



滙澤證券有限公司

T G SECURITIES LIMITED

T G SECURITIES

Account Opening Information Form 開戶資料表		
(Corporate / Sole Proprietor / Partnership Account) (公司/獨資經營/合伙經營戶口)		<u>For official use only</u> 只供本行使用
Please select the type of account 請選擇戶口類別		Account No. 戶口號碼：
<input type="checkbox"/> Cash Securities Account 現金證券戶口 <input type="checkbox"/> Equity Options Account 股票期權戶口 <input type="checkbox"/> Futures Account 期貨戶口 <input type="checkbox"/> Online Trading Services 網上交易服務		Date Opened 開戶日期：
Corporate Information 公司資料		
Name of Company 公司名稱 (English 英文) (Chinese 中文)		
Nature of business 業務性質	Place of incorporation 公司註冊地點	Date of incorporation 公司註冊日期
Certificate of Incorporation No. 公司註冊號碼		Business Registration No. 商業登記號碼
<input type="checkbox"/> Private limited company 私人公司 <input type="checkbox"/> Listed company 上市公司 <input type="checkbox"/> Sole proprietor 獨資經營 <input type="checkbox"/> Partnership 合伙經營 <input type="checkbox"/> Others 其他 _____		
Registered address 公司註冊地址		
Business address (if different) 公司營業地址(如有不同)		
Telephone no. 電話號碼	Fax no. 傳真號碼 / Telex no. 電傳號碼	Email address 電郵地址
All correspondence of the account including statements, confirmations, notices, contracts etc to be mailed to: 請將上述帳戶之信件，包括結算單、確認書、通知書及契約書等發送至：		
<input type="checkbox"/> Email address 電郵地址 <input type="checkbox"/> Business address 公司營業地址 <input type="checkbox"/> Registered address 公司註冊地址 <input type="checkbox"/> Other address, please specify (其他地址，請說明) _____		
Nominated Bank Account 指定銀行戶口		
Please nominate the bank account you wish to use fund deposit (the account must be your Company name) 請指示銀行戶口以供入數之用 (必須與貴公司名稱相同)		
Bank Name 銀行名稱: _____		
Account Number 戶口號碼: _____		
Directors / Partners 董事/合伙人		
1.	2.	3.
4.	5.	6.



Latest Financial Information 最近期之財務資料	
Issued / paid capital 已發行/已繳足股本 HK\$ _____	Net tangible assets 有形資產淨值 (as at 日期 _____) HK\$ _____
Sales turnover for the past two years 最近2年之營業額 1. HK\$ _____ () Year 年 2. HK\$ _____ () Year 年	Profit after tax for the last 2 years 最近2年之除稅後溢利 1. HK\$ _____ () Year 年 2. HK\$ _____ () Year 年
Investment Experience 投資經驗	
<input type="checkbox"/> Nil 無 <input type="checkbox"/> Warrants 認股證 _____ year 年 <input type="checkbox"/> HK listed Stock 香港上市證券 _____ year 年 <input type="checkbox"/> Overseas listed stocks 海外上市證券 _____ year 年 <input type="checkbox"/> HK futures / options 香港期貨/期權 _____ year 年 <input type="checkbox"/> Overseas futures / options 海外期貨/期權 _____ year 年	
Investment Objectives 投資目標	Risk Factors 風險因素
<input type="checkbox"/> Income 收入 <input type="checkbox"/> Capital gain 資本增值 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Speculation 投機	<input type="checkbox"/> Low 低風險 <input type="checkbox"/> High 高風險 <input type="checkbox"/> Medium 中風險 <input type="checkbox"/> Very High 極高風險
Bank References 銀行資料	
Main Banker 主要銀行： _____ Branch / Address 分行/地址： _____ Account Name 戶口名稱： _____ Account No. 戶口號碼： _____	
Broker References 經紀資料	
Accounts held with other brokerage firms 在其他經紀行設有戶口： <input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有 Other Broker(s) 其他經紀行名稱： _____ Address(es) 地址： _____ Account Type(s) 戶口類別： <input type="checkbox"/> Cash 現金 <input type="checkbox"/> Margin 孖展 <input type="checkbox"/> Stock Options 股票期權 <input type="checkbox"/> Futures 期指 <input type="checkbox"/> Commodities 商品 <input type="checkbox"/> Foreign Exchange 外匯 <input type="checkbox"/> Others 其他 _____ Account Name(s) 戶口名稱： _____ Account No(s). 戶口號碼： _____	



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Related Accounts 關聯戶口

Do you have any related company which has already opened an account with T G Securities?

是否有任何與貴公司同一集團之成員已在滙澤證券開立戶口？

Yes, name of the related company 是，該公司名稱： _____ No 否

Account number: 戶口號碼： _____

Is any related account maintained with T G Securities, either alone or with his spouse, in control of 35% or more of your voting right?

於滙澤證券，有否任何關連客戶，單獨或與其配偶共同控制貴公司 35% 或以上的表決權？

Yes, name of account 是，客戶名稱： _____ No 否

Account number: 戶口號碼： _____

Shareholders & Ultimate Principal Beneficial Owner(s) of the Account 股東及戶口最終主要權益擁有人

The Client hereby declares that 客戶茲聲明

1. Shareholder(s) with more than 25% of shareholdings of the Company 持股多於 25% 的股東:

Name 姓名	Address 地址

2. The ultimate principal beneficial owner(s) of the account is / are (use separate sheet if necessary)

以下人士為此戶口最終主要權益擁有人(如空位不足，請另加紙填寫)

Name 姓名	I.D. / Passport No. 身份證 / 護照號碼
Date of Birth 出生日期	Nationality 國籍
U.S. Tax Resident 美國納稅居民 <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	U.S. Green Card Holder 美國綠卡持有人 <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
Contact Tel. No. 聯絡電話號碼	Contact Tel. No. contains U.S. Country Code 聯絡電話號碼為一個美國號碼 <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
Residential Address 住宅地址 _____	
Email Address 電郵地址 _____	

If the Client is acting as a financial intermediary, the Client shall inform T G Securities or the Hong Kong Regulators of the ultimate beneficiary of the Account upon request.

客戶本身作為金融中介機構，而客戶須應要求通知滙澤證券或香港監管機構有關此戶口最終權益擁有人資料。



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3. Are any of the above directors / shareholders a licensed / registered person, or a director / an employee of a licensed corporation / registered institution of SFC?

上述董事/股東是否證監會的持牌 / 註冊人士，或持牌法團 / 註冊機構之董事 / 僱員？

Yes, the name of the licensed corporation / registered institution is 是，該持牌法團 / 註冊機構之名稱為：

No 否

4. Is any of the above beneficial owner(s) related to the director(s) or employee(s) of T G Securities Limited or the group companies?

最終權益人是否與滙澤證券或滙澤同一集團之其他成員公司的董事或僱員有直屬關係？

Yes, name of the director(s) or employee(s) 是，董事或僱員名稱：

No 否

Authorized Trading and Settlement Officers 獲授權交易及交收人

Any one of the following person(s) is/are authorized as trading and settlement officer(s) to give trading and settlement instructions

下列任何人士獲授權代表本公司進行買賣及發出交收指示：

Name 姓名	I.D. Card / Passport No. 身份証/護照號碼	Phone No. 電話號碼
1.		
2.		
3.		
4.		
5.		
6.		



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Specimen Authorized Signatures 授權簽署式樣

Account Name 客戶名稱: _____

Account No. 客戶號碼: _____

(to be completed by T G 由滙澤填寫)

The following person(s) is/are authorized to operate the account 以下人士獲授權簽署:

A total of _____ signatures, any _____ signature(s) will be valid.

總共 _____ 個簽名，任何 _____ 個簽名有效。

<p>Name: 姓名: _____</p> <p>H.K.I.D. / Passport No.: 香港身份證/護照號碼: _____</p> <p>Specimen Signature: 簽署式樣: _____</p>	<p>Name: 姓名: _____</p> <p>H.K.I.D. / Passport No.: 香港身份證/護照號碼: _____</p> <p>Specimen Signature: 簽署式樣: _____</p>
<p>Name: 姓名: _____</p> <p>H.K.I.D. / Passport No.: 香港身份證/護照號碼: _____</p> <p>Specimen Signature: 簽署式樣: _____</p>	<p>Name: 姓名: _____</p> <p>H.K.I.D. / Passport No.: 香港身份證/護照號碼: _____</p> <p>Specimen Signature: 簽署式樣: _____</p>
<p>Name: 姓名: _____</p> <p>H.K.I.D. / Passport No.: 香港身份證/護照號碼: _____</p> <p>Specimen Signature: 簽署式樣: _____</p>	<p>Name: 姓名: _____</p> <p>H.K.I.D. / Passport No.: 香港身份證/護照號碼: _____</p> <p>Specimen Signature: 簽署式樣: _____</p>
<p>Company Chop 公司印章</p>	<p>Nominated Bank Name 指定銀行: _____</p> <p>Bank Account Number 指定銀行戶口: _____</p>



Client Declaration and Confirmation 客戶聲明及確認

The Client represents that the information contained in this Account Opening Information Form is true, complete and correct and that the representations in the attached current version of the Standard Terms and Conditions for Securities Trading / Futures and Options Trading of T G Securities Limited (the "Agreement") are accurate. T G Securities Limited ("T G") is entitled to rely fully on such information and representations for all purposes, unless T G receives notice in writing of any change. T G is authorized at any time to contact anyone, including my / our banks, brokers and credit agency, for the purpose of verifying the information provided on this Account Opening Information Form.

客戶茲聲明在本開戶資料表內的資料均屬真實，完整及正確，而附上滙澤證券有限公司最新版本的證券 / 期貨及期權交易標準條款（“該協議書”）一切內容準確。除非滙澤證券有限公司（“滙澤證券”）收到有關更改開戶資料表內容的書面通知，滙澤證券有權在任何用途上完全依賴這些資料及聲明。滙澤證券有權隨時聯絡任何人，包括客戶之銀行、經紀或任何信貸機構，以求證實此開戶資料表所載之內容。

I/We, the undersigned Client(s), hereby apply to open Securities / Futures / Options Account(s). I/We have read and understood the provisions of the Agreement of which this document forms a part and agree to be bound by the agreement (receipt of a copy whereof is hereby acknowledged by me/us) as the same may be amended from time to time. I/We acknowledge and confirm that T G has provided the Risk Disclosure Statements and Disclaimers annexed hereto in a language my/our choice (English or Chinese) and I/we have been invited to read the same, to ask questions and take independent advice if I/we wish.

本人/吾等，下述簽署客戶，現申請開立證券/期貨/期權買賣帳戶。本人/吾等已閱讀過及明白附上的該協議書，而本文件乃該協議書的一部份，並同意接受該協議書內不時修訂之條款及細則（謹此聲明本人/吾等已收妥其副本）所約束。本人/吾等確認滙澤證券已按照本人/吾等選擇的語言(中文或英文)獲提供附於本表的風險披露聲明及免責聲明，及已獲邀閱讀該等聲明、提出問題及徵求獨立的意見(如本人/吾等有此意願)。

Authorized Signature 授權人簽名 (plus Company Chop 加公司印章)

Date 日期

Staff Declarations 職員聲明

I/We, licensed person(s), hereby declare and confirm that I/we have provided the Risk Disclosure Statement and Disclaimers in a language of the Client's choice (English or Chinese) and invited the Client to read the same, ask questions and take independent advice if the Client/Joint Client so wishes.

本人/吾等，以持牌人身份，謹此聲明及確認本人/吾等已按照上述客戶所選擇的語言(英文或中文)提供附於本表的風險披露聲明及免責聲明及邀請客戶/聯名客戶閱讀該等聲明，提出問題及徵求獨立的意見。

Signed by Licensed Person
持牌人簽署

Name and CE No. of Licensed Person
持牌人姓名及 CE 編號

Date
日期



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For Official Use Only 只供本行使用	
Introduced by 介紹人：	How Long Known to Client 與客戶相識年期：
Name of Account Executive 客戶主任姓名：	AE No 客戶主任號碼：
Bank and Credit References Obtained 已獲銀行及信貸參考： Yes 是/No 否	Documents Checked By 文件查核：
Credit Limit Suggested by AE 客戶主任建議之信用額：	Brokerage 經紀佣金：
AML Checking 客戶風險審查: <input type="checkbox"/> No, no adverse AML news/on terrorist list 沒有洗錢/恐怖分子資料 <input type="checkbox"/> Yes, has adverse AML news/on terrorist list 有洗錢/恐怖分子資料: _____ _____ Signature of Checker 審查員簽署: _____ Name 姓名: _____	AML Risk Assessment 客戶風險評估： <input type="checkbox"/> High 高 -- Politically exposed persons; from high risk countries; unknown source of income; cash intensive business; complex corporate structures; high risk authorized persons to operate account; involved in financial crimes. 政治人物; 來自高風險國家; 不明收入來源; 現金密集型業務; 公司結構複雜; 高風險的第三者授權人; 涉及金融罪行。 <input type="checkbox"/> Medium 中 -- Short known history to AEs/T G; walk-in customers; non-face-to-face account opening; pending legal litigation; business exposed in high risk countries. 與客戶相識年期較短; 步入式客戶; 非面對面開戶; 未決的法律訴訟; 與高風險國家有業務往來。 <input type="checkbox"/> Low 低 -- Long known to AEs/T G; with employment-based incomes; with legitimate source of income or wealth. 與客戶相識年期長, 擁有受僱收入; 具合法收入或財富來源。 Assessment RO 評估負責人簽署: _____ Name 姓名: _____
Account Executive Signature 客戶主任簽署：	Account Approved By 批准人簽署：
Date 日期: _____	Name 姓名: _____ Date 日期: _____