



金聯證券有限公司
Goldlink Securities Limited

Account no. :
AE Code :

證監會編號 SFC CE No. BHH779
香港聯合交易所有限公司參與者
Participant of The Stock Exchange of Hong Kong Ltd
香港上環干諾道中 133 號誠信大廈 18 樓 1805-6 室
Rooms 1805-6, 18/F, Alliance Building
133 Connaught Road Central, Hong Kong
電話 Tel : 29959788 傳真 Fax : 29959799
網址 Website : www.glgsec.com

公司帳戶開戶申請表格 Corporate Securities Account Opening Form

1. 帳戶類別 Account Type

<input type="checkbox"/> 現金帳戶 Cash Account	<input type="checkbox"/> 保證金帳戶 Margin Account	<input type="checkbox"/> 電子交易 Electronics Trading <input type="checkbox"/> 即時報價服務 Real Time Quote\$
需否開通港股以外的其他證券交易 Require trading in non-Hong Kong securities? 請述明 Please specify : <input type="checkbox"/> 滬港通 Shanghai-Hong Kong Stock Connect <input type="checkbox"/> 深港通 Shenzhen-Hong Kong Stock Connect <input type="checkbox"/> 美國股票 US shares (只限現金帳戶 For cash account only)		

2. 公司資料 Corporate Information

公司名稱 Company Name	中文 Chinese : _____ 英文 English : _____
<input type="checkbox"/> 私人有限公司 Private Limited company <input type="checkbox"/> 獨資經營者 Sole Proprietorship <input type="checkbox"/> 合夥 Partnership <input type="checkbox"/> 國有企業 State-owned company <input type="checkbox"/> 基金管理/資產管理 Fund Management/Asset Management <input type="checkbox"/> 上市公司 Listed Company 股票代號 Stock code: _____ 國家 Country: _____ <input type="checkbox"/> 其他 Other : _____	
業務性質 Nature of Business : _____	
法人機構識別編碼 (如有) Legal Entity Identifier (LEI) (if any) :	商業登記證號碼 Certificate of Business Registration No. :
公司註冊證書號碼 Certificate of incorporation No. :	商業登記證發出地 Place of Issue of Business Registration Certificate :
註冊地點/國家 Place/Country of incorporation :	註冊日期 Date of incorporation :
註冊地址 Registered office address : _____ _____	
主要營業地址 Business address : _____ _____	
通訊地址 Correspondence address : _____ _____	
電郵地址 Email address : _____	
電話 Telephone No. : ()	手提電話 Mobile phone No. : () 傳真號碼 Fax No. : ()
銀行名稱 Bank Name (港幣 HKD):	銀行帳戶號碼 Bank Account No. :
銀行名稱 Bank Name (人民幣 RMB):	銀行帳戶號碼 Bank Account No. :
銀行名稱 Bank Name (美元 USD):	銀行帳戶號碼 Bank Account No. :

戶口結單收取方式 (請選擇一項) Method of account statement collection (please tick one)	<input type="checkbox"/> 戶口日結單及月結單電郵至電郵地址 By email to the email address for both daily and monthly statement <input type="checkbox"/> 戶口日結單及月結單郵寄至通信址(繳交行政費用) By post to the correspondence address for both daily and monthly statement (administration fee is required)	語言選擇 Language Selection	<input type="checkbox"/> 繁體中文 Traditional Chinese <input type="checkbox"/> 簡體中文 Simplified Chinese <input type="checkbox"/> 英文 English
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3. 財務狀況 Financial Status

