



ACU Securities Limited

Client Opening Form

客戶開戶文件

Client Information Form (Corporate Account)

客戶資料表格 (公司帳戶)

Account Name 客戶名稱： _____

Account Number 客戶編號： _____

CLIENT INFORMATION FORM (Corporate Account)

客戶資料表格 (公司帳戶)

Account Name

客戶名稱 _____

Account Number

客戶帳號 _____

Application for 申請帳戶為*		Account Type(s)	
<input type="checkbox"/> Cash Account 現金帳戶*		<input type="checkbox"/> Online & Mobile Phone Trading Account 網上及手機交易帳戶	
<input type="checkbox"/> Margin Account 保證金帳戶*			
Do you require trading in non-HK stocks? 您是否需要開通港股以外的其他股票交易? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否			
Please specify 請述明:			
<input type="checkbox"/> Shanghai-Hong Kong Stock Connect 滬港通		<input type="checkbox"/> Shenzhen-Hong Kong Stock Connect 深港通	
<input type="checkbox"/> Global shares 環球股票		<input type="checkbox"/> Bonds 債券 <input type="checkbox"/> Funds 基金	
<input type="checkbox"/> Structured product 結構性產品(Applicable to Professional Investors only 只適用於專業投資者)			
I. Particulars of Client 客戶資料			
Company Name (English) 公司名稱(英文)			
Company Name (Chinese) 公司名稱(中文)			
Registered Address 註冊地址			
Business Address 商業地址			
Place of Incorporation 註冊地點	Date of Incorporation 註冊日期	Certificate of Incorporation No. 公司註冊號碼	BR Certificate No. 商業登記證號碼
Nature of Business 業務性質	Nature of Entity 實體性質 <input type="checkbox"/> Listed Company 上市公司 <input type="checkbox"/> Unlisted Company 非上市公司 <input type="checkbox"/> Partnership 合夥經營 <input type="checkbox"/> Other 其他 _____		
Tel. No. 電話號碼	Fax No. 圖文傳真	Email Address 電郵地址	
Communication Method (for Statements and Notice) 通訊方式 (用作發送結單及通知) ^			
<input type="checkbox"/> Email 電郵地址 <input type="checkbox"/> Registered Address 郵寄至註冊地址 <input type="checkbox"/> Business Address 郵寄至辦事處地址			

* Please tick one only 只選其一

^ Only one type of postal address is allowed for all cases 於所有情況下, 只准許一種郵遞網址類別

II. Declaration in related to U.S. Foreign Account Tax Compliance Act (FATCA)

有關美國<海外帳戶稅收合規法案>的聲明

Please choose the appropriate status 請選擇適當的身份

- You are a foreign (non-United States) corporation, company, partnership, or association who is the beneficial owner of an account receiving amounts subject to withholding, please provide Form W-8BEN-E
閣下是外國(非美國)企業、公司、合夥人或聯營實體及閣下的最終受益人受預扣稅款所約束, 請提 W-8BEN-E 表格
- You are a foreign (non-United States) person acting as an intermediary, please provide Form W-81MY
閣下是外國(非美國)擔任仲介機構角色者, 請提供表格 W-81MY
- Others, please specify and provide appropriated form
其他, 請列明及提供適當的表格 _____

