



## HK Noble Sky Treasure Securities Limited 香港天富寶證券有限公司

Flat E, 28/F, Legend Tower, 7 Shing Yip Street, Kwun Tong, Kowloon, Hong Kong

香港九龍觀塘成業街七號寧晉中心二十八樓E室

Exchange Participant of the SEHK & HKFE 香港聯合交易所有限公司及香港期貨交易所有限公司參與者

Licensed Corporation under the SFO with CE No: BAP743 《證券及期貨條例》下持牌法團中央編號：BAP743

### CLIENT INFORMATION FORM (Corporate) 客戶資料表格 (公司)

Account Type(s) 賬戶類別	Effective Date 戶口生效日	Name of AE 客戶主任
<input type="checkbox"/> Securities Account (Cash) 證券賬戶 (現金)	Account No. 賬戶號碼	
<input type="checkbox"/> Futures Account 期貨賬戶	Account No. 賬戶號碼	

Please read the Cash Client's Agreement / Futures Client's Agreement before signing this form

請在簽署本表格前仔細閱讀現金客戶協議書 或 期貨客戶協議書

#### 1. Corporate Data 公司基本資料

Name of Company 公司名稱 English 英文			
Name of Company 公司名稱 Chinese 中文			
Registered Address 注册地址			
Place of Incorporation 註冊地點			
Date of Incorporation 註冊日期			
Principal Business Address 主要辦事地址			
C.I. No. 公司註冊證書號碼			
Business Registration No. (H.K.) 香港商業登記編號			
Nature of Entity 公司性質	<input type="checkbox"/> Private 私人公司	<input type="checkbox"/> Public 上市公司	<input type="checkbox"/> BVI BVI公司
Nature of Business 業務性質			
Contact Person 聯絡人			
Office Tel. 辦公電話	Mobile Phone 手提電話	FaxNo. 傳真	E-mail Address 電子郵件
Correspondence 郵件地址 (Choose one only, all correspondence including Statement of Account are to be sent to 僅選其一，所有通訊包括戶口結算單請寄往)			
<input type="checkbox"/> Office Add. 辦公地址		<input type="checkbox"/> Email 電郵 (推薦)	
<input type="checkbox"/> Other 其他：_____			

Bank Account Record 銀行戶口紀錄 (For fund deposit only只作入數之用)				
			內地銀行專用	
Currency 貨幣	Name of Bank 銀行名稱	Account No. 賬戶號碼	Swift Code 銀行國際代碼	Branch & sub-branch Add. 分行支行地址
HKD 港幣				
USD 美元				
CNY 人民幣				

**2. Major Shareholders (Shareholding of 5% or more) 主要股東 \*(持有5%或之上股權)**

Names 姓名	Residential Address 住宅地址	Passport/ ID/ Place of Issue 護照/身份證/簽發地	No. of Shares 持股數量 (%)

\*If a registered shareholder is not the beneficial owner of the shares, please declare the ultimate beneficial owner of the shares.

\*如註冊股東非股份的最終受益人，請註明該股份最終受益人。

**3. All Directors 所有董事**

Names 姓名	Residential Address 住宅地址	Passport/ ID/ Place of Issue 護照/身份證/簽發地

#### 4. Authorized Person(s) Signature 授权人士签署

The Account may be operated by the following person(s): Authorized Signer(s) or Trading Representative(s).  
 根据签署安排，账户运作可分授权签署人士或授权交易代表。

Trading Authorization Given by any one of the Trading Representative, Please tick appropriate box.  
 授权交易指示 下表中任何一位授权交易代表作出交易指示，请在以下方格内加上☑。

Authorized Person's Name 授权人士姓名	Position 职位	Passport/ID No. 护照/身份证	Phone/ Mobile No. 电话/手机	Specimen Signature 签署式样	
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>

Signing Instruction 授权签署指示:

- Any one of the signature is required to sign singly 任何一位人士单独签署  
 Any two of the above signatures are required to sign jointly 任何两位人士联合签署

#### Specimen of Company Chop 公司图章式样

#### 5. Investment Experience and Objectives 投资经验及目的

Investment Objectives 投资目的

- Capital appreciation 资本增值                       Dividend yield 股息回报  
 Hedging 对冲     Speculation 投机  
 Other 其他: \_\_\_\_\_

Investment Experience 投资经验

- Nil 没有     Yes 有,      Years of Experience 年资 \_\_\_\_\_  
 Stocks 证券     Warrants 认股权证                       CBBC 牛熊证  
 Options 期权     Futures 期货  
 Other 其他: \_\_\_\_\_

Estimated Investment Amount 估计投资金额: \_\_\_\_\_

## 5A. Client's Knowledge of Derivative Products 客户对衍生产品的认识

The Client acknowledges and understands HKNST Securities will assess whether the Client has adequate knowledge on derivative products according to the information the Client provided.

