"/> 1 - 3 years 1 至 3 年 <input type="checkbox"/> More than 3 years 多於 3 年
7. Knowledge of Derivative Products 客戶對衍生產品的認識 (please tick as appropriate 請在適當空格加 “✓”)	
<input type="checkbox"/> The Client will/may trade any derivative products, and has knowledge and understands orientiert will assess whether the Client has adequate knowledge on derivative products according to the information the Client provided. 客戶將會/或會進行買賣任何衍生產品，並知悉及明白 orientiert 將根據以下的資料以評估客戶是否對衍生工具產品有認識。	
<input type="checkbox"/> Client had undergone training or attended courses related to derivative products; and/ or 客戶曾接受有關衍生產品的培訓或修讀相關課程; 及/或 <input type="checkbox"/> Client has current or past work experience related to derivative products; and/ or 客戶現時或過去擁有與衍生產品有關的工作經驗; 及/或 <input type="checkbox"/> Client has executed 5 or more transactions in derivative products in the past 3 years, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures & Options, and Exchange Traded Funds, etc. 客戶於過去三年內曾執行5次或以上有關衍生產品的交易，例如：衍生權證、牛熊證、股票期權、期貨及期權、及交易所買賣基金等。	
<input type="checkbox"/> Client DOES NOT WISH to trade any derivative products 客戶不會買賣任何衍生產品。	
Confirmed & Signed by Client 客戶確認及簽署： _____	
8. Settlement Account Information (for fund withdrawal) 結算帳戶資料 (用作資金提取)	
All instructions will follow the Client's Board Resolution/ Minutes. 所有指示以客戶的董事決議/ 會議紀錄為準。	
9. Other Services 其他服務	
<input type="checkbox"/> Client consents to receive "Password" by E-mail 同意經電郵收取 “密碼” <input type="checkbox"/> for electronic trading (if applicable) 用作電子交易(如適用) <input type="checkbox"/> for online checking on Real-Time Transaction Record 網上查閱即時交易紀錄	
10. Declaration, Undertaking, Authorization and Execution 聲明、承諾、授權及執行	
Prior to signing this Account Opening Form, please: 於簽署此開戶表格前，敬請：	
(i) note that all transactions to be concluded with or through orientiert XYZ Securities Limited (orientiert) shall be subject to the terms and conditions of the Client Agreement (as defined below); and 注意所有與 orientiert XYZ Securities Limited (“貴公司”) 完成或透過貴公司進行之交易均受客戶協議 (定議請參閱下文) 之條件及條款所限制；及 (ii) read the Client Agreement (including Risk Disclosure Statement) which you have been provided in a language (English or Chinese) of your choice carefully, ask questions and take independent advice if you so wish. 細閱已按照閣下所選擇的語言 (英文或中文) 而提供予閣下的客戶協議 (包括風險披露聲明)，提出問題及徵求獨立的意見 (如閣下有此意願)。	
We declare and acknowledge that: 吾等聲明及確認：	
1. We acknowledge our receipt of the Client Agreement of orientiert (including all sections thereunder and appendices thereto), the Risk Disclosure Statement, the Client Information Statement, the Account Opening Form and any other agreements or documents related to the opening of the account(s), whenever applicable (collectively the "Client Agreement") and confirm that the Client Agreement (including Risk Disclosure Statement) were provided to us in a language (English or Chinese) of our choice and	

we were invited to read the Client Agreement (including Risk Disclosure Statement) and General Knowledge on Investment Product Course (if applicable) carefully, ask questions and take independent advice if we so wish. 吾等確認已收妥貴公司之客戶協議（包括協議所有部份及附錄）、風險披露聲明、客戶資料聲明、開戶表格及其他與是次開戶有關的協議及文件（如適用）（合稱「客戶協議」）及確認客戶協議（包括風險披露聲明）是按照吾等所選擇的語言（英文或中文）而提供，並已邀請吾等閱讀該客戶協議（包括風險披露聲明）及一般衍生工具知識課程（如適用），提出問題及徵求獨立的意見（如吾等有此意願）。

