

客戶資料表格 CLIENT INFORMATION STATEMENT (CORPORATE 公司)

Account Name 帳戶名稱 :
Account No. 帳戶號碼 :

Name of Company / Corporation 公司名稱

English 英文 :

Chinese 中文 :

Trading Name

經營名稱 (if different from the above 如與上述不同) :

Corporate Information 公司資料

Place of Incorporation / Establishment 註冊/成立地點 : Date of Incorporation 成立日期 :

Registered Number in Country of Incorporation / Establishment 註冊地的註冊編號 :

Business Registration Number (Hong Kong) 香港商業登記編號 :

Registered Office in Country of Incorporation / Establishment 註冊地的註冊辦事處地址 :

Principal Place of Business in Hong Kong (If different from Registered Office) 香港總辦事處地址 (如與註冊辦事處不同) :

Business Phone Number 公司電話 : Facsimile Number 傳真號碼 : E-mail Address 電子郵箱 :

Brief Description of Nature of Business 公司業務性質簡述 :

Nature of Entity (e.g. Private Limited Company, Public Limited Company, Association, Society, etc.) 公司性質 (如私人有限公司、公眾有限公司、協會、社團等) :

Address for Correspondence and Forwarding of Confirmations and Statements 單據及確認往來地址 :

- Registered Office 公司註冊辦事處地址 E-mail Address 電子郵箱
 Place of Business (Hong Kong) 香港總辦事處地址 Others (Please specify) 其他 (請註明) :

Financial Background 財務狀況

Authorized Capital

法定股本：

Paid-up Capital

繳足股本：

Net Asset Value (in HK\$)

資產淨值：

Net Profit (after tax) in preceding 3 years

過往三年除稅後溢利：

Year

年份：

HK\$

港幣：

Year

年份：

HK\$

港幣：

Year

年份：

HK\$

港幣：

Address of Properties

物業地址：

(1)

(2)

Corporate Structure 公司結構

The individual who holds 10% or more of the ultimate beneficial interest of the Company (not applicable to public listed companies)

持有百分之十或以上之公司最終權益擁有人(不適用於上市公司)：

Last Name

姓：

Given Name

名：

(%)

百分率：

Address

地址：

Last Name

姓：

Given Name

名：

(%)

百分率：

Address

地址：

Last Name

姓：

Given Name

名：

(%)

百分率：

Address

地址：

Particular of Directors of the Company 公司董事資料：

Last Name

姓：

Given Name

名：

HKID No.

身份證號碼：

Address

地址：

Last Name

姓：

Given Name

名：

HKID No.

身份證號碼：

Address

地址：

Last Name

姓：

Given Name

名：

HKID No.

身份證號碼：

Address

地址：

Last Name

姓：

Given Name

名：

HKID No.

身份證號碼：

Address

地址：

Credit Reference 信貸參考

Bank References (including address, type of account and account number) 銀行提述 (包括地址、帳戶類別及號碼) :

Name of Bank
銀行名稱 :

Address
地址 :

Type of Account
帳戶類別 :

Account Number
帳戶號碼 :

Other Brokerage or Dealer References (including address, type of account (e.g. cash or margin and nature of securities) and account number) 其他經紀或交易商提述 (包括地址、帳戶類別 (現金或保證金及證券性質)及帳戶號碼) :

Name of Broker
經紀名稱 :

Address
地址 :

Type of Account
帳戶類別 :

Account Number
帳戶號碼 :

Investment Objectives and Experience 投資目的及經驗

Investment Objectives 投資目的 :

Capital Investment and Income
資本投資及收入

Hedging
對沖

Speculation
投機

Others (please specify)
其他 (請註明) :

Investment Experience 投資經驗 :

	Years 年	Average Portfolio Value (HK\$) 平均貨值(以港幣計)	No. of Transactions within Latest 3 Years 最近三年內的交易次數
<input type="checkbox"/> Debentures or Other Securities 股票、債券及其他證券	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> Leveraged Foreign Exchange 槓桿外匯	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> Precious Metals 貴重金屬	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> Futures / Options 期貨 / 期權	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> Derivatives Products 衍生產品	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> Others (please specify): 其他 (請註明)	<input type="text"/>	<input type="text"/>	<input type="text"/>

Other Relevant Investment Experience 其他相關投資經驗 :

Other Accounts 其他帳戶

Particulars of any and all other accounts (whether individual, joint, corporate, trustee) beneficially held, owned or operated by the Company, its subsidiaries or associated companies for or on its or their behalf or for any other person(s), body or corporation or in which the Company, its subsidiaries or associated companies has / have an interest (whether direct or indirect) with LT Securities Limited or any of its subsidiaries or associated companies

其他帳戶詳情(無論個人、聯名、公司、託管)，本公司、其附屬或聯營公司或其代表他人、公司、有直接或間接利益在利通證券有限公司、其附屬或聯營公司由本公司實益持有、擁有或運作

Account Name
帳戶名稱：

Account Number
帳戶號碼：

Authorized Person(s) 交易授權者

The following person(s) is or are authorized on behalf of the Company to give written and / or oral instructions in relation to the trading of the account. 本公司現授權下列人仕以書面或口頭指示在本帳戶進行交易事宜。

Authorized Person 1 交易授權者一

Last Name
姓：

Given Name
名：

Current Position
現時職位：

HKID/ Passport No.
香港身份證或護照號碼：

Business Tel. No.
公司電話：

Residential Tel. No.
住宅電話：

Mobile Phone No.
手提電話：

E-mail Address
電子郵箱：

Address
地址：

I confirm that I am not related to any of your directors, officers or employees.

本人確認與貴公司任何董事、主任或職員無任何關連。If related, please state 若有關連，請列明：

Name
姓名：

Company
公司：

I confirm that I am not an employee or consultant of a member of the Stock Exchange / Futures Exchange / Licensed Dealer or Trader.*

本人確認不是聯交所會員 / 期交所會員 / 持牌買賣商的職員或顧問*。If yes, please state 若是，請列明：

I confirm that I am not a senior officer / director or in control of company listed on any exchange / market.*

本人確認不是在交易所 / 市場上市的公司的高級職員 / 董事*。If yes, please state 若是，請列明：

Position
職位：

Company Name
公司名稱：

Client's Signature
客戶簽署

Authorized Person 2 交易授權者二

Last Name 姓：		Given Name 名：	
Current Position 現時職位：		HKID/ Passport No. 香港身份證或護照號碼：	
Business Tel. No. 公司電話：		Residential Tel. No. 住宅電話：	
Mobile Phone No. 手提電話：		E-mail Address 電子郵箱：	
Address 地址：			

I confirm that I am not related to any of your directors, officers or employees.

本人確認與貴公司任何董事、主任或職員無任何關連。If related, please state 若有關連，請列明：

Name 姓名：		Company 公司：	
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I confirm that I am not an employee or consultant of a member of the Stock Exchange / Futures Exchange / Licensed Dealer or Trader.*

本人確認不是聯交所會員 / 期交所會員 / 持牌買賣商的職員或顧問*。If yes, please state 若是，請列明：

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I confirm that I am not a senior officer / director or in control of company listed on any exchange / market.*

本人確認不是在交易所 / 市場上市的公司的高級職員 / 董事*。If yes, please state 若是，請列明：

Position 職位：		Company Name 公司名稱：	
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Client's Signature
客戶簽署

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Authorized Person 3 交易授權者三

Last Name 姓：		Given Name 名：	
Current Position 現時職位：		HKID/ Passport No. 香港身份證或護照號碼：	
Business Tel. No. 公司電話：		Residential Tel. No. 住宅電話：	
Mobile Phone No. 手提電話：		E-mail Address 電子郵箱：	
Address 地址：			

I confirm that I am not related to any of your directors, officers or employees.

本人確認與貴公司任何董事、主任或職員無任何關連。If related, please state 若有關連，請列明：

Name 姓名：		Company 公司：	
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I confirm that I am not an employee or consultant of a member of the Stock Exchange / Futures Exchange / Licensed Dealer or Trader.*

本人確認不是聯交所會員 / 期交所會員 / 持牌買賣商的職員或顧問*。If yes, please state 若是，請列明：

--

I confirm that I am not a senior officer / director or in control of company listed on any exchange / market.*

本人確認不是在交易所 / 市場上市的公司的高級職員 / 董事*。If yes, please state 若是，請列明：

Position 職位：		Company Name 公司名稱：	
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Client's Signature
客戶簽署

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Trading Authorization 交易授權

Will the account be traded under or pursuant to Power of Attorney or Trading Authorization? 帳戶會否授權第三者交易?

No 否

Yes 是 If yes, please furnish signed Power Attorney or Trading Authorization 若會，請提供交易授權書

Relationship of authorized representative to Company 客戶與授權人關係：

Declaration 聲明書

We represent that the contents and information provided by us in this Client Information Statement are true, complete and correct and that the representations made by us herein are accurate. You may or are entitled to rely entirely upon such contents information and representations for all purposes, unless you receive notice in writing from us of any change thereof. We hereby undertake to notify you in writing forthwith upon any material change in the information provided herein. You are further and hereby authorized at any times to contact any person or persons, including the Company's banks, brokers, advisers or any credit agency, for or relating to the purpose of verifying the information provided by us in this Client Information Statement.

I confirm that I have received a booklet of LT Securities Trading Agreement.

