



時富證券有限公司 Celestial Securities Limited
時富商品有限公司 Celestial Commodities Limited

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網址 Website : www.cfs.com.hk

Account No. : _____

Master Document - Version 17 - 2022 / 07

戶口號碼 Account No. : _____

日期 Date : _____

此表格應以英文版本為準 The English version shall always be prevailed in case of any discrepancies

此表格須與條款及條件小冊子 (版本編碼與本表格相同) 一併閱讀 This form shall be read with the Terms & Conditions booklet (with the same version code)

開戶表格 — 個人/聯名帳戶 ACCOUNT OPENING FORM - INDIVIDUAL/JOINT ACCOUNT

A. 帳戶類別 Account Type

公司 Company	產品及服務 Products & Services
時富證券有限公司 Celestial Securities Limited (中央編號CE number: AAF532)	港股 HK Stocks (單選 Choose One) <input type="checkbox"/> 現金交易 Cash Trading <input type="checkbox"/> 保證金交易 Margin Trading 美股 US Stocks <input type="checkbox"/> 現金交易 Cash Trading
時富商品有限公司 Celestial Commodities Limited (中央編號CE number: AAF557)	滬港通及深港通 China Connect <input type="checkbox"/> 現金交易 Cash Trading 基金及債券 Funds & Bonds <input type="checkbox"/> 現金交易 Cash Trading
	期貨及期權 Futures & Options (單選 Choose One) <input type="checkbox"/> 時富交易系統 CFSG Electronic# <input type="checkbox"/> 第三方交易系統 Third Party###

備註 Remarks : #互聯網/流動平台 Internet/Mobile Platform ##互聯網/流動平台 Internet/Mobile Platform

B. 客戶資料 Client Particulars

1. 個人資料 Personal Information

中文 Chinese	英文 English
姓名 Name	姓 Surname 名 Forename
出生日期 Date of Birth	性別 <input type="checkbox"/> 男 Male <input type="checkbox"/> 女 Female
手機號碼 Mobile No.	身份證/護照號碼 ID/Passport No.
住址 Residential Address	國籍 Nationality
住所類別 Nature of Residence *	

2. 受僱資料 Employment Information

<input type="checkbox"/> 受僱 Employed (請填寫右列資料 Please fill in details on the right)	僱主名稱 Employer Name
<input type="checkbox"/> 自僱 Self-employed (請填寫右列資料 Please fill in details on the right)	業務類型 Nature of Business
<input type="checkbox"/> 退休 Retired	職位 Position
<input type="checkbox"/> 家庭主婦 Housewife	辦公地址 Office Address
<input type="checkbox"/> 待業 Unemployed	

3. 聯絡資料 Contact Information

電郵地址 Email Address	這電郵地址用作遞送綜合結算單、上市公司之股份權益表格、時富快訊或其他通知。 The email address is for sending combined statement(s), corporate action form(s) daily CFSG news or other notice(s)
通訊地址 Correspondence Address *	(如使用郵政信箱作為通訊地址，請提供郵政信箱租用單據副本 Please provide a copy of P.O. Box rental receipt if P.O. Box is used as correspondence address)
<input type="checkbox"/> 住宅地址 Residential Address	<input type="checkbox"/> 辦公地址 Office Address <input type="checkbox"/> 其他 Others

綜合結算單遞送方法 Combined Statement Delivery Method * ☐ 電郵 By Email ☐ 郵寄至通訊地址 By Post to Correspondence Address

綜合結算單語言 Combined Statement Language * ☐ 繁體中文 Traditional Chinese ☐ 簡體中文 Simplified Chinese ☐ 英文 English

備註 Remarks : 郵寄服務只適用於電話交易系統。並會收取費用。 Postal service is only applicable to Telephone Trading System. An additional postal fee will be charged.

4. 稅務信息 Tax Information

請填寫單一或多個國籍所屬國家/地區的稅務信息。若現有工作所屬國家/地區與國籍不同，須額外添加工作所屬國家/地區的稅務信息。Please enter tax information regards to your nationality or tax residency. If your work location belongs to another tax area, then you should also add tax information for that specific tax area.

如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong identity Card Number.