全年純利 (港幣) Annual Net Profit (HK\$) :	<input type="checkbox"/> ≤ \$500,000 <input type="checkbox"/> \$5,000,001-\$10,000,000 <input type="checkbox"/> >\$10,000,001	<input type="checkbox"/> \$500,001-\$1,000,000 <input type="checkbox"/> >\$10,000,001	<input type="checkbox"/> \$1,000,001-\$5,000,000
總資產(港幣) Net Assets (HK\$) :	<input type="checkbox"/> ≤ \$500,000 <input type="checkbox"/> \$5,000,001-\$10,000,000 <input type="checkbox"/> >\$10,000,001	<input type="checkbox"/> \$500,001-\$1,000,000 <input type="checkbox"/> >\$10,000,001	<input type="checkbox"/> \$1,000,001-\$5,000,000
流動資產(港幣) Liquid Assets (HK\$) :	<input type="checkbox"/> ≤ \$500,000 <input type="checkbox"/> \$5,000,001-\$10,000,000 <input type="checkbox"/> >\$10,000,001	<input type="checkbox"/> \$500,001-\$1,000,000 <input type="checkbox"/> >\$10,000,001	<input type="checkbox"/> \$1,000,001-\$5,000,000
財富來源 Source of wealth :	<input type="checkbox"/> 業務收入 Business Income <input type="checkbox"/> 投資回報 Sale of Investment <input type="checkbox"/> 出售物業/資產 Sale of Property/Assets <input type="checkbox"/> 其他 Others (請說明 Please specify) _____		
資金來源地 Origin(s) of source of funds :	<input type="checkbox"/> 香港 Hong Kong <input type="checkbox"/> 中國 Mainland China <input type="checkbox"/> 美國 United States <input type="checkbox"/> 加拿大 Canada <input type="checkbox"/> 其他 Others (請說明 Please specify) _____		

4. 投資經驗及知識 Investment Experience and Knowledge

投資經驗 Investment experiences :	<input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 證券 Stocks <input type="checkbox"/> 認股權證 Warrants <input type="checkbox"/> 期權 Options <input type="checkbox"/> 期貨 Futures <input type="checkbox"/> 其他衍生工具 Others derivatives
投資目的 Investment objectives :	<input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 資本增長 Capital gain <input type="checkbox"/> 股息收入 Dividend income <input type="checkbox"/> 投機 Speculation <input type="checkbox"/> 其他 Others _____
客戶有沒有關於結構性產品 (包括衍生工具) 的性質及風險的一般知識? Do client has general knowledge of the nature and risks of structured products (including derivatives)?	<input type="checkbox"/> 有 Yes <input type="checkbox"/> 沒有 No
客戶有沒有參加過關於結構性產品 (包括衍生工具) 的培訓或課程? Has the client ever undergone training or attended courses on structured products (including derivatives)?	<input type="checkbox"/> 有 Yes <input type="checkbox"/> 沒有 No
客戶有沒有進行過至少 5 宗關於任何結構性產品 (包括衍生工具) 的交易? Has the client traded at least 5 transactions in any structured products (including derivatives)?	<input type="checkbox"/> 有 Yes <input type="checkbox"/> 沒有 No
客戶明白可要求公司提供衍生產品的特性文件。客戶對衍生產品買賣交易的投資意向? Client understand that client may request Goldlink to provide documents showing the nature of the derivatives products. Investment intentions towards derivatives of client :	<input type="checkbox"/> 有 Yes <input type="checkbox"/> 沒有 No
預期每日交易量 Expected daily transaction volumes (港幣 HKD) :	<input type="checkbox"/> < 50,000 <input type="checkbox"/> 50,001-500,000 <input type="checkbox"/> 500,001-1,000,000 <input type="checkbox"/> 1,000,001 >

5. 關連帳戶 Related Account

客戶之任何董事、股東、最終實益擁有人或授權人士是否金聯證券的任何聯屬公司之客戶? Is any director, shareholder or ultimate beneficiary or authorised person of the client a client of Goldlink Affiliate?	<input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes 如果是, 請註明戶口號碼及名稱 If yes, please state the account no./name: _____
客戶之任何董事、股東、最終實益擁有人或授權人士是否金聯證券的任何聯屬公司之僱員? Is any director, shareholder or ultimate beneficiary or authorised person of the client an employee of Goldlink Affiliate?	<input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes If yes, please state his/her name and position: _____
客戶之任何董事、股東、最終實益擁有人或授權人士是否與金聯證券的任何聯屬公司之僱員有親屬關係? Does any director, shareholder or ultimate beneficiary or authorised person of the client have an relationship with the director or employee of Goldlink Affiliate?	<input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes If yes, please state his/her name and relationship: _____
客戶之任何董事、股東、最終實益擁有人或授權人士是否香港聯合交易所參與者或證監會之持牌人之董事、僱員? Is any director, shareholder or ultimate beneficiary or authorised person of the client a director or an employee of any exchange participant of the Hong Kong Exchange or any person licensed by the Securities and Futures Commission?	<input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes, If yes, please provide the name of the licensed corporation and consent letter from the corporation : _____

