信有道證券有限公司
Signal D Securities Limited

Corporate Account Opening Form 法團開戶表格

For Internal Use Only 內部專用

Account Name: 帳戶名稱: _____

Account Number: 帳戶號碼: _____

Account Opening Date 開戶日期: _____

A.E. Name & Code 經紀姓名及編號: _____

地址: 香港上環皇后大道中222號啟煌商業中心1樓102室

Address: Room 102, 1/F Kai Wong Commercial Building,
222 Queen's Road Central, Sheung Wan,Hong Kong

電話Tel: (852) 35895899 傳真Fax: (852) 36189916 客服電郵:cs@signald.com.hk

信有道證券有限公司
Signal D Securities Limited

Signal D Securities Limited (CE Number: BXP722) 信有道證券有限公司（中央編號:BXP722）
Corporate Account Opening Form 法團開戶表格

1. Account Information 帳戶資料

Account Type 帳戶類別

☐ Cash Account 證券現金 ☐ Margin Account 證券保證金 ☐ Asset Managemet 資產管理

Subscribe Electronic Trading Service 申請電子交易服務

☐ Yes 是 ☐ No 否

2. Entity Information 實體資料

Corporate Name (English) 法團名稱（英文） ("Client")	**Corporate Name (Chinese) 法團名稱（中文）**（「客戶」）
Date of Incorporation (dd/mm/yyyy) 註冊日期（日 / 月 / 年）	**Place of Incorporation 註冊地點**
Legal Entity Identifier 法律實體識別編碼	**Certificate of Incorporation Number 註冊證書號碼**
Business Registration Number 商業登記號碼	**Business Nature 業務性質**

Entity Type 實體類別

☐ Corporation 法團 ☐ Partnership 合夥 ☐ Sole proprietorship 獨資經營

☐ Listed 上市公司 ☐ Overseas 海外公司 ☐ Other 其他: _____

Email Address 電郵地址

Office Phone Number 公司電話號碼	**Fax Number 傳真號碼**

Registered Address 註冊地址

Principal Place of Business Address (if different from the above) 主要辦事處地址（如與上述不同）

3. Shareholder(s) and Director(s) Information 股東及董事資料

#1	**Capacity (choose all that apply) 身份（選擇所有適用選項）** ☐ Shareholder 股東 ☐ Director 董事	**Name 姓名**
	Phone Number 通訊電話	**Nationality 國籍**
	Correspondence Address 通訊地址	☐ HKIDR 香港居民 ☐ Passport No. 護照: _____ ☐ PRC ID 中國內地居民身份證 ☐ Premanent 永久 ☐ Valid until 有效日期至: _____

3. Shareholder(s) and Director(s) Information (Continued) 股東及董事資料（續）

#2	**Capacity (choose all that apply) 身份（選擇所有適用選項）** □ Shareholder 股東 □ Director 董事	**Name 姓名**
	Phone Number 通訊電話	**Nationality 國籍**
	Correspondence Address 通訊地址	□ HKIDR 香港居民 □ Passport No. 護照: □ PRC ID 中國內地居民身份證 □ Premanent 永久 □ Valid until 有效日期至:

** 多於兩位以上時,請提供附件並加簽置。*

If more than above shareholders / Directors, please provide supplementary sheet with athorised signatures.

4. Financial Information 財務資料

(A) Financial Status 財務狀況

Paid Up Capital 已繳股本	Liquid Assets 流動資產	Asset Net Worth 資產淨值	The Latest Annual Profit 最新年度溢價

(B) Source(s) of Wealth (choose all that apply) 資金來源（選擇所有適用選項）

□ Shareholder's Fund 股東資金 □ Client Money 客戶資金 □ Business Income 營業收入

□ Investment Income 投資收入 □ Rental income 租金收入 □ Others 其他:

Settlement Bank Account Information 結算銀行帳戶資料

Bank account name must be in the same name of the Client 銀行帳戶名稱必須與客戶名稱相同

#1	Currency 貨幣 □ HKD 港元 □ USD 美元 □ RMB 人民幣	Bank Name 銀行名稱	Account Number 帳戶號碼
#2	Currency 貨幣 □ HKD 港元 □ USD 美元 □ RMB 人民幣	Bank Name 銀行名稱	Account Number 帳戶號碼

5. Investment Objective 投資目的

Investment Objective (choose all that apply) 投資目的（選擇所有適用選項）

□ Capital gain 資本增值 □ Hedging 對沖 □ Income 收入

□ Speculation 投機 □ Others 其他:

Estimated Investment Amount (HK$) 估計投資金額（港元）

□ <100,000 □ 100,000-500,000 □ 500,001-1,000,000 □ 1,000,001-5,000,000

□ 5,000,001-10,000,000 □ 10,000,001-15,000,000 □ >15,000,000

6. Derivative Products Knowledge Assessment 衍生產品知識評估

- Does the Client (i) have in-house treasury or investment function; (ii) have a designated investment committee; and/or (iii) engage an independent investment advisor, responsible for the investment strategies and decisions? 客戶是否(i)於內部設有司庫 / 投資團隊;(ii)設有專責投資委員會;及 / 或(iii)聘請獨立投資顧問，以負責閣下的投資戰略和決策? □ Yes 是 □ No 否

- Is the person making investment decisions have sufficient investment background? 負責代表客戶作出投資決定的人士是否具備充分的投資背景? □ Yes 是 □ No 否

7. Client Disclosure 客戶披露

- Is any shareholder, director, authorized person or ultimate beneficial owner ("UBO") of the Client an employee of a licensed corporation under the Securities and Futures Ordinance or a registered institution under the Banking Ordinance? 客戶的任何股東、董事、獲授權人或最終權益擁有人是否為根據《證券及期貨條例》之持牌法團或《銀行業條例》之註冊機構之僱員? □ Yes 是 □ No 否

  If yes, please specify the name of the shareholder(s)/director(s)/authorized person(s)/UBO(s), SFC CE number/HKMA registration number (if any), employer name and submit an employer consent letter which provides consent to open an account with Signal D Securities Limited ("Signal D") 如是，請提供股東 / 董事 / 獲授權人 / 最終權益擁有人姓名、證監會中央編號 / 金管局註冊號碼 (如有) 、僱主 名稱及由僱主發出同意閣下於信有道證券有限公司 (「信有道證券」) 開設帳戶的同意書:

- Does any shareholder, director, authorized person or UBO of the Client have any relationship with any director, employee or licensed persons of Signal D? 客戶的任何股東、董事、獲授權人或最終權益擁有人是否與信有道證券的任何董事、僱員或持牌人有任何關係? □ Yes 是 □ No 否

  If yes, please specify the name of the shareholder(s)/director(s)/authorized person(s)/UBO(s), name of director/ employee/ licensed person of Signal D and relationship. 如是，請提供股東 / 董事 / 獲授權人 / 最終權益擁有人姓名、信有道證券的董事 / 僱員 / 持牌人姓名及關係:

- Is any shareholder, director, authorized person or UBO of the Client a client of Signal D? 客戶的任何股東、董事、獲授權人或最終權益擁有人是否信有道證券的客戶? □ Yes 是 □ No 否

  If yes, please specify the account name and the account number. 如是，請提供帳戶名稱及帳戶號碼:

- Is the Client and/or any member of the same group of companies of the Client in control of 35% or more of the voting rights of any margin account of Signal D? 客戶及 / 或客戶的公司集團任何成員是否控制信有道證券任何保證金帳戶35%或以上表決權? □ Yes 是 □ No 否

  If yes, please specify the account name and the account number: 如是，請提供帳戶名稱及帳戶號碼:

- Is any shareholder, director, authorized person or UBO of the Client entrusted or has been entrusted with a prominent public function, includes a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation, an important political party official and international organization politically exposed persons? 客戶的任何股東、董事、獲授權人或最終權益擁有人是否擔任或曾擔任重要公職，包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員、重要政黨幹事及國際組織政治人物? □ Yes 是 □ No 否

  If yes, please provide details: 如是，請提供詳情:

- Is the Client incorporated in U.S. or do you generate income from U.S. for tax purpose? 客戶是否在美國註冊成立或有美國稅務目的產生的收入? □ Yes 是 □ No 否

  If yes, please contact Signal D client service department, otherwise please complete Form W-8BEN-E. 如是，請聯絡信有道證券客戶服務部，否則請填寫Form W-8BEN-E。

8. Self-Certification 自我證明

Instruction 指引

Pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance ("IRO"), please provide all of your jurisdiction of residence and taxpayer identification number or its functional equivalent ("TIN"). If a TIN is unavailable, provide the appropriate reason A, B or C: 根據《稅務條例》有關交換財務帳戶資料的法律條文，請提供閣下所有的居留司法管轄區及稅務編號或具有等同 功能的識辨編號（「稅務編號」）。如沒有提供稅務編號，必須填寫合適的理由:

- **Reason A -** The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents. 理由A—帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。
- **Reason B -** The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason. 理由B—帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。
- **Reason C -** TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed. 理由C—帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