	稅務國家/地區 Tax Country/ Area	稅務編號 Taxpayer Identification No.	如沒有提供稅務編號，填寫理由A、B或C Enter Reason A, B, C if no TIN is available	如選取理由B，請解釋 Explain it if you have selected Reason B
1				
2				
3				

理由A — 帳戶持有人的居留司法稅務管轄區並沒有向其居民發出稅務編號。Reason A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents
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 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。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

請在適當地方加上✓號 Please tick ✓ where applicable: *以✓號選擇一項 * tick ✓ one

+請刪去不適用者 +Please delete if not applicable

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C. 銀行戶口資料 Bank Account Information

	銀行名稱 Bank Name	銀行戶口號碼 Bank Account No.	地區 District
港元 HKD			<input type="checkbox"/> 香港 HK <input type="checkbox"/> 其他 Others _____
人民幣 CNY/美元 USD+			<input type="checkbox"/> 香港 HK <input type="checkbox"/> 其他 Others _____

D. 聲明 Declarations**1. 身份聲明 Identity Declaration**

客戶、客戶之配偶、伴侶、子女或父母，或客戶的子女的配偶或伴侶，或與客戶關係密切的人，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及重要政黨幹事？Is the Client, his/her spouse, partner, child, parent, spouse or partner of his/her child, or a close associate 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 stated-owned enterprise and an important political party official?

☐ 否 No ☐ 是，請說明 Yes, Please specify _____

客戶是否聯交所或期交所之交易所參與者或證監會之持牌人或註冊人之董事、僱員或認可人士？Is the Client a director or employee or accredited person of an exchange participant of the Stock Exchange or Futures Exchange, or a licensed or registered person of the Securities and Futures Commission?

☐ 否 No ☐ 是，請說明 Yes, Please specify _____

本人/吾等並非屬稅務目的下的美國居民，亦並非為美國公民。I am/we are not (a) resident(s) of the U.S. for tax purposes and that I am/we are not (a) U.S. citizen(s).

☐ 是 Yes ☐ 否 No

2. 相關保證金融資帳戶 Related Margin Financing Account(s) (只適用於保證金帳戶 For Margin Account Only)

客戶是否控制本公司之其他公司保證金融資帳戶35%或以上之表決權？Does the Client control 35% or more of the voting rights of another corporate financing margin account with the Company?

☐ 否 No ☐ 是，請說明 Yes, Please specify _____
 戶口號碼 Account No. _____
 帳戶持有人姓名 Name of Account Holder _____

客戶及/或其配偶是否單獨或共同控制本公司之其他保證金融資帳戶35%或以上之表決權？Does the Client alone or jointly with his/her spouse control 35% or more of the voting rights of another margin financing account with the Company?

☐ 否 No ☐ 是，請說明 Yes, Please specify _____
 戶口號碼 Account No. _____
 帳戶持有人姓名 Name of Account Holder _____

客戶是否有以客戶旗下之公司開立保證金融資帳戶？Does the Client have any margin financing account opened by one of the companies of the Client?

☐ 否 No ☐ 是，請說明 Yes, Please specify _____
 戶口號碼 Account No. _____
 帳戶持有人姓名 Name of Account Holder _____

3. 客戶之確認 Client's Acknowledgement

本人/吾等確認為本開戶表格所填寫的資料均屬真實、完全及正確，並明白《條款及條件》以及《交易政策》所載的條文，並接受及同意受該等文件約束；

本人/吾等確認為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；

本人/吾等確認為已閱讀、明白及同意《條款及條件》中所載的《常設授權(客戶款項)》的條文，並接受及同意受該等文件約束；

本人/吾等確認為已閱讀、明白及同意《條款及條件》中所載的《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)；

本人/吾等確認為已閱讀、明白及同意《條款及條件》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 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 and the Trading Policy and accept and agree to be bounded thereby.

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).

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 and accept and agree to be bounded thereby.

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

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 and accept and agree to be bounded thereby.

4. 個人資料之使用 Use Of Personal Information

本公司及其聯屬公司及/或其合作伙伴擬使用客戶之姓名、電話號碼及地址以直接促銷以下之服務及產品。

☐ 本人/吾等同意使用個人資料於直接促銷金融服務及產品、傢俬及家品、銀行、娛樂、家居、健康和保健、社交網絡、生活資訊、服裝、餐飲、消費產品、課程、環境保護或慈善捐款。

The Company and its associated companies and/or their business partners intend to use Clients' name(s), telephone number(s) and address(es) in conducting direct marketing activity for the following services and products.

