



Account Opening Form (Asset Management)
開戶申請表 (資產管理)

1. Type of Account 賬戶種類	
Corporate Account 公司賬戶	
Hao Tian Asset Management Limited (called 'Hao Tian')	
昊天資產管理有限公司 (簡稱「昊天」)	
CE No. BHP076	
Asset Management Account 資產管理賬戶	
Account no. 賬戶號碼: _____	

2. Corporate Information 公司資料	
Company Name 公司名稱	(中文) (English)
Trading Name 經營名稱	(中文) (English)
Business Nature 業務性質	
Financial Licensed Corporate 金融持牌機構	<input type="checkbox"/> NO 否 <input type="checkbox"/> Yes 是: CE No. _____
Nature of Entity 實體類別	<input type="checkbox"/> Sole Proprietorship 獨資經營 <input type="checkbox"/> Partnership 合資經營 <input type="checkbox"/> Limited Company 有限公司 <input type="checkbox"/> Unlimited Company 無限公司 <input type="checkbox"/> Listed Company 上市公司 (Stock No. 上市編號: _____) <input type="checkbox"/> Offshore Company 離岸公司 <input type="checkbox"/> Trust 信託 <input type="checkbox"/> Other 其他: _____ Please Specific 請註明
Country of Incorporation 註冊國家	
Date of Incorporation 註冊日期	
Certification of Incorporate No. 註冊證書號碼	
Business Registration No. 商業登記編號	
Business Phone No. 公司電話	
Fax No. 傳真	
E-mail 電郵	
Business Registry Address 商業登記地址	
Business Address 營業地址	

5. Investment Experience 投資經驗

<input type="checkbox"/> Stocks, Debentures or Other Securities 股票、債券及其他證券	Experience (Year) 年資
<input type="checkbox"/> Derivative Products 衍生產品, CBBC 牛熊證, Warrant 窩輪	Experience (Year) 年資
<input type="checkbox"/> Futures & Option 期貨/期權	Experience (Year) 年資
<input type="checkbox"/> Stocks Option 期貨/期權	Experience (Year) 年資
<input type="checkbox"/> Unit Trust 單位信託基金	Experience (Year) 年資
<input type="checkbox"/> Leveraged Foreign Exchange 槓桿外匯	Experience (Year) 年資
<input type="checkbox"/> Precious Metals 貴重金屬	Experience (Year) 年資
<input type="checkbox"/> Equity Linked Instruments 股票掛鈎票據	Experience (Year) 年資
<input type="checkbox"/> Others (specify): 其他 (請註明):	

6. Statement Received and E-Transaction authentication**結單收取及電子交易認證訊息**

Statement Received By E-mail 電郵

結單收取 By mail 郵遞 (same as above 同上)

** Paper Statement Service Annual Fee HK\$100. 郵寄結單服務年費 HK\$100。

7. Identity Declaration 身份聲明

1. Your company and/or any of the ultimate beneficial owner(s) of the Account related to any employee or director of Hao Tian or any of its subsidiaries or associated companies?

貴公司及/或任何之最終賬戶受益人是否與昊天及其附屬或聯營公司之僱員/董事有任何關係?

- No 否
- Yes 是 (If yes, please specify 如是, 請說明)

Name of the employee /

director

僱員/董事姓名:

Relationship 關係:

2. Is your company a participant of the Hong Kong Exchange or any stock, futures or commodities exchange of a licensed or registered person of the Securities and Futures Commission or regulated or supervised by any overseas regulatory agency on securities and futures trading?

貴公司是否香港交易所或任何證券、期貨或商品交易所的交易所參與者或證監會之持牌人或註冊人或受任何海外證券或期貨

交易監管機構所規管或監管?

- No 否
- Yes 是 (If yes, please specify 如是, 請說明)

Category 類別

Hong Kong Exchange

香港交易所

Registration No.

註冊號碼

Name of Member/Trader

會員 / 買賣商名稱

Licensed Dealer/Trader

持牌買賣商

Status 身份

3. Is your company involved in the business of the dealing, acquisition, disposal or holding of investments, shares, securities, debentures or futures or options contracts, whether as a principal or agent?

貴公司是從事買賣、收購、處置或持有投資、股票、證券、債權證或期貨或期權合約的業務 (不管是以主事人或代理人身份)?

- No 否
- Yes 是 (If yes, please specify 如是, 請說明)

8. Additional Disclosure 額外披露**Related Margin Financing Account(s) 相關保證金融資賬戶**

1. Does your spouse (the Authorized Person) maintain a margin financing account with Hao Tian?

閣下的配偶(獲授權人)是否持有昊天任何相關保證金融資賬戶?

No 否

Yes 是 (If yes, please specify 如是, 請說明)

Name of account holder

賬戶持有人姓名

Account No.

賬戶號碼

Account Type. 賬戶類別:

Cash Securities 現金證券

Margin Securities 保證金證券

Futures and Options 期貨及期權

Asset Management 資產管理

2. Does you or jointly with your spouse (the Authorized Person) control 35% or more of the voting rights of another margin financing account with Hao Tian?

閣下及/或其配偶(獲授權人)是否單獨或共同控制昊天之其他賬戶 35%或以上之表決權?

No 否

Yes 是 (If yes, please specify 如是, 請說明)

Name of Related Company

關聯公司名字

Account No.

賬戶號碼

Account Type. 賬戶類別:

Cash Securities 現金證券

Margin Securities 保證金證券

Futures and Options 期貨及期權

Asset Management 資產管理

3. Do you (the Authorized Person) or your member of your group or any company associated with you have an account opened with Hao Tian?

閣下(獲授權人)是否有以閣下旗下之公司於昊天已開立賬戶?

No 否

Yes 是 (If yes, please specify 如是, 請說明)

Name of Related Company

關聯公司名字

Account No.

賬戶號碼

Account Type. 賬戶類別:

Cash Securities 現金證券

Margin Securities 保證金證券

Futures and Options 期貨及期權

Asset Management 資產管理

4. Do you (the Authorized Person) own or your behalf or for your another person(s), body or corporation or in which you have an interest (whether direct or indirect) with Hao Tian or any of its subsidiaries or associated companies, particulars of any and all other accounts (whether individual, joint, corporate, trustee) beneficially held?

閣下(獲授權人)或閣下代表他人、公司、是否有直接或間接利益在昊天及其附屬或聯營公司由昊天實益持有、擁有或運作, 其他

賬戶詳情(無論個人、聯名、公司、託管)?

No 否

Yes 是

Account Name

賬戶名稱:

Account No.

賬戶號碼:

Relationship

關係:

Account Name

賬戶名稱:

Account No.

賬戶號碼:

Relationship

關係:

9. U.S. Tax Obligations 美國稅務責任

Please complete the U.S. Foreign Account Tax Compliance Act ("FATCA") - Self-Certification Form and provide other relevant information and documents.

請填寫美國海外帳戶稅收合規法案(「FATCA」) - 客戶聲明書(公司/機構)及提供其他相關資料及文件。

10. Designated Bank Account 指定入賬銀行戶口

The following bank accounts are hereby designated by the Client as the settlement account for settlement purpose (the "Settlement Account"). The Client hereby instructs and authorizes Hao Tian to deposit any and all moneys and funds payable to the Client into the following bank accounts. Hao Tian agrees to deposit such moneys and funds into the Settlement Account (or pay to the Client through other methods as it may determine appropriate) within such period required under the Applicable Laws or Regulations but Hao Tian shall not be held liable for any loss, expenses or damages suffered by the Client as a result of any delay in depositing such payments caused by any reason.

客戶謹此指定以下的銀行賬戶為其作結算用途的結算賬戶。客戶謹此指示及授權昊天將所有及任何應付予客戶之款項及金錢存入以下銀行賬戶。昊天將在相關法律或規則所規定的時限內把該些款項及金錢存入結算賬戶中(或以其認為合適的其他方式付予客戶),但昊天不會對基於任何原因而延遲存入款項令客戶蒙受的任何虧損、開支或賠償承擔任何責任。

Bank Name 銀行名稱	A/C No. 銀行賬戶號碼	Account Holder 銀行賬戶名稱	Currency 貨幣	SWIFT Code	Branch and Address 分行和地址
		*			

1. If clients' withdrawal instruction without designated bank account, the payment is deposited into (*) default bank account.

如客戶提款指示沒有指定其他銀行賬戶,款項會自動存入(*)的預設銀行。

2. Hao Tian cannot accept cash deposit and 3rd party deposit.

昊天不接受現金存款和第三者存款。

3. Hao Tian cannot accept 3rd party payment.

昊天不接受第三者付款。

4. If necessary, Hao Tian has the right to ask for any relevant bank supporting from client.

如有需要,昊天有權向客戶要求出示任何有關之銀行證明。

11. Use of Personal Information 個人資料之使用

I/We have understood and agreed that the personal information collected or held by Hao Tian, whether contained in this form or otherwise obtained by the member of the Hao Tian including an affiliated or associated company of a members of the Hao Tian (as applicable), may be used by the member of the Hao Tian (as applicable) for the following voluntary purposes:

本人/吾等亦已明白及同意一切由昊天從本開戶表格或以其他方式獲取而由昊天集團成員的相關聯繫或有關聯公司收集或持有的個人資料,均可供昊天集團成員使用作以下自願性用途:

- (a) to provide marketing materials and conduct direct marketing activities in relation to financial products and services of Hao Tian and/or other financial services providers; and
為昊天及/或其他金融服務供應商的金融產品及服務提供市場推廣資料及進行直接市場推廣活動;及
- (b) to conduct market research and surveys for the Hao Tian' development of service and product.
就昊天集團成員的服務及產品發展進行市場調查及研究。

Please tick here if I/we do not want Hao Tian to use his/her personal data for the voluntary purposes set out above.

如本人/吾等不欲昊天將客戶的個人資料用於上述自願性用途,請加上✓號。

12. Corporate Structure 公司結構

Particular of Shareholder(s)/Partner(s) (Not applicable to Public Listed Companies)

股東/合夥人資料 (不適用於上市公司)

Name of Shareholder(s)/ Partner(s) 股東/合夥人姓名	HKID Card or Passport No. / Certificate of Incorporation No. 香港身份證或護照號碼 / 註冊成立證書號碼	Residential Address / Registered Address 住址 / 註冊地址	Telephone No. 聯絡電話	Shareholding (%) 所佔股權(% (Total 總計) 100%

Particular of All Director(s) of the Company 所有公司董事資料

Name of Director(s) 董事姓名	HKID Card / Passport No. 香港身份證/護照號碼	Residential Address 住址	Telephone No. 聯絡電話	Nationality 國籍

13. Ultimate Beneficial Owners of Entity 團體的最終實益擁有人The Client declare and confirm that the Ultimate Beneficial Owners of the Entity are listed in Part 12 as above. (please as appropriate):客戶聲明及確認以上 12 部份所列已是團體的實益擁有人。(請於以下適當處) Yes 是 No, please complete below section or attach separate sheet for additional parties 否, 請於下列填寫或以附頁填寫其他人士

Particulars of Beneficial Owners* of the Entity 團體的實益擁有人*之資料:

Name of Beneficial Owner 實益擁有人姓名	HKID Card / Passport No. 香港身份證/護照號碼	Residential Address 住址	Nationality 國籍

*Please provide the ultimate beneficial owner's identification document and valid address proof.**請提供最終實際受益擁有人的身份證明文件和有效的地址證明。*

* Beneficial Owner means an individual:

*實益擁有人指符合以下說明的個人:

a. who owns or controls, directly or indirectly (including through a trust or bearer share holding), not less than 10% of the issued share capital of the Client;

直接或間接地擁有或控制(包括透過信託或持票人股份持有)客戶已發行股本的不少於 10%;

b. who is, directly or indirectly, entitled to exercise or control the exercise of not less than 10% of the voting rights at general meetings of the Client;

直接或間接地有權行使在客戶的成員大會上的投票權不少於 10%, 或支配該比重的投票權的行使; 或

c. who exercise ultimate control over the management of the corporation; or

行使對客戶的管理最終之控制權; 或

d. on behalf of whom the Client is acting.

客戶代表其行事之個人。

14. Trading Authorization and Signing Arrangement 交易授權及簽署安排**A. Trading Authorization 交易授權:**

The following person(s) is or are authorized on behalf of the Client to place the oral or written instructions for trade. Trading instructions could be given by any one of them.

客戶現授權下列人士以書面或口頭指示在本帳戶進行交易事宜。任何一位獲授權人士均可作出交易指示。

Authorized Person's Name 獲授權人士姓名	HKID Card / Passport No. 香港身份證或護照號碼	Issuing Country 簽發國家	Title / Position 稱號 / 職銜	Specimen Signature 簽名式樣
1)				
2)				
3)				

B. Signing Arrangement 簽署安排:

Any _____ of the undersigned individuals are authorized to deposit/withdraw fund/shares to/from the account, give settlement instructions and any other instructions on behalf of the Client and the specimen signatures appearing against their names are the true signatures of the authorized individuals.

以下任何 _____ 位獲授權人士簽署均可代表客戶對帳戶進行資金/股票存入或提取, 發出結算指示和其他帳戶有關指示, 而獲授權人士之真實簽名樣本已於其姓名旁邊註明。

Authorized Person's Name 獲授權人士姓名	HKID Card / Passport No. 香港身份證或護照號碼	Issuing Country 簽發國家	Title / Position 稱號 / 職銜	Specimen Signature 簽名式樣
1)				
2)				
3)				

I declare, all information provided from Item 1 to Item 15 in this form that is true, correct and complete.

本人聲明, 本人在本表格內提供的由第 1 項至 14 項所有資料和聲明均屬真實、正確和完備。

Authorized Person Signature with Company Chop 獲授權人簽署及公司蓋章

Date 日期:

Common Reporting Standard (CRS) 共同匯報標準 - Self-Certification Form - Entity 自我證明表格—實體

This is a self-certification form provided by an account holder to Hao Tian International Financial Holdings Limited and/or its affiliates (collectively “Hao Tian”) for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Hong Kong Inland Revenue Department for transfer to the tax authority of another jurisdiction.

這是由賬戶持有人向昊天國際金融控股有限公司及/或其附屬公司（以下統稱「昊天」）提供的自我證明表格，以作自動交換財務賬戶資料用途。昊天可把收集所得的資料交給香港稅務局，香港稅務局會將資料轉交到另一個稅務管轄區的稅務當局。

Entity Type 實體類別

Tick one of the appropriate boxes and provide the relevant information.

在其中一個適當的方格內加上☑號，並提供有關資料。

Financial Institution 財務機構	<input type="checkbox"/> Custodial Institution, Depository Institution or Specified Insurance Company 託管機構、存款機構或指明保險公司 <input type="checkbox"/> Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity’s assets) and located in a non-participating jurisdiction with discretion to manage the entity’s assets) and located in a non-participating jurisdiction 投資實體，但不包括由另一財務機構管理（例如：擁有酌情權管理投資實體的資產）並位於非參與稅務管轄區的投資實體
Active NFE 主動非財務實體	<input type="checkbox"/> NFE the stock of which is regularly traded on _____, which is an established securities market 該非財務實體的股票經常在 _____（一個具規模證券市場）進行買賣 <input type="checkbox"/> Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market _____ 的有關連實體，該有關連實體的股票經常 _____（一個具規模證券市場）進行買賣 <input type="checkbox"/> NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體 <input type="checkbox"/> Active NFE other than the above (Please specify _____) 除上述以外的主動非財務實體（請說明 _____）
Passive NFE 被動非財務實體	<input type="checkbox"/> Investment entity that is managed by another financial institution and located in a non-participating jurisdiction 位於非參與稅務管轄區並由另一財務機構管理的投資實體 <input type="checkbox"/> NFE that is not an active NFE 不屬主動非財務實體的非財務實體

Controlling Persons (Complete this part if the entity account holder is a passive NFE)

控權人 (如實體賬戶持有人是被動非財務實體，填寫此部)

Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official. Complete (Self-Certification Form – Controlling Person) for each controlling person.

就賬戶持有人，填寫所有控權人的姓名在列表內。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。每名控權人須分別填寫一份（自我證明表格 – 控權人）。

(1)	(5)
(2)	(6)
(3)	(7)
(4)	(8)

Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) ***居留司法管轄區及稅務編號或具有等同功能的識別編號（以下簡稱「稅務編號」）***

Indicate all (not restricted to four) jurisdictions of residence.

列出所有（不限於 4 個）居留司法管轄區。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.

如賬戶持有人是香港稅務居民，稅務編號是其香港商業登記號碼。

If a TIN is unavailable, provide the appropriate reason (A, B or C):

如沒有提供稅務編號，必須填寫合適的原因（A, B or C):

Reason A: The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

原因 A：賬戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

Reason B: The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.

原因 B：賬戶持有人不能取得稅務編號。如選取這一理由，解釋賬戶持有人不能取得稅務編號的原因。

Reason C: TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

原因 C：賬戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要賬戶持有人披露稅務編號。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號，原因 A、B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選取理由 B，解釋賬戶持有人不能取得稅務編號的原因

Declarations 聲明

I/We acknowledge and agree that (a) the information contained in this form is collected and may be kept by Hao Tian for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

本人/吾等知悉及同意，昊天可根據《稅務條例》（第 112 章）有關交換財務賬戶資料的法律條文，(a) 收集本表格所載資料並可備存作自動交換財務賬戶資料用途及 (b) 把該等資料和關於賬戶持有人及任何須申報賬戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到賬戶持有人的居留司法管轄區的稅務當局。

I/We certify that I am the account holder / I am authorized to sign for the account holder# of all the account(s) to which this form relates.