客户知悉及明白香港天富宝证券将根据以下的资料以评估客户是否对衍生工具产品有认识。

- Client had undergone training or attended courses related to derivative products.  
客户曾接受有关衍生产品的培训或修读相关课程。
- Client has current or past 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。
- Client has executed 5 or more transactions in derivative products in the past 3 years, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures & Options, and Exchange Traded Funds, etc.  
客户于过去三年内曾执行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、及交易所买卖基金等。
- I/We (the Client) will NOT trade derivative products with and through HKNST Securities. However, if I/We (the Client) start trading derivative products with and through HKNST Securities, I/We (the Client) acknowledge and accept the risks that may be caused by trading these derivative products and agrees to bear such risks, as well as to take responsibilities involved.**  
本人(客户)不会在香港天富宝证券进行衍生产品买卖交易。如本人(客户)日后决定通过香港天富宝证券进行衍生产品买卖交易,即代表本人(客户)知悉及接受相关衍生产品所带来的风险及须承担风险及责任。

## 6. Financial Information 财政资料

Authorized Capital 法定股本		Paid-up Capital 发行股本	
Net Asset Value based on latest audited accounts 根据最近的审计账目,净资产为			
Profit after Tax based on latest audited accounts 根据最近的审计账目,除税后盈利为			

## 7. Declaration 声明

Is the client the ultimate beneficial owner(s) of the Account? 贵公司是否是此账户的最终受益人?

- Yes 是。  No, detail of the ultimate beneficial owner(s) of the Account is/are:  
不是,该账户最终受益人情况如下:

Name 姓名 \_\_\_\_\_ Telephone 电话 \_\_\_\_\_

Passport No./ID No./Place of Issue 护照/身份证/签发地

Address 地址 \_\_\_\_\_

Is the client a Licensed Corporation registered with SFC? 客户是否是证券及期货事务监察委员会之持牌或注册法团?

- Yes 是。 CE No.持牌或注册人中央编号码: \_\_\_\_\_  
 No, 不是。

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?  
 贵公司之任何董事、股东或授权人士是否是联交所参与者之雇员或根据证券及期货条例注册的持牌人士?

Yes 是。  No, 不是。

Director/Shareholder/Authorized Person Name  
 董事、股东或授权人士姓名

Participant Name  
 参与者名称

CE. No.	Position
中央编号	职位

Is any Director, Shareholder or Authorized Person of the Client a staff of HK Noble Sky Treasure Securities Limited (“HKNST SECURITIES”)?  
 贵公司之任何董事、股东或授权人士是否是香港天富宝证券有限公司(「香港天富宝证券」)的职员?

Yes 是。  No, 不是。

Name	Position
姓名	职位

Is any Director, Shareholder or Authorized Person of the Client have any relationship with the staff of HKNST SECURITIES? 贵公司之任何董事、股东或授权人士与香港天富宝证券的职员是否有亲戚关系?

Yes 是。  No, 不是。

Staff Name	Relationship
职员姓名	关系

Is any Director, Shareholder or Authorized Person or Related Company of the Client a customer of HKNST SECURITIES?  
 贵公司之任何董事、股东、授权人士或其关联公司是否是香港天富宝证券的客户?

Yes 是。  No, 不是。

A/C No.	A/C Name
账户号码	账户名称

Are you, either shareholder, directors or company, in control of 35% or more of the issued shares of any client of HKNST SECURITIES? 贵公司之任何董事是否与其公司共同控制香港天富宝证券的其它客户35%或以上投票权?

Yes 是。  No, 不是。

A/C No.	A/C Name
账户号码	账户名称

**7A. FATCA Identity Declaration 美国纳税人身份声明**

iv) Are you a U.S. resident (including U.S. tax resident), U.S. Citizen or holder of U.S. Permanent Resident Card (Green Card)?  
 阁下是否美国居民(包括需要缴交美国税项之人士)、美国公民或美国永久居民身份证(绿卡)持有人?

No, 不是。  Yes, 是。

**If answer is YES, please complete the Form W9 and provide your U.S. Tax Identification Number (TIN).**  
 如果答案为「是」, 请填写表格 W9 并提供阁下于美国国税局之 TIN 号码。

**If answer is NO, please answer the following question (v).**  
 如果答案为「不是」, 请回答下列问题(v)。

v) Are you going to trade U.S. Securities or Commodities?  
 阁下会否买卖美国股票或商品期货?

No, 不会。  Yes, 会。

**If answer is YES, please complete the form W-8BEN-E.**  
 如果答案为「会」, 请填写表格 W-8BEN-E。

## 8. Acknowledgement and Execution by the Client 客户确认及签署

I/We confirm and represent that the information on this Client Information Form is true, complete and correct and that the representations in the attached agreement are accurate. HKNST SECURITIES is entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any change. HKNST SECURITIES is authorized at any time to contact anyone, including client's banks, brokers or any credit agency, for the purpose of verifying the information provided on this Client Information Form.