6. 關連保證金賬戶(保證金賬戶適用) Related Margin account (Margin Securities account only)

<p>客戶是否屬於以下情況(1)客戶控股某一公司 35%或以上投票權，而該等公司是金聯證券有限公司的保證金客戶和/或(2)客戶為某一集團公司之一成員，而該成員公司是金聯證券有限公司的保證金客戶？</p> <p>Does the client (i) control 35% or more of the voting rights of a Company which is a margin client of Goldlink Securities Limited and/or (ii) belong to the same group of companies are another company which is a margin client of Goldlink Securities Limited?</p>	<p><input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes</p> <p>有關人士之名稱 Name of relevant person(s) : _____</p>
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7. 董事資料 Particulars of Directors

姓名 Name :		
身份證/護照號碼 ID Card No./Passport No. :	國籍 Nationality :	本人為政界人士或與政界人士有關聯之人士 I am a politician or a politician's affiliated person <input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes
姓名 Name :		
身份證/護照號碼 ID Card No./Passport No. :	國籍 Nationality :	本人為政界人士或與政界人士有關聯之人士 I am a politician or a politician's affiliated person <input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes
姓名 Name :		
身份證/護照號碼 ID Card No./Passport No. :	國籍 Nationality :	本人為政界人士或與政界人士有關聯之人士 I am a politician or a politician's affiliated person <input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes

8. 最終實益擁有人的身份 Identity of ultimate beneficial owner

(擁有公司 10%或以上公司最終權益之持有人 owns holding 10% or more of the ultimate beneficial interest of the client)

姓名：先生/女士 (*請刪去不適用者) Name : Mr./Ms. (*Please delete if not applicable)		中文：_____ 英文：_____	
身份證/護照號碼 ID Card No./Passport No. :	國籍 Nationality :	出生日期 Date of Birth : _____年 yy____月 mm____日 dd	電話 Telephone No. :
本人為政界人士或與政界人士有關聯之人士 I am a politician or a politician's affiliated person : <input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes			
住址 Residential address : _____			
姓名：先生/女士 (*請刪去不適用者) Name : Mr./Ms. (*Please delete if not applicable)		中文：_____ 英文：_____	
身份證/護照號碼 ID Card No./Passport No. :	國籍 Nationality :	出生日期 Date of Birth : _____年 yy____月 mm____日 dd	電話 Telephone No. :
本人為政界人士或與政界人士有關聯之人士 I am a politician or a politician's affiliated person : <input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes			
住址 Residential address : _____			
姓名：先生/女士 (*請刪去不適用者) Name : Mr./Ms. (*Please delete if not applicable)		中文：_____ 英文：_____	
身份證/護照號碼 ID Card No./Passport No. :	國籍 Nationality :	出生日期 Date of Birth : _____年 yy____月 mm____日 dd	電話 Telephone No. :
本人為政界人士或與政界人士有關聯之人士 I am a politician or a politician's affiliated person : <input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes			
住址 Residential address : _____			

9. 董事會會議決議 Board Resolution (可提供貴司之董事會決議 Please submit the Board of Resolution of your Company)

公司名稱 _____ 「本公司」
Client Name : _____ (the 'Company')

本公司董事會於

Minutes of a Meeting of the Board of Directors of the Company held on _____

在

at _____

會議主席

Chairman of the Meeting _____

出席人(出席董事名稱)

Present (Name of Directors present) _____

有關開會符合法定人數要求，主席宣佈會議有效。It was noted that a quorum was present and the Chairman declared the meeting duly convened and constituted.

1. 授權人仕 Authorised Person

茲決議本公司將於金聯證券有限公司開立證券交易帳戶，並授權下列任何 _____ 位人仕為獲授權人仕可代表本公司操作帳戶及作出任何其他事宜，包括簽署與帳戶相關之所有協議及文件，簽發證券指令進行支付、提取及/或轉帳。

It was resolved that with immediate effect, a securities trading account be opened with Goldlink Securities Limited and any _____ of the following person(s) is / are appointed as authorized person(s) of the Company to sign, execute all agreements and documents in relations to the account and to sign and/or effect payment, withdrawal and transfer transaction(s) for securities.

姓名 (中文及英文) Name (Chinese and English)	身份證/護照號碼 ID Card No./Passport No.	出生日期 Date of Birth	聯絡電話 Contact number	簽署式樣 Specimen Signature

2. 授權交易人仕 Authorised Trading Person

茲決議本公司授權下列任何 _____ 位人仕為獲授權人仕可代表本公司發出指示進行證券交易。

It was resolved that with immediate effect, any _____ of the following person(s) is / are appointed as authorized person(s) to give instruction for securities trading.

姓名 (中文及英文) Name (Chinese and English)	身份證/護照號碼 ID Card No./Passport No.	出生日期 Date of Birth	聯絡電話 Contact number	簽署式樣 Specimen Signature

3. 公司印章式樣 Company Chop Specimen

印章式樣
Specimen Chop

會議結束
Close of Meeting

由於沒有進一步需予討論事宜，主席宣佈是次會議結束。
There being no further business, the Chairman declared the meeting closed.

主席簽署
Chairman's Signature

主席
Chairman

本人/吾等確認此開戶表格資料全部屬實、完整及正確。本人/吾等承諾如果該等資料有任何重要的變更會通知公司。除非公司接到更改有關內容的書面通知，否則公司有權在任何用途上完全依賴這些資料及聲明。本人/吾等已閱讀和同意公司客戶協議的條款和條件及證券收費表並同意按公司不時修訂之規定繳交不作另行通知。

I/We confirm that the information provided in this Application Form is true, correct and complete. I/We undertake to notify the Company in the event of any material change to such information. The Company is entitled to rely fully on such information and representations for all purposes, unless the Company received notice in writing of any change. I/We hereby confirm that I/we have read and agree to be bound by the terms and conditions of the agreement, and agree the Securities Services Charges and that charges are subject to amendment by the Company from time to time without prior notice.

- ☐ 本人/吾等確認本人/吾等已根據「常設授權」條款和條件授權公司處理帳戶內的款項、證券及證券抵押品。
I/We confirm that I/we have authorized the Company to deal with monies, securities and securities collateral in accordance with the terms and conditions of the 'Standing authority'.
- ☐ 本人/吾等確認本人/吾等透過金聯網站取覽登載的交易文件，本人/吾等確認、明白及接受金聯的安排。
I/We confirm that I/we have confirm, understand and accept the arrangements by the Company in order to obtain access service via online trading platform from the Company.
- ☐ 本人/吾等確定已按照本人/吾等的語言獲提供風險披露聲明(包括進行中華通證券交易)及獲邀請閱讀該風險披露聲明、提出問題及徵求獨立的意見(如本人/吾等有此意願)。
I/We confirm that the risk disclosure statement was provided in a language of my/our choice (English or Chinese); and I/we was/were invited to read the risk disclosure statement (including trading of China Stock Connect), to ask questions and take independent advice if I/we wish.
- ☐ 本人/吾等反對公司向其他人士提供本人/吾等的個人資料，以供他們在直接行銷中使用，而不論該等人士是否公司集團成員。
I/We object to the proposed use of my/our personal data by any member of Goldlink Securities and any third parties in direct marketing.
- ☐ 本人/吾等反對公司向其他人士提供本人/吾等的個人資料，以供他們在直接行銷中使用。
I/We object to the proposed use of my/our personal data by any third parties in direct marketing.
- ☐ 本人/吾等聲明本人/吾等並非「外國帳戶稅法合規法案」下所定義的美國個人。
I/We declare that I/we am/are not a United States individual for Foreign Account Tax Compliance Act purposes.

