

UNITS 2701-08 27/F SHUI ON CENTRE,
6-8 HARBOUR ROAD, WANCHAI, HONG KONG
香港灣仔港灣道 6-8 號瑞安中心 27 樓 2701-2708 室

ACCOUNT OPENING FORM (CORPORATE)

開戶申請書 (機構)

ACCOUNT 戶口

Account Type	戶口類別：	<input type="checkbox"/> Cash Account 現金戶口	<input type="checkbox"/> Margin Account* 保證金戶口*	*Please sign the Margin Account Authorization *請簽署保證金客戶之常設授權書
Medium of Instruction	指令方式：	<input type="checkbox"/> AE Trading 客戶主任交易	<input type="checkbox"/> Internet Trading 電子交易	<input type="checkbox"/> Snapshot Quote Service 免費點擊報價服務 <input type="checkbox"/> Real Time Quote Service 串流式即時報價服務 (Monthly charge of HK\$388)(月費為港幣\$388)

COMPANY INFORMATION 公司資料

Company Name 公司名稱

In English 英文		In Chinese (if applicable) 中文 (如適用)
Nature of Entity 組織類別 <input type="checkbox"/> Sole Proprietor 獨資 <input type="checkbox"/> Partnership 合夥 <input type="checkbox"/> Limited Company 有限公司 <input type="checkbox"/> Trust 信託		Place of Incorporation 公司註冊地
Certificate No. of Incorporation 公司註冊號碼		Hong Kong Business Registration No. (if applicable) 香港商業登記證號碼(如適用)
Nature of Business 業務性質		Date of Incorporation 註冊日期 (dd/mm/yyyy 日/月/年) DD MM YYYY
Office Tel. No. 公司電話	Fax No. 傳真	E-mail Address (Mandatory for Internet Trading applicant) 電郵地址(電子交易申請人必須填寫)
Contact Person 聯絡人姓名		Contact Person Tel. No. 聯絡人電話
Registered Address 註冊地址		
Principal Business Address (If different from above) 主要營運地址(如異於上述地址)		

CORRESPONDENCE 通訊

Does the company accept to receive Trading Confirmations and Statements via email?
貴公司是否接受通過電郵收取交易確認通知和戶口結單?
* Internet Trading Clients can receive via email only * 電子交易客戶只可透過電郵接收

☐ Yes 是 ☐ No 否, Please send to the following address (Please tick one only) 請寄往以下地址 (請只選擇一項):

☐ Registered Address 註冊地址 ☐ Principal Business Address 主要營運地址

APPLICANT'S BANKER REFERENCE 申請人銀行資料

(This information is for settlement purpose. Unless otherwise instructed by the applicant, all moneys payable to the applicant will be credited to the following bank account. 此資料為交收之用。除非申請人另行給予指示, 其所有款項將存入下列銀行戶口。)

Banker's Name 銀行名稱:	Account Name 帳戶姓名:	Account No. 帳戶號碼:
_____	_____	_____

CORPORATE STRUCTURE 公司結構

(If necessary, please continue on a separate paper. 如有需要, 請另紙說明。)

Particulars of Director(s) 董事詳情

Name 姓名/名稱	Tel. No. 電話	ID Card/Passport No. 身份證/護照號碼	Nationality 國籍	Address (P.O.Box not acceptable) 地址 (郵政信箱恕不接納)

Particulars of Shareholder(s) Registered 登記股東詳情

Name 姓名/名稱	Respective Shareholding 股權比例 (%)	ID Card/Passport No./CI/BR No. 身份證/護照號碼/公司註冊/ 商業登記號碼	Nationality/ Place of Incorporation 國籍/公司註冊地	Address (P.O.Box not acceptable) 地址 (郵政信箱恕不接納)

Particulars of Ultimate Beneficial Owner(s) 最終權益擁有人詳情

(If different from registered shareholder(s) 如異於登記股東)

Name 姓名/名稱	Respective Shareholding 股權比例 (%)	ID Card/Passport No. 身份證/護照號碼	Nationality 國籍	Address (P.O.Box not acceptable) 地址 (郵政信箱恕不接納)

DECLARATION OF NON-US / US ENTITY STATUS 非美國 / 美國實體狀況聲明

Is/Are any of the company's director(s), shareholder(s) or beneficiary owner(s) a US Person within the meaning specified in the Foreign Account Tax Compliance Act ("FATCA") governed by the Internal Revenue Services ("IRS") of United States of America?

貴公司的任何董事、股東、權益擁有人是否符合由美國國稅局("IRS")規管, 定義所指明的美國人士?

☐ No 否 (Please complete W8BEN-E Form of IRS 請填寫 IRS 發出之 W8BEN-E 表格)

☐ Yes 是 (Please complete W9 Form of IRS 請填寫 IRS 發出之 W9 表格)

Please be reminded that the company is responsible for notifying IRS and us promptly and within the prescribed timeline of IRS in the case of Change in Circumstances that may affect your FATCA status.

請注意, 如貴公司有需要更改任何影響 FATCA 狀況識別的個人資料, 請適時並於指定時間內通知 IRS 及邦盟滙駿證券有關更改。

FINANCIAL STATUS & INVESTMENT EXPERIENCE 財務狀況及投資經驗

BMI Securities Limited ("BMI") is required to obtain this information to fulfil the "know-your-client requirement" of Securities and Futures Commission ("SFC") of Hong Kong. 邦盟滙駿證券根據香港證監會所制定之「認識你的客戶要求」而索取有關資料。

1. Financial Background 財務狀況	Paid-up Capital 已繳股本 : _____				
2. Total Net Asset Value (HK\$) 總資產淨值(港元)	<input type="checkbox"/> < \$1,000,000	<input type="checkbox"/> \$1,000,001 – \$5,000,000	<input type="checkbox"/> \$5,000,001 – \$10,000,000	<input type="checkbox"/> \$10,000,001 – \$50,000,000	<input type="checkbox"/> > \$50,000,000
3. Latest Profit after Tax (HK\$) 最近稅後盈利(港元)	<input type="checkbox"/> < \$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 – \$10,000,000	<input type="checkbox"/> > \$10,000,000
4. Primary sources of funds 公司資金 / 資金來源	<input type="checkbox"/> Shareholder's funding 股東資金	<input type="checkbox"/> Business Income 業務利潤	<input type="checkbox"/> Rental from Property / Return on Investment 物業租金 / 投資 回報	<input type="checkbox"/> Loan from Financial Institutions 金融機構貸款	<input type="checkbox"/> Other 其他 (Please specify) (請說明):
5. Investment Objectives 投資目的	<input type="checkbox"/> Capital Gain 資本增值	<input type="checkbox"/> Dividend Income 股息收入	<input type="checkbox"/> Hedging 對沖	<input type="checkbox"/> Speculation 投機	<input type="checkbox"/> Other 其他 (Please specify) (請說明):
6. Investment Experience 投資經驗	<input type="checkbox"/> Nil 沒有	<input type="checkbox"/> Less than 1 Year 少於 1 年	<input type="checkbox"/> 1-5 Years 年	<input type="checkbox"/> 6-10 Years 年	<input type="checkbox"/> Over 10 Years 超過 10 年
7. Experience Of Investment In Geographical Markets 投資市場地區經驗	<input type="checkbox"/> Nil 沒有	<input type="checkbox"/> HK/China 香港/中國	<input type="checkbox"/> US 美國	<input type="checkbox"/> Europe 歐洲	<input type="checkbox"/> Other 其他 (Please specify) (請說明):
8. Number Of Transactions Per Annum 每年交易次數	<input type="checkbox"/> Nil 沒有	<input type="checkbox"/> 1-15 Trades 次	<input type="checkbox"/> 16-30 Trades 次	<input type="checkbox"/> 30-40 Trades 次	<input type="checkbox"/> Over 40 Trades 超過 40 次
9. Risk Tolerance 風險承受能力	<input type="checkbox"/> Low 低	<input type="checkbox"/> Medium 中等	<input type="checkbox"/> High 高	<input type="checkbox"/> Very High 非常高	
10. Experienced Products 投資產品經驗	<input type="checkbox"/> Nil 沒有	<input type="checkbox"/> Derivative 衍生工具	<input type="checkbox"/> Bond 債券	<input type="checkbox"/> Mutual Fund/Unit Trust 基金	
	<input type="checkbox"/> Stock 股票	<input type="checkbox"/> Structured Products 結構性產品	<input type="checkbox"/> FX 外匯	<input type="checkbox"/> Commodities 商品	
11. Derivative Product Experience In The Pass 3 Years 過往 3 年的投資衍生產品 經驗	<input type="checkbox"/> Nil 沒有	<input type="checkbox"/> 1-5 Trades 次交易	<input type="checkbox"/> Over 5 Trades 超過 5 次交易		
12. At least one of the person(s) responsible for investment decisions understand(s) the nature and risk of derivative products? 代表本公司做投資決定的人士，最少一位了解衍生產品的性質和風險？	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是				
13. The company currently or previously has a business nature relevant to derivative products? 貴公司現時或過去是否經營與衍生產品有關的行業？	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是				
<input type="checkbox"/> The company confirms that the company has reviewed and fully understood the provided "Risk Disclosure Statement for Derivative Products traded on an exchange", and have obtained an explanation from BMI in a language (English or Chinese) of my choice. 本公司確認本公司已詳細閱讀及完全明白附頁的“交易所買賣之衍生產品風險披露聲明”，並獲得邦盟滙駿證券以本公司所選擇之語言(英文或中文)作出解釋。					

DECLARATION 聲明

1. The company confirms that **none** of the director(s), shareholder(s), beneficiary owner(s), or authorized person(s) (if applicable) of the company is a licensed / registered person or an employee of a licensed corporation / registered institution with Securities and Futures Commission ("SFC") of Hong Kong.

本公司確認本公司沒有任何董事、股東、權益擁有人、或其授權人(如適用)是香港證券及期貨事務監察委員會(以下簡稱「證監會」)持牌人/註冊人,或其持牌/註冊機構之僱員。

☐ No* 否*, Name of director/ shareholder/ Authorized Person 董事/ 股東/ 獲授權人姓名: _____

CE No. 中央編號: _____ *If No, please provide employer's consent letter. *如否,請提供僱主之書面同意書。

☐ Yes 是

2. The company confirms that all director(s), shareholder(s), beneficiary owner(s), or authorized person(s) (if applicable) of the company have maintained "no conviction record" under the legislation of anti-money laundering and anti-terrorist financing.

本公司確認本公司所有董事、股東、權益擁有人、及/或其授權人(如適用)就反洗黑錢條例或反恐怖分子籌資活動條例仍然維持"無犯罪紀錄"。

☐ No 否 ☐ Yes 是

3. The company confirms that the company has **not** engaged in an industry which is particularly susceptible to money laundering risk (For example, money changer or gaming industry that handles large amount of cash).

本公司確認本公司所經營的行業不是特別容易蒙受較高的洗黑錢風險(例如找換業或博彩業從而接觸大量現金)。

☐ No 否 ☐ Yes 是

4. The company confirms that all of the director(s), shareholder(s), beneficiary owner(s), or authorized person(s) (if applicable) of the company are **not** a politically exposed person ("PEP") nor .

本公司確認本公司所有董事、股東、權益擁有人、及 / 或其授權人(如適用)均不是牽涉政治的人士。

☐ No 否 ☐ Yes 是

5. The company confirms that **none** of the director(s), shareholder(s), beneficiary owner(s), or authorized person(s) (if applicable) of the company and their respective relatives an employee or agent of BMI Securities Limited.

本公司確認本公司沒有董事、股東、權益擁有人、或其授權人(如適用)及其各自的親屬是否與邦盟滙駿證券的職員或代理人有親屬關係。

☐ No 否, Name of Employee/Agent 職員 / 代理人名稱: _____

Relationship 關係: ☐ Parents 父母 ☐ Husband/Wife 丈夫 / 妻子 ☐ Children 子女 ☐ Others 其他: _____

☐ Yes 是

6. The company confirms that the company **does not** maintain any other related account(s) with "BMI".

本公司確認本公司沒有在邦盟滙駿證券有其他關連戶口。

☐ No, 否, ☐ In Own Name 以本公司名義 Account No. 戶口號碼: _____

☐ In Member Company Name 以成員公司名義: Account No. 戶口號碼: _____

Name of the Member Company 成員公司名稱: _____

☐ In Controlled Corporation Name 以受控制公司名義: Account No. 戶口號碼: _____

Name of the Controlled Corporation 受控制公司名稱: _____

☐ Yes 是

7. The company confirms that any member of the company with 35% or more of the voting rights is **not** an individual margin client of BMI.

本公司確認沒有百分之三十五或以上的投票權的股東在邦盟滙駿證券有個人保證金戶口。

☐ No 否, Name 姓名: _____ Account No. 戶口號碼: _____

☐ Yes 是

8. The company confirms that the company **does not** in possession with 35% or more of voting rights of another corporate margin client of BMI.

本公司確認沒有控制邦盟滙駿證券其他公司保證金客戶之百分之三十五或以上的投票權。

☐ No 否, Name of Relevant Company(ies) 有關公司名稱: _____ Account No. 戶口號碼: _____

☐ Yes 是

Trading Instruction 交易指示

申請人根據公司決議(見附件)授權以下人士("交易人員")全權就所開立之交易戶口的交易,以書面及/或口頭方式發出買、賣或其他相關指示。

Name 姓名/名稱	Relation/Position 關係/職位	ID/Passport No. 身份證/護照號碼	Contact No. 聯絡電話	Signature 簽署

申請人根據公司決議(見附件)授權戶口將按以下所列的簽名安排，由下列的任何_____人士(“文件簽署人員”)發出運作指示，☐需要 ☐不需要 公司蓋章:

Name 姓名/名稱	Relation/Position 關係/職位	ID/Passport No. 身份證/護照號碼	Contact No. 聯絡電話	Signature 簽署

APPLICANT(S) SIGNATURE 申請人簽署

	
Authorized Signature(s)/Company Chop 獲授權人士簽署/公司蓋章	
Name 姓名 (Please use block letter) (請使用正楷)	Date 日期

WITNESS DECLARATION 見證聲明

I, being a ☐ SFC Licensed / Registered Representative ☐ Notary Public ☐ Certified Public Accountant ☐ Practicing Lawyer
☐ Chartered Secretary hereby certify I have witnessed the signing of this Account Opening Form (together with the attached documents,
if applicable) by the above client and have sighted the original of the related identity documents of the above client.

本人作為 ☐ 證監會持牌人 / 註冊人 ☐ 公證人 ☐ 註冊會計師 ☐ 執業律師 ☐ 特許秘書 謹此確認見證客戶簽署本開戶申請書 (包括
隨附的文件, 如適用) 以及驗證客戶的身份原件。

Signature of Witness 見證人簽署

Date 日期

Name of Witness 見證人姓名

CE No./Professional Member No. 中央編號 / 專業屬會號碼

Contact Details (Tel.) 聯絡方法 (電話)

DECLARATION BY STAFF 職員聲明

I confirm that I have provided the Risk Disclosure Statement contained herein in language (English or Chinese) of the Client's choice and that I
have invited the Client to read the Risk Disclosure Statement, ask questions and take independent advice, if the Client wishes.

本人確認已經以客戶選擇的語言 (英文或中文) 提供風險披露聲明, 並且本人已經邀請客戶閱讀該風險披露聲明, 提出問題及尋求獨立的意見 (如
客戶有此意願)。

Signature of Staff 職員簽署

Date 日期

Name of Staff 職員姓名

CE No. 中央編號

~ End 完 ~

FOR OFFICIAL USE ONLY 只供本行使用
Document checklist

Personal Information Collection Statement-NB	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Margin Account Authorization	<input type="checkbox"/> Yes	<input type="checkbox"/> No
FATCA W-8BEN-E / W-9 Form	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Self-Certification Form – Controlling person	<input type="checkbox"/> Yes	<input type="checkbox"/> No
CI/BR	<input type="checkbox"/> Yes	<input type="checkbox"/> No
M&A	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Latest Annual Return	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Resolution / Minutes	<input type="checkbox"/> Yes	<input type="checkbox"/> No
ID of Directors, Shareholders & Authorized Person	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Address Proof of Directors & Shareholders	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Bank Account Proof	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Company Address Proof	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Corporate Chart	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Audit report	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Licence Certificate (for regulated company only)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
For off-shore company only:		
Certificate of Incumbency	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Register of Directors	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Register of Members	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Applicable to Non face-to-face account opening procedure:

Cheque received (if applicable)

- ☐ Issued from a licensed bank in HK
☐ Payable to “BMI Securities Limited”
☐ Cheque amount not less than HK\$10,000
☐ Client name shown on cheque
☐ Same signature on cheque and on A/C Opening Form
☐ Cheque copy retained
☐ Cheque cleared
☐ Cheque number # _____ (Bank : _____)

Introduced by :

Relationship with the Introducer:

AE Code :

Brokerage :

Internet Trading: (Brokerage : _____ %) (Min Charge : \$ _____)

AE Trading: (Brokerage : _____ %) (Min Charge : \$ _____)

Credit Limit :

Exposure Limit (Margin A/C) :

Limit approved by :

Document checked by :

Maker :

Checker :

Date :

Date :

Date :

AML Risk Category :

☐ Low ☐ Medium ☐ High; reason:

Compliance checked by :

Date :

Account opening approved by :

Name :

Signature :

Date :

Remarks :