

Corporate Account Application Form
公司帳戶開戶申請表

(For office use only 本欄只供“內部”使用)		
Account Opening Date: _____ 開立帳戶日期 Account no.: _____ 帳戶號碼	Branch 分行 <input type="checkbox"/> Wan Chai 灣仔 Branch code 分行編號: _____	
Name of Account Executive: 客戶主任姓名:	Account Executive Code: 客戶主任編號:	
Known to Account Executive for How Long: 與客戶主任認識多久:	Introduced By: 推薦人:	
Account Type 帳戶類別/ Service Type 服務類別		
<input type="checkbox"/> Corporate Cash Securities Account 公司現金證券帳戶 <input type="checkbox"/> Corporate Margin Securities Account 公司孖展證券帳戶 <input type="checkbox"/> China Connect Trading Service 中華通交易服務		
Would you like to use our Electronic Services? 閣下是否會使用我們提供的電子服務? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 If Yes, please select the preferred way of password delivery 如果是, 請選擇密碼寄發方式: <input type="checkbox"/> Email to the email address specified in Section 1 電郵至第一節指定的電郵地址		
1. Company Information 公司資料		
Name of Company in English 公司英文名稱		Name of Company in Chinese 公司中文名稱
Trading Name (if different from company name) 營業名稱 (如與公司名稱不同)		
Certificate of Incorporation No. 公司註冊證明書編號	Business Registration Certificate No. 商業登記證編號	Country of Incorporation 註冊國家
Date of Incorporation 公司註冊日期		
Registered Office Address 註冊辦事處地址		
Business Nature 業務性質		
Business Address (if different from above, please attach address proof) 營業地址 (如與上址不同, 請附上地址證明)		
Correspondence Address (if different from above, please attach address proof) 通訊地址 (如與上址不同, 請附上地址證明)		

Email Address 電郵地址	
Office Telephone No. 辦事處電話號碼	Office Fax No. 辦事處傳真號碼
<p>Please select the preferred address at which we will contact you, and specify to whom written communications shall be brought to the attention of. 請選擇聯絡地址，並指明收件人。</p> <p><input type="checkbox"/> Registered Office 註冊辦事處 <input type="checkbox"/> Business Address 營業地址 <input type="checkbox"/> Correspondence Address 通訊地址 <input type="checkbox"/> Others (please specify) 其他（請說明）：</p> <p>To the attention of 收件人：_____</p>	
<p>Issued and Paid-up Share Capital 已發行及已繳股本 Please specify the currency 請註明貨幣類別</p>	
Latest Annual Turnover 最新的年度營業額	No. of Employees 員工數目
<p>Latest Profit after Tax (HKD) 最新的除稅後盈利（港元）</p> <p><input type="checkbox"/> Under HKD200,000 200,000 港元以下</p> <p><input type="checkbox"/> HKD200,000 – HKD500,000 200,000 港元 – 500,000 港元</p> <p><input type="checkbox"/> HKD500,001 – HKD1,000,000 500,001 港元 – 1,000,000 港元</p> <p><input type="checkbox"/> HKD1,000,001 – HKD5,000,000 1,000,001 港元 – 5,000,000 港元</p> <p><input type="checkbox"/> Above HKD5,000,000 5,000,000 港元以上</p>	<p>Latest Net Asset Value (HKD) 最新的資產淨值（港元）</p> <p><input type="checkbox"/> Under HKD500,000 500,000 港元以下</p> <p><input type="checkbox"/> HKD500,000 – HKD1,000,000 500,000 港元 – 1,000,000 港元</p> <p><input type="checkbox"/> HKD1,000,001 – HKD5,000,000 1,000,001 港元 – 5,000,000 港元</p> <p><input type="checkbox"/> HKD5,000,001 – HKD10,000,000 5,000,001 港元 – 10,000,000 港元</p> <p><input type="checkbox"/> Above HKD10,000,000 10,000,000 港元以上</p>
<p>Latest Net Profit before Tax (HKD) 最新的除稅前盈利（港元）</p> <p><input type="checkbox"/> Under HKD200,000 200,000 港元以下</p> <p><input type="checkbox"/> HKD200,000 – HKD500,000 200,000 港元 – 500,000 港元</p> <p><input type="checkbox"/> HKD500,001 – HKD1,000,000 500,001 港元 – 1,000,000 港元</p> <p><input type="checkbox"/> HKD1,000,001 – HKD5,000,000 1,000,001 港元 – 5,000,000 港元</p> <p><input type="checkbox"/> Above HKD5,000,000 5,000,000 港元以上</p>	<p>Latest Liquid Asset Value (HKD) 最新的流動資產（港元）</p> <p><input type="checkbox"/> Under HKD500,000 500,000 港元以下</p> <p><input type="checkbox"/> HKD500,000 – HKD1,000,000 500,000 港元 – 1,000,000 港元</p> <p><input type="checkbox"/> HKD1,000,001 – HKD5,000,000 1,000,001 港元 – 5,000,000 港元</p> <p><input type="checkbox"/> HKD5,000,001 – HKD10,000,000 5,000,001 港元 – 10,000,000 港元</p> <p><input type="checkbox"/> Above HKD10,000,000 10,000,000 港元以上</p>
<p>Initial Source of Wealth 最初財富來源</p> <p><input type="checkbox"/> Business Profit 業務利潤 <input type="checkbox"/> Dividend/Interest 股息／利息 <input type="checkbox"/> Rent 租金 <input type="checkbox"/> Return on Investment 投資回報 <input type="checkbox"/> Others 其他：</p>	



<p>Ongoing Source of Wealth 持續財富來源(if different from Initial Source of Wealth 如與最初財富來源不同)</p> <p><input type="checkbox"/> Business Profit 業務利潤 <input type="checkbox"/> Dividend/Interest 股息／利息 <input type="checkbox"/> Rent 租金</p> <p><input type="checkbox"/> Return on Investment 投資回報 <input type="checkbox"/> Others 其他：</p>		
<p>Expected Source of Funds 預期資金來源(if different from Initial Source of Wealth 如與最初財富來源不同)</p> <p><input type="checkbox"/> Business Profit 業務利潤 <input type="checkbox"/> Dividend/Interest 股息／利息 <input type="checkbox"/> Rent 租金</p> <p><input type="checkbox"/> Return on Investment 投資回報 <input type="checkbox"/> Others 其他：</p>		
<p>Country in which the Account Holder(s) Attained Initial Source of Wealth 最初財富來源地:</p> <p><input type="checkbox"/> HK 香港/ <input type="checkbox"/> PRC 中國大陸/ <input type="checkbox"/> Others, please specify 其他,請列明: _____</p>		
<p>Country in which the Account Holder(s) Attained Ongoing Source of Wealth 持續財富來源地(if different from Initial Source of Wealth 如與最初財富來源地不同):</p> <p><input type="checkbox"/> HK 香港/ <input type="checkbox"/> PRC 中國大陸/ <input type="checkbox"/> Others, please specify 其他,請列明: _____</p>		
<p>Country in which the Account Holder(s) Expected Source of Funds 預期資金來源地(if different from Initial Source of Wealth 如與最初財富來源地不同):</p> <p><input type="checkbox"/> HK 香港/ <input type="checkbox"/> PRC 中國大陸/ <input type="checkbox"/> Others, please specify 其他,請列明: _____</p>		
<p>Do your group of companies have established written policies and implemental internal procedures and controls to combat money laundering? (Must be filled in for business involving fund managers, stockbrokers and corporate finance business)</p> <p>貴司是否已建立書面政策及推行內部程序及內控制度以打擊洗錢活動? (如貴司業務涉及基金經理、股票經紀及財務融資, 此題必須回答)</p> <p><input type="checkbox"/> Yes 有/ <input type="checkbox"/> No 否</p>		
<p>Do your group of companies have written procedures to report suspicious activities and transactions to the appropriate authorities?</p> <p>(Must be filled in for business involving fund managers, stockbrokers and engaged in corporate finance business)</p> <p>貴司是否已就向有關部門匯報可疑交易活動及交易建立書面政策? (如貴司業務涉及基金經理、股票經紀及財務融資, 此題必須回答)</p> <p><input type="checkbox"/> Yes 有/ <input type="checkbox"/> No 否</p>		
<p>Do your group of companies have established policies and procedures to ensure that reasonable measures are taken to obtain information about the true identity of its customers, and are these records retained for a specified period of time? (Must be filled in for business involving fund managers, stockbrokers and engaged in corporate finance business)</p> <p>貴司是否已建立政策及程序以確保有合理措施收集客戶的真實身份證明, 以及使有關記錄得以保存一段特定時間? (如貴司業務涉及基金經理、股票經紀及財務融資, 此題必須回答)</p> <p><input type="checkbox"/> Yes 有/ <input type="checkbox"/> No 否</p>		
<p>Is any member of your group of companies to which you belong a Client of XinKong?</p> <p>與貴司同一公司集團的任何成員公司是否為信控國際證券的客戶?</p> <p><input type="checkbox"/> Yes (please state the name of the company and the Account No.: _____)</p> <p>是 (請註明公司名稱及帳戶號碼: _____)</p> <p><input type="checkbox"/> No 否</p>		
<p>2. Investment Objectives and Risk Tolerance 投資目標及風險承受程度 (Not applicable to Institutional Investors)(不適用於機構投資者)</p>		
i	<p><input type="checkbox"/> Long Term 長期 <input type="checkbox"/> Short Term 短期 <input type="checkbox"/> Capital Growth 資本增值</p> <p><input type="checkbox"/> Dividends 股息 <input type="checkbox"/> Hedging Purpose 對沖目的</p> <p><input type="checkbox"/> Others, please specify 其他, 請說明:</p>	
ii	<p><input type="checkbox"/> High Risk 高風險 <input type="checkbox"/> Medium Risk 中風險 <input type="checkbox"/> Low Risk 低風險</p>	