III. Ownership and Control Structure 擁有權及控制權結構			
Particulars of Shareholders (holding 10% or more of the voting rights or share capital) of the Company (not applicable to Listed Company) 公司股東 (持有 10%或以上的投票權或股本) 詳情 (不適用於上市公司) *if necessary, please state in a separate sheet 如有需要, 請陳述在獨立頁表上			
	(1)	(2)	(3)
Name 姓名			
Shareholding % 持股權益			
ID Card/ Passport/ Cert. of Incorporation No. 身份證/護照/公司註冊證號碼			
Date of Birth/ Incorporation 出生/註冊日期			
Place of Birth (if applicable) 出生地 (如適用)			
Nationality/ Place of Incorporation 國籍/註冊地點			
Residential Address and Country of Residence (and Permanent Address if different)/ Registered Address and Country of Residence (and Principal Office or Place of Business if Different) 住址及國家(及永久地址, 如不相同)/ 註冊地址及國家(及主要辦事處或商業地址, 如不相同)			
For (1)			
For (2)			
For (3)			
Are you a U.S. Resident? 是否美國公民?	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是, TIN No. _____	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是, TIN No. _____	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是, TIN No. _____
IV. Directorship 董事			
Particulars of Directors of the Company 公司董事詳情 *if necessary, please state in a separate sheet 如有需要, 請陳述在獨立頁表上			
	(1)	(2)	(3)
Name 姓名			
ID Card/ Passport No. 身份證/護照號碼			
Date of Birth 出生日期			
Nationality 國籍			
Residential Address and Country of Residence (and Permanent Address if different) 住址及國家 (及永久地址, 如不相同)			
For (1)			
For (2)			
For (3)			
Are you a U.S. Resident? 是否美國公民?	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是, TIN No. _____	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是, TIN No. _____	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是, TIN No. _____
V. Bank Information 銀行資料			
Unless otherwise instructed by you, all monies payable to you are to be credited to the following bank account: 除經客戶另行指示外, 須付予客戶的款項將會被轉入下列銀行帳戶:			
Bank Name: _____			
Bank Account No.: _____			
Bank Account Holder's Name (name shown on bank statements and this form should match) 帳戶持有人名稱(須與客戶的銀行結單及此表格上的名稱相符)			

VI. Board Resolution (if applicable) 董事局委任決議書 (如適用)

Name of Company 公司名稱 _____

Minutes of a Meeting of the Board of Directors of the Company held at 本董事會在

Address 地址 _____

on 並於 (Date 日期 _____) 舉行的董事會會議紀錄。

Present (Full name of Directors Present) 出席人(出席董事全名):

Chairman of the meeting 會議主席: _____

Notice and Quorum 通知書及法定人數

The requisite notices having been given and a quorum being present, the Chairman declared the meeting duly constituted. 有關通知已按要求發出, 且與會人數符合會議法定人數的要求, 主席宣佈會議有效。

1. Signing Officer 授權簽署人

It was resolved that with immediate effect a securities trading account be opened with ACU Securities Limited and that the following person(s) is/are appointed as signing officer of the Company. Any one of the signing officers can act on behalf of the Company: (i) to sign, execute and deliver all agreements and documents in relations to the account; and (ii) to sign instruction to transfer/ withdraw any money, securities, collateral or other property into or out of the account, and deal with all settlement matters in relation to the account.

茲決議本公司將於 ACU Securities Limited 開立證券交易帳號, 並且授權下列人士為帳戶授權簽署人, 即時生效。任何一位授權簽署人可代表本公司: (i) 簽署、簽訂及交付與帳戶相關之所有協定或文件; 及(ii) 簽發指令從/ 向帳戶提取/ 轉帳任何資金、證券、抵押品或其他資產, 及處理所有與帳戶結算相關之事宜。

Name 姓名	ID Card/ Passport No. 身份證/護照號碼	Contact Phone No. 聯絡電話	Specimen 簽署樣式
(1)			
(2)			
(3)			
(4)			

2. Trading Officer 交易人

It was resolved that with immediately effect, the following person(s) is/are appointed as trading officer and authorized to give trading instructions (whether verbally, electronically, in writing or otherwise) for and on behalf of the Company: 茲決議下列人士被授權為本公司帳戶的交易人, 並代表本公司進行買賣(包括透過以口頭、電子、書面或其他方式), 即時生效。

Name 姓名	ID Card/ Passport No. 身份證/護照號碼	Contact Phone No. 聯絡電話	Specimen 簽署樣式
(1)			
(2)			
(3)			
(4)			

Company Stamp Specimen (if applicable)

公司印章 (如適用)

End of Meeting 會議結束

There being no further business, the Chairman declared the meeting closed. 沒有進一步的討論, 主席宣佈會議結束。