公司客戶/獲授權人簽署及公司印章
Company's client signature/Authorised specimen and Company chop

公司客戶/獲授權人姓名
Name of Company's client /Authorised person

日期 Date

持牌人聲明 Declaration by licensed person :
本人已按照客戶的語言提供風險披露聲明及邀請客戶閱讀該風險披露聲明、提出問題及徵求獨立的意見(如客戶有此意願)。
I have provided the risk disclosure statements to the client in a language of his/their choice (English or Chinese); and invited the clients to read the risk disclosure statement, ask questions and take independent advice if the clients wish.

持牌人姓名及中央編號 Name and CE No.

簽署/日期 Signature /Date

見證人姓名及簽署
Witness's name and signature

見證人地址
Witness's address

日期 Date

經由金聯證券有限公司確認及接受
Acknowledged and accepted by

金聯證券有限公司
Goldlink Securities Limited

授權人簽署 Authorised Signature

請提供以下公司文件(必須為核證本)

Kindly provide us the following documents (documents should be a certified true copy)

- ☐ 公司成立證書 Certificate of Incorporation
- ☐ 商業登記證 Business Registration document
- ☐ 組織章程大綱及章程細則 Memorandum and Articles of Association
- ☐ 最近週年報告 Latest Annual Return
- ☐ 最近財務報告 Latest Financial Statements
- ☐ 擁有權架構圖聲明 Declaration attached to ownership chart
- ☐ 董事會決議案 Board Resolution
- ☐ 董事/授權人仕的身份證或護照副本 Identity card / passport of all directors / authorized persons
- ☐ 公司/董事/授權人仕的地址副本 Address proof of Company / all directors / authorized persons
- ☐ 最終實益擁有人的身份證或護照副本 Identity card / passport of ultimate beneficiary
- ☐ 最終實益擁有人的住址副本 Address proof of ultimate beneficiary
- ☐ 董事登記冊 (海外公司) Register of Directors (Company incorporated overseas)
- ☐ 股東登記冊 (海外公司) Register of Members (Company incorporated overseas)
- ☐ 董事在職證明或公司存續證明書(近 6 個月內發出)(海外公司) Certificate of incumbency or good standing (issued within 6 months) (Company incorporated overseas)
- ☐ 自我證明表格-實體/控權人 Self-Certification Form – Entity / Controlling person
- ☐ W8BEN/W9

For official use only			
Company incorporated in Hong Kong	Company incorporated overseas	Client Risk Category	<input type="checkbox"/> Lo <input type="checkbox"/> Medium <input type="checkbox"/> High
Must provide certified true copy	Must provide certified true copy		
<input type="checkbox"/> Certificate of incorporation	<input type="checkbox"/> Certificate of incorporation		
<input type="checkbox"/> Business Registration document	<input type="checkbox"/> Business registration document		
<input type="checkbox"/> M&A	<input type="checkbox"/> M&A		
<input type="checkbox"/> Company Report /Latest Annual Return	<input type="checkbox"/> Declaration attached to ownership chart	Limit	
<input type="checkbox"/> Latest Financial Statements	<input type="checkbox"/> Board resolution	Commission	
<input type="checkbox"/> Declaration attached to ownership chart	<input type="checkbox"/> Identity card / passport of all directors / authorized persons	Maker / Date	
<input type="checkbox"/> Board Resolution	<input type="checkbox"/> Address proof of all directors / authorized persons	Checker / Date	
<input type="checkbox"/> Identity card / passport of all directors / authorized persons	<input type="checkbox"/> Identity card / passport of ultimate beneficiary	Approved by / Date	
<input type="checkbox"/> Address proof of all directors / authorized persons	<input type="checkbox"/> Address proof of ultimate beneficiary	20250124(v1)	
<input type="checkbox"/> Identity card / passport of ultimate beneficiary	<input type="checkbox"/> Register of Directors		
<input type="checkbox"/> Address proof of ultimate beneficiary	<input type="checkbox"/> Register of Members		
<input type="checkbox"/> Self-Certification Form – Entity/Controlling person	<input type="checkbox"/> Certificate of incumbency or good standing (issued within 6 months)		
<input type="checkbox"/> W8BEN/W9	<input type="checkbox"/> W8BEN/W9		