

Private & Confidential 資料保密
Cash Account No. 現金帳戶號碼:
Date Opened 開戶日期

ACCOUNT OPENING FORM 開戶表格(For Corporate Account)(公司帳戶適用)

Name(s) of Account 客戶姓名		Name in English 客戶之英文名稱		中文名稱	
Trading name of the Client (if different) 客戶之商號名稱 (若別於客戶名稱)			Nature of Entity 組織類別 <input type="checkbox"/> Private Co. 私人公司 <input type="checkbox"/> Public Co. 公眾公司 <input type="checkbox"/> Legal Body 法團 <input type="checkbox"/> Overseas Co. 海外公司		
Country of incorporation/establishment 註冊/成立國家		Registered number in country of incorporation/establishment 在註冊 / 成立國家之註冊號碼		Business Registration Number in Hong Kong 香港商業登記證號碼	
Registered office in country of incorporation/establishment 在註冊 / 成立國家之註冊地址			Tel No. 電話號碼	Fax No. 圖文傳真號碼	E-mail 電郵
Principal place of business in Hong Kong 在香港之主要營業地址			Tel No. 電話號碼	Fax No. 圖文傳真號碼	E-mail 電郵
Nature of business 業務性質		Bank reference (including bank name, type of account and account no.) 諮詢銀行(銀行名稱, 帳戶性質及帳戶號碼)			
Brokerage reference(including name, type of account i.e. cash or margin, commodities or securities) 諮詢經紀公司(經紀公司名稱, 帳戶性質, 即: 現金 / 孖展, 期貨 / 股票)					
Particulars of any other accounts maintained by the Client with the Company 客戶在本公司開立的其他帳戶		Account Title 帳戶名稱		Type 性質	No. 號碼
The beneficial owner(s) of the Account is/are:- 客戶之實益持有人為:-		Name 姓名:		Address 地址:	
		Name 姓名:		Address 地址:	
		Name 姓名:		Address 地址:	
1) Is your Company the ultimate beneficial owner(s) in relation to the Account? i.e. Is your Company acting for your own and not for a third party? 公司客戶是否此戶口最終權益擁有人? 即是公司客戶是否為公司客戶本身而不是第三者處理戶口? <input type="checkbox"/> Yes. 是。 <input type="checkbox"/> No, details of the ultimate beneficial owner(s) is/are: 不是, 戶口最終權益擁有人細節如下:					
Name: 姓名:		Address: 地址:		Passport/ ID No. / Place of Issue: 護照 / 身份證號碼 / 簽發地:	
Address: 地址:		Telephone No.: 電話號碼:			
2) Is any of your Authorized Person(s) an employee or agent of a participant of a stock / futures exchange, or a licensed person / licensed representative registered with the Securities and Futures Commission or an exempt licensed person or licensed representative? 公司客戶之授權人士是否股票 / 期貨交易所參與者, 或於證監會註冊之註冊人士或註冊代表又或為豁免註冊人士或註冊代表之僱員或代理人? <input type="checkbox"/> No. 不是。 <input type="checkbox"/> Yes, the name of the related exchange participant or registered / exempted person is: 是, 有關連之交易所參與者或註冊 / 豁免人士名稱: _____					
3) Is any of your Authorized Person(s) an employee of Lighthouse Capital (HK) FINANCIAL Limited? 公司客戶之授權人士是否光源資本(香港)金融有限公司的僱員? <input type="checkbox"/> No. 不是。 <input type="checkbox"/> Yes. 是。					
4) Is any of your Authorized Person(s) the relative of an employee or an account executive of Lighthouse Capital (HK) Financial Limited? 公司客戶之授權人士是否光源資本(香港)金融有限公司僱員/營業經紀的親屬? <input type="checkbox"/> No. 不是。 <input type="checkbox"/> Yes. 是。 Employee/Account Executive's Name & Relationship 僱員 / 營業經紀姓名及關係: _____					
For Cash Account Only (只適用於現金客戶) The Company can choose the following methods of settlement 公司可選擇以下方式交收: 1) Issue cheque on T+2 day automatically 自動 T+2 出票 2) Issue dividend cheque automatically 自動發股息 3) Issue cheque automatically after deducting T and T+1 transactions 自動扣除 T 及 T+1 所有交易後出票					
Yes No 是 否 <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>					
In order to comply with Section 5.1 (a) of Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission, please complete the following question 請提供以下資料以便遵守證券及期貨事務監察委員會持牌人或註冊人操守準則之第 5.1(a)項要求					
*Annual profit after tax 全年除稅後利潤 <input type="checkbox"/> less than 少於 \$200,000 <input type="checkbox"/> \$200,001 - \$500,000 <input type="checkbox"/> \$500,001 - \$800,001 <input type="checkbox"/> \$800,001 - \$1,000,000 <input type="checkbox"/> over 多於 \$1,000,000					
*Based on audited accounts as at _____ (Date) *根據於 _____ (日期) 之審計帳目。					
Investment Objective(s)/Habit(s) 投資目標/習慣 <input type="checkbox"/> Conservative 穩健 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Investment 投資(Long 長 / Medium 中 / Short Term 短線)					
Investment Experience 投資經驗 Stock/Warrant 股票/認股權證 <input type="checkbox"/> Yes 是 _____ Year(s)年 <input type="checkbox"/> No 否 Option/Future 期權/期貨 <input type="checkbox"/> Yes 是 _____ Year(s)年 <input type="checkbox"/> No 否 Forex/Bullion 外匯/貴重金屬 <input type="checkbox"/> Yes 是 _____ Year(s)年 <input type="checkbox"/> No 否 Others 其他 _____					

Persons authorized to operate the Account 帳戶授權人士

No. of Signature required 所需簽名數目: ()

Name 姓名	I.D. Card/Passport No. 身份證 / 護照號碼	Signature 簽署

Please dispatch all correspondence to the following :- 請將所有往來通訊發送至下列:-

Name 姓名:	<input type="checkbox"/> Address 地址:
Tel No. 電話號碼:	<input type="checkbox"/> Fax No. 圖文傳真號碼:
<input type="checkbox"/> E-mail 電郵: (Monthly Statement cannot be sent by e-mail 月結單不能以電郵發送)	

We Certify that the above information is correct 本人(等)確認上述資料正確
Authorized Signature(s) with Company Chop 獲授權人簽署及公司蓋章 Date 日期:

*** FOR OFFICIAL USE ONLY 只供本公司使用***		
Introduced by 介紹人:	Documentation Checked by: 文件查核:	Approved by 批准:
Name of Account Executive: 客戶主任姓名:	Client known to Account Executive for: 與主任相識期:	Bank and Credit references obtained: Yes / No 已獲銀行及信貸參考: 是 / 否
Brokerage 佣金: Min.最低佣金:	Credit Limit 信貸額:	Interest Rate 利率:

CLIENT ACCOUNT OPENING EXECUTION FORM 客戶開戶執行表格 (For Corporate Account)(公司帳戶適用)

TYPE OF ACCOUNT 帳戶種類

(Please indicate the type of Account you want by ticking "v" and signing the appropriate boxes below)(請在適當方格加上"v"選出所需帳戶種類並簽署)

☐ Cash Account 現金帳戶

Please open a Cash Account for us, the undersigned Client(s). We have read and understood the provisions of the Cash Client's Agreement as set out in the Standard Terms and Conditions of Lighthouse Capital (HK) Financial Limited and We accept to be bound by the same.

請為我(在下面簽名的客戶)開立現金帳戶。我(已)經閱讀並明白在光源資本(香港)金融有限公司的標準章程中,所載之現金帳戶協議的條款,並接受這些條款的約束。

Witness Name 見證人姓名:

Witness Signature 見證人簽署

Witness Occupation 見證人職業:

Authorized Signature(s) with Company Chop 獲授權人簽署及公司蓋章

Date 日期:

Date 日期:

OTHERS SERVICE 其他服務 (Please indicate the following service you want by ticking "v" and signing the appropriate boxes below)(請在適當方格加上"v"選出所需服務種類並簽署)

☐ Internet Securities Trading 互聯網證券交易

We want to use the Internet Securities Trading Services. We have read and understood the provisions of the Internet Trading Agreement as set out in the Standard Terms and Conditions of Lighthouse Capital (HK) Financial Limited and we accept to be bound by the same. 我(已)經使用互聯網證券交易服務。我(已)經閱讀並明白在光源資本(香港)金融有限公司的標準章程中,所載之互聯網交易條款,並接受這些條款的約束。

Authorized Signature(s) with Company Chop 獲授權人簽署及公司蓋章

只適用於互聯網交易帳戶

Witness Signature (the same witness and date as stated above)
見證人簽署 (見證人及日期同上)
(只適用於互聯網交易帳戶)

ACCEPTED AND CONFIRMED BY LIGHTHOUSE CAPITAL (HK) FINANCIAL LIMITED 光源資本(香港)金融有限公司接受及確認

SIGNED by:

簽署由:

its authorized director(s) / Responsible

Officer(s)

獲授權董事/負責人員

For and on behalf of

LIGHTHOUSE CAPITAL (HK) FINANCIAL

LIMITED

代表光源資本(香港)金融有限公司

please Sign here 在此簽署

Date 日期:

Witness Signature (Name:

Financial Limited)

見證人簽署 (姓名:

Date 日期:

, a staff of Lighthouse Capital (HK)

· 光源資本(香港)金融有限公司(僱員)

RECEIPT OF AGREEMENTS AND OTHER LEGAL DOCUMENTS 協議書及其他法律文件之收取

We acknowledge receipt of the following the Standard Terms and Conditions of Lighthouse Capital (HK) Financial Limited: 我(已)經確認已收取下列之光源資本(香港)金融有限公司標準章程:
(Please indicate the type of document you want by tick "v" and signing the appropriate boxes below) (請在適當方格加上"v"選出所需文件種類並簽署)

☐ English and Chinese versions of the Standard Terms and Conditions (which set out the Cash Client's Agreement, the Internet Securities Trading Agreement and the Notice of Personal Data)

標準章程之英文及中文版本(包括現金客戶協議書、互聯網證券交易協議書及個人資料告示)

We agree that if there is a discrepancy between English and Chinese version of the Standard Terms and Conditions, the English version shall prevail.

我(已)同意標準章程之中英文版本文義有歧義,將以英文版本為準。

Authorized Signature(s) with Company Chop 獲授權人簽署及公司蓋章

Date 日期:

DECLARATION BY CLIENT 客戶聲明

The client acknowledges that the Risk Disclosure Statement and the Risk Disclosure Statement in the Internet Securities Trading Agreement (if applicable) were provided in a language of client's own choice (English or Chinese) and the client was invited to read the Risk Disclosure Statement, and the Risk Disclosure Statement in the Internet Securities Trading Agreement (if applicable) to ask questions and take independent advice if the client wishes.

客戶確認已按照客戶選擇的語言(英文或中文)獲得風險披露聲明書及互聯網證券交易協議書所載之風險披露聲明書(如適用),及已獲邀閱讀該風險披露聲明書及互聯網證券交易協議書所載之風險披露聲明書(如適用)、提出問題及徵求獨立的意見(如客戶有此意願)。

Authorized Signature(s) with Company Chop 獲授權人簽署及公司蓋章

Date 日期:

DECLARATION BY STAFF 職員聲明

I, a licensed or registered person, hereby declare that I have provided the above client with a copy of the Risk Disclosure Statement and the Risk Disclosure Statement in the Internet Securities Trading Agreement (if applicable) in a language of the client's choice (English or Chinese) and invited the client to read the Risk Disclosure Statement referred to in the Cash Client's Agreement and/or the Margin Client's Agreement, and the Risk Disclosure Statement in the Internet Securities Trading Agreement (if applicable) ask question and take independent advice if the client so wishes.

本人,以註冊人身份,確認本人已按照上述客戶所選擇的語言(英文或中文)提供風險披露聲明書及互聯網證券交易協議書所載之風險披露聲明書(如適用)及提供客戶閱讀現金客戶協議書及/或保證金客戶協議書之風險披露聲明書及互聯網證券交易協議書所載之風險披露聲明書(如適用)、亦邀請客戶如有需要可以提出問題及徵求獨立的意見。

Signed By:

簽署:

Name of licensed or registered person in

block letters:

註冊人姓名(請用正楷字體填寫):

SFC CE No. 中央編號:

Date 日期:

ACCOUNT OPENING PROCEDURES FOR CORPORATE ACCOUNT 開設公司帳戶須知

If client opens a corporate cash and/or margin account with Lighthouse Capital (HK) Financial Limited, please complete and sign the following documents and provide the following supporting documents:

客戶欲在光源資本(香港)金融有限公司開設公司現金及/或保證金戶口,請簽妥下列表格及提供下列證明文件:

Please complete and sign the following documents 需要簽署文件

- (1) Account Opening Form 開戶表格
- (2) Client Account Opening Execution Form 客戶開戶執行表格
- (3) Confirmation of Customer Due Diligence 客戶盡職審查確認信
- (4) W-8BEN-E 美國預扣稅實益擁有海外地位證明書 - 實體
- (5) Self-Certification Form - Entity 自我證明表格 - 實體
- (6) Self-Certification Form - Controlling Person 自我證明表格 - 控權人
- (7) Risk Profile Questionnaire 風險承受能力問卷
- (8) Client Consent on HKIDR 香港投資者識別碼制度之同意書

Please provide the following supporting documents 需要提供文件

- (1) A certified Extract of Board Resolution 經認證之董事決議摘要
- (2) A certified copy of the Memorandum and Articles of Association of the Company (up-dated as appropriate) 公司組織大綱及章程之認證副本(最新版本)
- (3) Bank Statement within the latest 3 months OR A certified Audited Accounts for the latest financial year 最近3個月內之銀行月結單 或 經認證之最近財政年度已經審核之賬目
- (4) Bank Account Proof AND Correspondence Address Proof within the latest 3 months 公司銀行戶口證明 及 最近3個月內之通訊地址證明

- (5) Company organizational chart 公司組織架構圖(適用於多層架構公司)

- (6) Copies of Hong Kong Identity Cards/ Passport of all Authorized Persons and Shareholders 獲授權人士及股東的香港身份證或護照副本

Non-Hong Kong Residents please provide the following supporting documents 非香港人士必須提供以下文件

Identity Card Copy, Passport Copy & Entry Permits Copy 所屬國家之身份證影印本,護照影印本及入境證明影印本

(7) For Company incorporated in Hong Kong 適用於香港註冊公司

- i) A certified copy of valid Business Registration Certificate 經認證之商業登記證
- ii) A certified copy of Certificate of Incorporation 經認證之公司註冊證
- iii) Certified copies of Forms ND2A and latest Annual Return (with details of ultimate beneficial shareholders) 經認證表格 ND2A 及最近公司年報(附有最終權股東的資料)

(8) For Overseas Company only 只適用於海外公司

- i) Certificate of Registration as Overseas Company issued by Hong Kong Companies Registry 香港特別行政區公司註冊署發出的海外公司登記證明書
- ii) Registered Agent's Certificate 海外註冊代理人之證書
- iii) Certificate of Good Standing 海外公司註冊官簽發的良好記錄證書
- iv) Certified true copy of register of all directors 經認證有關的董事委任記錄冊(摘自法定董事名冊)