2. We confirm that we have carefully read, fully understood and accepted all the terms and provisions contained in the Client Agreement (including Risk Disclosure Statement) and shall be bound by the Client Agreement (including Risk Disclosure Statement) as it may be amended from time to time. 吾等確認吾等已仔細閱讀，充分理解並接受載於客戶協議內（包括風險披露聲明）的所有條款及規定，並同意遵守客戶協議（包括風險披露聲明）可能會不時修訂的所有條款及規定。
3. We confirm that we have completed the “Risk Tolerance Assessment” and have been informed the result of “Risk Tolerance Assessment”. We confirm that we have carefully read, fully understood and accepted the explanations contained in “the Definitions of Risk Tolerance Assessment”. 吾等確認吾等已完成「風險承受能力評估」及已被告知「風險承受能力評估」的結果。吾等確認吾等已仔細閱讀，充分理解並接受載於「風險承受能力評估的說明」的釋義。
4. we further acknowledge and agree that: 吾等進一步確認及同意：

- a. in the event of orientiert default and having incurred a loss to us as a result thereof, the liability of the Investor Compensation Fund established under the Securities and Futures Ordinance (where applicable) will be restricted to the extent provided for therein, and 若因貴公司之失誤而導致吾等蒙受損失，賠償責任將限於根據證券及期貨條例成立之投資者賠償基金規定的範圍內（如適用）；及
- b. where securities are deposited with orientiert or purchased pursuant to the Client Agreement and held outside Hong Kong, we may not be afforded equivalent protection in respect of those securities as that afforded under Hong Kong law and we may not have the same right as we have in respect of securities held in Hong Kong. 假若證券寄存於貴公司或根據客戶協議買入並於香港以外持有，吾等便可能不能享有香港法例給予該等證券的同等保障，以及可能不能享有如同在香港持有該等證券的相同權利。

5. We represent that the information contained in this Supplementary Information for Client Profile is true, complete and correct. orientiert is entitled to rely fully on such information and representations for all purposes, until orientiert receive notice in writing from us of any changes. If there are any changes in respect of the information contained in this information above, we undertake to inform orientiert promptly. orientiert is authorized at any time to contact anyone for the purpose of verifying the information provided. 吾等聲明本客戶補充資料上所述的資料為真實、完整及正確。除貴公司收到吾等書面通知更改，貴公司有權依賴上述的資料及聲明作任何目的。如上述所提供的資料有任何更改，吾等承諾將立即通知貴公司。貴公司獲授權於任何時間聯絡有關人士核對上述資料。
6. [Circular relating to Personal Data (Privacy) Ordinance] [有關《個人資料（私隱）條例》之客戶通知書]

We confirm that we have already perused and understood orientiert’s Privacy Policy and Personal Information Collection Statement. We confirm our consent given to orientiert to retain and use our personal data for the purposes as set out in orientiert’s Privacy Policy and Personal Information Collection Statement, which can be accessed in orientiert’s office. We confirm our understanding that orientiert’s Privacy Policy and Personal Information Collection Statement could be revised and updated by orientiert from time to time without prior notice to us and that we should access the same to review any updates from time to time. We acknowledge that we could obtain updated copies of orientiert’s Privacy Policy and Personal Information Collection Statement by calling orientiert’s hotline at 2172-0988 anytime during office hours. To access or update our personal data held by orientiert or to request orientiert not to use such personal data in direct marketing, we should write to orientiert’s Data Protection Officer at Room 3301, Tower One, Lippo Centre, No.89 Queensway, Hong Kong.

吾等確認吾等已細閱及明白 orientiert 私隱政策及個人資料收集聲明。吾等確認吾等同意 orientiert 收集及使用吾等的個人資料用於 orientiert 私隱政策及個人資料收集聲明所列明的相關用途，並可於 orientiert 辦公室查閱。吾等確認吾等已明白 orientiert 私隱政策及個人資料收集聲明可不時作出修訂及更新，並且不會就此作出另行通知，吾等亦應不時查閱其更新的版本。吾等已得悉吾等可於辦公時間內致電 orientiert 熱線：2172 0988 索取最新的 orientiert 私隱政策及個人資料收集聲明的副本。如欲查閱或更新 orientiert 所收集的個人資料，或要求 orientiert 不再使用吾等的個人資料作直接促銷，吾等應以書面聯絡 orientiert 的資料保護主任，地址：香港金鐘道89號力寶中心一座3301室。

We confirm that we have been notified that our personal data inclusive of our name(s), telephone number(s), e-mail address(es) and address(es) are intended to be used in direct marketing, the details of which are set out in orientiert’s Privacy Policy and Personal Information Collection Statement, which can be accessed in orientiert’s office, but that such use of our said personal data in direct marketing could not take place without our consent.