Entity Type 實體類別

Choose the most appropriate option 選擇最合適的選項

Financial Institution 金融機構	□ Custodial Institution, Depository Institution or Specified Insurance Company 託管機構、存款機構或指明保險公司 □ Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity' s assets) and located in a non-participating jurisdiction 投資實體，但不包括由另一財務機構管理（例如:擁有酌情權管理投資實體的資產）並位於非參與稅務管轄區的投資實體.
Active NFE 主動非財務實體	□ NFE the stock of which is regularly traded on an established securities market 該非財務 實體的股票經常在一個具規模證券市場進行買賣 (please specify the securities market)（請說明證券市場）: _____ □ Related entity of a stock of which is regularly traded on an established securities market (please specify the stock and the securities market): 一個股票經常在一個具規模證券市場進行買賣的實體的有（請說明股票及證券市場）: _____ □ NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities 政府實體、國際組織、中央銀行或由前述的實體全權 □ Active NFE other than the above (please specify): 除上述以外的主動非財務實體（請說明）: _____
Passive NFE 被動非財務實	□ Investment entity that is managed by another financial institution and located in a non-participating jurisdiction 位於非參與稅務管轄區並由另一財務機構管理的投資實體 □ NFE that is not an active NFE 不屬主動非財務實體的非財務實體

Controlling Person 控權人

Please indicate the name of all of your controlling person(s) if you are a passive NFE. If no natural person exercises control over you which is a legal person, the controlling person will be the individual holding the position of senior managing official. Complete Self-Certification Form – Controlling Person for each controlling person. 請填寫閣下所有控權人的姓名如閣下是被動非財務實體。如對閣下行使控制權的並非自然人，控權人會是閣下的高級管理人員。每名控權人須分別填寫一份自我證明表格—控權人。

1)	2)	3)

8. Self-Certification (Continued) 自我證明（續）

Jurisdiction of Residence and TIN 居留司法管轄區及稅務編號

Tax Residence (choose all that apply) 稅務居民（選擇所有適用選項）

□ Hong Kong 香港 □ Other jurisdiction 其他居留司法管轄區

Please complete the following if you hold tax residence of other jurisdiction. If you have more than one tax residence of other jurisdiction, please attach and sign extra self-certification. 請填寫以下如閣下為其他居留司法管轄區稅務居民。如閣下持有多於一個其他居留司法管轄區稅務居民資格，請另附自我證明及簽署。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號

Select Reason A, B or C if No TIN is Available 如沒有提供稅務編號，選擇理由A、B或C

□ Reason A 理由A □ Reason B 理由B □ Reason C 理由C

Explain Why You are Unable to Obtain a TIN if You have Selected Reason B 如選取理由B，解釋不能取得稅務編號的原因

_____

Declaration 聲明

- We acknowledge and agree that: (a) the information contained in this form is collected and may be kept by Signal D for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by Signal D to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the IRO. 吾等知悉及同意，信有道證券可根據《稅務條例》有關交換財務帳戶資料的法律條文:(a)收集本表格所載資料並可備存作自動交換財務帳戶資料用途及(b)把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。
- We undertake to advise Signal D of any change in circumstances which affects our tax residency status or causes the information contained herein to become incorrect, and to provide Signal D with suitably updated information within thirty (30) days of such change in circumstances. 吾等承諾，如情況有所改變，以致影響吾等的稅務居民身份，或引致本表格所載的資料不正確，吾等會通知信有道證券，並會在情況發生改變後三十(30)日內，向信有道證券提交已適當更新的資料。
- We declare that the information given and statements made in this form are, to the best of our knowledge and belief, true, correct and complete. 吾等聲明就吾等所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

Warning 警告

It is an offence under section 80(2E) of the IRO if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. $10,000). 根據《稅務條例》第80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第3級（即$10,000）罰款。

9. Other Information 其他資料

Statement Language 結單語言

□ Traditional Chinese 繁體中文 □ Simplified Chinese 簡體中文 □ English 英文

Statement Delivery Method 結單遞送方式 □ By post to registered address 郵寄至註冊地址

□ By email 電郵 □ By post to principal place of business address 郵寄至主要辦事處地址

Collection by post is subject to a charge of **HK$50 per month 郵寄收費每月 **50港元***

Use of Personal Data 個人資料使用

Signal D intends to use personal data of your company for direct marketing. Personal data includes name, contact details, financial backgrounds and statistical data of your company which are provided to Signal D under the account opening documents or obtained by Signal D from time to time. Your company explicitly agree that your personal data may be used by or transferred to Signal D for direct marketing purpose. Your company further agree to receive such direct marketing materials from Signal D, unless our company indicates an objection herein below:

信有道證券擬使用貴公司的個人資料作直接促銷。該等個人資料包括貴公司在開戶文件中向信有道證券提供的及信有道證券不時所獲得貴公司的名稱、聯絡詳情、財務背景及統計資料等。貴公司明確同意信有道證券可以使用或轉移貴公司的個人資料，作直接促銷用途。貴公司進一步同意收取信有道證券直接促銷資料，除非貴公司在下方表示反對:

☐ The Company objects to the proposed use or transfer of personal data of the Company by Signal D for direct marketing purposes.

本公司反對信有道證券使用或轉移本公司的個人資料，作各種直接促銷用途。

10. Client Declaration 客戶聲明

- I/We confirm that the information sets out in this Account Opening Form is true, complete and correct and I/we understand all provisions set out in the Terms & Conditions of the client argeement and accept and agree to be bounded thereby.

  本人/吾等確認在本開戶表格所填寫的資料均屬真實、完全及正確，並明白客戶協議書所列明的《條款及條件》所載的條文,並接受及同意受該等文件約束；

- I/We confirm that the Account Holder(s) named in this Account Opening Form is / are the ultimate beneficial owner(s) of the Account(s) and transaction(s).

  本人 / 吾等確認在開戶表格所指名的申請人是帳戶及交易的最終實益持有人;

- I/We confirm that I/we have read, understand and agree to all provisions on Standing Authority (Client Money) set out in the "Terms & Conditions" of the client argeement and accept and agree to be bounded thereby.

  本人/吾等確認已閱讀、明白及同意有關客戶協議書內《條款及條件》所載的《常設授權 (客戶款項)》的條文，並接受及同意受該等文件約束；

- I/We confirm that I/we have read, understand and agree to all provisions on Standing Authority (Client Securities) (applicable to Margin Account only) set out in the "Terms & Conditions" of the client argeement and accept and agree to be bounded thereby.

  本人/吾等確認已閱讀、明白及同意有關客戶協議書內《條款及條件》所載的《常設授權 (客戶證券)》(僅適用於保證金帳戶) 的條文，並接受及同意受該等文件約束；

- I/We confirm that I/we have read, understand and agree to all provisions on Risk Disclosure Statements set out in the "Terms & Conditions" of the client argeement. I/We have asked questions and took independent advice (if I/we wish).

  本人/吾等確認已閱讀、明白及同意有關客戶協議書內《條款及條件》所載的《風險披露聲明》。對該等風險披露聲明提出問題及徵求獨立意見(如客戶有此意願)；

信有道證券有限公司
Signal D Securities Limited

10. Client Declaration (Continued) 客戶聲明（續）

- I/We confirm that I/we have read, understand and agree to all provisions on Notes Relating to the Common Reporting Standard (CRS) and the Foreign Account Tax Compliance Act (FATCA) set out in the "Terms & Conditions" of the client argeement and accept and agree to be bounded thereby.

  本人/吾等確認已閱讀、明白及同意有關客戶協議書內《條款及條件》所載的中所載的《有關共同匯報標準(CRS)及美國海外帳戶稅收合規法案(FATCA)之附註》的條文，並接受及同意受該等文件約束；

- I/We confirm that I/we have read, understand and agree to all provisions on Notes Relating to the Hong Kong Investor Identification Regime (HKIDR), Over-the-counter Securities Transactions Reporting Regime (OTCR) and Stock Connect Northbound Trading set out in the "Terms & Conditions" of the client argeement and accept and agree to be bounded thereby.

  本人/吾等確認已閱讀、明白及同意有關客戶協議書內《條款及條件》所載的《有關香港投資者識別碼制度、場外證券交易匯報制度及滬深港通北向交易服務之附註》的條文，並接受及同意受該等文件約束。

Signed by Authorized Person 獲授權人簽署	Name 姓名
	Date (dd/mm/yyyy) 日期（日 / 月 / 年）

11. Witness Declaration 見證人聲明

I hereby certify that I have witnessed the signing of this Account Opening Form by the Client. I further confirm that I have verified the Client' s identity against its identification document. 本人現特此證明客戶簽署本開戶表格。本人進一步確認本人已驗證了客戶的身份證明文件。

Signed by Witness 見證人簽署	Occupation 職業 #
Name 姓名	□ Licensed or registered person 持牌人或註冊人 □ Branch manager of a bank 銀行分行經理 □ Certified public accountant 執業會計師 □ Justice of the Peace 太平紳士 □ Chartered secretary 特許秘書 □ Lawyer 律師 □ Notary public 公證人
Date (dd/mm/yyyy) 日期（日 / 月 / 年）	

