



柏 富 證 券
CPLUS SECURITIES

CPLUS Securities Limited

Client Opening Form

客戶開戶文件

Client Information Form (Individual or Joint Account)

客戶資料表格（個人或聯名帳戶）

Account Name 客戶名稱：_____

Account Number 客戶編號：_____

CLIENT INFORMATION FORM (Individual or Joint Account)
客戶資料表格（個人或聯名帳戶）

Account Name

客戶名稱 _____

Account Number

客戶帳號 _____

Application for 申請帳戶為*	Account Type(s)
☐ Individual Account 個人帳戶 ☐ Cash Account 現金帳戶* ☐ Online & Mobile Phone Trading Account ☐ Joint Account 聯名帳戶 ☐ Margin Account 保證金帳戶* 網上及手機交易帳戶	

Do you require trading in non-HK stocks? 您是否需要開通港股以外的其他股票交易? ☐ Yes 是 ☐ No 否
 Please specify 請述明:

☐ Shanghai-Hong Kong Stock Connect 滬港通 ☐ Shenzhen-Hong Kong Stock Connect 深港通
☐ Global shares 環球股票 ☐ Bonds 債券 ☐ Funds 基金
☐ Structured product 結構性產品(Applicable to Professional Investors only 只適用於專業投資者)

I. Personal Particulars 個人資料

Primary Account Holder 主要帳戶持有人	Secondary Account Holder 第二帳戶持有人
English Name (Mr./Mrs./Ms.) 英文姓名	English Name (Mr./Mrs./Ms.) 英文姓名
Chinese Name 中文姓名（先生/太太/小姐）	Chinese Name 中文姓名（先生/太太/小姐）
Date of Birth (dd/mm/yy) 出生日期（日/月/年）	Date of Birth (dd/mm/yy) 出生日期（日/月/年）
I.D. Card/ Passport No. 身份證號碼 / 護照號碼	I.D. Card/ Passport No. 身份證號碼 / 護照號碼
Nationality 國籍	Nationality 國籍

Relationship with Secondary Account Holder (where applicable)
 與第二帳戶持有人之關係(如適用)

Name of Employer 僱主名稱	Occupation / 職業 Position 職位	Name of Employer 僱主名稱	Occupation 職業 / Position 職位
Residence Address and Country of Residence 住宅地址及國家		Residence Address and Country of Residence 住宅地址及國家	
Business / Correspondence Address and Country of Residence 商業/通訊位址及國家（如通訊位址與住宅不同）		Business / Correspondence Address and Country of Residence 商業/通訊位址及國家（如通訊位址與住宅不同）	
Tel. No. 電話號碼	Fax No. 圖文傳真	Tel. No. 電話號碼	Fax No. 圖文傳真
Email Address 電郵地址		Email Address 電郵地址	

All postal communication including statements of account to be sent to the following address 所有郵寄品包括結算單送往以下位址[^]

☐ **Residential Address 住宅地址**
 (If joint account, the residential address of the primary account holder 如聯名帳戶，主要帳戶持有人的住宅地址)
☐ **Business Address 商業地址**
 (If joint account, the business address of the primary account holder 如聯名帳戶，主要帳戶持有人的商業地址)
☐ **Email Address 電郵地址**
 (If joint account, the business address of the primary account holder 如聯名帳戶，主要帳戶持有人的電郵地址)

* Please tick one only 只選其一

[^] Only one type of postal address is allowed for all cases 於所有情況下，只准許一種郵遞網址類別

II. Identity Declaration 身份聲明

- 客戶是否香港證監會持牌人或註冊人之董事或僱員？如是，請提供閣下的僱主的書面同意。
- ☐ No 否 ☐ Yes, Name of Licensed/Registered Person 是，持牌或註冊人名稱

2. Are you related to any PLUS Securities Limited's director, employee, or representative?
客戶是否與柏富證券有限公司任何董事、僱員或代表有親屬關係?

- 客戶是否與柏富證券有限公司任何董事、僱員或代表有親屬關係？
- ☐ No 否 ☐ Yes 是. Name of director/ employee/ representative and relationship

- 客戶是否擔任重要公職，例如：政府高官、政黨領袖等及其家人？
- ☐ No 否 ☐ Yes, please specify 是，請注明

III. Declaration of U.S. Citizenship or Lawful Permanent Resident Status 美國公民或美國合法永久居民身份聲明

美國公民或美國合法永久居民身份聲明

客戶是否美國公民? ☐ No 否 ☐ Yes 是, TIN No. _____

I.V. Related Margin Account (for Margin account only)
相關保證金帳戶 (只適用於保證金帳戶)

相關保證金帳戶（只適用於保證金帳戶）

1. Is your spouse a margin client of CPLUS Securities Limited?
客戶的配偶是否柏富證券有限公司的保證金客戶？

- 客戶的配偶是否柏富證券有限公司的保證金客戶？
- ☐ No 否 ☐ Yes, Account Name 是，客戶姓名

Account No. 帳戶號碼 _____

- 客戶是否個人或與客戶的配偶共同控制任何柏富證券有限公司的公司保證金客戶 35%以上的投票權？
- ☐ No 否 ☐ Yes, Account Name 是，客戶姓名

Account No. 帳戶號碼

V. Bank Information 銀行資料

Unless otherwise instructed by you, all money payable to you are to be credited to the following bank account:

Unless otherwise instructed by you, all money payable to you are to be credited to the following bank account:

除經客戶另行指示外，須付予客戶的款項將會被轉入下列銀行帳戶：

Bank Name 銀行名稱	Bank Account No. 銀行帳戶號碼
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Bank Account Holder's Name (name(s) shown on bank statements and this Form should be matched) 帳戶持有人名稱 (須與客戶的銀行結單及此表格上的名稱相同)	
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V.I. Financial Information/ Investment Objective and Experience 財務資料/投資目標及經驗

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2. Total net worth (HK\$) ☐ <\$100,000 ☐ \$100,000- \$500,000 ☐ \$500,001 - \$1000,000 ☐ >\$1000,000
資產淨值 (港元)

3. Ownership of property/ real estate ☐ No 否 ☐ Yes 是 (e.g. real estate, time deposit 如物業、定期存款)
擁有資產/物業

- 擁有資產/物業 ☐ with financing 有借貸 ☐ without financing 無借貸

5. Origin of funding (√one or more) ☐ Hong Kong 香港 ☐ Macau 澳門 ☐ China 中國
資金來源地(可√超過一項) ☐ Others (please specify) 其他(請註明)

6. Investment Objective ☐ Speculation 投機 ☐ Capital Appreciation 資產增值
☐ Dividend / Interest 股息/利息收入 ☐ Hedging 對沖

7. Investment horizon ☐ Short term (<1 year) 短線 (少於 1 年) ☐ Short to medium term (1-5 years) 中短線 (1-5 年)
投資年期 ☐ Medium term (6-10 years) 中線 (6-10 年) ☐ Long Term (>10 years) 長線 (>10 年)

8. Risk tolerance 承受風險 ☐ Low 低 ☐ Medium 中 ☐ High 高

- | | | | |
|--|-------------------------------------|--|------------------------------|
| 9. Derivative Product Experience in past 3 years | ☐ 1-5 Trades | ☐ Over 5 trades | ☐ Nil |
|--|-------------------------------------|--|------------------------------|

- ☐
- Nil
-
- 没有

V.I. Financial Information/ Investment Objective and Experience (Cont'd) 財務資料/投資目標及經驗 (繼續)					
10. Investment experience 投資經驗					
	Nil 無	< 1 year 1 年以下	1 to 5 years 1 至 5 年	6 to 10 years 6 至 10 年	> 10 years 10 年以上
Equities 證券	☐	☐	☐	☐	☐
Derivative Products (e.g. warrants/options/CBBCs) 衍生產品 (例如: 窩輪/期權/牛熊證)	☐	☐	☐	☐	☐
Futures 期貨	☐	☐	☐	☐	☐
Mutual Funds/ Unit Trust 互惠基金/單位信託基金	☐	☐	☐	☐	☐
Hedge Funds 對沖基金	☐	☐	☐	☐	☐
Unlisted Structure Products (e.g. ELN/ELI) 非上市結構性產品 (例如: 股票掛鉤投資)	☐	☐	☐	☐	☐
Fixed Income Securities (e.g. Bonds) 固定收益證券 (例如: 債券)	☐	☐	☐	☐	☐
Others (e.g. Forex/Precious metal) 其他 (例如: 外匯交易/貴金屬)	☐	☐	☐	☐	☐

VII. Customer Declaration 客戶聲明	
☐ 1. (a) I/We hereby declare that the information contained in this Client Information Form is true, complete and accurate. CPLUS Securities Limited is entitled to rely fully on such information and representations for all purposes, unless CPLUS Securities Limited receives notice in writing of any change. CPLUS Securities Limited is authorized at any time to contact anyone, including your banks, brokers or any credit agency, for the purpose of verifying the information provided on this Client Information Form. A copy of CPLUS Securities Limited's "Circular relating to the Personal Data (Privacy) Ordinance" is available upon request. 本人/吾等謹此聲明本客戶資料表的資料均屬真實、完整及正確。除非柏富證券有限公司收到任何客戶資料改變的書面變更通知，柏富證券有限公司完全可以依靠這些資料及陳述作任何目的。客戶授權柏富證券有限公司可在任何時間聯絡任何人，包括客戶的銀行、經紀或任何信貸機構，藉以確定及查證本客戶資料表內的資料。客戶可隨時索閱柏富證券有限公司的"個人資料(私隱)條例的通告"副本。	☐ 1. (b) I/We, the undersigned Client, have read and understood the provisions of the attached current version of the Client Agreement of CPLUS Securities Limited ("Agreement") of which this document forms a part. I/We hereby apply to open the above type of account and agree to be bound by the Agreement (receipt of a Copy whereof is hereby acknowledge by us) including its Standard Terms and Conditions and relevant Schedule(s) and/or Annex(es) as the same may be amended from time to time. 本人/吾等，下述簽署客戶，已閱讀過及明白附上的柏富證券有限公司最新版本的客戶協議書("協定")。而本檔乃協議的一部份。本人/吾等現申請開立上述類別的帳戶，並同意接受可不時被修改的協議(謹此聲明吾等已收受其副本)包括其標準條款及細則及有關的附件及/或附錄所約束。
☐ 2. I/We acknowledge and confirm that I/We are the ultimate beneficial owner(s) of the account who ultimately responsible for originating the instruction in relation to transaction(s); and stand to gain the commercial or economic benefit of the transaction(s) and/or bear its commercial or economic risk. 本人/吾等謹此承認並確定本人/吾等是帳戶的最終實益擁有人，即最終為所發出與交易有關的指示負責、獲取交易在商業或經濟上的利益及/或承擔其商業或經濟上的風險之人士。	☐ 3. (Applicable to Margin Clients only) I/We acknowledge and confirm that I/We have authorized CPLUS Securities Limited to deal with the Securities Collateral in accordance with Clause 24 of Schedule I- <Terms for Margin Trading> and the contents of that Clause have been explained to me/us and I/We understand the contents and related risks of that Clause. (只適用於保證金客戶) 本人/吾等謹此承認並確定本人/吾等已根據附表一<保證金融資買賣條款>第24條授權柏富證券有限公司處置證券抵押品，並且本人/吾等明白就該條款的內容及有關風險。

Primary Account Holder 主要帳戶持有人	Secondary Account Holder 第二帳戶持有人
Name 名稱: _____	Name 名稱: _____
Date 日期: _____	Date 日期: _____

VIII. Witness for account opening by Licensed Employee 持牌僱員的開戶見證	
I, CPLUS Securities Limited licensed representative, hereby declare and confirm that I have provided the Risk Disclosure Statements in or accompanying the Agreement in a language of the Client's choice (English or Chinese) and invited the Client/Joint Client to read the Risk Disclosure Statements, ask questions, and take independent advice if the Client/Joint Client wishes. 本人為柏富證券有限公司的持牌代表，並謹此聲明及確認本人已按照上述客戶/聯名客戶所選擇的語言(中文或英文)提供載或附於該協議書的風險披露聲明及邀請客戶/聯名客戶閱讀該風險披露聲明、提出問題及徵求獨立的意見(如客戶/聯名客戶有此意願)。 The above Client/ Joint Client signature(s) was/were made in my presence 以上客戶/聯名客戶簽署乃本人面前簽立。	
Signature of Staff 職員簽署	Name and CE. No. 名稱及中央編號 Date (dd/mm/yyyy) 日期 (日/月/年)
IX. Witness for Postal Account Opening or Account Opening by non-employee of CPLUS Securities Limited 郵遞開戶的見證或非柏富證券有限公司的僱員開戶見證	
If you are opening this Account by way of post, or Account opening is not executed in presence of the employee of licensed person or registered person, please arrange for other person registered with SFC, an affiliate of a registered person, a Justice of the Peace, or a professional person such as branch manager of a bank, certified public accountant, lawyer or notary public to witness your signature of this Agreement and sighting of related identity documents by using "Witness for Postal Account Opening or Account Opening by non-employee of CPLUS Securities Limited" section. 如閣下以郵遞方式開戶，或開戶並非在持牌人或註冊人的僱員面前簽立，請安排其他在證監會註冊人、註冊人的聯系人士、太平紳士或專業人士如銀行分行經理、執業會計師、律師或公證人在"郵遞開戶的見證或非 CPLUS Securities Limited 的僱員開戶見證"欄中見證閣下簽立本協議及驗證有關身份證明文件。 I, the undersigned witness, hereby certify that I have witnessed the signing of this agreement by the Client and have sighted the related identity documents of the Client. 本人為下述簽署人，茲核證本人見證客戶簽立本協定，並驗證有關客戶身份證明文件。	
Signature of Witness 見證人簽署	Name of Witness (BLOCK LETTERS) 見證人姓名 (正楷)
Profession/ Occupation 專業/職業(牌照號碼，如有)	Name of Company 公司名稱
Company Address 公司地址	Date and Company Stamp 日期及公司印章
X. Online Trading Service	
☐ Please provide me/us with Internet & Mobile trading service. I/We have read and understand the provisions of the "Terms for On-Line Trading" Agreement as set out in Schedule II and agree to be bound by same. 請為我/我們提供互聯網及手機交易服務。我/我們已經閱讀並明白附表二"網上證券交易條款"之協定，並同意這些條款的約束。 ☐ Streaming Real Time Quote 串流即時報價服務 (Monthly Fee 月費 HK\$400) ☐ Mobile Trading will charge HK\$0.2 per quote 手機交易報價每次收費 HK\$0.2 ☐ Please send On-Line trading password to the following email 請將網上證券交易密碼發送到以下電郵地址： 	
For internal use only 只供內部使用： ☐ waived Streaming Real Time Quote ☐ waived Mobile Trading will charge HK\$0.2 per quote Approved by: _____ Name: _____ Checked by: _____ Name: _____	
For Official Use Only (只供本公司使用)	
經紀 / 證券銷售員 AE / Sales person : _____	
認識客戶年期 I have known the Client for: ☐ > 1 year ☐ 1-5 years ☐ > 5 years 介紹模式 Mode of Introduction: ☐ 自薦 Walk-in ☐ 引薦 Referral: _____ ☐ 其他 Others: _____	

Commission Rate/ Trading Limit/ Credit Limit & Interest (Securities) 佣金/交易限額/信貸限額及利息(證券)		
	Standard Rate	Proposed
Commission Rate 經紀佣金	0.25%, \$100 (min)	
Internet Commission Rate 網上佣金	0.20%, 100 (min)	
Interest Rate (Margin) 信貸利息	P + 4.5%	
Trading Limit 交易限額	HK\$	
Credit Limit 信貸限額	HK\$	

Sign off by:

核查及同意: Reviewed & Concurred By: _____ (Date: _____)

經紀/ 證券銷售員 AE / Salesperson (Name: _____ C.E. No.: _____)

核對: Checked By: _____ (Date: _____)

Compliance (_____)

批核: Approved By: _____ (Date: _____)

負責人員 Responsible Officer (_____ C.E. No.: _____)

ACCOUNT OPENING CHECK LIST

開戶備忘

- Complete client information form
填妥客戶資料表格
- Read the provisions of the attached current version of the Client Agreement and Schedules and sign (total 3 signatures).
閱讀過“客戶協議書及附件”並填上姓名及簽名確認
- Copy of identity documents of client and ultimate beneficial owner(s)
客戶及最終實益擁有人身份證明檔副本
- Account details of Hong Kong licensed bank
香港銀行戶口資料
- Proof of address of client and ultimate beneficial owner(s) within 3months
客戶及最終實益擁有人近三個月地址證明
- Copy of landing paper
入境紙副本
- W-8BEN Form
美國稅務局表格
- Individual tax residency self-certification form
個人稅務居民自我證明表格
- Individual FATCA self-certification
個人《海外帳戶收合規法案》自行認證

打擊洗錢及恐怖份子資金籌集風險問卷（個人戶口）

請選擇適當答案（由持牌代表填寫）

1. 申請人是否政府人物或其關聯者（請參閱附表1）？
☐ 否 ☐ 是，請解釋：_____
2. 申請人是否恐怖份子或其關聯者（若“是”，此申請人並不能接受）？
☐ 否 ☐ 是，請解釋：_____
3. 申請人居住的國家是否屬於打擊清洗黑錢財政行動特別組織的成員國（請參閱附表2）？
☐ 否 ☐ 是，請解釋：_____
4. 客戶的職業是否與現金密集的業務有關連（例如賭場，貨幣兌換，匯款機構）？
☐ 否 ☐ 是，請解釋：_____
5. 申請人是否曾於其他金融機構開立戶口時被拒絕？
☐ 否 ☐ 是，請解釋：_____
6. 申請人是否曾牽涉於洗黑錢的訴訟？
☐ 否 ☐ 是，請解釋：_____
7. 若申請人已申請“第三者交易指示授權”，被授權人是否與申請人沒有親戚關係？
☐ 否 ☐ 是，請解釋：_____
8. 其他高風險因素如下所述？

風險評估結果：

高風險	如果以上問題1至問題6中有任何“是”的答案及/或問題8 中有其他確定為高風險的因素，風險評估將為“高”高風險客戶在高級管理層審批前，必須採取更嚴格的盡職審查措施及紀錄在另一份表格。
中風險	如果以上問題1至問題6中都沒有任何“是”的答案及問題7及8中沒有其他確定為高風險的因素，
低風險	如果以上問題1至問題7中都沒有任何“是”的答案及問題8 中沒有其他確定為高風險的因素，此風險評估將為“低”
風險級別	（高/中/低）

持牌代表姓名：_____ 持牌代表簽署：_____

日期：_____

For internal use only

Approval to be completed by Responsible Officer

I agree to the above assessed result, and of applicable, the Enhanced Due Diligence should be done for high risk applicants and the account opening of high risk applicants should be approval by Senior Management.

Name of RO：_____ Signed by RO：_____

Date：_____

Risk result input by staff into the system

- ☐ High risk (Approval should be supported by Enhanced Due Diligence Form)
- ☐ Normal Risk
- ☐ Low Risk

Input Staff: _____ Date: _____

Appendix 1

In accordance with Schedule 2 of the Anti-Money Laundering and Counter Terrorist Financing (Financial Institutions) Ordinance, Cap 615 Politically Exposed Person (PEP) means

(a) an individual who is or has been entrusted with a prominent public function in a place outside the People's Republic of China and (i) includes 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; but (ii) does not include a middle-ranking or more junior official of any of the categories mentioned in subparagraph (i); (b) a spouse, a partner, a child or a parent of an individual falling within paragraph (a), or a spouse or a partner of a child of such an individual; or (c) a close associate of an individual falling within paragraph (a);

FATF defines PEPs as 'individuals who are or have been entrusted with prominent public functions in a foreign country, for example Heads of State or of government, senior politicians, senior government, judicial or military officials, senior executives of state owned corporations, important political party officials. The definition is not intended to cover middle ranking or relatively junior individuals in the foregoing categories'. Business relationships with family members or close associates of PEPs involve reputational risks similar to those with PEPs themselves.

FATF Recommendation 12 states that FIs should be required, in relation to PEPs, in addition to performing normal due diligence measures, to:

(a) Have appropriate risk management systems to determine whether the customer or the beneficial owner is a politically exposed person;

(b) Obtain senior management approval for establishing (or continuing, for existing customers) such business relationships;

(c) Take reasonable measures to establish the source of the wealth and source of funds; and

(d) Conduct enhanced ongoing monitoring of the business relationship

FATF Recommendation 12 is applicable to family members or close associates of PEPs. It also extends the above requirements to DNFBPs.

The Wolfsberg Group's Frequently Asked Questions ('FAQs') on PEPs is a useful reference document that deals with various issues that arise when mitigating the risk associated with PEPs.

[http://www.wolfsberg-principles.com/pdf/faq/Wolfsberg_PEP_FAQs_\(2008\).pdf](http://www.wolfsberg-principles.com/pdf/faq/Wolfsberg_PEP_FAQs_(2008).pdf)

Appendix 2

FATF Members and Observers

The 37 Members of the FATF

The FATF currently comprises 35 member jurisdictions and 2 regional organisations, representing most major financial centres in all parts of the globe.

Argentina	Australia	Austria	Belgium
Brazil	Canada	China	Denmark
European Commission	Finland	France	Germany
Greece	Gulf Co-operation Council	Hong Kong, China	Iceland
India	Ireland	Italy	Japan
Republic of Korea	Luxembourg	Malaysia	Mexico
Netherlands	New Zealand	Norway	Portugal
Russian Federation	Singapore	South Africa	Spain
Sweden	Switzerland	Turkey	United Kingdom
United States			
FATF Observers			
Israel	Saudi Arabia		