本公司茲聲明在客戶資料表格內的資料及內容屬真實、完整、正確及附上申述內容準確，除非接到更改有關聲明內容的書面通知，否則閣下有權在任何用途上完全依賴這些資料及聲明，本公司承諾以書面通知閣下，若此資料有任何修改，閣下現獲授權在任何時間接觸任何人(等)包括本公司往來銀行、經紀、顧問或任何信貸機構，核實本公司在客戶資料表格中所提供有關資料。

本人確認本人已收取一份利通證券交易協議書。

Print Full Name(s)

公司名稱：

Date

日期：

Duly Authorized Officer(s)

For and on behalf of the Client (Company Chop)

公司授權人簽署(公司印章)：

TRADING ACCOUNT 交易帳戶

I/We hereby also confirm my/our request for opening the following Account(s) by signing my/our name(s) next to the Account(s) and I/we have been invited to read the LT Securities Trading Agreement and the terms and conditions posted on the ltsecurities.com website in a language I/we prefer and I/we fully understand and agree to be bound by them in full. I/We also have been invited to ask questions and take independent advice if I/we wish.

本人/吾等確認要求開設下列帳戶及在帳戶旁簽署其姓名，本人/吾等同意並已被邀請按照本人/吾等所選擇的語言閱讀利通證券交易協議書的內容及刊載於利通證券網址內的協議、條款，本人/吾等完全理解並同意履行及遵守該協議書內之條款。本人/吾等已被邀請如本人/吾等有任何意願可提出及徵求獨立意見。

Account 帳戶	Client's Signature 客戶簽署
Cash Account 現金帳戶	Remarks 備註 Date 日期： <input type="text"/>
Margin Account 保證金帳戶	Remarks 備註 Date 日期： <input type="text"/>
Cash Account (Online Trading Service) 現金帳戶(網上交易服務)	Remarks 備註 Date 日期： <input type="text"/>
Margin Account (Online Trading Service) 保證金帳戶(網上交易服務)	Remarks 備註 Date 日期： <input type="text"/>
Securities Options Account 證券期權帳戶	Remarks 備註 Date 日期： <input type="text"/>
Futures Account 期貨帳戶	Remarks 備註 Date 日期： <input type="text"/>
Futures Account (Online Trading Service) 期貨帳戶(網上交易服務)	Remarks 備註 Date 日期： <input type="text"/>

ACKNOWLEDGEMENT BY CLIENT 客戶確認

The Client confirms that the following relevant risk disclosure statement(s) (as indicated below) was/were provided in a language of the Client's choice; and the Client was invited to read the risk disclosure statement, to ask question and take independent advice if the Client wishes.

客戶證實已獲提供客戶所選擇的語言的下列有關風險披露聲明書；及客戶已被邀請閱讀、提出問題及徵求獨立的意見如客戶有此意願。

Type of Risk Disclosure Statement 風險披露聲明書	Client's Signature 客戶簽署
Risk of Securities Trading as set out in clause 15 of the LT Securities Trading Agreement 證券交易的買賣風險在利通證券交易協議15條列明	
Risk of Margin Trading as set out in the 2nd Schedule of the LT Securities Trading Agreement 保證金交易的買賣風險在利通證券交易協議附件二列明	
Risk of Online Trading as set out in the 3rd Schedule of the LT Securities Trading Agreement 網上交易的買賣風險在利通證券交易協議附件三列明	
Risk of Securities Options Trading as set out in the 4th Schedule of the LT Securities Trading Agreement 證券期權交易的買賣風險在利通證券交易協議附件四列明	
Risk of Futures Trading as set out in the 5th Schedule of the LT Securities Trading Agreement 期貨交易的買賣風險在利通證券交易協議書附件五列明	

Witness Name 見證人姓名	Occupation 職業	
Address 地址		
If signed outside of Hong Kong, signing of this Agreement should be witnessed by a duly appointed Notary Public, solicitor or other competent person. 如於香港以外地方簽署，須由正式任命的公證人、律師或其他相關能力人士見證簽署。		Witness Signature 見證人簽署
		Date 日期

Declaration by Registered Person 註冊人士聲明書		
I, _____ have invited the applicant(s) to read the contents of the LT Securities Trading Agreement in a language which he/they understand(s) and prefer(s). I have also invited the applicant(s) to ask questions and take independent advice if he/they wish(es).		
Date	CE No.	Registered Person's Signature

Note: This Client Information Statement must be accompanied by the following certified true copies:-

- i) Memorandum & Articles of Association 公司組織章程大綱及細則
- ii) Certificate of Incorporation 註冊成立證書
- iii) Business Registration Certificate 商業登記證
- iv) Board resolution(s) on approving account opening with us and the appointment of authorized person(s) to operate the account
董事會決議之核證申請開立帳戶及委任授權人仕運作帳戶
- v) Copies of HKID / Passport of Directors 董事身份證 / 護照副本
- vi) Copies of HKID / Passport of authorized person(s) 授權人士身份證/護照副本
- vii) Latest audited financial statements 最近公司審計帳目