The Chairman 主席 _____

VII. Financial Information/ Investment Objective and Experience 財務資料/投資目標及經驗					
1. Profit/Loss after tax based on the latest audit account(s) 最近其經核數師作實之稅後盈/虧 <input type="checkbox"/> HK\$0 – HK\$500,000 <input type="checkbox"/> HK\$500,001 – HK\$3,000,000 <input type="checkbox"/> HK\$3,000,001 – HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 – HK\$30,000,000 <input type="checkbox"/> >HK\$30,000,000 <input type="checkbox"/> other 其他 _____					
2. Net Asset Based on the latest audited account(s) 最近其經核數師作實之淨資產值 <input type="checkbox"/> <HK\$1,000,000 <input type="checkbox"/> HK\$1,000,000 – HK\$10,000,000 <input type="checkbox"/> > HK\$10,000,000 – HK\$50,000,000 <input type="checkbox"/> >HK\$50,000,000 - HK\$100,000,000 <input type="checkbox"/> >HK\$100,000,000					
3. Ownership of property/ real estate <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (e.g. real estate, time deposit 如物業, 定期存款) 擁有資產/物業 <input type="checkbox"/> with financing 有借貸 <input type="checkbox"/> without financing 無借貸					
4. Source of funding (√ one or more) <input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Saving 儲蓄 <input type="checkbox"/> Rent 租金 <input type="checkbox"/> Business Profit 業務溢利 資金來源 (可√超過一項) <input type="checkbox"/> Dividend / Interest 股息/利息收入 <input type="checkbox"/> Others (please specify) 其他(請注明) _____					
5. Origin of funding (√ one or more) <input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Macau 澳門 <input type="checkbox"/> China 中國 資金來源地 (可√超過一項) <input type="checkbox"/> Others (please specify) 其他(請注明) _____					
6. Investment Objective <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Capital Appreciation 資產增值 投資目標 <input type="checkbox"/> Dividend / Interest 股息/利息收入 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Others (please specify) 其他(請注明) _____					
7. Investment horizon <input type="checkbox"/> Short term (<1 year) 短線(少於1年) <input type="checkbox"/> Short to medium term(1-5 years) 中短線(1-5年) 投資年期 <input type="checkbox"/> Medium term (6-10 years) 中線(6-10年) <input type="checkbox"/> Long Term (>10 years) 長線(>10年)					
8. Risk tolerance 承受風險 <input type="checkbox"/> Low 低 <input type="checkbox"/> Medium 中 <input type="checkbox"/> High 高					
9. Derivative Product Experience in past 3 years <input type="checkbox"/> 1-5 Trades <input type="checkbox"/> Over 5 trades <input type="checkbox"/> Nil 過往3年投資衍生產品經驗 1-5次交易 超過5次交易 沒有					
10. Investment experience 投資經驗					
	Nil 無	< 1 year 1年以下	1 to 5 years 1至5年	6 to 10 years 6至10年	> 10 years 10年以上
Equities 證券	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Derivative Products (e.g. warrants /options / CBBCs) 衍生產品 (例如:窩輪/期權/牛熊證)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Futures 期貨	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mutual Funds/ Unit Trust 互惠基金/單位信託基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Hedge Funds 對沖基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Unlisted Structure Products (e.g. ELN/ELI) 非上市結構性產品 (例如:股票掛鉤投資)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fixed Income Securities (e.g. Bonds) 固定收益證券 (例如:債券)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Others (e.g. Forex/Precious metal) 其他 (例如:外匯交易/貴金屬)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

VIII. Identity Declaration 身份聲明

1. Are your directors, partners, or substantial shareholders an agent, officer or employee of any exchange, board of trade, clearing house, bank or trust company; or affiliate of any introducing broker; or an officer, partner, director or employee of any securities broker, futures broker or licensed corporation?