吾等確認吾等已被通知吾等的個人資料包括吾等的姓名、電話號碼、電郵地址及地址將作直接促銷，有關詳情載於 orientiert 私隱政策及個人資料收集聲明，並可於 orientiert 辦公室查閱。在未得到吾等同意之前，orientiert 並不能使用吾等的個人資料作直接促銷。

We understand that we should sign at the end of this Notice to indicate that we have perused, understood and agreed with the contents of this Notice and to indicate our agreement to the aforesaid use of our said personal data in direct marketing.

吾等明白吾等應在本通告下方簽署以表明吾等已細閱、明白及同意本通告的內容，並表明吾等同意上述有關使用吾等的個人資料作直接促銷。

Should we find the aforesaid use of our said personal data in direct marketing not acceptable, we would indicate our objection before signing by ticking ☒ below. 如吾等不接受吾等的個人資料用於直接促銷，吾等將於簽署前在下列空格加上 ☒ 以茲反對。

We ☐ **do not wish** to receive ongoing marketing information/materials from orientiert and we do not consent to orientiert’s retention and use of our personal data in direct marketing.

吾等 ☐ **不願意** 收取 orientiert 推廣資訊/刊物及吾等不同意 orientiert 保留及使用吾等的個人資料作直接促銷。

Name of Company 公司名稱

Was hereto affixed pursuant to its board resolution a certified true copy of which is attached hereto
已依據其董事會決議在此蓋章在此附上已經核證為真實的副本

Name of Authorized Signatory 獲授權人名稱

Authorized Signature(s) with Company Chop
獲授權簽名及公司印章

Date 日期： ____ day (日) of ____ month (月) of ____ year (年)

in the presence of 見證人: Name of Witness# 見證人名稱# Profession/Occupation 專業/職業 Name of Company 公司名稱 Company Address 公司地址	Signature of Witness 見證人簽署 Date 日期: ____ day (日) of ____ month (月) of ____ year (年)
# Witness should be a licensed or registered person, an affiliate of a licensed or registered person, a Justice of the Peace, or a professional person such as a branch manager of a bank, certified public accountant, lawyer, notary public, or an officer of an embassy, consulate or high commission of the country of issue of documentary verification of identity. 見證人應為持牌或註冊人士、持牌或註冊人士的聯繫人士、太平紳士或專業人士，例如銀行分行經理、執業會計師、律師、公證人，或發出身份核實文件的國家的大使館、領事館或高級專員公署的人員。	

ACCOUNT EXECUTIVE'S DECLARATIONS 客戶主任聲明	
I hereby confirm that: 本人在此確認：	
<input type="checkbox"/> I have witnessed the signature and inspected the original identity documents of the above-named client 本人已核查上述客戶之身份證明文件之原本，並見證上述客戶之簽名。	
<input type="checkbox"/> The client has been provided with the Client Agreement (including Risk Disclosure Statement) in the language of the client's choice (English or Chinese); and the client has been invited to read the Client Agreement (including Risk Disclosure Statement), ask questions and take independent advice if the client so wishes. 客戶已被提供按照其所選擇的語言（英文或中文）的客戶協議（包括風險披露聲明），本人並且已邀請客戶閱讀該客戶協議（包括風險披露聲明），提出問題及徵求獨立的意見（如閣下有此意願）。	
<input type="checkbox"/> I have already explained to the client that if the client is currently employed by any registered institution or licensed corporation to carry on regulated activities, the client is required to provide orientiert a written consent from his / her employer in support of this account opening. 本人已向客戶解釋，假若客戶現受僱於任何從事受規管活動之註冊機構或持牌公司，客戶必須向本公司提供其僱主就是次開納帳戶所發出的同意書。	
<input type="checkbox"/> The client has been provided with "the Definitions of Risk Tolerance Assessment" in the language of the client's choice (English or Chinese); and the client has been invited to read the explanation contained in "the Definitions of Risk Tolerance Assessment", ask questions and take independent advice if the client so wishes. 客戶已被提供按照其所選擇的語言（英文或中文）的「風險承受能力評估的說明」，本人並且已邀請客戶閱讀該「風險承受能力評估的說明」的釋義，提出問題及徵求獨立的意見（如閣下有此意願）。	
<input type="checkbox"/> I confirm that I have assessed the above client based on the information provided by them and informed the client about their Risk Tolerance Level according to the calculation of "Risk Tolerance Assessment": 本人確認本人已基於上述客戶提供的資料作出評估，並已告知客戶由「風險承受評估」所計算出的風險承受能力:	
<input type="checkbox"/> I concur with the result of Risk Tolerance Assessment and assign the following Risk Tolerance Level to the client: <input type="checkbox"/> Conservative/ <input type="checkbox"/> Balanced / <input type="checkbox"/> Growth/ <input type="checkbox"/> Aggressive]; or 本人同意於風險承受評估的結果，並評估客戶為以下風險承受程度: <input type="checkbox"/> 保守型/ <input type="checkbox"/> 平衡型/ <input type="checkbox"/> 增長型/ <input type="checkbox"/> 進取型]; 或	
<input type="checkbox"/> I suggest that the client should be categorized as <input type="checkbox"/> Conservative/ <input type="checkbox"/> Balanced / <input type="checkbox"/> Growth / <input type="checkbox"/> Aggressive] (Please choose an appropriate one only) 本人建議上述客戶被列為 <input type="checkbox"/> 保守型/ <input type="checkbox"/> 平衡型/ <input type="checkbox"/> 增長型/ <input type="checkbox"/> 進取型] (請選擇適當的一項) Please specify the reason(s) 請列明原因:	
<input type="checkbox"/> Based on request of the client, the client will be categorized as <input type="checkbox"/> Conservative/ <input type="checkbox"/> Balanced / <input type="checkbox"/> Growth / <input type="checkbox"/> Aggressive] (Please choose an appropriate one only) 根據客戶要求，客戶的風險承受程度被列為 <input type="checkbox"/> 保守型/ <input type="checkbox"/> 平衡型/ <input type="checkbox"/> 增長型/ <input type="checkbox"/> 進取型] (請選擇適當的一項) Please specify the reason(s) 請列明原因:	
Signed by licensed representative 持牌代表簽署	CE Number 中央編號
Name of licensed representative (in block letters) 持牌代表名稱 (正楷)	Date 日期