For B.V.I. and other non-Hong Kong company, please provide the following additional certified true copies
英屬處女群島及其他香港境外公司需連附上以下附加文件：

- i) Latest (recent 3 months) bank account statement or utilities bill showing proof of address 最新三個月內的地址證明（銀行或水電帳單）
- ii) Registered Agent's Certificate identifying the current directors and officers, verified or issued by the registered agent of the Company
確認現任董事及高級人員的在職證明書或註冊代理證書
- iii) Information on the true beneficial ownership of the Company 公司實益擁有權的真確資料

For Internal Use Only	Version 版本
Handled by 經辦人 :	Approved and Accepted by 批核及接納 :
Signature 簽署 :	Authorized Signature 授權代表簽署 :
Date 日期 :	Date 日期 :

Name of the Company : _____ ("the Company")

Registered Office : _____

To: LT Securities Limited

Certified Extracts of the Resolutions

Passed by the Directors of the Company on _____, _____.

LIMITED COMPANY MANDATE

- 1) That account or accounts ("the Accounts") be opened/continued with LT Securities Limited (herein referred to as "LT Securities") for the purchase and sale (including short sale) or otherwise dealing in (as the case may be) Securities including stock options or other related products on margin or otherwise and in accordance with such terms and conditions which LT Securities may from time to time prescribe for the Accounts. For the purpose of this Resolution(1), "Securities" shall include any shares, stocks, debentures, loan stocks, funds, bonds, or notes of, or issued by, any body, whether incorporated or unincorporated, or of any government or local government authority; and includes (a) rights, options, or interests (whether described as units or otherwise) in or in respect of any of the foregoing; (b) certificates of interest or participation in, or temporary or interim certificates for, receipts for, or warrants to subscribe to or purchase, any of the foregoing; or (c) any instruments commonly known as securities, and the definition of "Securities" in section 2 of Securities Ordinance; and
- 2) That the Company has commercial reasons for opening the Accounts with LT Securities for the purpose of LT Securities acting on behalf of the Company on any exchange or market in Hong Kong and anywhere in the world.
- 3) That LT Securities be given a list ("the list") of the names of the Directors, officers, and other authorized persons of the Company (together with their signatures and particulars of any required signing arrangements) authorized to give oral or written instructions on behalf of the Company, by telephone or in person or by letter or otherwise to purchase and sell (including short sale) or otherwise dealing in (as the case may be) Securities in all matters affecting the Accounts, in particular in relation to payment or transfer of funds, to deliver or transfer of Securities into or out of the Accounts and that LT Securities shall be advised in writing from time to time of any charges in the List or the signing arrangements particularized below together with a copy of the Resolution of the Board authorizing the same and specimens of any new signatures.
- 4) That without prejudice to Resolution (3) above, LT Securities be requested and authorized to effect all transactions in Securities (as the case may be) in response to instructions given or purport to be given by or on behalf of the Company whether by the authorized persons under Resolution (3) above or not LT Securities is entitled but not obligated to insist on such instructions being confirmed by the Company in writing. In the event of LT Securities acting on any such instructions, whether the same be subsequently so confirmed or not and whether authorized persons in the List or not, the Company acknowledges that LT Securities will thereby be and be deemed to be acting at the Company's request, for the Company's benefit and at the Company's risk and that the Company will be bound by such instructions.
- 5) That the Company do hereby confirm and agree to enter into the LT Securities Trading Agreement which has/have been supplied to the Company.
- 6) That the authorized persons set out in the List hereunder be authorized to sign and/or confirm the LT Securities Trading Agreement, such letters or memoranda and all other agreements and documents relating to the operation of the Accounts as LT Securities may from time to time require.
- 7) That the Company acknowledges that due to the volatile nature of Securities markets, the purchase and sale (including short sale) or otherwise dealing in Securities involve a high degree of risk. This is a risk that the Company is prepared to accept.

THE LIST

Names, Capacities and Specimen signatures of Directors, Officers and other signatories referred to in Resolution (3) above.

Name	Position	Specimen Signature
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

SIGNING ARRANGEMENT

Payment or delivery instruction(s) given by any _____ of the above signatories will be valid.

ORAL INSTRUCTIONS

Given by any one of _____ will be valid.

We hereby certify that the foregoing is a full true and correct copy of the Resolutions duly and regularly passed and adopted by the Board of Directors of the Company at a meeting thereof duly called and held and that the Resolutions have been duly recorded in the Minute Book of the Company and that the same have not been rescinded or modified and are now in full force and effect.

We further certify that the Company is duly organized and existing and has the power to take the action called for by the foregoing Resolutions.

Date the _____ day of _____, _____.

Chairman

Director / Secretary*
(*Delete if not appropriate)