

# 公司帳戶開戶表格 Corporate Account Opening Form

**美建證券有限公司 Upbest Securities Company Limited**  
SFC Licensed Corporation 證監會核准持牌法團(CE No.: ACR387)

帳戶號碼 A/C No							
處理分行/經紀 Process Location /AE						經紀代號 AE Code	

**客戶選擇之帳戶類別及/或服務 Your Choice of Account type and/or Service(s) (以“√”號選擇 Please tick to choose)**

<input type="checkbox"/> 託管帳戶 Custodian A/C		<input type="checkbox"/> 股票期權帳戶 Stock Options A/C	
電子交易服務 Electronic Trading Service : <input type="checkbox"/> 港股 HK Stock <input type="checkbox"/> 股票期權 Stock Options <input type="checkbox"/> 其他 Others			
即時報價服務# <input type="checkbox"/> 港股 HK Stock : 股市寶 AFE (月費 Monthly Fee : HK\$350) Real-Time Quote Plan <input type="checkbox"/> 其他 Others _____			
密碼送遞 Password Delivery : <input type="checkbox"/> 親自到取 In person : _____ 總行 HQ <input type="checkbox"/> 郵寄 By mail <input type="checkbox"/> 電郵 By email			

#申請即時報價需繳付月費(服務使用不足一個月,月費亦作一個月計算);而該月費可能不時修訂並將於每月初從上列帳戶中扣除。Real-time Quote Plan is charged monthly and on calendar-month basis. Relevant charges are subject to change and will be debited directly from the above account at the beginning of each month.

**A. 客戶資料 Client's Information**

<b>1. 公司資料 Company Details</b>	
Company Name	公司名稱
註冊日期 Date of Incorporation: 年 YYYY 月 MM 日 DD	註冊地點 Place of Incorporation
公司性質(即私人/公共有限公司等) Nature of Entity (i.e. private or public limited company, etc.):	註冊證書號碼 C. I. No.:
香港商業登記証號碼 B.R. No. in HK.:	業務性質 Nature of Business:
銀行戶口資料 Bank Account Record (只供入數之用 For Fund Deposit Only)	
銀行名稱(港元)Bank Name (HKD): _____ 戶口號碼(港元)Account No(HKD): _____	
<b>2. 聯絡資料 Contact Information</b>	
註冊地址 Registered Address	辦事處電話 Office No.
主要辦事處地址 Principal Business Address <input type="checkbox"/>	辦事處傳真 Fax No.
電郵地址 E-mail Address	<input type="checkbox"/> 不擬收取宣傳電郵 Unsubscribe promotional emails
帳戶日結單送遞至 Daily Statements to: <input type="checkbox"/> 註冊地址 Registered Address <input type="checkbox"/> 辦事處地址 Business Address <input type="checkbox"/> 電郵地址 Email Address <input type="checkbox"/> 以下地址 Address Below 帳戶月結單送遞至 Monthly Statements to: <input type="checkbox"/> 註冊地址 Registered Address <input type="checkbox"/> 辦事處地址 Business Address <input type="checkbox"/> 電郵地址 Email Address <input type="checkbox"/> 以下地址 Address Below 聯絡地址 Correspondence Address: _____ *帳戶日結單與月結單的郵寄地址必須相同 Mailing address of the daily statement and monthly statement should be the same	
<b>3. 董事資料 Director(s) Information</b>	
全部董事姓名 Name(s) of All Director(s)	身份證號碼/護照號碼 I.D. Card No./ Passport No.
1.	
2.	
3.	

4. 股東資料 Shareholder(s) Information		
主要股東 Major Shareholders	身份證號碼/護照號碼 I.D. Card No./ Passport No.	持股比例 Shareholding Percentage%
1.		%
2.		%
3.		%

5. 授權操作帳戶人資料 Authorised Person(s) Information			
1. 授權人簽署 Authorised Person Signature	2. 授權人簽署 Authorised Person Signature	3. 授權人簽署 Authorised Person Signature	4. 授權人簽署 Authorised Person Signature
姓名 Name	姓名 Name	姓名 Name	姓名 Name
身份證號碼 HKID No	身份證號碼 HKID No	身份證號碼 HKID No	身份證號碼 HKID No
聯絡電話 Contact No	聯絡電話 Contact No	聯絡電話 Contact No	聯絡電話 Contact No

簽署指示 Signing Instruction : 單簽 Any one can sign singly 任何兩人同簽 Any two must sign jointly 其他 others \_\_\_\_\_

#### B. 客戶投資經驗及目標 Client Investment Experience and Objectives

投資經驗 Investment Experience	<input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於 1 年 Less than a year <input type="checkbox"/> 1-5 年 years <input type="checkbox"/> 6-10 年 years <input type="checkbox"/> 10 年以上 More than 10 years
曾投資的產品 Experienced Products	<input type="checkbox"/> 證券 Stocks <input type="checkbox"/> 認股權證 Warrants <input type="checkbox"/> 期貨/期權 Futures/Options <input type="checkbox"/> 外匯/黃金 Forex/Bullion <input type="checkbox"/> 債券 Bonds <input type="checkbox"/> 基金 Funds <input type="checkbox"/> 其他 Others: _____
投資目標 Investment Objectives	<input type="checkbox"/> 短線 Short Term <input type="checkbox"/> 中線 Medium <input type="checkbox"/> 長線 Long Term <input type="checkbox"/> 資本增值 Capital Appreciation <input type="checkbox"/> 股息回報 Dividend Yield <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 投機 Speculation <input type="checkbox"/> 其他 Others: _____
估計投資金額 Estimated Investment	<input type="checkbox"/> <HK\$100,000 <input type="checkbox"/> HK\$100,001 - HK\$500,000 <input type="checkbox"/> HK\$500,001 - HK\$1,000,000 <input type="checkbox"/> over HK\$1,000,000

#### C. 客戶財政資料 Client Financial Information

法定股本 Authorised Capital	發行股本 Paid-up Capital
淨資產值 Net Asset Value	根據最近的審帳目 Based on latest audited accounts as at _____ / _____ 年度 <input type="checkbox"/> Below HK\$1,000,000 以下 <input type="checkbox"/> HK\$1,000,000 - HK\$5,000,000 <input type="checkbox"/> HK\$5,000,000 - HK\$10,000,000 <input type="checkbox"/> Over HK\$10,000,000 以上
除稅後盈利 Profit after Tax	根據最近的審計帳目 Based on latest audited accounts as at _____ / _____ 年度 <input type="checkbox"/> Below HK\$500,000 以下 <input type="checkbox"/> HK\$500,000 - HK\$1,000,000 <input type="checkbox"/> Over HK\$1,000,000 以上 <input type="checkbox"/> 虧損, 數額為: Loss with amount at HK\$ _____

#### D. 客戶聲明 Declaration by Client

客戶是否證券及期貨事務監察委員會之持牌法團 Is client a licensed corporation registered with the Securities and Futures Commission? 如是, 中央編號為 If yes, CE No is _____	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
客戶是否以中介人身份操作帳戶? Are you acting as an intermediary for the account? 如是, 戶口的最終權益擁有人(包括通過代理人或信託人而持有利益之受益人)是 If yes, details of the ultimate beneficial owner(s), including a beneficiary holding an interest through a nominee or trust, is/are 名稱 Name _____ 身份證/護照號碼 ID/Passport No. _____ 地址 Address _____	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
客戶之任何董事、股東或授權人士是否美建證券有限公司的客戶? Is any director, shareholder or authorized person of the client a client of Upbest Securities Company Limited? 如是 If yes, 帳戶號碼 Account No.: _____ 帳戶名稱 Account Name: _____	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
客戶之任何董事、股東或授權人士是否美建證券有限公司的職員? Is any director, shareholder or authorized person of the client a staff of Upbest Securities Company Limited? 如是 If yes, 職員名稱 Name: _____ 職位 Position _____	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
客戶之任何董事、股東或授權人士與美建證券有限公司職員是否有親戚關係? Does any director, shareholder or authorized person of the client have any relationship with the employee of Upbest Securities Company Limited? 如是 If yes, 職員名稱 Name: _____ 關係 Relationship _____	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No

客戶之任何董事、股東或授權人士是否其他香港聯合交易所參與者之顧問或任何根據證券及期貨條例註冊之人士? Is any director, shareholder or authorized person of the client an employee of any participant of The Stock Exchange of Hong Kong or a registered person under the Securities and Futures Ordinance ? 如是 If yes, 董事/股東/授權人名稱 Director/Shareholder/Authorised Person Name: _____ 參與者名稱 Participant Name: _____ 職位 Position _____ (中央編號 CE No.: _____)	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
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### E. 客戶確認及簽署 Acknowledgement and Execution by Client

吾等(在下面簽署的客戶)確認美建證券有限公司(下稱“美建”)已按吾等選擇的語言(英文或中文)提供了客戶協議書及風險披露聲明之副本。吾等(在下面簽署的客戶)謹此聲明在本開戶表格所提供之資料全部為真實、完整及正確,除非美建接到更改有關本開戶表格內之書面通知,否則美建有權完全依賴此等資料及聲明作出一切用途。美建或其代理獲授權可隨時就核對本開戶表格資料事宜,與任何人包括本人/吾等之銀行、經紀或任何信用機構進行諮詢。如吾等在開戶表格所包括的資料有任何更改,吾等保證盡快通知美建。

吾等(在下面簽署的客戶)現申請開立吾等在本開戶表格頁首選擇之帳戶及服務類別。吾等確認已閱讀並明白附上之美建證券有限公司客戶協議書(該協議書)的所有有關條款並且接受及同意受可不時被修改的該協議書之條款所約束。

吾等(在下面簽署的客戶)進一步確認美建已經邀請吾等閱讀風險披露聲明,提出問題及徵求獨立的意見(如吾等有此意願)。

We, the undersigned client(s) hereby confirm that We have been provided the Client's Agreements ("the Agreement") of Upbest Securities Company Limited ("Upbest") and the Risk Disclosure Statement (receipt of a copy whereof is hereby acknowledged by me/us).

We, the undersigned client(s) hereby confirm and represent that the information on this Account Opening Form is true, complete and correct. Upbest is entitled to rely fully on such information and representations for all purposes, unless Upbest receives notice in writing of any change. Upbest or any of its agents is hereby authorized at any time to contact anyone, including my/our banks or any credit agency, for the purpose of verifying the information provided on this Account Opening Form. We undertake to notify you as soon as practicable in case any information contained in this Account Opening Form is materially changed.

We, the undersigned client(s) hereby apply to open the types of account(s) and service(s) which We choose on the front page of this Account Opening Form and confirm that We have read and understand the relevant provisions of the attached Client's Agreement and accept and agree to be bound by the terms and conditions of the Agreement as the same may be amended from time to time.

We, the undersigned client(s) further acknowledge and confirm that We have been invited by Upbest to read the Risk Disclosure Statement, ask questions and take independent advice, if We wish.

Date 日期 \_\_\_\_\_ YY 年 \_\_\_\_\_ MM 月 \_\_\_\_\_ DD 日

客戶簽署 Authorised Signature  授權代表名稱 Name of Authorised Person  職位 Position	公司印章 Company Chop
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### F. 見證客戶簽署及公司文件驗證 (如適用) Certification of Client Signature and Corporate Documents (if applicable)

若客戶並非在美建證券有限公司之指定僱員面前簽立本開戶表格或本開戶表格並非連同恰當的支票+一併遞交,則以下部份應由指定人士,包括其他證監會持牌人或註冊人、太平紳士或專業人士例如銀行分行經理、執業會計師、律師或公證人,簽署驗證。

If this Account Opening Form is not executed in front of Upbest Securities Company Limited's SFC licenced employee or is not submitted with an appropriate cheque+, a specified person, including any SFC licensed or registered person, a Justice of Peace, a Branch Manager of a bank, Certified Public Accountant, Solicitor or Notary Public, should be required to sign below.

下述簽署人士謹此驗證上述客戶簽立此文件(連同客戶協議書)及其有關的公司文件:

The undersigned person hereby certify the signing of this Account Opening Form (together with the Client's Agreement) by the above Client and sighting of related identity corporate documents of such Client

Date 日期 \_\_\_\_\_ YY 年 \_\_\_\_\_ MM 月 \_\_\_\_\_ DD 日

簽署及驗證 Signed and Certified by	姓名 Name
	所屬專業及職銜 Profession/Title
聯絡電話 Contact No.	聯絡地址 Address

+客戶在香港的持牌銀行開立的帳戶並由客戶所簽發(該簽名須與此開戶表上的客戶簽名相符)並載有客戶在其身份證明文件上所顯示的姓名的劃線支票,而該支票抬頭人須為“美建證券有限公司”及其數額不得少於 10,000 港元。客戶被批核的新帳戶必須待支票兌現後才可使用。  
 A crossed cheque bearing your name shown in your identity document and drawn on your account with a licensed bank in Hong Kong with your same signature(s) as shown on this Form in favour of "Upbest Securities Company Limited" for not less than HKD10,000. Your approved new account will not be activated until the cheque is cleared.