Name of Authorized Approval Person 獲授權批核人姓名

Acknowledged and Accepted by
orientiert XYZ Securities Limited
經由 **orientiert XYZ Securities Limited** 承認及接納

Authorized Approval Signature(s) 獲授權批核人簽署

Date 日期： ____ day (日) of ____ month (月) of ____ year (年)

Checking List - Completed by AE
查核表格 – 由經紀填寫

1. Background of client and the relevant information 客戶背景及其相關資料: 			
2. How long have you known the Client(s) 與客戶相識年期 _____ (years) 3. <input type="checkbox"/> Face-to-face account opening <input type="checkbox"/> NON face-to-face account opening			
4. Commission Rate/ Set-up Fee 佣金收費/ 設立費 (i) <input type="checkbox"/> Securities Trading Account 證券交易帳戶: <input type="checkbox"/> 0.25% with HK\$100 min <input type="checkbox"/> Other 其他 _____ % with HK\$ _____ min. (ii) <input type="checkbox"/> USD <input type="checkbox"/> CNY <input type="checkbox"/> TWD <input type="checkbox"/> Other Currency (Please specify 請註明) _____: _____ % with HK\$ _____ min. iii) <input type="checkbox"/> Set-up Fee 設立費: _____ %			
Documents			Checking
(A) Account Opening Documents 開戶文件			
1. Original Account Opening Form 正本開戶申請表			
2. Risk Tolerance Assessment 風險承受能力評估			
3. W-8BEN-E Form (Certificate of Foreign status of Beneficial Owner for United State Tax Withholding) W-8BEN-E 表格 (美國預扣稅實益 – 擁有人外國身份證明書)			
4. CRS self-certification form 共同申報準則自我證明表格			
5. Original ML/ TF Risk Assessment Form 正本反洗錢和反恐主義融資政策評估表格			
6. Assessment Form on Client's Investment Experience and Product Knowledge 客戶投資經驗及產品認識評估表			
(B) Certified True Copy verified by Professional Third Party 由專業獨立第三者核證之真實副本			
1. Memorandum and Articles of Association 公司大綱及章程			
2. Board Resolution/ Minutes approving the opening of trading account with orientiert XYZ Securities Limited and approving the authorized person(s) to operate the aforesaid account with specimen signature(s) of account signatories 董事會決議/會議記錄授權於 orientiert XYZ Securities Limited 開設證券交易帳戶及授權獲授權人運作上述的帳戶連同其簽名樣式			
3. Copy of Hong Kong Identity Card(s) or Passport of the authorized person(s) 獲授權人人士之香港身份證明文件或護照之副本			
4. Certificate of Incorporation or other constitutional documents proving the incorporation or similar evidence of the legal status of the corporation 公司註冊證書或其他憲法性文件證明企業的法律地位或類似的證明文件			
5. Business Registration Certificate (for Hong Kong company only) 商業登記證(適用於香港註冊公司)			
6. Registers of Members & Registers of Directors 股東名冊及董事名冊			
7. Company search report or equivalent issued within the last 6 months; or certificate of incumbency (for company incorporated overseas) or equivalent issued by the company's registered agent in the place of incorporation 於過去 6 個月內發出的公司查冊報告或等同文件;或一份由有關公司的當地註冊代理人簽發的職權證明書(現任職位證明書)或等同文件(適用於海外註冊公司)			
8. Latest audited financial statements (if any) 最新經審計財務報表(如有)			