 # A witness should provide Signal D with copy of self-certified identification document and professional qualification documents 見證人需提供其已簽署之身份證明文件及專業資格證明文件之副本予信有道證券

12. Licensed Person Declaration 持牌人聲明

I, a licensed person, declare that I have provided the Client with a copy of the Risk Disclosure Statement in a language of the Client' s choice, invited the client to read the Risk Disclosure Statement, ask questions and take independent advice if the client wishes. If the client is characterized as "without knowledge of derivatives", I further declare that I have explained to the client the relevant risks associated with trading of exchangetraded derivatives product which are specified in the Risk Disclosure Statement. 本人，以持牌人身份，確認本人已按照上述客戶所選擇的語言（英文或中文）提供風險披露聲明之副本及邀請客戶閱讀該風險披露聲明、提出問題及徵求獨立意見（如客戶有此意願）。如客戶被歸類為「對衍生產品沒有認識」，本人進一步確認已向客戶解釋在風險披露聲明內所列明的有關買賣在交易所買賣的衍生產品所涉及的風險。

Signed by Licensed Person 持牌人簽署	Name 姓名:	Account Opening Method 開戶方式 □ Face-to-face 面對面 □ Non-face-to-face 非面對面
	SFC CE Number 證監會中央編號:	Date (dd/mm/yyyy) 日期(日 / 月 / 年) Time: 時間: (ext.)

信有道證券有限公司
Signal D Securities Limited

For Internal Use Only 內部專用

Checklist 檢查清單

Supporting Document 支持文件

- ☐ LEI registration document 法律實體識別編碼登記文件
- ☐ Memorandum and Articles of Association 公司章程
- ☐ Register of Members 股東名冊
- ☐ Certificate of Incumbency 在職證明書
- ☐ HKID card 香港身份證
- ☐ Passport 護照
- ☐ Employer consent letter 僱主同意書
- ☐ Latest Annual Return 最近的週年申報表
- ☐ Ownership and control chart 擁有權及控制權結構圖
- ☐ Certificate of Incorporation 公司註冊證書
- ☐ Register of Directors and Secretaries 董事及秘書名冊
- ☐ Business Registration Certificate 商業登記證
- ☐ Board resolution for account opening 開戶董事會決議
- ☐ PRC ID 中國內地居民身份證
- ☐ Address proof 地址證明
- ☐ Bank account proof 銀行帳戶證明
- ☐ Latest Audited Financial Statements 最近的經審計的財務報表

Form 表格

- ☐ Deed of Guarantee 擔保契約
- ☐ Self-Certification Form – Controlling Person 自我證明表格—控權人
- ☐ Professional Investor Assessment Form 專業投資者評估表格
- ☐ Discretionary Account Management Application Form 全權委託帳戶管理申請表格
- ☐ Risk Profiling Questionnaire 風險取向問卷
- ☐ Form W-8BEN-E
- ☐ Third-Party Authorization Form 第三方授權表格

Limit 額度

Credit Limit 信用額度	Trading Limit 交易額度

Checklist 檢查清單

Market 市場	Telephone Trading 電話交易	Electronic Trading 電子交易
Hong Kong Equities 香港股票	Commission Rate 佣金比率 (%) Min. Charge 最低收費	Commission Rate 佣金比率 (%) Min. Charge 最低收費
China Connect 中華通	Commission Rate 佣金比率 (%) Min. Charge 最低收費	Commission Rate 佣金比率 (%) Min. Charge 最低收費
U.S. Shares 美股	Commission Rate 佣金比率 (%) Min. Charge 最低收費	Commission Rate 佣金比率 (%) Min. Charge 最低收費
Bonds 債券	Commission Rate 佣金比率 (%) Min. Charge 最低收費	
Funds 基金	Commission Rate 佣金比率 (%) Min. Charge 最低收費	

Others 其他

Source of Client 客戶來源	Employee Account 員工帳戶
☐ Referral 轉介 ☐ Walk-in 自來	☐ Yes 是 ☐ No 否

Remarks 備註

Account Approval & Information Input			
1) Documents checked by:	Name:	Signature:	Date:
2) Credit-limit approved by:	Name:	Signature:	Date:
3) Trading-limit approved by:	Name:	Signature:	Date:
4) Account approved by:	Name:	Signature:	Date:
5) Information Input by:	Name:	Signature:	Date:
6) Information verified by:	Name:	Signature:	Date: