



**Manford Financial Limited**  
民锋金融有限公司

Date  
日期

(SFC CE Number 证监会中央编号: BRE352)

Address 地址: Flat 3403, 118 Connaught Road West, Hong Kong 香港干诺道西118号34楼3403室

General Line 电话: (852) 3755 3088 Fax 传真: (852) 3755 3089 E-mail 电邮: cs@manfordfin.com

Account No. 户口号码


## Account Opening Form (Corporate Account) 开户表格 (公司帐户)

(This form shall be read with the Client Account Agreement 此表格须与客户协议一并阅读)

A. ACCOUNT TYPE 账户类别			
Account Type(s) 账户类别	<input type="checkbox"/> Securities Account (Cash) 证券账户 (现金) <input type="checkbox"/> Securities Account (Margin) 证券账户 (保证金) <input type="checkbox"/> Futures Trading Account 期货交易帐户		
Method of Placing Order 落盘方式	<input type="checkbox"/> By Telephone (Manual) 电话专人落盘 <input type="checkbox"/> By Electronics 电子落盘		
Statement Language 月结单语言	<input type="checkbox"/> Chinese 中文 <input type="checkbox"/> English 英文		
B. CLIENT INFORMATION 客户资料			
B1. Corporate Information 公司资料			
Entity of the Client 客户身份	<input type="checkbox"/> Listed Company 上市公司 <input type="checkbox"/> Limited Company 有限公司 <input type="checkbox"/> Unlimited Company 无限公司 <input type="checkbox"/> Offshore Company 离岸公司 <input type="checkbox"/> Trust 信托 <input type="checkbox"/> Sole Proprietorship 独资企业 <input type="checkbox"/> Partnership 合伙企业 <input type="checkbox"/> Others 其他 _____		
Business Name 商号名称	(English 英文)		(Chinese 中文)
Scope of Business 业务范围	No. of Years in the Business 经营该业务的年数		
Registered Address 注册地址			
Business Address 业务地址	(Please provide if different from registered address 如与注册地址不同, 请填写)		
Country of Incorporation 注册成立国家	Date of Incorporation 注册成立日期		
Certificate of Incorporation No. 公司注册号码	Business Registration No. (if any) 商业登记号码 (如有)		
B2. Contact Information 联络数据			
Office Tel. No. 公司电话号码	Fax No. 传真号码		
Email Address 电邮地址	(The email address is for sending form(s), news, notices and statements 这电邮地址用作发送表格、信息、通知及结单)		
B3. Ultimate Ownership (not applicable to Listed Company) 最终拥有权 (不适用于上市公司)			
Name of Sole Proprietor / Partner / Ultimate Shareholder 独资企业 / 合伙企业 / 最终股东名称	HKID Card / Passport No. / Company Number 香港身份证 / 护照号码 / 公司编号	Nationality / Domicile 国籍 / 企业注册成立地点	% of Interest 股权百分比

B4. Directorship 董事					
Name of Director 董事姓名	HKID Card / Passport No 香港身份证 / 护照号码	Place of birth /Nationality 出生地点 / 国籍	Contact No. 联络电话号码	Residential Address 住宅地址	
B5. Financial Status 财务状况					
Paid Up Capital 缴足股本	Liquid Assets 流动资产	Net Asset Value 资产净值	Latest Annual Profit 最近年度利润		
HKD _____	HKD _____	HKD _____	HKD _____		
OR other currency 或其他货币单位 ( ): _____	OR other currency 或其他货币单位 ( ): _____	OR other currency 或其他货币单位 ( ): _____	OR other currency 或其他货币单位 ( ): _____		
Address of Any Owned or Mortgaged Property 如有自置或按揭物业， 请填写物业地址	1. _____				
	2. _____				
	3. _____				
B6. Client's Investment Profile and Knowledge of Derivative Products 客户投资概况及对衍生产品的认识					
Investment Objective 投资目的	<input type="checkbox"/> 短线 Short Term <input type="checkbox"/> 中线 Medium Term <input type="checkbox"/> 长线 Long Term				
	<input type="checkbox"/> Capital Gain & Growth 资本增值 <input type="checkbox"/> Hedging 对冲 <input type="checkbox"/> Dividends Income 股息收益 <input type="checkbox"/> Others 其他 _____				
Expected Investment Amount (HK\$) 预期投资金额 (港元)	<input type="checkbox"/> ≤ \$300,000 <input type="checkbox"/> \$300,001 - \$1,000,000 <input type="checkbox"/> \$1,000,001 - \$2,000,000 <input type="checkbox"/> \$2,000,001 - \$4,000,000 <input type="checkbox"/> \$4,000,001 - \$8,000,000 <input type="checkbox"/> > \$8,000,000				
Investment Products and Investment Experience 曾买卖产品及投资经验	Nil 无	< 1 year 少于一年	1-5 years 一至五年	6-10 years 六至十年	> 10 years 多于十年
Stock 股票	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CBBC 牛熊证	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Derivatives Warrants 衍生权证 (窝 轮)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Futures 期货	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Options 期权	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bonds/Fund 债券/基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Others 其他 _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Knowledge of Derivative Products 对衍生产品的认识	1. The Client underwent training or attended courses on derivative products. 客户曾接受有关衍生产品的培训或修读相关课程。				<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
	2. The Client has current or previous work experience related to derivative products. 客户现时或过去拥有与衍生产品有关的工作经验。				<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
	3. The Client has executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, Commodities, Structured Products, and Exchange Traded Funds, etc. 客户于过去3年曾执行5次或以上有关衍生产品的交易，例如：衍生权证、牛熊证、股票、期 权、期货及期权、商品、结构性产品及交易所买卖基金等。				<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
B7. Settlement Account Information 结算帐户资料					
Currency 货币	Name of Bank 银行名称	Account No. 帐户号码		Name of Account Holder 帐户名称	
HKD 港币					
USD 美元					
RMB 人民币					
Other 其他					

**C. Authorized Person for Account Operation 账户操作之获授权人士**

C1. All instructions will follow the Client's Board Minutes.  
所有指示以客户会议纪录为准。

**D. Disclosure of Identity 身份披露**

D1. Is any director, substantial shareholder or the ultimate beneficial owner of the Account, is licensed by or registered with the Hong Kong Securities and Futures Commission or an employee or director of such person, or a relevant individual of the Hong Kong Monetary Authority?  
账户之任何董事、主要股东或最终实益拥有人是否香港证券及期货事务监察委员会持牌或注册人士，或该人士之雇员或董事，或香港金融管理局的有关人士？

No 否  Yes 是 (please specify details below 请提供以下资料):

CE No. 中央编号 \_\_\_\_\_

Name of licensed /registered person 持牌/注册人名称 \_\_\_\_\_

If the answer is 'Yes', Have you or your authorized person(s) received Consent Letters obtained from their employers for the opening of the Account? 如答「是」，阁下或阁下之获授权人是否已接获其雇主对开立账户的同意书？

Yes 是  No 否

D2. Is any director, substantial shareholder or the ultimate beneficial owner of the Account, a shareholder, director or staff of Manford Financial Limited or its related company, or a relative of such person?  
账户之任何董事、主要股东或最终实益拥有人是否民锋金融有限公司或其关连公司之股东、董事或雇员，或该等人士之亲属？

No 否  Yes 是 (please specify details below 请提供以下资料):

Company Name 公司名称 \_\_\_\_\_ Position 职位 \_\_\_\_\_

Name 姓名 \_\_\_\_\_ Relationship 关系 \_\_\_\_\_

D3. Is any director, substantial shareholder or the ultimate beneficial owner of the Account, have any relationship with senior officers/directors/substantial shareholders of any company whose shares are traded on any exchange?  
账户之任何董事、主要股东或最终实益拥有人是否与任何地方的交易所上市公司的高级人员/董事/大股东有任何的关连？

No 否  Yes 是 (please specify details below 请提供以下资料):

Company Name 公司名称 \_\_\_\_\_

Exchange on which company is listed 公司上市所在地 \_\_\_\_\_ Ticker 股份代号 \_\_\_\_\_

Position 职位 \_\_\_\_\_ Name 姓名 \_\_\_\_\_ Relationship 关系 \_\_\_\_\_

D4. Is any director, substantial shareholder or the ultimate beneficial owner of the Account, and/or any related person(s) is/are client(s) of Manford Financial Limited?  
账户之任何董事、主要股东或最终实益拥有人，及/或各自的关连人士是否民锋金融有限公司的客户？

No 否  Yes 是 (please specify details below 请提供以下资料):

Account Name 账户名称 \_\_\_\_\_

Account No. 帐户号码 \_\_\_\_\_ Relationship 关系 \_\_\_\_\_

D5. Is any director, substantial shareholder or the ultimate beneficial owner of the Account, either alone or jointly, in control of 35% or more of the voting rights of any corporate account of Manford Financial Limited?  
账户之任何董事、主要股东或最终实益拥有人是否单独或共同控制任何在民锋金融有限公司开立的账户35%或以上投票权？

No 否  Yes 是 (please specify details below 请提供以下资料):

Account Name 账户名称 \_\_\_\_\_

Account No. 帐户号码 \_\_\_\_\_ Relationship 关系 \_\_\_\_\_

D6. Is any director, substantial shareholder or the ultimate beneficial owner of the Account, and/or your authorized person(s), their respective spouses, partners, children or parents, or a spouse or a partner of a child of such individual, or close associate of such individual is or has been entrusted with a prominent public function in any place (which shall include a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official)?

账户之任何董事、主要股东或最终实益拥有人及 / 或阁下之获授权人、其配偶、伴侣、子女或父母、或客户及 / 或阁下之获授权人的子女的配偶或伴侣、或与客户及 / 或其获授权人有关系密切的人是否在任何地方担任或曾担任重要的公职 (包括国家元首、政府首长、资深从政者、高级政府、司法或军事官员、国有企业高级行政人员及重要政党干事)?

No 否  Yes 是 (please specify details below 请提供以下数据):

Name of the politically exposed person 政治人物的名称 \_\_\_\_\_

Place and public function entrusted with 地方及所担任的公职 \_\_\_\_\_

Term of the public function entrusted with 所担任的公职的年期 \_\_\_\_\_

Relationship with the client 与客户之关系 \_\_\_\_\_

#### D7. FATCA

We have already registered for FATCA. Our Global Intermediary Identification Number (GIIN) is  
本公司已注册成为FATCA之海外金融机构, 本公司之注册编号为 \_\_\_\_\_

We are a U.S. registered entity 本公司为美国注册之公司

We are not a FFI under FATCA 本公司并非FATCA规例下之海外金融机构

We are a Passive NFFE (Substantial Shareholder (holding 10% or more of the shares) has to complete the "Self-Declaration")  
本公司为Passive NFFE (主要股东(持股10%以上之股东)必须填妥 "个人声明" )

D8. Are you the ultimate beneficial owner in relation to the Account(s)? (i.e. are you acting for yourself and not as a nominee for a third party?)  
阁下是否账户的最终实益拥有人? (即阁下是否为自身而不是作为第三方的代名人行事?)

Yes 是  No 否 (Please complete this section below 请填写以下部份)

Name in Chinese 中文姓名 \_\_\_\_\_

Name in English 英文姓名 \_\_\_\_\_

HK ID Card / Passport No. 身份证/护照号码 \_\_\_\_\_

Place of Issue 签发地 \_\_\_\_\_

Nationality 国籍 \_\_\_\_\_

Occupation 职业 \_\_\_\_\_

Contact No. 联络电话 \_\_\_\_\_

Relationship with the Client 与客户的关系 \_\_\_\_\_

Address 地址 \_\_\_\_\_

Is/are the ultimate beneficial owner(s) a United States ("U.S.") citizen or resident?  
该最终实益拥有人是否美国公民或居民?

Yes 是  No 否

Is/are the ultimate beneficial owner(s) born in the U.S.?  
该最终实益拥有人是否在美国出生?

Yes 是  No 否

### E. Personal Data Privacy 个人隐私

Personal information collected from this application form will be kept confidential by Manford Financial Limited, and 民锋金融有限公司将会保密此申请表的个人资料，并且

I agree 本人同意  I do not agree 本人不同意

i) that Manford Financial Limited uses my personal information for direct marketing purpose;  
民锋金融有限公司使用本人的个人资料用于直接市场促销之目的;

ii) to receive marketing information or materials in relation to Manford Financial Limited's services, products and subjects including financial, insurance, investment, wealth and asset management and related services and products;  
接收有关民锋金融有限公司的服务，产品和涉及财务、保险、投资、财富和资产管理和服务与产品的市场推广信息或材料；

iii) to receive marketing information or materials in relation to Manford Financial Limited's services and products including reward, loyalty or privileges programs and other related services and products.  
接收民锋金融有限公司关于赞赏、忠诚或特选计划和其他相关的服务和产品的市场推广信息或材料；

iv) to allow Manford Financial Limited to provide or transfer my personal information to its affiliated companies, subsidiaries, or parent company for their use in direct marketing.  
允许民锋金融有限公司提供或转移个人资料给其关联公司、附属公司或母公司用于直接促销用途。

### F. Acknowledgement by Client 客户确认

I / We acknowledge that the information contained in this Account Opening Form ("Form") is true, complete and accurate. Manford Financial Limited is entitled to rely fully on such information and declaration for all purposes, unless Manford Financial Limited receives notice in writing of any change. Manford Financial Limited is authorized at any time to contact anyone, including the above mentioned banks, brokers or any credit agency, for verifying the information provided on this Form.

本人/吾等确认载于本开户表格(「开户表」)中的数据属真实，完整及准确。除非民锋金融有限公司接到有关更改此开户表内容之书面通知，否则民锋金融有限公司有权在任何用途上完全依赖这些资料及声明。民锋金融有限公司有权随时联络任何人士，其中包括上述提及之银行、经纪或任何信贷调查机构，以核实此数据表内所载之内容。

In compliance with the requirements under Foreign Account Tax Compliance Act ("FATCA"), Common Reporting Standard ("CRS") and any other foreign law requirement, I / we agree and authorize that Manford Financial Limited is entitled to withhold and deduct any payment or funds (maybe subject to 30% of the gross proceeds and/or any other amount as required by IRS from time to time) under the client accounts as required at Manford Financial Limited's sole and absolute discretion in order to comply with and meet its obligations under FATCA or any other foreign law requirement. In any event, I / we confirm that the Manford Financial Limited shall not be liable for any loss or damages in relation to the withholding or deduction in this matter.

为遵从《海外账户税收合规法案》(「FATCA」)、共同申报准则(「CRS」)及其他外国法律的相关要求，本人/吾等同意并授权民锋金融有限公司，享有唯一及绝对的酌情权，从客户账户中，预留或扣除任何款项(可高达总交易金额的30%及/或由美国国税局不时要求的其他金额)，以及收取任何由该预扣款项所衍生的费用。本人/吾等确认，在任何情况下，民锋金融有限公司将不会为任何因税收合规法案要求下预扣或扣除款项，所引致的损失及损害负上责任。

I / we acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution 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 the financial institution 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 Inland Revenue Ordinance (Cap.112).

本人/吾等知悉及同意，财务机构可根据《税务条例》(第112章)有关交换财务帐户数据的法律条文，(a)收集本表格所载数据并可备存作自动交换财务帐户数据用途及(b)把该等资料和关于帐户持有人及任何须申报帐户的资料向香港特别行政区政府税务局申报，从而把资料转交到帐户持有人的居留司法管辖区的税务当局。

Unless otherwise specify, I / we confirm that I / we am/are acting for my/our own account and as principal in relation to each transaction entered with Manford Financial Limited and I/we shall be the ultimate beneficial owner and ultimately responsible for giving instructions of the account and transaction(s).

除另有说明外，本人/吾等确认本人/吾等为自己账户行事及以当事人身份与民锋金融有限公司订立每一项交易，所有本人/吾等与民锋金融有限公司订立有关交易之最终实益拥有者和最终发出交易指示的人均为本人/吾等。

I / We have read and agree with the Personal Data (Privacy) Ordinance Notice (as contained in the Agreement).

本人/吾等已阅读及同意载于协议内有关香港个人资料(私隐)条例通知。

I / We would abide by the Rules and Regulations of the Exchange, Hong Kong Securities Clearing Company Limited, or any regulatory bodies and the same may be amended from time to time governing the purchase and sale of securities quoted on the aforementioned stock exchanges and clearing system or any other stock exchanges or clearing systems.

本人/吾等同意遵守联交所、香港证券结算有限公司、或其他监管组织对于在前述股票交易所及结算系统或任何其他股票交易所或结算系统上市的证券的买卖作出的并不时修订的监管规则及规例。

I / We understand that the account opening is subject to final acceptance of Manford Financial Limited as the case may be. If the account opening application is rejected, I / we understand and agree that all application documents would not be returned.

本人/吾等明白民锋金融有限公司有最终接纳开户与否之权利。本人/吾等明白及同意，如果本人/吾等的申请被拒绝，本人/吾等之任何开户申请文件将不予退回。

**Risk Disclosure Statements 风险披露声明**

I / We acknowledge that the Client Agreement (“Agreement”) including the Risk Disclosure Statements was provided in a language (Chinese or English) of the Client’s choice. I / We further acknowledge that I / we have been invited to read the Risk Disclosure Statements, ask questions and take independent advice, if I/we so wished.

本人/吾等确认民锋金融有限公司以客户选择的语言(中文或英文)提供客户协议(「协议」)及风险披露声明。本人/吾等进一步确认民锋金融有限公司已经邀请本人/吾等阅读风险披露声明，提出问题及征求独立的意见(如本人/吾等有此意愿)。

I / We have read, understood the Agreement and the Risk Disclosure Statements before signing this Form. I / we hereby apply to open the Securities Account, and agree to be bound by the Agreement as it may be amended from time to time.

在签署本开户申请表前本人/吾等已经阅读、明白协议及风险披露声明。本人/吾等现申请开立证券账户，并同意接受该等现时有效及不时修改的条文约束。

**Signed by Authorised Signatory / Director of the Company (with / without Company Chop)**  
**获授权人士或公司董事签署 (需 \ 不需连同公司印章)**

(Please sign with / without Company Chop 请连 / 不连同公司印章签署)

Name 姓名 \_\_\_\_\_ Position 职位 \_\_\_\_\_ Date 日期 \_\_\_\_\_

**Signed by Witness 见证人签署 \***

Name of Witness  
见证人姓名 \_\_\_\_\_

CE No. 中央编号 \_\_\_\_\_

Position 职位 \_\_\_\_\_

Date 日期 \_\_\_\_\_

*\* Where the account opening documents are not executed in the presence of Licensed Representative of Manford Financial Limited, the signing of the Client Agreement and sighting of related identity documents should be certified by a JP or a professional person such as branch manager of a bank, certified public accountant, lawyer or notary public.*

*如开户文件并非在民锋金融有限公司之持牌代表面前签订，则客户协议的签订及有关的身份证明文件的见证，应由太平绅士或其他专业人士如银行分行经理、执业会计师、律师或公证人加以验证。*

**G. Declaration by Licensed Representative 持牌代表声明**  
**(For Official Use Only 仅供职员填写)**

I, a licensed person, declare that I have provided the abovesaid Client with a copy of Client Agreement (the “Agreement”) including the Risk Disclosure Statements in a language (Chinese or English) of the Client’s choice. And have invited the Client to read the Risk Disclosure Statements, ask questions and take independent advice, if the Client wished.

本人，以持牌人身份，确认本人已按照上述客户所选择的语言(中文或英文)提供客户协议(「协议」)及风险披露声明，并邀请客户阅读风险披露声明，提出问题及征求独立的意见(如客户有此意愿)。

**Signed by Licensed Representative**  
**持牌代表签署**

\_\_\_\_\_

Name 姓名 \_\_\_\_\_

Position 职位 \_\_\_\_\_

CE No. 中央编号 \_\_\_\_\_

Date 日期 \_\_\_\_\_

**H. Account Opening Checklist 开立帐户核对清单***(For Official Use Only 仅供职员填写)*

- Ultimate Beneficial Owner Identified 已识别最终受益人
- Credit Record 信贷记录:     Yes 有    No 无
- PEP Record 政治人物记录:    Yes 有    No 无

**Document Checklist 文件核对清单 (mandatory 必须一并递交)**

- Certified true copy of Business Registration Certificate (if any) 商业登记证经核证副本 (如有)
- Certified true copy of Certificate of Incorporation 公司注册证书经核证副本
- Certified true copy of Memorandum & Articles of Association 公司章程大纲及细则经核证副本
- Certified true copy of Register of Members / the most recent Annual Return 公司股东记录册经核证副本/最近期之公司周年申报表经核证副本
- Certified true copy of Register of Directors / the most recent Annual Return 公司董事记录册经核证副本/最近期之公司周年申报表经核证副本
- Board Resolution 董事会决议案
- Ownership structure chart certified by director 经公司董事签署核证之组织架构图
- Certified true copy of ID / Passport copies of all Directors & Authorized Persons 所有董事及获授权人士之身份证 / 护照经核证副本
- Certified true copy of Address proof of all directors (within last 3 months) 董事之地址证明 (最近3个月) 经核证副本
- Completed and signed Self-Certificate Form (Entity) 自我证明表格(实体客户)
- Completed and signed W-8BEN-E / W-8IMY Form 表格

*AND below, if applicable 及以下, 如适用*

- Initial Deposit 开户存款
- Power of Attorney 授权书
- Certificate of Incumbency 存续证明书
- Employer's Consent Letters 雇主对开立账户的同意书
- Certified true copy of latest audited account or financial statements 核证最近的核数师报告或财政报告
- Authorization Letter from Margin Clients 保证金客户授权书

*True copy certification can be provided by: A certified public accountant / lawyer / banker / notary public in the relevant jurisdiction (i.e. company's country/territory of incorporation); or Hong Kong Institute of Chartered Secretaries (HKICS) member; or Director of company or Responsible Officer / Licensed Representative / staff of Manford Financial Limited.*

*由以下人士签证为真确的副本: 相应国家的执业会计师 / 律师 / 往来银行 / 公证人 或香港特许秘书公会会员, 或公司董事, 或民锋金融有限公司的负责人员或持牌代表或公司同仁。*

Handled by 经手人	Checked by 复核人	Approved by 批准人
		Remarks 备忘