☐ I/We agree to the use of my/our personal information in direct marketing for financial services and products, furniture and home appliances, banking, entertainment, household, healthcare, social networking, lifestyle, apparel, food and beverage, consumer products, courses, environmental protection or donation

客戶簽署 Client Signature	客戶名稱 Client Name
	日期 Date

只適用於聯名帳戶 For Joint Account Only

帳戶簽署安排和操作指示方式 Account is to be signed and operated by:

☐ 任何一位帳戶持有人 Any Account Holders ☐ 所有帳戶持有人 All Account Holders ☐ 其他 Others _____

核證 (由本公司代表或專業人士填寫) Certification (to be completed by Representative of the Company or Professional*)

☐ 電子核證 eKYC ☐ 非電子核證 Non-eKYC

本人現證實：在此表格D項所寫的日期當日，此表格乃由此表格所指明的申請人(其身份已根據其向本人出示之身份證或護照(詳於B項)正本作核實)於本人面前簽訂。I hereby certify that on the date written in the Section D, this Form was executed by Applicant(s) named in this Form (who had been previously identified by presenting of the original of his / her identity card or passport (detailed in Section B) to me) in my presence.

簽署 Signature	姓名 Name
	所屬專業/銜頭 Profession/Title
	僱主名稱 Employer Name
	聯絡電話 Contact No. 日期 Date

#專業人士：公證人/持牌銀行分行經理/執業律師/執業會計師/太平紳士
#Professional: Notary Public/Branch Manager of a Licensed Bank/Practising Lawyer/Certified Public Accountant (Practising)/Justice of the Peace

E. 風險披露聲明及確認 (由本公司填寫) Risk Disclosure Statements & Acknowledgement (to be completed by the Company)

持牌人員聲明 Declaration by Licensed Person

下列簽署之持牌人員確認已按照客戶選擇的語言提供風險披露聲明，並邀請客戶閱讀該等風險披露聲明、提出問題及徵求獨立意見(如客戶有此意願)。The Undersigned licensed person of the Company confirms that the Client(s) has / have been provided the Risk Disclosure Statements in a language of the Client's choice and has invited the Client(s) to read the same, ask questions and take independent advice (if the Client(s) wish(es)).

姓名 Name	本公司持牌人員簽名 Signature of Licensed Person
職位 Position	
中央編號 CE No.	日期 Date

代表時富證券有限公司/時富商品有限公司 For and on behalf of Celestial Securities Limited / Celestial Commodities Limited

授權簽名 Authorized Signature 職員姓名 Staff Name 日期 Date

僅供職員填寫 For Office Use Only

營業代表名稱 營業代表編號 與營業代表認識多久
AE Name AE Code Length of acquaintance with the AE

負責帳戶的本公司職員 (如適用) Staff of the Company Responsible for the Account (if applicable):

帳戶類別 Account Type	姓名 Name	註冊編號 (中央編號) 及註冊類別 Registration No.(CE No.) & Type of Registration	電話號碼 Telephone No.
只適用於商品 (期貨及期權) 帳戶 For Commodities (Futures & Options) Account Only			

佣金收費 Commission Rate :

證券帳戶 Securities Account	
商品(期貨及期權)帳戶 Commodities(Futures & Options) Account	<input type="checkbox"/> 公司收費 House Charge <input type="checkbox"/> 營業代表收費(須附收費表) AE Charge(As Attached)

營業代表簽署 AE Signature 相關戶口號碼 Related Account No.

開立帳戶核對清單 Account Opening Checklist

☐ 年滿十八歲或以上 18 Years Old or Above ☐ 有最終受益擁有人 Ultimate Beneficial Owner Involved

文件核對清單 Document Checklist

<input type="checkbox"/> 身份證 / 護照影印本 (必須一併遞交) ID / Passport Copy (mandatory)	<input type="checkbox"/> 開戶存款 (如需要) Initial Deposit (if required)	<input type="checkbox"/> 登入密碼 Login Password	<input type="checkbox"/> 郵寄 By Post	<input type="checkbox"/> 自行設定 Self Setting
<input type="checkbox"/> 通行證影印 (如需要) Two-way Permit Copy (if required)	<input type="checkbox"/> 自動轉帳 (如需要) Auto Bank-in (if required)	<input type="checkbox"/> 擔保書、擔保人地址證明及身份證 / 護照影印本 (如需要) Guarantee, Address Proof & ID/Passport Copy of Guarantor (if required)		
<input type="checkbox"/> 地址證明 (如需要) Address Proof (if required)	<input type="checkbox"/> 授權書 (如需要) Power of Attorney (if required)	<input type="checkbox"/> 其他 Others _____		

批核事項 Approval Items:	批核簽名(如需要) Approval Signature (if required)

經手人 Handled by	資料輸入 Inputted by	批准人 Approved by	存檔核對人 Archived by
覆核人 Checked by	覆核人 Checked by		