本人/吾等在此声明在客户资料表格所提供的资料全部为真实、完整和正确，以及附上的协议中的陈述均属准确。除非香港天富宝证券接到更改有关本资料表格内容的书面通知，否则香港天富宝证券可完全依赖这些资料及陈述做一切用途。客户授权香港天富宝证券可随时联络任何人包括客户的银行、经纪或任何信贷机构等，核实本资料表内的资料及陈述。

I, the undersigned Client(s), agrees to open the Securities or Futures Account with HKNST SECURITIES upon and subject to this Client Information Form, the relevant Sections of the "Cash Client's Agreement" or "Futures Client's Agreement" and all the provisions of the rules and guidelines promulgated by HKNST SECURITIES from time to time (collectively referred to as "All Those Terms"). All Those Terms have been published at HKNST SECURITIES website. The undersigned Client(s) has already been advised by HKNST SECURITIES to seek independent legal advice for All Those Terms if necessary.

本人，下述签署客户，同意遵守此开户表格、《现金客户协议书》或《期货客户协议书》之相关条款的所有条款及条件及其他由香港天富宝证券不时发出之守则及指引内之所有条款及条件(统称“该等条款”)开立证券或期货账户，而该等条款亦已刊载于香港天富宝证券网址上。香港天富宝证券已经建议客户对上述之该等条款寻求独立法律意见(如有需要)。

### Authorized Signatory's Signature(s) with Business Chop 客户授权人士签署并加盖公司业务章



Name 姓名 _____	Name 姓名 _____
Title 职务 _____	Title 职务 _____
Date signed 签署日期 _____	Date signed 签署日期 _____
Name of Witness 见证人名称 _____	Signature of Witness 见证人签署 _____
Passport/ID No. 护照/身份证 _____	Date signed 签署日期 _____

### Notice: This Client Information Form should be accompanied by 注意：本客户资料表需附上

1. A certified extract of the resolution of the Board of Directors of the Client 董事会决议摘要
2. A certified copy of the Certificate of Incorporation and Business Registration Certificate 公司注册证书及商业登记证书的核实副本
3. Memorandum and Articles of Association 组织章程大纲及章程细则
4. Certified copies of the I D Card or Passport of All Authorized Person(s) and Director(s) of the Client 客户所有授权代表及董事的身份证或护照经核实的副本
5. Correspondence proof (e.g. Recent 3 month's Water Bill, Bank Statement) 公司通讯地址证明
6. Certified copies of the audited accounts of the Client for the last financial year 最近经审计的财务报表(报告)
7. Director's Guarantee 董事担保书 (If required by HKNST SECURITIES 如香港天富宝证券有此要求)

9. Declaration by Licensed Representative/Staff 持牌代表/职员声明

I, a Licensed Representative/Staff of HKNST SECURITIES, declare that I have explained the "Risk Disclosure Statement - Securities Trading Account", "Additional Risk Disclosure Statement of the relevant Derivative Products", "Risk Disclosure Statement - Futures & Options Trading Account" in a language of the Client's choice (Chinese/English) and have also invited and suggested the Client to ask questions and take independent advice, if the client so wishes.

本人 为香港天富宝证券的持牌代表/职员，并谨此声明及确认本人已按照上述客户所选择的语言(中文或英文) 解释

- 《风险披露声明 - 证券交易账户》、  《有关衍生产品交易的额外风险披露声明书》、  
 《风险披露声明 - 期货交易账户》，

并邀请及建议客户就其内容和细则提出问题及可征求独立的意见(如客户有此意愿)。

Signed by Licensed Representative/Staff  
持牌代表/职员签署

Name of Licensed Representative/Staff  
持牌代表/职员姓名

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Date  
日期

---

CE. Number  
中央编号

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10. Acceptance and Signature of HKNST SECURITIES 香港天富宝证券接纳及签署

Authorized Signature 授权代表签署	Company Chop 公司印章

**(Internal Usage 內部專用)**

<input type="checkbox"/> Securities Account (Cash) 證券帳戶 (現金)	<input type="checkbox"/> Futures Account 期貨帳戶
A/C Number 帳戶號碼 _____	A/C introduced by 介紹人 _____
A/E Code 經紀號碼 _____	A/E Name 經紀姓名 _____
Brokerage 佣金 _____	Minimum Charges 最低收費 _____
Interest Rate 息率 _____	Additional Info. 其他資料 _____
Cash Trade Limit 現金買賣限額 _____	Single Transaction Limit 單項交易限額 _____
Accumulate Trade Limit 累積交易限額 _____	Specimen Scanned Date 簽名素描日期 _____
Input Date 資料輸入日期 _____	Signature 簽署 _____
Password Date 密碼日期 _____	Signature 簽署 _____
Data Checked Date 資料查核日期 _____	Signature 簽署 _____
Approved Date 批准日期 _____	Signature 簽署 _____
Document Control Date (remarks) 檔案複核日期 _____	