3. Financial Experience 財務經驗

This Section should be completed by person(s) responsible for making investment decisions on behalf of the Client, whether as part of the in-house treasury, investment or similar function, or otherwise. 本節應由負責代表客戶作出投資決策的人士填寫（無論其作為庫務、投資或類似職能的一部分，或擔任其他職能）。

Investment Experience (can choose more than one) 投資經驗(可選多於一項)

- | | |
|---|--|
| <input type="checkbox"/> Stocks 股票 _____ years 年 | <input type="checkbox"/> Unit Trusts/Bonds 單位信託基金/債券 _____ years 年 |
| <input type="checkbox"/> Funds 基金 _____ years 年 | <input type="checkbox"/> Futures/Options 期貨/期權 _____ years 年 |
| <input type="checkbox"/> FX/Bullion 外幣/黃金 _____ years 年 | <input type="checkbox"/> CBBC/ Warrants 牛熊證/窩輪 _____ years 年 |
| <input type="checkbox"/> Other(s) 其他 _____ years 年 | <input type="checkbox"/> Leveraged and Inverse Product 槓桿及反向產品 _____ years 年 |
| <input type="checkbox"/> Leveraged Foreign Exchange 槓桿式外匯 _____ years 年 | <input type="checkbox"/> None 沒有 |
| <input type="checkbox"/> Structured Product 結構性產品 _____ years 年 | |

Knowledge about Investment, Derivative and Structured Products 對投資、衍生及結構性產品的了解

Please select the product(s) which you have knowledge of 請選擇閣下認識的產品

- | | |
|---|--|
| <input type="checkbox"/> Stocks 股票 | <input type="checkbox"/> Futures and Options 期貨及期權 |
| <input type="checkbox"/> Callable Bull/Bear Contracts ("CBBCs") 牛熊證 ("CBBC") | <input type="checkbox"/> Unit Trusts 單位信託 |
| <input type="checkbox"/> Fixed Income (e.g. Bonds, Convertible Bonds) 固定收益 (如債券、換股債券) | <input type="checkbox"/> Equity Linked Instruments ("ELIs") 股票掛鉤產品 ("ELI") |
| <input type="checkbox"/> Others, please specify 其他，請說明： _____ | |

For the products that you have knowledge of, please complete questions 1 to 4 below.

(Please tick "✓" appropriate answers in questions 1 to 2)

請閣下就所認識的產品完成以下問題1至問題4。（請在問題1至問題2適當的答案處加✓）

	Stocks 股票	Futures and Options 期貨及期權	CBBC 牛熊證	Unit Trust 單位信託	Fixed Income 固定收益	ELIs 股票掛鉤產 品	Others (please state below) 其他 (請於本欄註明)
1. Authorised Person(s) ("AP") has undergone training or attended courses on % 授權人士曾接受或參加關於哪種產品的培訓或課程%							
2. AP has current or previous working experience on % 授權人士現時或以往具有關於哪種產品的工作經驗%							
3. Please set out the number of trades your company conducted in the recent year(s) % 請填寫貴司近年內曾進行的交易次數%	trades in recent _____ year(s)	trades in recent _____ year(s)	trades in recent _____ year(s)	trades in recent _____ year(s)	trades in recent _____ year(s)	trades in recent _____ year(s)	trades in recent _____ year(s)



<p>4. Please specify the jurisdiction(s) of the relevant market(s) (if other than Hong Kong) in which your company have traded in the last 12 months in these products% 請列明貴司曾於過往 12 個月買賣該等產品的相關市場所屬的司法管轄區(如非在香港買賣) %</p>							
<p>% Please provide supporting document(s) or explanation (such as course name, work experience etc). 請提供證明文件或說明(如課程名稱、工作經驗等)。</p>							
<p>We acknowledge that we have read and fully understood the risks involved in trading derivatives and CBBCs provided in ANNEXURE 1 of the Client Agreement. We are willing to accept the risks associated with trading derivatives and CBBCs. 我們確認已仔細閱讀及完全明白客戶協議附件一所述買賣衍生產品及牛熊證的風險。我們願意承擔買賣衍生產品和牛熊證帶來的風險。</p> <p><input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否</p>							
<p>4. Disclosure of information 資料披露</p>							
<p>1. Is any director, substantial shareholder, ultimate beneficiary, ultimate principal beneficial owner or AP of your company staff, associates of staff, account executive or associates of account executive of XinKong? 董事、主要股東、最終實益持有人或授權人士是否信控國際證券的員工、員工的聯繫人、客戶主管或客戶主管的聯繫人?</p>	<p><input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (if you are an associate, then please state the name of the staff or account executive(s) at XinKong: (如閣下是聯繫人士, 請註明信控國際證券的僱員或客戶主管的姓名: _____</p>						
<p>2. Is the company, any of the shareholders or directors of the company or in the company's group, its Authorised Person(s), the person(s) responsible for giving Instructions for the Account(s) or the ultimate beneficial owners of the Account(s) ("Relevant Person(s)", a director, an employee or representative of any entity licensed by or registered with the Securities and Futures Commission of Hong Kong or the Hong Kong Monetary Authority, or employed by a licensed corporation, a registered broker dealer, a stock exchange, the U.S. Securities and Exchange Commission, and the Financial Industry Regulatory Authority? 貴公司、貴公司或貴集團公司任何股東或董事、其授權人士、最終負責就該(等)賬戶發出指示的人士或該(等)賬戶的最終實益擁有人(「相關人士」)是否為由香港證券及期貨事務監察委員會或香港金融管理局發放牌照或註冊的任何實體的董事、僱員或代表, 或於持牌法團、註冊經紀交易商、證券</p>	<p><input type="checkbox"/> Yes 是 Name(s) of the Relevant Person(s) 相關人士姓名: _____ Name of the intermediary^ 中介名稱^: _____ Position held at the intermediary 於中介所持職務: _____ <input type="checkbox"/> No 否</p>						



<p>交易所、美國證券交易委員會及美國金融業監管局就職？</p>	<p>^ Please provide a consent letter from the intermediary. 請提供中介同意函件。</p>						
<p>3. Is your company, any of the shareholders or directors of the company or in the company's group, its Authorised Person(s), the person(s) responsible for giving Instructions for the Account(s) or the ultimate beneficial owners of the Account(s) ("Relevant Person(s)"), a relative of the A/E responsible for the opening of the Company's Account(s) to be opened with XinKong?</p> <p>貴公司、貴公司或貴集團公司任何股東或董事、其授權人士、最終負責就該（等）賬戶發出指示的人士或該（等）賬戶的最終實益擁有人（「相關人士」）是否為信控國際證券就此帳戶的負責客戶主任的親屬？</p>	<p><input type="checkbox"/> Yes 是</p> <p>Name(s) of the Relevant Person(s) 相關人士姓名： _____</p> <p>Relationship with the A/E 與客戶主任的關係： _____</p> <p><input type="checkbox"/> No 否</p>						
<p>4. Are you a "connected client" (as defined under Appendix 6 to the Rules Governing the Listing of Securities of the Stock Exchange of Hong Kong Limited) of XinKong or the group in which it is a member?</p> <p>閣下是否信控國際證券或其所屬集團的「關連客戶」（根據香港聯合交易所有限公司《證券上市規則》附件六所定義）？</p>	<p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes, the detail of the relationship is: 是，關係詳情： _____</p>						
<p>5. Is there any other ultimate beneficial owner(s) of the Account other than the shareholders set out in Section 6? 除第六節所列的股東外，帳戶是否還有其他最終實益擁有人？</p> <p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes, the details of the ultimate beneficial owner(s) is/are 是，最終實益擁有人的詳情如下：</p> <table border="1" data-bbox="213 1787 1444 2072"> <tr> <td data-bbox="213 1787 782 1821">Name 姓名</td> <td data-bbox="782 1787 1444 1821"></td> </tr> <tr> <td data-bbox="213 1821 782 1921">Hong Kong Identity Card No./Passport No./Other documents (specify) No.: 香港身份證號碼 / 護照號碼 / 其他證件（請註明）號碼：</td> <td data-bbox="782 1821 1444 1921"></td> </tr> <tr> <td data-bbox="213 1921 782 2072">Address 地址</td> <td data-bbox="782 1921 1444 2072"></td> </tr> </table>		Name 姓名		Hong Kong Identity Card No./Passport No./Other documents (specify) No.: 香港身份證號碼 / 護照號碼 / 其他證件（請註明）號碼：		Address 地址	
Name 姓名							
Hong Kong Identity Card No./Passport No./Other documents (specify) No.: 香港身份證號碼 / 護照號碼 / 其他證件（請註明）號碼：							
Address 地址							

5. Particulars of Directors 董事資料					
Chinese Name 中文姓名		Chinese Name 中文姓名		Chinese Name 中文姓名	
English Name 英文姓名		English Name 英文姓名		English Name 英文姓名	
Surname 姓 Given Name 名		Surname 姓 Given Name 名		Surname 姓 Given Name 名	
Hong Kong Identity Card No./ Passport No./Other documents (specify) No.: 香港身份證號碼／護照號碼／其他 證件（請註明）號碼：		Hong Kong Identity Card No./ Passport No./Other documents (specify) No.: 香港身份證號碼／護照號碼／其他 證件（請註明）號碼：		Hong Kong Identity Card No./ Passport No./Other documents (specify) No.: 香港身份證號碼／護照號碼／其他 證件（請註明）號碼：	
Place of Birth 出生地	Date of Birth (yyyy/mm/dd) 出生日期（年／月／ 日）	Place of Birth 出生地	Date of Birth (yyyy/mm/dd) 出生日期（年／月／ 日）	Place of Birth 出生地	Date of Birth (yyyy/mm/dd) 出生日期（年／月／ 日）
Nationality/Citizenship 國籍／居民身份		Nationality/Citizenship 國籍／居民身份		Nationality/Citizenship 國籍／居民身份	
Residential Address 住址		Residential Address 住址		Residential Address 住址	
Date of Appointment 委任日期		Date of Appointment 委任日期		Date of Appointment 委任日期	
OR please refer to the attached document(s) 或請參閱附加之文件					
6. Particulars of Individual Beneficial Owner(s) (shareholding of 10% or more) 個人實益擁有人（持有 10% 或以上股權）資料					
Chinese Name 中文姓名		Chinese Name 中文姓名		Chinese Name 中文姓名	
English Name 英文姓名		English Name 英文姓名		English Name 英文姓名	
Surname 姓 Given Name 名		Surname 姓 Given Name 名		Surname 姓 Given Name 名	
Hong Kong Identity Card No./ Passport No./Other documents (specify) No.: 香港身份證號碼／護照號碼／其他 證件（請註明）號碼：		Hong Kong Identity Card No./ Passport No./Other documents (specify) No.: 香港身份證號碼／護照號碼／其他 證件（請註明）號碼：		Hong Kong Identity Card No./ Passport No./Other documents (specify) No.: 香港身份證號碼／護照號碼／其他 證件（請註明）號碼：	



Place of Birth 出生地	Date of Birth (yyyy/mm/dd) 出生日期(年/月/日)	Place of Birth 出生地	Date of Birth (yyyy/mm/dd) 出生日期(年/月/日)	Place of Birth 出生地	Date of Birth (yyyy/mm/dd) 出生日期(年/月/日)
Nationality/Citizenship 國籍/居民身份		Nationality/Citizenship 國籍/居民身份		Nationality/Citizenship 國籍/居民身份	
Residential Address 住址		Residential Address 住址		Residential Address 住址	
Mobile Phone No. 手提電話號碼		Mobile Phone No. 手提電話號碼		Mobile Phone No. 手提電話號碼	
Percentage of shares held as beneficiary/as trustee (include names of beneficiaries) 作為實益擁有人/受託人所持股份百分比(包括實益擁有人的姓名)		Percentage of shares held as beneficiary/as trustee (include names of beneficiaries) 作為實益擁有人/受託人所持股份百分比(包括實益擁有人的姓名)		Percentage of shares held as beneficiary/as trustee (include names of beneficiaries) 作為實益擁有人/受託人所持股份百分比(包括實益擁有人的姓名)	
OR please refer to the attached document(s) 或請參閱附加之文件					

+ Broadly speaking, “beneficial owners” include any individual who (a) owns or controls, directly or indirectly, not less than 10% of the issued share capital of the company, (b) is, directly or indirectly, entitled to exercise or control the exercise of not less than 10% of the voting rights at general meetings of the company, or (c) exercises ultimate control over the management of the company.

就廣義而言,「實益擁有人」包括(a)直接或間接擁有或控制公司不少於 10% 的已發行股本, (b)直接或間接有權於公司股東大會上行使或控制行使不少於 10% 的投票權, 或(c)對公司管理層行使最終控制權的任何個人。

7. Person(s) who Originate(s) the Instructions for the Account 向帳戶發出指示的人士		
Chinese Name 中文姓名	Chinese Name 中文姓名	Chinese Name 中文姓名
English Name 英文姓名	English Name 英文姓名	English Name 英文姓名
Surname 姓 Given Name 名	Surname 姓 Given Name 名	Surname 姓 Given Name 名
Hong Kong Identity Card No./Passport No./Other documents (specify) No.: 香港身份證號碼/護照號碼/其他證件(請註明)號碼:	Hong Kong Identity Card No./Passport No./Other documents (specify) No.: 香港身份證號碼/護照號碼/其他證件(請註明)號碼:	Hong Kong Identity Card No./Passport No./Other documents (specify) No.: 香港身份證號碼/護照號碼/其他證件(請註明)號碼:

Place of Birth 出生地	Date of Birth (yyyy/mm/dd) 出生日期 (年/月/日)	Place of Birth 出生地	Date of Birth (yyyy/mm/dd) 出生日期 (年/月/日)	Place of Birth 出生地	Date of Birth (yyyy/mm/dd) 出生日期 (年/月/日)
Nationality/Citizenship 國籍/居民身份		Nationality/Citizenship 國籍/居民身份		Nationality/Citizenship 國籍/居民身份	
Current Title 現時職銜		Current Title 現時職銜		Current Title 現時職銜	
Residential Address 住址		Residential Address 住址		Residential Address 住址	
Mobile Phone No. 手提電話號碼		Mobile Phone No. 手提電話號碼		Mobile Phone No. 手提電話號碼	
Email 電郵		Email 電郵		Email 電郵	

OR please refer to the attached document(s) 或請參閱附加之文件

8. Account Operation Arrangement 帳戶操作安排

Please either complete **Part A** OR provide the specified Board minutes indicated in **Part B**.
請填寫 **A 部份** 或提供 **B 部份** 指定的董事會會議記錄。

☐ **Part A (A 部份) – To fill in the detail information of the Authorised Persons 填寫授權人士的資料**

(i) Details of Authorised Person(s) 授權人士資料

Chinese Name 中文姓名	Chinese Name 中文姓名	Chinese Name 中文姓名
English Name 英文姓名	English Name 英文姓名	English Name 英文姓名
Surname 姓 Given Name 名	Surname 姓 Given Name 名	Surname 姓 Given Name 名
Date of Birth (yyyy/mm/dd) 出生日期 (年/月/日)	Date of Birth (yyyy/mm/dd) 出生日期 (年/月/日)	Date of Birth (yyyy/mm/dd) 出生日期 (年/月/日)
Hong Kong Identity Card No./ Passport No./Other documents (specify) No.: 香港身份證號碼/護照號碼/ 其他證件 (請註明) 號碼:	Hong Kong Identity Card No./ Passport No./Other documents (specify) No.: 香港身份證號碼/護照號碼/ 其他證件 (請註明) 號碼:	Hong Kong Identity Card No./ Passport No./Other documents (specify) No.: 香港身份證號碼/護照號碼/ 其他證件 (請註明) 號碼:



Current Title 現時職銜	Current Title 現時職銜	Current Title 現時職銜
Years Spent in Current Occupation 現行職業的從業年數	Years Spent in Current Occupation 現行職業的從業年數	Years Spent in Current Occupation 現行職業的從業年數
Education Level 教育程度 <input type="checkbox"/> Primary School or below 小學或以下 <input type="checkbox"/> Secondary School 中學 <input type="checkbox"/> University or above 大學或以上	Education Level 教育程度 <input type="checkbox"/> Primary School or below 小學或以下 <input type="checkbox"/> Secondary School 中學 <input type="checkbox"/> University or above 大學或以上	Education Level 教育程度 <input type="checkbox"/> Primary School or below 小學或以下 <input type="checkbox"/> Secondary School 中學 <input type="checkbox"/> University or above 大學或以上
Residential Address 住址	Residential Address 住址	Residential Address 住址
Office Telephone No. 辦事處電話	Office Telephone No. 辦事處電話	Office Telephone No. 辦事處電話
Residential Telephone No. 住宅電話	Residential Telephone No. 住宅電話	Residential Telephone No. 住宅電話
Mobile Phone No. 手提電話	Mobile Phone No. 手提電話	Mobile Phone No. 手提電話
Email 電郵	Email 電郵	Email 電郵
OR please refer to the attached document(s) 或請參閱附加之文件		
(ii) Account Operation Arrangement 帳戶操作安排		
(1)	Each of the above Authorised Person(s) specified is authorised to give oral Instructions and/or Instructions through Electronic Services (where applicable) in relation to the purchase or sale of any securities and/or futures and/or options contracts for the Account(s) from time to time. 上述每位授權人士均有權為帳戶買賣任何證券及／或期貨及／或期權合約而不時發出口頭指示及／或透過電子服務（如適用）發出的指示。	
(2)	Signed by one/two*/ Authorised Person(s) signing singly/jointly* with company chop to validate any written Instructions relating to the operation of the Account(s). (* - Please delete as appropriate) 任何就帳戶操作之書面指示，由其中一位／兩位*／位授權人士單獨／共同*簽署及蓋上公司印章，方為有效。(* - 請刪去不適用者)	
<input type="checkbox"/> Part B (B 部份) To provide the specified Board Minutes 提供指定樣式的董事會會議記錄 Clients to provide the board minutes approving the opening of the Account, authorised signatories, the provision of oral Instructions and other relevant Instructions. Clients are recommended to adopt the standard board minutes in Appendix A (with both Appendix I and II being filled in). If Clients elect to adopt their company's own version of board minutes, please kindly reflect the above content in Clients' own board minutes. 由客戶提供董事會會議記錄、授權簽署人、口頭指示條文及其他相關指示。建議客戶採用我公司在附錄 A 提供的“董事會會議記錄樣本”(須填寫其附錄 I,II), 如客戶選擇採納其公司採用的會議記錄樣本, 請確保該會議記錄包含以上內容。		

9. Bank Account Details (for direct deposit) 銀行帳戶詳情 (直接存款適用)

Bank account details – for payment of money (if any) or funds withdrawal from your XinKong Account to you, please provide your bank account details. XinKong generally does not accept a third party bank account. A handling fee may be charged for the bank transfer. Please refer to the Standard Fees and Commissions Table or www.xinkong.com.hk/ for a full list of charges.

銀行帳戶詳情 – 可供信控國際證券用作支付任何款項(如有)或要從貴公司的信控國際證券帳戶提取款項予貴公司, 煩請提供貴公司的銀行帳戶資料。信控國際證券一般不接受第三方之銀行帳戶。貴公司或會被收取相關轉帳手續費。詳細收費表請參閱標準費用及佣金表或瀏覽 www.xinkong.com.hk/。

Please note: if you want to change these details in the future, you must notify XinKong International Securities Limited through written correspondence.

請注意: 如貴公司日後需要更改以下資料, 必須以書面通知信控國際證券有限公司。

Name of Bank 銀行名稱: _____

Name of Overseas Bank (For Overseas Transfer Only) 海外銀行名稱 (只適用於海外轉帳): _____

Name of Account Holder 銀行帳戶持有人姓名	Account No. 銀行帳戶號碼	Account Type 銀行帳戶類別 <input type="checkbox"/> USD 美元 <input type="checkbox"/> HKD 港元 <input type="checkbox"/> CNY 人民幣 <input type="checkbox"/> Multi-currency 綜合貨幣
ABA No./SWIFT Code (For Overseas Transfer only) 銀行 ABA 號碼 / SWIFT 編碼 (只作海外轉帳之用)	Bank Address (For Overseas Transfer only) 銀行地址 (只作海外轉帳之用)	

10. Settlement Agent (Please refer to the Standard Settlement Instructions attached) 結算代理 (請參閱隨附標準交收指示)

Name of Custodian 託管人名稱

Name of Custodian's Account 託管人帳戶名稱	Custodian's Account No. 託管人帳戶號碼	CCASS No. (if applicable) CCASS 號碼 (倘適用)
--	------------------------------------	---



11. Delivery of Account Statements 結單寄發

Delivery Preference 寄發方式選擇

Please select the preferred way of delivery of your Account Statements.
請選擇帳戶結單的寄發方法。

- ☐ Email to your email address 電郵至貴公司的電郵地址
- ☐ Post to your business address 郵寄至貴公司的營業地址
- ☐ Post to your correspondence address 郵寄至貴公司的通訊地址

12. Particulars of the Company's Other Accounts and Related Accounts with XinKong International Securities Limited (for Margin Securities Account Holders Only)

公司其他帳戶及與信控國際證券有限公司相關帳戶的資料(只適用於孖展證券帳戶持有人)

This includes accounts opened by persons connected with the Company (including, without limitation, director(s), shareholder(s) who, either alone or jointly with his/her spouse is in control of 35% or more of the voting rights of the Company) and/or members of the same group of companies.

包括公司關聯人士及／或同一集團公司成員（包括但不限於董事、單獨或是與其配偶合計控制本公司 35%或以上投票權的股東）所開立的帳戶。

Please confirm if 請確認：

- ☐ the Company is a member of the same group of companies as another Client of XinKong. If yes, please provide the following details:

貴公司是信控國際證券另一客戶集團其下的公司成員。如是，請提供以下詳情：

Name of Account & Relationship 帳戶名稱及關係： _____

Account No. 帳號： _____

Account Type 帳戶類別/Service Type 服務類別：

- ☐ Corporate Cash Securities Account 公司現金證券帳戶 ☐ Corporate Margin Securities Account 公司孖展證券帳戶
- ☐ Corporate Stock Options Account 公司股票期權帳戶 ☐ Corporate Futures Account 公司期貨帳戶
- ☐ China Connect Trading Service 中華通交易服務

- ☐ the Company, or the more than 35%'s shareholder of the Company, is in control of 35% or more of the voting rights of another Client of XinKong. If yes, please provide the following details:

貴公司，或貴公司持有超過 35%或以上的股東，控制信控國際證券另一客戶 35%或以上的投票權。如是，請提供以下詳情：

Name of Account and Relationship 帳戶名稱及關係： _____

Account No. 帳號： _____

Account Type 帳戶類別/Service Type 服務類別：

- ☐ Corporate Cash Securities Account 公司現金證券帳戶 ☐ Corporate Margin Securities Account 公司孖展證券帳戶
- ☐ Corporate Stock Options Account 公司股票期權帳戶 ☐ Corporate Futures Account 公司期貨帳戶
- ☐ China Connect Trading Service 中華通交易服務



- ☐ the Company is or was during the past 12 months, directly or indirectly (e.g. through a body corporate), whether or not together with other person(s) and/or entity(ies), connected or associated with any director (including any ex-director within the past 12 months), chief executive or substantial shareholder* of XinKong or the group in which it is a member 貴公司現在或於過去十二個月內，直接或間接（如透過一法人團體），不論是否聯同其他人士及／或實體，跟信控國際證券或其所屬集團的任何董事（包括過去十二個月內之前董事）、行政總裁或主要股東*有所關連。

Details 詳情: _____

- ☐ None of the above 以上皆不適用

13. Declarations, Confirmations and Acknowledgements 聲明、確信及確認

1. The Client affirms that the Client has received, read and understood the Client Agreement, this Account Application Form and any other documents referred to therein (collectively referred to as the “**Account Agreement**”) and any other documents referred to therein and that the Client agrees to be bound by the same, as amended in accordance with the Account Agreement. The Account Agreement will apply to all Accounts subsequently opened upon the Client's request and all Services the Client subsequently requests XinKong to provide to it. 客戶確認已收取、細閱及理解客戶協議、本開戶申請表及其中所提述的任何其他文件（統稱「**帳戶協議**」），且客戶同意受該等文件（根據不時生效的帳戶協議予以修訂）約束。帳戶協議將適用於隨後根據客戶的要求開立的所有帳戶及客戶隨後要求信控國際證券提供予客戶的所有服務。
2. The Client declares that: (a) the information and representations contained in this Account Application Form and any other documents provided to XinKong, together with the representations and warranties set out in the Client Agreement, are true, complete and correct; (b) the person(s) referred to in Section 7 of this Account Application Form is/are responsible for originating the Instructions, and (c) the person(s) referred to in Section 6 of this Account Application Form is/are the ultimate beneficial owner(s) who stand(s) to gain the commercial/economic benefit from the transaction and/or bear the commercial/economic risk. 客戶聲明：(a)本開戶申請表及提供予信控國際證券的任何其他文件所載的資料，連同客戶協議所載的陳述及保證，均屬真實、完整及正確；(b)本開戶申請表第 7 節所列的人士為負責發出指示的人士，及(c)本開戶申請表第 6 節所列的人士乃屬將會從交易取得商業／經濟利益及／或承擔其商業／經濟風險的最終實益擁有人。
3. The Client accepts and agrees that the Services and Account are subject to the Account Agreement as amended by XinKong from time to time. The Client confirms that it has read and understood the Account Agreement and agrees to be bound by, the terms and conditions as set forth in the Account Agreement. Unless the context requires otherwise, terms and expressions used and defined in the Account Agreement will have the same meaning when used herein. 客戶接受及同意服務及帳戶受帳戶協議（經信控國際證券不時修訂）所規限。客戶確認已細閱及理解帳戶協議並同意受帳戶協議所載條款及條件約束。除非文義另有所指，帳戶協議所用及定義的詞彙與本開戶申請表所用者相同。
4. The Client consents to XinKong and / or its associates providing information about investment or financial related products and services including research reports and special offers to the Client by any means. 客戶同意信控國際證券或聯繫人以各種方式提供投資或有關財務產品及服務的資料，其包括研究報告及特別優惠等。
5. The Client acknowledges and agrees that XinKong may rely fully on the information and representations contained in this Account Application Form and any other documents provided to XinKong for all purposes, unless and until XinKong receives notice in writing from the Client of any change. 客戶知悉及同意除非及直至信控國際證券接到客戶發出更改本開戶申請表及提供予信控國際證券的任何其他文件所載的資料內容的書面通知，信控國際證券可完全依賴該等資料及聲明作一切用途。
6. The Client acknowledges that XinKong does not provide investment, tax or legal advice or recommendations. 客戶知悉信控國際證券並不提供投資、稅務或法律意見或推薦建議。
7. The Client acknowledges and confirms that the Client has read the Risk Disclosure Statement contained in Annexure 1 of the Client Agreement which were provided in a language of the Client's choice. The Client also acknowledges that



the Client was invited to read the Risk Disclosure Statement as set out in the Client Agreement, ask questions and take independent advice (if the Client wishes). 客戶承認及確認已細閱按客戶所選擇語言提供的客戶協議附錄 1 所載的風險披露聲明。客戶亦獲邀閱讀客戶協議所載的風險披露聲明，提出問題及徵求獨立意見（如客戶有此意願）。

8. The Client acknowledges and confirms that this Account Application Form was provided to the Client in either, at its choice, English or Chinese. In the event of any inconsistency between the English and Chinese versions of this Account Application Form, the English version will prevail. 客戶承認及確認該開戶申請表按客戶所選擇的語言（英文或中文）提供予客戶。該開戶申請表中英文版本如有不一致之處，應以英文文本為準。
9. The Client may request XinKong to provide it with Margin financing pursuant to Annexure 6 of the Client Agreement or custody services pursuant to Annexure 4 to the Client Agreement. Where this is the case, the Client understands and acknowledges that: (a) the Client will be provided with a Client Securities Standing Authority in relation to such services; (b) the Client is not required by any laws to sign the Client Securities Standing Authority but it may be required by XinKong, for example, to facilitate Margin lending to the Client or to allow the Client's securities or securities collateral to be lent to or deposited as collateral with third parties; and (c) XinKong may refuse to provide the Client with such services if it does not provide the Client Securities Standing Authority in the form prescribed by XinKong. 客戶可要求信控國際證券根據客戶協議附錄 6 提供孖展融資或根據客戶協議附錄 4 提供託管服務。在這種情況下，客戶明白及確認：(a) 客戶將就該等服務獲提供常設授權；(b) 現時無任何法例規定客戶必須簽署此常設授權，然而信控國際證券可能需要此授權，以便例如向客戶提供孖展貸款或獲許將有關客戶的證券或證券抵押品借予第三方或作為抵押品存放於第三方；及(c) 倘吾等未按照信控國際證券規定的形式提供常設授權，信控國際證券可拒絕向客戶提供該等服務。
10. The Client may request XinKong to provide it with China Connect Trading Service pursuant to Annexure 7 of the Client Agreement and the Client acknowledges and understands the Risk Disclosure Statement contained in Annexure 1 of the Client Agreement concerning China Connect
客戶可要求信控國際證券根據客戶協議附錄 7 提供中華通交易服務。客戶承認及明白有關客戶協議附錄 7 所載有關中華通的風險披露聲明。

14. Privacy Policy 私隱政策

By signing this Account Application Form, the Client hereby acknowledges that the Client has read, understood and accepted the Data Privacy Policy (“**Privacy Policy**”) set out in Annexure 5 to the Client Agreement.

客戶簽署本開戶申請表，即確認客戶已閱讀、理解及接受客戶協議附錄 5 所載的個人資料私隱政策（「**私隱政策**」）。

XinKong and its Affiliates intend to use the Client's Personal Data in direct marketing and XinKong requires the Client's consent (which includes an indication of no objection) for that purpose.

信控國際證券及其聯屬公司擬將客戶的個人資料用於直接促銷，就此信控國際證券需要客戶的同意（包括表示不反對）。

XinKong may provide the Client's Personal Data to its (i) Affiliates and/or (ii) Third Parties (as defined in the Privacy Policy) for their use in direct marketing in accordance with paragraphs 3(g) and 5 of the Privacy Policy. The Client should check the box below if it does not wish XinKong to provide the Client's Personal Data to its (i) Affiliates and/or (ii) Third Parties for their use in direct marketing.

根據通知書第 3(g)段及第 5 段，信控國際證券可向(i)其聯屬公司及／或(ii)第三方（其定義請見通知書）提供客戶的個人資料，供彼等用於直接促銷。倘客戶不願信控國際證券向(i)其聯屬公司及／或(ii)第三方提供客戶的個人資料供其用於直接促銷，客戶應勾選以下方框。

- ☐ The Client does not wish XinKong and its Affiliates to use the Client's Personal Data in direct marketing.
客戶不願意讓信控國際證券及其聯屬公司使用客戶的個人資料作為直接促銷之用。
- ☐ The Client does not wish Third Parties to use the Client's Personal Data in direct marketing.
客戶不願意讓第三方使用客戶的個人資料作為直接促銷之用。

The above represents the Client's present choice whether or not to receive direct marketing contact or information. Please note that the Client's choice applies to the direct marketing of the classes of products, services and/or subjects set out in

the Privacy Policy. Please also refer to the Privacy Policy on the kinds of Personal Data which may be used in direct marketing and the classes of persons to which the Client's Personal Data may be provided for them to use in direct marketing.

以上代表客戶現在對是否接收直接促銷聯繫或資料的選擇。請注意，客戶的選擇適用於通知書上所載的產品、服務及／或標的類別的直接促銷。亦請客戶參考該通知書上以得知在直接促銷上可使用的個人資料的種類，以及客戶的個人資料可提供予甚麼類別的人士以供該等人士在直接促銷中使用。

15. Account Holder Signature 帳戶持有人簽署

Authorised Signature (with Company Chop) 授權人士簽署（加蓋公司印章）：

X

Name of Authorised Person 授權人士姓名：_____

Hong Kong Identity Card No./Passport No./Other documents (specify) No.: 香港身份證號碼／護照號碼／其他證件（請註明）號碼：_____

Date 日期：_____

(For Corporate Account Holders) (公司帳戶持有人適用)

In the presence of 由以下人士見證

Name of Witness 見證人姓名：_____

Signature of Witness 見證人簽署：_____

CE No. 中央編號：_____



16. Verification of Identity (For Non-Face-to-Face Account Opening Process)

身份核實 (適用於以非面對面方式辦理開戶程序)

XinKong recommends the use of face-to-face account opening procedure. Where a non-face-to-face account opening procedure is applied, XinKong shall adopt one of the following additional procedures for identity verification.

信控國際證券建議以面對面方式辦理開戶程序。如以非面對面方式辦理開戶程序，信控國際證券將採用下列其中一項額外程序來檢實身份。

☐ **Option 1 – Identity Verification by Witness**

選項 1-由見證人核實身份

The signing of this Account Application Form shall be certified by a witness who is a licensed or registered person (other than XinKong), an affiliate or a licensed or registered person, a Justice of the Peace, a professional person such as a branch manager of a bank, a lawyer, a certified public accountant or a notary public. The witness shall provide a copy of (1) his/her Passport or Identity Card **AND (2) his/her business card**. The witness shall also certify copies of the Identify Card(s) and/or Passport(s) of the account holder(s).

本開戶申請表需由信控國際證券以外的其他持牌人或註冊人、持牌人或註冊人的聯繫人士、太平紳士或專業人士（例如銀行分行經理、執業會計師、律師或公證人）加以驗證。見證人應提供（1）他/她的護照或身份證和（2）他/她的名片的副本。見證人也應驗證帳戶持有人的身份證和/或護照副本。

The witness hereby certifies that he/she has witnessed the signing of the Account Application Form of XinKong by the Authorised Person referred to in Section 16 of this Account Application Form, _____. The witness further confirms that he/she has verified the Authorised Person's identity against his/her identification documentation.

本人謹此認證，見證本開戶申請表第 15 節所列的授權人士 _____，簽署信控國際證券的開戶申請表。本人進一步確認本人已核實授權人士的身份證明文件，確認其身份。

Signature of Witness 見證人簽署：_____ Date 日期：_____

Name of Witness 見證人姓名：_____ Occupation 職業：_____

Professional Qualification Obtained by the Witness, the Country where the Witness obtained the Qualification and the License Number:

見證人的專業資格，其資格所屬國家及其資格/牌照號碼：

Employer Address and Contact details of the Witness (where applicable) 見證人僱主地址及聯絡方式：

☐ **Option 2 – Identity Verification with the use of Cheques**

選項 2-使用支票核實身份

Sign this Account Application Form, mail it to the XinKong office together with all the supporting documents (including copies of identity documents) AND a cheque payable to "XinKong International Securities Limited" for a minimum of HKD10,000. The cheque should bear the name as shown on your certificate of incorporate (or equivalent) drawn on your account with a Hong Kong licensed bank and a signature identical to that on the Account Application Form. **Your Account will not be activated until the cheque is cleared.** XinKong's relationship manager / customer services officer may then contact you to ensure you understand the Client Agreement, in particular, the Risk Disclosure Statement therein.

簽署本開戶申請表，並連同證明文件及金額不少於 10,000 港元、抬頭寫上「信控國際證券有限公司」的支票，郵寄至信控國際證券辦事處。支票需載有閣下在香港身份證或護照上所顯示的姓名，由閣下在香港持牌銀行開立的帳戶簽發，簽名需與開戶申請表上的簽名相同。**閣下的帳戶於支票兌現後方能啟動。**信控國際證券的聯繫經理/客戶服務員將會聯絡閣下，確保閣下明白客戶協議，特別是其中的風險披露聲明。



☐ **Option 3 – Certification by Certification Authorities**

選項 3-由核證機關驗證

After the XinKong online account opening system is activated, the identity of the Client may be verified by certification services that are recognized by the Electronic Transactions Ordinance (Cap. 553), such as the certification services available from the Hongkong Post, may be employed for client identification purpose. The use of the certification services provided by certification authorities outside Hong Kong whose electronic signature certificates have obtained mutual recognition status in Hong Kong could also be accepted for client identity verification purpose.

在信控國際證券網上帳戶開立系統啟動後，可使用獲得《電子交易條例》（香港法例第 553 章）認可的驗證服務（例如由香港郵政所提供的驗證服務）識別客戶身份。由已於香港就其電子簽署證書取得證書互認資格的香港境外核證機關所提供的驗證服務，亦可被接納作為核實客戶身份之用。

Internal Use Only - Risk Disclosure Statements (For Non Face-to-Face Account Opening Process Only) 只供內部使用—風險披露聲明（適用於以非面對面方式辦理開戶程序）

The Client has been provided with the relevant Risk Disclosure Statements and disclaimers in a language of the Client's choice. The undersigned licensed or registered staff has invited the Client to read the relevant Risk Disclosure Statements and disclaimers set out in the Client Agreement, ask questions and take independent advice if the Client wishes. 客戶獲提供以其所選語言編纂的相關風險披露聲明及免責聲明。以下簽名的持牌或登記人員已邀請客戶閱讀帳戶協議所載的相關風險披露聲明及免責聲明、提出問題及徵求獨立意見（如客戶有此意願）。

Date 日期：_____

Name 姓名：_____

CE No. 中央編號：_____

Signature of Staff Member 職員
簽署：

Telephone Recording 電話錄音

Time 時間：

Date 日期：

Telephone Extension No. 電話分機號碼：

Remarks 備註：

17. Specimen Signature(s) 簽署式樣

Please (a) provide specimen signature(s) of the Authorised Person(s) listed in Section 8 of this Account Application Form, or (b) provide the same in a board minutes and check the box below to indicate your preference.

請(a)提供本開戶申請表第 8 節所列授權人士的簽署樣本，或(b)勾選以下方框及提供一份載有相關簽署樣本的會議記錄。

☐ Refer to the board minutes attached for the specimen signature(s) of all Authorised Person(s).

有關所有授權人士的簽署樣本，請參閱隨附會議記錄。

Specimen Signature# 簽署式樣#

Specimen Signature# 簽署式樣#

X

X

Date 日期：_____

Date 日期：_____



Name 姓名	Name 姓名
Hong Kong Identity Card No./Passport No./Other documents (specify) No.: 香港身份證號碼／護照號碼／其他證件（請註明）號碼：	Hong Kong Identity Card No./Passport No./Other documents (specify) No.: 香港身份證號碼／護照號碼／其他證件（請註明）號碼：
Specimen Signature# 簽署式樣# X Date 日期：_____	Company Chop (if applicable) 公司印章（如適用） X
Name 姓名	
Hong Kong Identity Card No./Passport No./Other documents (specify) No.: 香港身份證號碼／護照號碼／其他證件（請註明）號碼：	
# Specimen signature(s) will be used to verify all written Instructions given relating to the operations of the Account(s). 簽署樣本將用於核實所有與帳戶操作有關的書面指示。	

**ACCOUNT OPENING
DOCUMENT CHECKLIST –
CORPORATE**

開戶文件查核清單

You hereby agree to provide XinKong with such information as may be requested by XinKong from time to time in connection with the opening of any Account(s). 閣下同意向信控國際證券提供其不時為了開立賬戶所需要的資料。

		For Client Use/ 供客戶填寫	For Internal Use/ 供內部填寫
1.	Corporate Account Application Form 公司帳戶開戶申請表	Please sign and return to XinKong 請簽署並交回信控國際證券	
2.	A certified true copy of Board Minutes (if any)* 董事會會議記錄（如有）的真實副本*	Please provide to XinKong 請向信控國際證券提供	
3.	A certified true copy of the Company/ Group Chart – citing the ultimate beneficial owner* 標明最終實益擁有人的公司/集團圖表的真實副本*	Please provide to XinKong 請向信控國際證券提供	
4.	A certified true copy of the Certificate of Incorporation and Certificate of Change of Name (if any)* 公司註冊證書及公司更改名稱證明書(如有)真實副本*	Please provide to XinKong 請向信控國際證券提供	
5.	Certified true copy of Certificate of Incorporation and Certificate of Change of Name (if any)* (or equivalent) (for non-Hong Kong institutions) 公司註冊證書及公司更改名稱證明書(如有)真實副本（或等效文件）（非香港機構）*	Please provide to XinKong 請向信控國際證券提供	
6.	A certified true copy of the Business Registration Certificate* (for Hong Kong registered company) 商業登記證真實副本*（香港註冊公司）	Please provide to XinKong 請向信控國際證券提供	
7.	A certified true copy of the Certificate of Incumbency* (within six months) (for non Hong Kong registered company) or Certified true copies of Register of Directors* and copy of Register of Shareholders* (for non Hong Kong registered company and non-Hong Kong institutions) 職權證明書（現任職位證明書）*真實副本（六個月內）（非香港註冊公司）或董事名冊真實副本*及股東名冊副本*（非香港註冊公司及非香港機構）	Please provide to XinKong 請向信控國際證券提供	
8.	A certified true copy of the Memorandum of Association (if any) and Articles of Association* 組織章程大綱（如有）及組織章程細則真實副本*	Please provide to XinKong 請向信控國際證券提供	
9.	A copy of the Company report obtained from the Hong Kong Companies Registry (for Hong Kong registered company) 自香港公司註冊處獲取的公司報告副本（香港註冊公司）	Please provide to XinKong 請向信控國際證券提供	
10.	Client Money Standing Authority (for Cash Securities Account only) 常設授權（只適用於現金證券帳戶）	Please provide to XinKong 請向信控國際證券提供	

**ACCOUNT OPENING
DOCUMENT CHECKLIST –
CORPORATE**

開戶文件查核清單

You hereby agree to provide XinKong with such information as may be requested by XinKong from time to time in connection with the opening of any Account(s). 閣下同意向信控國際證券提供其不時為了開立賬戶所需要的資料。

		For Client Use/ 供客戶填寫	For Internal Use/ 供內部填寫
11.	Client Securities Standing Authority (for Margin Securities Accounts only) 常設授權（只適用於孖展證券帳戶）	Please sign and return to XinKong (if applicable)請簽署並交回信控國際證券(如適用)	
12.	Income Proof (for Margin Securities Account Holder only) (e.g. Audited Financial Statement* (within one year)/ bank statement/ mortgaged statement/ insurance statement/ funds statement/ latest tax return/ brokerage account statement – issued within recent three months) 入息證明(只適用於孖展證券帳戶持有人) (例如: 經審核財務報表* (一年內) /最近三個月內發出的銀行月結單/按揭單/保險單/基金單/最近一期稅單/糧單/經紀帳戶月結單)	Please provide to XinKong (if applicable)請向信控國際證券提供(如適用)	
13.	Risk Profiling Questionnaire 風險評估取向問卷	Please provide to XinKong 請向信控國際證券提供	
14.	A certified true copy of Company Address Proof (within the past three months; for a newly established company that may not have address proof, client may provide Business Registration Certificate copy or XinKong may conduct additional procedure on confirming the company address)* 公司地址證明真實副本（過去三個月內; 如屬新開設而未有地址證明的公司，客戶可提供商業登記證副本，信控國際證券或會採取額外程序核實公司地址）*	Please provide to XinKong 請向信控國際證券提供	
15.	Certified true copies of identification documents of Beneficial Owners (shareholding of 10% or more), all Director(s), Authorised Person(s) and person(s) who originate(s) Instructions to XinKong* 實益擁有人（持有 10%或以上股權）、所有董事、授權人士及負責向信控國際證券發出交易指示的人員的身份證明文件真實副本*	Please provide to XinKong 請向信控國際證券提供	
16.	Certified true copies of valid passports or other identification documents of all Authorised Persons* 所有授權人士的有效護照或其他身份證真實副本*	Please provide to XinKong 請向信控國際證券提供	
17.	Certified true copies of Address Proof of Beneficial Owners (shareholding of 10% or more)* 實益擁有人（持有 10%或以上股權）的地址證明真實副本	Please provide to XinKong 請向信控國際證券提供	
18.	Deed of Guarantee** 擔保契據**	Please sign and return to XinKong 請簽署並交回信控國際證券	
19.	A certified true copy of identification documents of Guarantor (if applicable)* 擔保人的身份證明文件真實副本（如適用）*	Please provide to XinKong 請向信控國際證券提供	
20.	A certified true copy of Residential Address Proof of Guarantor (within the past three months) (if applicable)* 擔保人的住宅地址證明真實副本（過去三個月內）（如適用）*	Please provide to XinKong 請向信控國際證券提供	

**ACCOUNT OPENING
DOCUMENT CHECKLIST –
CORPORATE**

開戶文件查核清單

You hereby agree to provide XinKong with such information as may be requested by XinKong from time to time in connection with the opening of any Account(s). 閣下同意向信控國際證券提供其不時為了開立賬戶所需要的資料。

		For Client Use/ 供客戶填寫	For Internal Use/ 供內部填寫
21.	Client Agreement and Annexures (with the Notice to Client relating to the Personal Data (Privacy) Ordinance) 客戶協議及附錄（附有有關個人資料（私隱）條例的客戶通知書）	Please consider the terms of the Client Agreement and Annexures carefully 請細心考慮業務條款內所載的條款	
22.	Standard Fees and Commissions Table available at www.xinkong.com.hk 可於 www.xinkong.com.hk 瀏覽標準費用及佣金表	Please consider the information in the table carefully 請細心考慮標準費用及佣金表	
23.	Self-Certification (Corporate / Institutional) – for the purpose of AEOI/CRS and FATCA 自我認證（公司/機構）–供 AEOI/CRS 和 FATCA 之用	Please sign and return to XinKong 請簽署並交回信控國際證券	
24.	Standard Settlement Instructions (if any) 標準交收指示（如有）	Please sign and return to XinKong (if any) 請簽署並交回信控國際證券(如有)	
	<p>* <i>Must be certified by a JP (Justice of the Peace), or a professional person such as a branch manager of a bank, a certified public accountant, a lawyer or a notary public. (A PRC lawyer, an accountant and a notary public must have his/her relevant professional qualification. Relevant proof and registered number must be provided.)</i> 須由太平紳士或銀行分行經理、執業會計師、律師或公證人等專業人士核證，且須提供專業資格證明。（中國律師、會計師及公證人須擁有專業資格。須提供相關證明及登記號碼。）</p> <p>** <i>Must be guaranteed by director or shareholder.</i> 須由董事或股東擔保。</p>		