貴公司之董事、合夥人或主要股東是否任何交易所、交易委員會、結算所、銀行或信託公司代理人、高級人員、員工；或任何引薦經紀的聯屬人；或任何證券經紀、期貨經紀或持牌法團的高級人員、合夥人、董事或員工？

No
否

Yes (please provide details): Name of the person and name of Institution
是 (請詳述): 該人士的姓名及機構名稱 _____

2. Do any of your directors, partners or substantial shareholders have relative(s) working in ACU Securities Limited?
貴公司之董事、合夥人或主要股東有沒有親屬於 ACU Securities Limited 工作？

No
否

Yes (please provide details): Name of the person and name of Institution
是 (請詳述): 該人士的姓名及機構名稱 _____

3. Person ultimately benefiting from the transactions and bearing the risks:
最終受益於交易及承擔風險人士:

The Company (we are not acting as nominee company for a third party)
本公司 (本公司不是替第三者作為公司代理人處理帳戶)

Others (Please provide details / supporting documents) 其他(請詳述 / 提供附件):

Name 名稱: _____

ID/Password No. 身份證/護照號碼 _____

Phone No.: _____

Address 地址: _____

4. Person ultimately responsible for originating instructions:
最終負責發出指示的人士:

The Company (we are not acting as nominee company for a third party)
本公司 (本公司不是替第三者作為公司代理人處理帳戶)

Others (Please provide details / supporting documents) 其他(請詳述 / 提供附件):

Name 名稱: _____

ID/Password No. 身份證/護照號碼 _____

Phone No.: _____

Address 地址: _____

5. Related Margin Account 相連保證金帳戶 (applicable to Margin client only 只適用於保證金帳戶)

Is any member of your group companies a margin client of ACU Securities Limited?
客戶的公司集團內任何成員是 ACU Securities Limited 的保證金客戶？

No 否

Yes 是, Account Name 客戶姓名: _____ A/C No. 帳戶號碼: _____

IX. Customer Declaration 客戶聲明

1. (a) We hereby declare that the information contained in this Client Information Form is true, complete and accurate. ACU Securities Limited is entitled to rely fully on such information and representations for all purposes, unless ACU Securities Limited receives notice in writing of any change. ACU Securities Limited is authorized at any time to contact anyone, including your banks, brokers or any credit agency, for the purpose of verifying the information provided on this Client Information Form. A copy of ACU Securities Limited's "Circular relating to the Personal Data (Privacy) Ordinance" is available upon request.
吾等謹此聲明本客戶資料表的資料均屬真實、完整及正確。除非 ACU Securities Limited 收到任何客戶資料改變的書面變更通知, ACU Securities Limited 完全可以依靠這些資料及陳述作任何目的。客戶授權 ACU Securities Limited 可在任何時間聯絡任何人, 包括客戶的銀行、經紀或任何信貸機構, 藉以確定及查證本客戶資料表內的資料。客戶可隨時索閱 ACU Securities Limited 的"個人資料(私隱)條例的通告"副本。
- (b) We, the undersigned Client, have read and understood the provisions of the attached current version of the Client Agreement of ACU Securities Limited ("Agreement") of which this document forms a part. We hereby apply to open the above type of account and agree to be bound by the Agreement (receipt of a Copy whereof is hereby acknowledge by us) including its Standard Terms and Conditions and relevant Schedule(s) and/or Annex (es) as the same may be amended from time to time.
吾等, 下述簽署客戶, 已閱讀過及明白附上的 ACU Securities Limited 最新版本的客戶協議書("協定")。而本檔乃協議的一部份。吾等現申請開立上述類別的帳戶, 並同意接受可不時被修改的協議(謹此聲明吾等已收受其副本)包括其標準條款及細則及有關的附件及/或附錄所約束。
- (c) We acknowledge and confirm that ACU Securities Limited has provided the Agreement and the Risk Disclosure Statements in a language of our choice (English or Chinese) and We have been invited to read the Risk Disclosure Statements in or accompanying the Agreement, to ask questions and take independent advice if We wish.
吾等 ACU Securities Limited 已按照吾等選擇的語言(中文或英文)獲提供協議和載或附於協議的風險披露聲明, 及已獲邀閱讀該風險披露聲明、提出問題及徵求獨立的意見(如吾等有此意願)。
2. (Applicable to Margin Clients only) We acknowledge and confirm that We have authorized ACU Securities Limited to deal with the Securities Collateral in accordance with Clause 24 of Schedule I- <Terms for Margin Trading> and the contents of that Clause have been explained to me/us and I/We understand the contents and related risks of that Clause.
(只適用於保證金客戶) 吾等謹此承認並確定吾等已根據附表一<保證金融資買賣條款>第 24 條授權 ACU Securities Limited 處置證券抵押品, 並且本吾等明白就該條款的內容及有關風險。

Client Signature and Company Stamp 客戶簽署及蓋章

Name 名稱: _____

Date 日期: _____

X. Witness for account opening by Licensed Employee 持牌僱員的開戶見證

I, ACU Securities Limited licensed representative, hereby declare and confirm that I have provided the Risk Disclosure Statements in or accompanying the Agreement in a language of the Client's choice (English or Chinese) and invited the Client to read the Risk Disclosure Statements, ask questions and take independent advice if the Client wishes.
本人為 ACU Securities Limited 的持牌代表, 並謹此聲明及確認本人已按照上述客戶所選擇的語言(中文或英文) 提供載或附於該協議書的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)。

The above Client signature was made in my presence 以上客戶簽署乃本人面前簽立。

Signature of Staff 職員簽署

Name and CE. No. 名稱及中央編號

Date (dd/mm/yyyy) 日期 (日/月/年)

XI. Witness for Postal Account Opening or Account Opening by non-employee of ACU Securities Limited
郵遞開戶的見證或非 ACU Securities Limited 的僱員開戶見證

If you are opening this Account by way of post, or Account opening is not executed in presence of the employee of licensed person or registered person, please arrange for other person registered with SFC, an affiliate of a registered person, a Justice of the Peace, or a professional person such as branch manager of a bank, certified public accountant, lawyer or notary public to witness your signature of this Agreement and sighting of related identity documents by using "Witness for Postal Account Opening or Account Opening by non-employee of ACU Securities Limited" section.

如閣下以郵遞方式開戶，或開戶並非在持牌人或註冊人的僱員面前簽立，請安排其他在證監會註冊人、註冊人的聯繫人士、太平紳士或專業人士如銀行分行經理、執業會計師、律師或公證人在“郵遞開戶的見證或非 ACU Securities Limited 的僱員開戶見證”欄中見證閣下簽立本協議及驗證有關身份證明文件。

I, the undersigned witness, hereby certify that I have witnessed the signing of this agreement by the Client and have sighted the related identity documents of the Client.

本人為下述簽署人，茲核證本人見證客戶簽立本協定，並驗證有關客戶身份證明文件。

_____ Signature of Witness 見證人簽署	_____ Name of Witness (BLOCK LETTERS) 見證人姓名 (正楷)
_____ Profession/ Occupation 專業/職業 (牌照號碼, 如有)	_____ Name of Company 公司名稱
_____ Company Address 公司地址	_____ Date and Company Stamp 日期及公司印章

XII. Online Trading Service

Please provide me/us with Internet & Mobile trading service. I/We have read and understand the provisions of the "Terms for On-Line Trading" Agreement as set out in Schedule II and agree to be bound by same. 請為我/我們提供互聯網及手機交易服務。我/我們已經閱讀並明白附表二“網上證券交易條款”之協定，並同意這些條款的約束。

Streaming Real Time Quote 串流即時報價服務 (Monthly Fee 月費 HK\$400)

Mobile Trading will charge HK\$0.2 per quote 手機交易報價每次收費 HK\$0.2

Please send On-Line trading password to the following email 請將網上證券交易密碼發送到以下電郵地址：

For internal use only 只供內部使用：

waived Streaming Real Time Quote 串流即時報價服務 (Monthly Fee 月費 HK\$400)

waived Mobile Trading will charge HK\$0.2 per quote 手機交易報價每次收費 HK\$0.2

Approved by: _____ Name: _____ Checked by: _____ Name: _____

Commission Rate/ Trading Limit/ Credit Limit & Interest (Securities) 佣金/交易限額/信貸限額及利息 (證券)

	Standard Rate	Proposed
Commission Rate 經紀佣金	0.25%, \$100 (min)	
Internet Commission Rate 網上佣金	0.20%, 100 (min)	
Interest Rate (Margin) 信貸利息	P + 4.5%	
Trading Limit 交易限額	HK\$	
Credit Limit 信貸限額	HK\$	