9. If Item 8 is not available, a management account statement certified by a director (for company incorporated in HK); or Unlimited Continuing Guarantee from at least one director (for company incorporated offshore) should be provided. 如無第 8 項文件, 則需提供董事簽核之公司管理帳戶報表(適用於香港註冊之公司); 或需提供董事擔保函(適用於海外註冊之公司)			
10. Latest annual return filed with the Companies Registry (for Hong Kong Company) 提交於公司註冊處之最新週年申報表(適用於香港註冊公司)			
11. Hong Kong Identity Card(s) or Passport of the substantial shareholders (25% or more), ultimate beneficial owners and directors 主要股東(持股 25%或以上)、最終實益擁有人及董事的身份證明文件或護照			
12. Copy of valid registered office address / business address / correspondence address proof within the last 3 months 最近三個月內之有效登記地址/ 營業地址/ 通訊地址證明文件			
13. Copy of valid Residential Address Proof of Authorized Person(s), Directors and Substantial Shareholders within the last 3 months 獲授權人士、董事及主要股東的最近三個月內之有效住址證明文件			
14. Group Chart showing the shareholding structure of all substantial shareholders holding 25% or more of voting rights or shares 顯示所有主要股東持有的投票權或股份 10%或以上的股權結構組織圖			
15. Supporting Documents of the Witness (only applicable for NON face-to-face account opening) 見證人證明文件(只適用於非面對面開戶)			
16. Consent letter of account opening/ to act as authorized person from the intermediary (only applicable if any director, shareholder or authorized person of the Client is a licensed person employed by another licensed corporation) 由持牌中介人發出的開戶/為獲授權人同意書(只適用於任何客戶的董事、股東或獲授權人士屬持牌人士並受僱於另一家持牌機構)			
(C) Service of Discretionary Asset Management (if applicable) 資產管理全權委託服務 (如適用)			
1. Discretionary Asset Management Agreement 資產管理全權委託協議			
(D) Corporate Professional Investor (if applicable) 法團專業投資者 (如適用)			
1. Asset Proof*: (a) Certificate issued by an auditor or a certified public accountant of the individual within 3 months; or (b) Custodian statements issued by registered institution or licensed corporation within 3 months 資產證明: (a) 由核數師或會計師 3 個月內發出的證明書; 或(b) 由持牌機構 3 個月內發出的保管人結單			
(E) General Knowledge on Investment Product Course 一般投資產品知識課程 Necessary if (1) a client indicates it has knowledge/experience on certain products but cannot provide supporting documents and he/she wants to trade those products in the future. (2) the client does not have knowledge/experience on certain products but it wants to trade those products in the future. 客戶在以下情況需要填寫: (1) 客戶表示客戶對某些產品具有知識/經驗, 但不能提供相關支持文件, 並且客戶將來希望交易這些產品; (2) 客戶對某些產品沒有知識/經驗, 但客戶希望在將來交易這些產品。			
Checked By Sales 由經紀查核:			
Sales Code 經紀編號	Name of Sales 經紀名稱	Signature 簽署	Date 日期

Completed By Compliance

1. Licence Registration Checking : ☐ No suspicion found ☐ Suspicion found: ☐ Account Holder(s) ☐ Authorized Person(s)
2. AML Checking: ☐ No suspicion found ☐ Suspicion found, details: _____
3. PEP Checking: ☐ No suspicion found ☐ Suspicion found, details: _____
- Checked By:** _____ **Date:** _____

Date of Opening: _____ (Data Input by Operations)