Note 註	
Copy of Company Address Proof 公司地址證明副本	<ul style="list-style-type: none"> • <i>copy of residential address proof of director is acceptable as company address proof for sole member and sole director company</i> 董事的住宅地址證明副本可作為唯一股東及唯一董事公司的公司地址證明
Natural Person(s) of Corporate Account 公司帳戶的自然人： For any director(s)/shareholder(s) that is a Company, please identify all natural person(s) who is/are the ultimate beneficial owner(s) of that Company 就任何身為公司的董事／股東而言，請確認身為自然人的實益擁有人	<ul style="list-style-type: none"> • <i>for Hong Kong incorporated company</i> 就香港註冊成立公司而言 <ul style="list-style-type: none"> – <i>Copy of Certificate of Incorporation and Certificate of Change of Name (if any)*</i> 公司註冊證明書及公司更改名稱證明書(如有)副本* – <i>Copy of Business Registration Certificate*</i> 商業登記證副本* – <i>Copy of Memorandum of Association (if any) and Articles of Association*</i> 組織章程大綱(如有)及組織章程細則副本* – <i>Company report obtained from the Hong Kong Companies Registry</i> 自香港公司註冊處獲取的公司報告 – <i>Audited Financial Statement (within one year) (if required)</i> 經審核財務報表(一年內)(如需要) – <i>Copies of identification documents of all Director(s) and Authorised Person(s)</i> 所有董事及授權人士的本人身份證明文件副本 • <i>for non-Hong Kong incorporated company</i> 就非香港註冊成立公司而言 <ul style="list-style-type: none"> – <i>Copy of Certificate of Incorporation and Certificate of Change of Name (if any)*</i> 公司註冊證明書及公司更改名稱證明書(如有)副本* – <i>Copy of Certificate of Incumbency* (within six months)</i> 職權證明書副本*(六個月內) – <i>Copy of Memorandum of Association (if any) and Articles of Association*</i> 組織章程大綱(如有)及章程細則副本* – <i>Copy of Register of Directors* and copy of Register of Shareholders *</i> 董事名冊副本*及股東名冊副本* – <i>Audited Financial Statement (within one year) (if required)</i> 經審核財務報表(一年內)(如需要) – <i>Copies of identification documents of all Director(s) and Authorised Person(s)</i> 所有董事及授權人士的本人身份證明文件副本
Any deletions or amendments on the Account Agreement/ any other relevant documents 對帳戶協議／任何其他相關文件作出的任何刪除或修訂	<ul style="list-style-type: none"> • <i>Must be signed by all Account Holders (full signature)</i> 須由所有帳戶持有人簽署(簽全名)

信控國際證券有限公司

XinKong International Securities Limited

Submit your application by ONE of the following ways:

閣下可透過下列其中一個方法提交申請表:

For Face-to-Face Account Opening

以面對面方式辦理開立帳戶程序

- A. Bring this Account Application Form and all supporting documents to our offices. Your signature shall be witnessed by our licensed representative. Please attend our office, with the Account Application Form and supporting documents, at the following address:

攜同本開戶申請表 and 所有證明文件到本公司辦事處。閣下需在本公司的持牌代表見證下簽署。請攜同開戶申請表 and 證明文件親臨本公司下列辦事處辦理:

XinKong International Securities Limited
Rooms 1703-04, YF Life Centre,
No.38 Gloucester Road,
Wan Chai, Hong Kong
Attn: Securities Business Department

信控國際證券有限公司 證券業務部
香港灣仔告士打道 38 號萬通保險中心 17 樓 1703 至 04 室

For Non-Face-to-Face Account Opening

以非面對面方式辦理開立帳戶程序

- B. The signing of this Account Application Form shall be certified by a witness who is a licensed or registered person (other than XinKong), an affiliate or a licensed or registered person, a Justice of the Peace, a professional person such as a branch manager of a bank, a lawyer, a certified public accountant or a notary public. Supporting documents should also be sighted and certified by the types of persons listed above. The witness must complete the Identity Verification section (Section 17) of the Account Application Form. Please send the signed Account Application Form, together with all supporting documents, by post to the address set out at "A" above:

本開戶申請表的簽署需由信控國際證券以外的其他持牌人或註冊人、持牌人或註冊人的聯繫人士、太平紳士或專業人士（例如銀行分行經理、執業會計師、律師或公證人）加以驗證。證明文件亦需經上述見證人驗證。見證人需填寫本開戶申請表上的身份驗證部份(第 17 節)。請把已簽署的開戶申請表連同所有證明文件郵寄到“A”列地址:

- C. Sign this Account Application Form, mail it to the XinKong office set out in paragraph A above together with all the supporting documents (including copies of identity documents) AND a cheque payable to "XinKong International Securities Limited" for a minimum of HKD10,000. The cheque should bear the name as shown on your certificate of incorporate (or equivalent) drawn on your account with a Hong Kong licensed bank and a signature identical to that on the Account Application Form. **Your Account will NOT be activated until (1) the cheque is cleared and (2) XinKong's relationship manager / customer services officer has contacted you to ensure you understand the Client Agreement, in particular, the Risk Disclosure Statement therein.** Please send the signed Account Application Form, together with all supporting documents, by post to the address set out at "A" above:

簽署此開戶申請表，並連同所有證明文件(包括身份證明文件的副本)，以及金額不少於 10,000 港元、抬頭寫上「信控國際證券有限公司」的支票，郵寄至上文 A 段所述的信控國際證券辦事處。支票需載有貴公司在公司註冊證明書(或同等文件)上所顯示的名稱，由貴公司在香港持牌銀行開立的帳戶簽發，簽名需與開戶申請表上的簽名相同。**貴公司的帳戶(1)於支票兌現後，及(2) 信控國際證券的客戶關係經理/客戶服務員已聯絡貴公司，確保貴公司明白客戶協議，特別是其中的風險披露聲明後方能啟動。**請把本開戶申請表連同所有證明文件郵寄到“A”列地址:

信控國際證券有限公司

XinKong International Securities Limited

For Internal Use (The Account Opening/ Relationship Manager should ensure this part be complete and signed)
只供內部填寫 (開戶/客戶關係經理應確保已填妥並簽署此欄)

香港股票 HK STOCKS:

息率 Interest Rate (%)		經紀回佣 AE Rebate (%)	
佣金 Brokerage (%)		經紀最低佣金 Minimum AE Rebate (HKD)	
最低佣金 Min Brokerage (HKD)			

海外股票 OVERSEAS STOCKS:

佣金 Brokerage (%)	美股	新加坡股	其它
	(每宗交易最低 40 美元)	(每宗交易最低 40 新加坡元)	

期貨 FUTURES:

	即日 (Day Trade)		隔夜 (Overnight)		指數期權 (Index Option)	
	電子盤 (Internet)	電話盤 (Phone)	電子盤 (Internet)	電話盤 (Phone)	電子盤 (Internet)	電話盤 (Phone)
恒生指數期貨 HSI Futures	HKD	HKD	HKD	HKD	HKD	HKD
國企指數期貨 HHI Futures	HKD	HKD	HKD	HKD	HKD	HKD
小型恒生指數期貨 MHI Futures	HKD	HKD	HKD	HKD	HKD	HKD
小型國企指數期貨 MCH Futures	HKD	HKD	HKD	HKD	HKD	HKD
海外期貨 Global Futures	USD	USD	USD	USD	USD	USD

簽署 Signatures:

Checked by KYC and AML checker 由開戶/AML 核 查員核對	Approved by Responsible Officer 由負責人員核准	Approved by Responsible Officer (if applicable) 由負責人員核准(如 適用)	Input into System by 由下列人士輸入系 統	Welcome Letter sent out by and followed up by; 由下列人士發出開 戶信/跟進;	Remarks (if applicable, by Risk, Compliance or Internal Audit) 備註(如適用, 由風 險或合規或內部審 計填寫)
--	---	---	---------------------------------------	--	---

Date 日期:

If Part B under Section 8 is selected, clients to provide the board minutes approving. Clients are recommended to adopt the standard Appendix A (with both Appendix I and II being filled in) to approve the opening of the Account, authorised signatories, the provision of oral Instructions and other relevant Instructions. If Clients elect to adopt their company's own version of board minutes, please kindly reflect the below content in Clients' own board minutes.

如採用第八 B 部份, 客戶請採用附件 A“董事會會議記錄樣本”(須填寫其附錄 I,II) 以授權簽署人、口頭指示條文及其他相關指示。如客戶選擇採納其公司採用的會議記錄樣本, 請確保該會議記錄包含附件 A 的內容。