本人/吾等證明，就與本表格所有相關的賬戶，本人是賬戶持有人/本人獲賬戶持有人授權簽署本表格#。（# Delete as appropriate 刪去不適用者）

I/We undertake to advise Hao Tian of any change in circumstances which affects the tax residency status of the entity identified in this form or causes the information contained herein to become incorrect, and to provide Hao Tian with a suitably updated self-certification form within 30 days of such change in circumstances.

本人/吾等承諾，如情況有所改變，以致影響本表格所述的實體稅務居民身分，或引致本表格所載的資料不正確，本人會通知昊天，並會在情況發生改變後 30 日內，向昊天提交一份已適當更新的自我證明表格。

I/We declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

本人/吾等聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

Client Signature 獲授權人簽署

Client Name 公司名稱:

Date 日期:

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).

警告：根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級（即\$10,000）罰款。

A/C No. 賬戶號碼 _____

Fee Schedule (Trading Commission)
收費表 (交易佣金)

	On-Line Trading 網上交易	Phone Service 電話服務
Hong Kong Securities 香港證券	% Min Comm.最低	% Min Comm.最低
Shanghai Connect 滬港通	% Min Comm.最低	% Min Comm.最低
Shenzhen Connect 深港通	% Min Comm.最低	% Min Comm.最低
US Stock 美國證券	% Min Comm.最低	% Min Comm.最低
Hong Kong Stock Option 香港股票期權	% Min Comm.最低	% Min Comm.最低

Others 其他

**The above commissions are not included the governmental and the Exchanges (Third Party Authorities) levy and charges.
以上之收費未包括政府及交易所(第三方機構)之徵費。

**All related securities services items' standard fee schedule, please refer to the announcement of Hao Tian official website.
有關證券附屬服務項目之標準收費, 請瀏覽昊天官方網站的公佈。

	現金賬戶 Cash Account	保證金賬戶 Margin Account
Normal Interest Rate 正常信貸利率		
Default Interest Rate 違約金信貸利率		

	On-Line Trading 網上交易	Phone Service 電話服務
Hong Kong Futures and Options 香港期貨及期權		
(Commission <input type="checkbox"/> include / <input type="checkbox"/> DO NOT include all fee charged by Exchanges. 佣金 <input type="checkbox"/> 包括/ <input type="checkbox"/> 不包括全部交易所徵收之費用)		
Hang Seng Index 恒生指數	HK\$ /Contract 張	HK\$ /Contract 張
Mini Hang Seng Index 小型恒生指數	HK\$ /Contract 張	HK\$ /Contract 張
Hang Seng China Index 恒生國企指數	HK\$ /Contract 張	HK\$ /Contract 張
Mini Hang Seng China Index 小型恒生國企指數	HK\$ /Contract 張	HK\$ /Contract 張
USD/CNH 美元兌人民幣	RMB\$ /Contract 張	RMB\$ /Contract 張

	On-Line Trading 網上交易	Phone Service 電話服務
Global Futures and Options 環球期貨及期權		
(Commission include all fee charged by Exchanges. 以下佣金包括所有交易所徵收之費用)		
London Metal Exchange 倫敦金屬期貨	US\$ /Contract 張	US\$ /Contract 張
CME GROUP Products 芝商所產品 (CME/ CBOT/ COMEX/ NYMEX)	US\$ /Contract 張	US\$ /Contract 張
Singapore Exchange Products 新交所產品	US\$ /Contract 張	US\$ /Contract 張
CME-Bitcoin CME-比特幣	US\$ /Contract 張	US\$ /Contract 張
Others 其他		

**If forced to close position by Dealing department, it will be charged according to phone services
如交易部進行強行平倉, 按電話服務收費計算。

**Hong Kong Futures and Options are based on Hang Seng Index commission in generals, Please refer to the announcement of Hao Tian official website for the details

香港期貨及期權的一般產品以恒生指數合約之佣金收費, 詳情請瀏覽昊天官方網站的公佈。

**Please refer to the announcement of Hao Tian official website about the detail of CME Products and Singapore Products
芝商所及新交所產品之詳情, 請瀏覽昊天官方網站的公佈。

**Because of numerous futures and options products, the commission of special products will be announced separately.
因期貨及期權的產品眾多, 特別產品之收費項目會另行通知。

For internal use only

Unless otherwise specified, commissions shall be charged according to the Fees Schedule which are subject to change from time to time.

SALES TEAM

Submitted by:	AE Code:	Signature / Initial:	Date:
Approved by RO:		Signature / Initial:	Date:

**Please note that Hao Tian has the absolute discretion to decide all commission and charges.
昊天對所有佣金及收費有最終決定權。