

# 高寶集團證券有限公司

## Global Group Securities Limited

證券及期貨事務監察委員會註冊證券交易商  
Licensed Corporation under Securities and Futures Commission  
(C.E. No. AZJ721)

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### 證券交易開戶表格

### **SECURITIES TRADING ACCOUNT OPENING FORM**

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內部使用 For internal use only
客戶主任 Name of Account Executive:
客戶號碼 Client Account No:
客戶名稱: Client(s) Name:

致：高寶集團證券有限公司

To: Global Group Securities Limited

證券交易開戶表格

**Account Opening Form for Securities Trading**

若涉及聯名或合夥帳戶，而凡於下文提述「本人」，在條文內容有需要的情況下，應指「吾等」。  
Where a joint or partnership account is involved, any reference herein to “I”, “me”, “my” and/or “myself” shall mean “we”, “us”, “our” and /or “ourselves” respectively as the context requires.

謹請以本人名義開立及維持以下帳戶（「戶口」）

**Please open and maintain the following account(s) (the “Account”)**

1.  個人戶口 Individual Account  
 聯名戶口 Joint Account
  
2.  現金戶口 Cash Account
  
3.  電話交易 Phone Trading  
 網上交易 Internet Trading<sup>#</sup>

## SUPPORTING DOCUMENTATION FOR OPENING ACCOUNTS

為遵循證監會及《打擊洗錢及恐怖分子資金籌集條例》之規定，閣下開戶時必須帶備以下文件：

In order to comply with the regulations of Securities and Futures Commission (“SFC”) and AML/CFT Ordinance, the following supporting documents will be required for opening account with Global Group Securities Limited (“GGS”):

- **個人身份證明文件（如有效之香港身份證或有效護照）**

注意：有關閣下的身分證明文件的見證，應由專業人士例如執業會計師、執業律師或公證人，獲證監會發牌或註冊人士或高寶證券的員工加以驗證

**Personal Identification Document (eg. Valid HKID Card or Passport)**

Note: Sighting of supporting documents should be certified by a professional person such as Certified Public Accountant, a Practising Lawyer or Notary Public, a person licensed or registered by SFC or employee of GGS

- **住址證明（三個月以內之個人地址證明如公用設備賬單、銀行月結單副本、及／或入息稅稅單）**

**Proof of Residency (personal address proof from the recent 3 months e.g. utilities bill, bank statement or income tax statement)**

- **客戶開戶時必須提供至少一個指定銀行戶口以作提款之用**

注意：銀行戶口之銀行結單或存摺副本(文件須為完整並清楚顯示客戶名稱、銀行名稱及銀行帳戶號碼)以作核實。

**Bank Account for fund withdrawal upon account opening.**

Note: Clients shall provide copies of bank statement or passbook (the document must be in full on which Client’s name, bank name and bank account number must be clearly shown) for verification purpose.

本人/吾等中任何一人/任何授權人士可不時按照本開戶表格同日簽訂之客戶協定及下列細節指示閣下。

In my/our name in relation to which I/we/any one of us/any Authorised Person may from time to time instruct you in accordance with the terms of the Client Agreement executed on even date and the following particulars.

**1(a). 個人資料 Personal Information (只供個人或聯名戶口 For Individual or Joint Account Only)**

個人/聯名帳戶主要戶口持有人 Individual/Primary Joint Account Holder

Customer Name (Surname first)	Mr./Ms.	
客戶姓名	先生/女士	
出生日期 D.O.B. (DD/MM/YY)	國籍/公民身份 Nationality/Citizenship	
身份證/護照號碼 ID Card /Passport No	簽發地點 Place of Issue	
Contact Numbers 聯絡號碼		
住宅電話 Home No	流動電話 Mobile No	傳真號碼 Fax No
住宅地址 Residential Address*		

通訊位址 Correspondence Address (與上址不同如 if different from above)

\* (請提供住址證明如(此開戶表格所列之日期三個月內發出)例如載有客戶名稱的銀行結單, 電費單 Please provide address proof (issued within 3 months of the date of this Account Mandate) e.g. bank statement, utilities bill with the Client's name)

電郵地址 E-mail Address

業務/工作狀況 Business / Employment Status

職業/業務性質 Occupation/Business	職位 Job Title
僱主名稱 Name of employer	
受僱年期 Years with Employer	辦公室電話 Office No
辦公室地址 Office Address (可選填 Optional)	

聯名帳戶第二戶口持有人資料 Secondary Joint Account Holder

Customer Name (Surname first)	Mr./Ms.	
客戶姓名	先生/女士	
出生日期 D.O.B (DD/MM/YY)	國籍/公民身份 Nationality/Citizenship	
身份證/護照號碼 ID Card /Passport No	簽發地點 Place of Issue	
聯絡號碼 Contact Numbers		
住宅電話	流動電話	傳真號碼
Home No	Mobile No	Fax No

住宅地址

Residential Address\* \_\_\_\_\_

通訊地址

Correspondence Address (如與上址不同 if different from above) \_\_\_\_\_

\* (請提供住址證明如(此開戶表格所列之日期三個月內發出)例如載有客戶名稱的銀行結單, 電費單 Please provide address proof (issued within 3 months of the date of this Account Mandate) e.g. bank statement, utilities bill with the Client's name)

電郵地址 E-mail Address \_\_\_\_\_

業務/工作狀況 Business / Employment Status

職業/業務性質 Occupation/Business \_\_\_\_\_ 職位 Job Title \_\_\_\_\_

僱主名稱 Name of employer \_\_\_\_\_

受僱年期 Years with Employer \_\_\_\_\_ 辦公室電話 Office No \_\_\_\_\_

辦公室地址 Office Address (可選填 Optional) \_\_\_\_\_

### 1(b). 客戶財政狀況 Client Financial Information

(如屬聯名帳戶, 則需由主要帳戶持有人填寫 Please fill in by the Primary Account Holder for Joint Account)

收入來源 Source of Income

- 沒有 Nil       薪金 Salary       佣金 Commission       租金 Rent  
 股息 Dividend/利息 Interest       業務溢利 Business Profit       其他 Others \_\_\_\_\_

每年收入 Annual Income (HKD)

- <HKD120,000       HKD120,001 – HKD300,000       HKD\$300,001 – HKD500,000  
 HKD500,001 – HK\$1,000,000       >HKD1,000,000

資產項目類別 Asset Types

- 房地產 Lands and Properties       存款 Deposits       證券 Listed Securities  
 債券/基金 Bonds/Funds       其他 Others \_\_\_\_\_

資產淨值 Net Asset Value (HKD)

- <HKD500,000       HKD500,001 – HKD1,000,000       HKD\$1,000,001 – HKD3,000,000  
 HKD3,000,001 – HK\$5,000,000       HKD5,000,001 – HK\$10,000,000       >HKD10,000,000

客戶是否曾經宣佈破產?

Has the client ever declared bankruptcy?       不是 No       是 Yes\*

\*如是, 請提供日期及詳情

If yes, please provide the date and details : \_\_\_\_\_

(證監會規定填寫 as required by SFC)

## 2. 客戶銀行帳戶資料 Client Bank Account Information

如果客戶想將他的提款要求直接地存入他的銀行帳戶，請於以下詳細指明細節 If the Client would like his withdrawal request to be deposited into his bank account directly, please specify the details as below:

銀行名稱 Bank Name: \_\_\_\_\_ 帳戶號碼 Account No.: \_\_\_\_\_

分行名稱 Branch Name: \_\_\_\_\_ 帳戶持有人名稱 Account Holder's Name: \_\_\_\_\_

Swift Code/Sort Code/IBAN: \_\_\_\_\_ 帳戶貨幣 Account Currency: \_\_\_\_\_

高寶集團證券有限公司會按客戶之要求將應付客戶之款項以支票存入客戶以上之銀行。Payment due from Global Group Securities Limited to the Client shall be settled by cheque issued and deposited by the Broker to the above bank account upon request of the Client.

## 3. 客戶戶口資料收取方式 Mode of Receiving Client Account Information

客戶要求經以下方式收取結單、成交單據及交易確認書 The Client requests to receive Statements, Contract Notes and Trade Confirmation in the following mode: -

(請選擇其一 Please select one only)

電子郵箱方式 by Email Only

郵寄方式 by Post Only

(請選擇其一 Please select one only)

中文版本 Chinese Version

英文版本 English Version

- 如果你透過某個電子系統收發郵件，便須承受該系統帶來的風險，包括有關系統硬體或軟體可能會失靈的風險。詳情請參閱客戶服務協定內之電子交易服務之條款。If you choose to receive mails via an electronic trading system, you will be exposed to risks associated with the system including the failure of hardware and software. Please refer to Terms for Electronic Trading of Client Service Agreement.
- 注意NOTE：由高寶集團證券有限公司發出及以郵寄方式遞交至以上之通訊位址或傳真至以上傳真號碼或電郵至以上之電子郵箱之結單、成交單據、交易確認書及所有其他通信，都當作完全履行經紀之職責。如以上沒有填寫，所有關於閣下戶口的文件，將會電郵至閣下的電子郵箱。Statements, Contract Notes, Trade Confirmation and all other correspondence originated from GGS and delivered by post to the above correspondence address or by fax to the above fax number or by email to the above email address is considered complete discharge of the Broker's responsibility. If the correspondence address is not completed in the above, then all correspondence shall be directed to the email address.

## 4. 客戶投資經驗及目標 Client Investment Experience and Objective

(如屬聯名帳戶，則需由主要帳戶持有人填寫 Please fill in by the Primary Account Holder for Joint Account)

投資年期 Experience by Years

沒有 Nil

少於 1 年 (Less than 1 year)

1 - 5 年 Years

6 - 10 年 Years

10 年或以上 More than 10 Years

曾投資的產品 Experienced Investment Products

證券 Stocks

期貨/期權 Futures/Options

外匯/黃金 Forex /Bullion

債券/基金 Bonds/Funds

其他 Others \_\_\_\_\_

投資目標 Investment Objectives

短線 Short Term

中線 Medium Term

長線 Long Term

資本增值 Capital Gain

股息回報 Dividend Yield

對沖 Hedging

投機 Speculation

其他 Others \_\_\_\_\_

## 5. Politically Exposed Person (PEP) 政治敏感人物

Is the client/client's directors, shareholders and/or its authorised persons, their respective spouses, partners, children or parents, or a spouse/partner of a child of such individual, or *close associate*<sup>1</sup> of such individual is/has been entrusted with a prominent public function in any country, either in Hong Kong or in a foreign country,<sup>2</sup> (which included 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)?

客戶、客戶之董事、股東及/或其授權人、其各自的配偶、伴侶、子女或父母、或該名個人的子女的配偶或伴侶、或與該名個人有關係密切的人是否在任何一個國家，無論是在香港或外國，擔任或曾擔任重要公職的個人擔任或曾擔任重要的公職（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)?

No 否  Yes 是\*

\* If yes, please provide the details in the following table 請填寫以下表格：

Name of PEP 政治敏感人物名稱	Relationship to PEP 與政治敏感人物的關係	PEP Position 政要職銜	Country 國家

<sup>1</sup> In accordance with the Anti-Money Laundering and Counter Terrorist Financing (Financial Institutions) Ordinance (AMLO), "Close Associates" includes:

根據《打擊洗錢及恐怖分子資金籌集(金融機構)條例》(打擊洗錢條例)的法定釋義，「關係密切的人」包括:

i) An individual who has close business relation with such PEP, such as an individual who is a beneficial owner of a trust of which such PEP is also a beneficial owner; or

該人為該政治敏感人物有密切業務關係的個人，包括信託的實益擁有人的個人，而該政治敏感人物亦是該信託的實益擁有人；或

ii) An individual who is the beneficial owner of a trust that is set up for the benefit of such PEP

該人是屬某信託的實益擁有人的個人，而該信託是為政治敏感人物的利益而成立的。

<sup>2</sup> While the statutory definition of PEPs in the AMLO only includes "Foreign" PEPs, however, the SFC Guideline explicitly includes definition of "Domestic" PEP (Paragraph 4.13.14). It follows that both domestic and foreign PEPs should be taken into consideration for risk assessment.

**6. 客戶聲明 Client's Declaration (只供個人或聯名戶口 For Individual or Joint Account Only)**

(如屬聯名帳戶, 則需由主要帳戶持有人填寫 Please fill in by the Primary Account Holder for Joint Account)

1. 閣下是否以仲介人身份操作帳戶? Are you acting as an intermediary for the account?  不是 No  是 Yes\*

\*如是, 戶口最終權益擁有人細節如下 If yes, details of the ultimate beneficial owner(s) is/are-

姓名 Name : \_\_\_\_\_ 身份證/護照號碼 ID /Passport No. : \_\_\_\_\_

聯絡號碼 Contact No. : \_\_\_\_\_

住宅地址 Residential Address : \_\_\_\_\_

2. 閣下是否股票/期貨交易所參與者, 或於證監會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? Are you an employee or agent of a participant of the Stock/Futures Exchange, or a licensed person/licensed representative registered with Securities and Futures Commission or an exempt licensed person or licensed representative?

不是 No  是 Yes\*

\* 有關連之交易所參與者或註冊/豁免人士名稱 The name of related exchange participant or registered/exempted person is:

\_\_\_\_\_ 中央編號 C.E. No. ( ) 職位 Position: \_\_\_\_\_

(必須出示所屬持牌法團之授權信 You must provide written approval from your accredited licensed corporation)

3. 閣下是否高寶集團證券有限公司的僱員? Are you an employee of Global Group Securities Limited?

不是 No  是 Yes

4. 閣下與高寶集團證券有限公司僱員是否有親屬關係? Do you have any relationship with any employee of Global Group Securities Limited?

不是 No  是 Yes\*

\*僱員姓名 Employee's name is : \_\_\_\_\_ 關係 Relationship: \_\_\_\_\_



## 7. 客戶授權、承諾、聲明及簽署 Client's Authorization, undertaking, declaration and execution

- i. 閣下獲授權在任何時間向本人之往來銀行獲取參照資料及帳戶結餘（本人放棄任何有關之保密責任）及聯絡任何其他人士查證本文中提供的資料。再者，本人茲授權閣下進行對本人之信用諮詢及查證，以及確定本人之財政狀況及投資目標。 You are authorised to obtain at any time references and account balances from my/our bankers (I/we waive any duty of confidentiality involved) and to contact any other persons to check the information provided herein. Further, I/we hereby authorise you to conduct credit inquiries and checks for the purpose of ascertaining my/our financial situation and investment objectives.
- ii. 本人確認是該帳戶的實益所有人，並且不會為任何第三者的利益或按任何第三者的指示而操作該帳戶；亦明白不能以第三者任何方式交收。 I/we confirm that I/we are the beneficial Owner(s) of the Account and will not operate the Account for the benefit of, or on the instructions of, a third party; and aware that I/we shall not settle any trading transaction with third party.
- iii. 本人同意遵守香港聯合交易所、香港期貨交易所、香港證券結算有限公司或其他監管組織對於在前述股票及期貨交易所及結算系統或任何其他股票及期貨交易所或結算系統上市的股票的買賣作出並不時修訂的監管規則及規例。 I/We agree to abide by the Stock Exchange of Hong Kong, Hong Kong Futures Exchange LTD, Hong Kong Securities Clearing Company Limited, or any regulatory bodies from time to time governing the purchase and sale of shares quoted on the afore mentioned stock and Future exchanges and clearing system or any other stock and Future exchanges or clearing systems.
- iv. 本人確認本人已明白及同意高寶集團證券有限公司會按照《個人資料(私隱)條例》擬不時就不同事項包括(但不限於)向閣下提供服務及遵循監管組織所頒佈的指引及直接促銷使用本人的資料。 I/we confirm that I/we understood and agreed that Global Group Securities Limited may, from time to time, use my/our data in connection with various matters including, but is not limited to, provision of services to you, compliance with any laws or guidelines issued by regulatory bodies and direct marketing pursuant to the Personal Data (Privacy) Ordinance of Hong Kong.
- v. 本人確認本人已收到、閱讀、同意及明白證券交易協議書之條款及條件(包括有關法律及稅務方面之影響)，風險披露聲明及本開戶表格(可隨時作出更改)內所列之條款，本人並同意接受其約束。 I/we confirm that I/we have already received, read, accepted and understood all the terms and conditions as stipulated in the “**Securities Trading Agreement**” (including the provisions relating to the legal and tax implications), “**Risk Disclosure Statement**” and all the provisions of this **Account Opening Form** (amended from time to time) and I/we agree to be bound by them.