For Official Use Only (只供本公司使用)		
經紀 / 證券銷售員 AE / Sales person : _____		
認識客戶年期 I have known the Client for: <input type="checkbox"/> > 1 year <input type="checkbox"/> 1-5 years <input type="checkbox"/> > 5 years		
介紹模式 Mode of Introduction: <input type="checkbox"/> 自薦 Walk-in <input type="checkbox"/> 引薦 Referral: _____		
<input type="checkbox"/> 其他 Others: _____		

Specimen Signature

簽署式樣

This signature will be treated as specimen signature:

此簽署將被視作簽署式樣:

Primary Account Holder's Signature: 主要帳戶持有人簽署: _____ Name 姓名: _____ 身份證號碼/護照號碼 I.D. Card/Passport No.: _____	Secondary Account Holder's Signature: 第二帳戶持有人簽署: _____ Name 姓名: _____ 身份證號碼/護照號碼 I.D. Card/Passport No.: _____
Signing Instruction 簽署規則 Any ___ of the above signature(s) / together with company chop (if any) will be effective. 上列___式凭任何___式簽署/连同印章始为有效。 * (Cross out blank space 请将不用之簽署式样空格删去)	
I / We, the undersigned, give above hereof the specimen signature(s) of the person(s) who is / are duly authorized by me / us to operate the account with your company. I / We further agree that all letters and documents with such signature(s) added thereon shall be good and valid and blinding upon me / us in all matters thereto. 茲將本人/吾等授權處理戶口往來及簽發一切有關文件人員之簽字式樣登錄於上。所有簽署若與上述之簽章式樣相符，均屬有效，由本人/吾等負責，絕無異議。	
Sign off by: 核查及同意: Reviewed & Concurred By: _____ (Date: _____) 經紀/ 證券銷售員 AE / Salesperson (Name: _____ C.E. No.: _____) 核對: Checked By: _____ (Date: _____) Compliance (Name: _____) 批核: Approved By: _____ (Date: _____) 負責人員 Responsible Officer (Name: _____ C.E. No.: _____)	

ACCOUNT OPENING CHECK LIST

開戶備忘

- Complete client information form
填妥客戶資料表格
- Read the provisions of the attached current version of the Client Agreement and Schedules and sign (total 4 signatures).
閱讀過“客戶協議書及附件”並填上姓名及簽名確認
- Copy of certificate of incorporation
公司註冊證書副本
- Copy of business registration certificate
商業登記證副本
- Copy of identity all documents of directors and signing officers
所有董事及獲授權人之身份證明檔副本
- Copy of identity documents of ultimate beneficial owner(s)
客戶及最終實益擁有人身份證明檔副本
- Account details of Hong Kong licensed bank
香港銀行戶口資料
- Proof of address within 3months
三個月內之地址證明
- Memorandum and articles of association
公司章程或細則
- W-8BEN-E Form
美國稅務局表格
- Board Resolution
有關開設戶口之董事決議

打擊洗錢及恐怖份子資金籌集風險問卷 (個人戶口)

請選擇適當答案 (由持牌代表填寫)

1. 申請人/公司的控股股東是否政府人物或其關聯者 (請參閱附表1)?
 否 是 · 請解釋 : _____
2. 申請人/公司的控股股東是否恐怖份子或其關聯者 (若“是” · 此申請人並不能接受)?
 否 是 · 請解釋 : _____
3. 申請人/公司的控股股東居住的國家是否屬於打擊清洗黑錢財政行動特別組織的成員國(請參閱附表2)?
 否 是 · 請解釋 : _____
4. 客戶/公司的職業/業務是否與現金密集的業務有關連 (例如賭場 · 貨幣兌換 · 匯款機構)?
 否 是 · 請解釋 : _____
5. 申請人/公司是否曾於其他金融機構開立戶口時被拒絕?
 否 是 · 請解釋 : _____
6. 申請人/公司/公司的控股股東是否曾牽涉於洗黑錢的訴訟?
 否 是 · 請解釋 : _____
7. 若申請人/公司已申請“ 第三者交易指示授權” · 被授權人是否與申請人沒有親戚關係?
 否 是 · 請解釋 : _____
8. 其他高風險因素如下所述?

風險評估結果：

高風險	如果以上問題1至問題6中有任何“是”的答案及/或問題8 中有其他確定為高風險的因素 · 風險評估將為“高”高風險客戶在高級管理層審批前 · 必須採取更嚴格的盡職審查措施及紀錄在另一份表格。
中風險	如果以上問題1至問題6中都沒有任何“是”的答案及問題7及8中沒有其他確定為高風險的因素 ·
低風險	如果以上問題1至問題7中都沒有任何“是”的答案及問題8 中沒有其他確定為高風險的因素 · 此風險評估將為“低”
風險級別	(高/中/低)

持牌代表姓名 : _____ 持牌代表簽署 : _____

日期 : _____

For internal use only

Approval to be completed by Responsible Officer

I agree to the above assessed result, and of applicable, the Enhanced Due Diligence should be done for high risk applicants and the account opening of high risk applicants should be approval by Senior Management.

Name of RO : _____ Signed by RO : _____

Date : _____

Risk result input by staff into the system

- High risk (Approval should be supported by Enhanced Due Diligence Form)
 Normal Risk
 Low Risk

Input Staff: _____

Date: _____

Appendix 1

In accordance with Schedule 2 of the Anti-Money Laundering and Counter Terrorist Financing (Financial Institutions) Ordinance, Cap 615 Politically Exposed Person (PEP) means

(a) an individual who is or has been entrusted with a prominent public function in a place outside the People's Republic of China and (i) includes 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; but (ii) does not include a middle-ranking or more junior official of any of the categories mentioned in subparagraph (i); (b) a spouse, a partner, a child or a parent of an individual falling within paragraph (a), or a spouse or a partner of a child of such an individual; or (c) a close associate of an individual falling within paragraph (a);

FATF defines PEPs as 'individuals who are or have been entrusted with prominent public functions in a foreign country, for example Heads of State or of government, senior politicians, senior government, judicial or military officials, senior executives of state owned corporations, important political party officials. The definition is not intended to cover middle ranking or relatively junior individuals in the foregoing categories'. Business relationships with family members or close associates of PEPs involve reputational risks similar to those with PEPs themselves.

FATF Recommendation 12 states that FIs should be required, in relation to PEPs, in addition to performing normal due diligence measures, to:

- (a) Have appropriate risk management systems to determine whether the customer or the beneficial owner is a politically exposed person;
- (b) Obtain senior management approval for establishing (or continuing, for existing customers) such business relationships;
- (c) Take reasonable measures to establish the source of the wealth and source of funds; and
- (d) Conduct enhanced ongoing monitoring of the business relationship

FATF Recommendation 12 is applicable to family members or close associates of PEPs. It also extends the above requirements to DNFBPs.

The Wolfsberg Group's Frequently Asked Questions ('FAQs') on PEPs is a useful reference document that deals with various issues that arise when mitigating the risk associated with PEPs.

[http://www.wolfsberg-principles.com/pdf/faq/Wolfsberg_PEP_FAQs_\(2008\).pdf](http://www.wolfsberg-principles.com/pdf/faq/Wolfsberg_PEP_FAQs_(2008).pdf)

Appendix 2

FATF Members and Observers

The 37 Members of the FATF

The FATF currently comprises 35 member jurisdictions and 2 regional organisations, representing most major financial centres in all parts of the globe.

Argentina	Australia	Austria	Belgium
Brazil	Canada	China	Denmark
European Commission	Finland	France	Germany
Greece	Gulf Co-operation Council	Hong Kong, China	Iceland
India	Ireland	Italy	Japan
Republic of Korea	Luxembourg	Malaysia	Mexico
Netherlands	New Zealand	Norway	Portugal
Russian Federation	Singapore	South Africa	Spain
Sweden	Switzerland	Turkey	United Kingdom
United States			
FATF Observers			
Israel	Saudi Arabia		