倘若此開戶表格之中文版本與英文版本的釋義或含義有任何差異時，客戶和經紀均同意以英文版本為準。 *In the event of any difference in the interpretation or meaning between the Chinese and English version of this Account Mandate, the Client and the Broker agree that the English version shall prevail.*

## 8. 客戶謹此簽訂此開戶表格 This Account Opening Form is hereby executed by the Client on (date)

個人主要戶口持有人簽署

聯名戶口第二持有人姓名

Signature of Individual/Primary Joint Account Holder

Signature of Secondary Joint Account Holder

姓名 Name

姓名 Name

日期 Date

日期 Date

見證人簽署

Signature of Witness

姓名 Name

職業 Occupation

日期 Date

**9. 持牌人的聲明 Declaration By Staff of Licensed Person**

本人聲明本人已經提供由客戶自行選擇的語言（中文或英文）之載於條款及細則內之**風險披露聲明**；及本人已經邀請客戶參閱風險披露聲明，提出問題及如果客戶需要的話，聽取獨立意見。I confirm that I have provided the Client with a copy of **Risk Disclosure Statements** as set out in the Terms and Conditions in a language of the Client's choice (English or Chinese). I have also invited the Client to read such statements clearly, ask questions and take independent advice if the Client wishes.

簽署: Signature:  
持牌人姓名: Name of Licensed Person:  
中央編號: CE No.:  
日期: Date:

帳戶簽名樣式 Specimen Signature	
簽名樣式 Specimen Signature	簽名樣式 Specimen Signature (聯名或公司適用 Applicable to Joint or Corporate Account)
客戶/授權人姓名 A/C Name or Authorised Person	客戶/授權人姓名 A/C Name or Authorised Person
香港身份證號碼/護照號碼 HKID/Passport No.	香港身份證號碼/護照號碼 HKID/Passport No.
簽署指示 (聯名或公司戶口適用) Signing Instruction (Applicable to Joint or Corporate Account)	帳戶操作指示方式 Account Operation on instruction of <input type="checkbox"/> 任何一位帳戶持有人 Either one of the account holders <input type="checkbox"/> 兩位帳戶持有人 Both account holders <input type="checkbox"/> 其他 Others : _____
公司印章 Company Chop	備註 Remarks

本欄只供“內部”使用 For internal use only

<b>核對清單 Checklist</b>		<b>客戶介紹人 Account Referral</b>	
<p>請參考「開戶所需文件與資料列表」</p> <p>Please refer to the “List of Documents and Information required for opening an account under GGS”</p>		經紀姓名 A.E. Name	
		佣金收費 Commission Fee (%)	
		電話交易 Phone Trading <input type="checkbox"/> ( ) %; 最低 minimum HKD ( )	網上交易 Internet Trading <input type="checkbox"/> ( ) %; 最低 minimum HKD( )
		信貸額 Credit Limit HKD	
		備註 Remarks:	
<b>Account Received by:</b> (CS Department)	<b>Documents Verified by:</b> (CDD Department)	<b>Account Approved by:</b> (Responsible Officer)	<b>Data Inputted By:</b> (Settlement Department)
Signature:	Signature:	Signature:	Signature:
Name:	Name:	Name:	Name:
Title:	Title:	Title:	Title:
Date:	Date:	Date:	Date: