



Global Mastermind Securities Limited

環球大通證券有限公司

Unit 1201-02, 12/F, West Tower, Shun Tak Centre, 168-200 Connaught Road Central, Hong Kong
香港干諾道中 168-200 號信德中心西座 12 樓 1201-02 室
Tel: +852 2763 3900 Fax: +852 2618 9806

For Internal Use Only 內部專用

Account Number 帳戶號碼

Account Manager Code 客戶經理編號

ACCOUNT OPENING FORM (Corporate Account)

開立帳戶表格 (公司帳戶)

Cash Account 現金帳戶

Margin Account 保證金帳戶

Global Mastermind Securities Limited ("GMSL") carries on securities trading business and is licensed to carry on Type 1 and Type 4 regulated activity (dealing in securities and advising on securities) under the Securities and Futures Ordinance (CE No. BIO067), and is an exchange participant of The Stock Exchange of Hong Kong Limited (Exchange Participant ID 2087).

環球大通證券有限公司("環球大通證券")經營證券交易的業務，並根據證券及期貨條例獲發牌經營第1類及第4類受規管活動(證券交易及就證券提供意見)(中央編號:BIO067)，且為香港聯合交易所有限公司之交易所參與者(聯交所參與者代號 2087)。

All information will be kept strictly confidential. Please fill out the form COMPLETELY, TRUTHFULLY and ACCURATELY. For item(s) not applicable in your case, please mark "N/A".

所有資料絕對保密，請完整地及如實地填寫此表格，並確保資料的準確性。若有不適用之項目，請填寫“不適用”。

Please provide the following document along with the account opening form. 請隨開立帳戶表格附上下列文件。

- Board Resolution (For account opening, appointment of authorized person and other operation instructions)
董事會議案(有關開戶、獲授權人士及其他操作指示)
- Certified true copy of Business Registration Certificate and Certificate of Incorporation*
公司註冊證及商業登記證的核證副本*
- Certified true copy of Memorandum and Articles of Association*
公司組織章程大綱及細則的核證副本*
- Certified true copy of the latest Annual Return and any changes reported to Companies Registry thereafter*
最近公司年報的核證副本及任何之後於公司註冊處登記的變更記錄*
- Copy of Address Proof within recent three months (P.O. Box is not acceptable)
三個月內有效的公司地址證明(郵政信箱恕不接受)
- Copy of Identity Documents and Professional Certificate of witness (if applicable)
見證人的身份證明文件及專業資格證明副本(如適用)
- Guarantee or Indemnity Letter (if applicable)
擔保書或彌償書(如適用)
- Copy of ID/Passport and Address Proof of Directors, the authorized individuals within recent three months
公司董事、所有獲授權操作帳戶人士的身份證副本及三個月內有效的地址證明
- Certified Group Company Ownership and Structure Chart (can be certified by company's director)
已核證的公司擁有權及控制權結構圖(可由貴公司董事核證)
- Certified true copy of Ultimate Beneficial Owners' ID/Passport and Address Proof within recent three months
最終實益擁有人的身份證副本及三個月內有效的地址證明
- For BVI companies, Certified true copy of Certificate of Incumbency (within 6 months)
離岸註冊公司須提供原註冊地能提供認可的職權證明書的核證副本

*Remark: The copy of the company documentation can be certified by licensed person, a Justice of the Peace, or a professional person such as our company's licensed person, certified public accountant, lawyer or notary public. For the avoidance of doubt, the document cannot be self-certified by the customer.

*備註：公司文件副本可由以下人士進行核證：持牌人士、太平紳士或專業人士例如本公司之持牌人士、執業會計師、律師或公證人。為免生疑，客戶不能自行認證該等文件。

Client Information 客戶資料

*Please complete in Block Letter, tick as appropriate 請用正楷填寫，適用處剔

A. Company Information 公司資料

Name of Company 公司名稱		(English)	
		(中文)	
Business Registration No. 商業登記編號		Company Incorporation No. 公司註冊號碼	
Country of Incorporation 註冊國家		Date of Incorporation 公司註冊日期	
Registered Address 註冊地址			
Business Address (if different from above) 業務地址(如與上述地址不同)			
Business Phone No. 公司電話		Facsimile No. 傳真號碼	Email Address 電郵地址
Statement Collection Method 收取結單方式		<input type="checkbox"/> E-mail 電郵	<input type="checkbox"/> Mail to Registered Address 郵寄至註冊地址
		<input type="checkbox"/> Mail to Business Address 郵寄至業務地址	(Please refer to the fee table for mailing statement 郵寄結單之費用請參閱收費表)
Nature of Business 公司業務性質		Statement Language 結單語言	
		<input type="checkbox"/> Traditional Chinese 繁體中文	<input type="checkbox"/> Simplified Chinese 簡體中文
		<input type="checkbox"/> English 英文	
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"/> Sole Proprietorship 獨資經營	<input type="checkbox"/> Partnership 合夥經營
		<input type="checkbox"/> Others 其他	: _____

B. Financial Information 財務資料		
Paid-up Capital 實繳股本	Issued Share Capital 已發行股數	
Profit after Tax Based on the Latest Audited Account (in HKD) 根據最近的審計的賬目，盈利數額（以港幣計算）	<input type="checkbox"/> < \$500,000 <input type="checkbox"/> \$2,000,001 - \$5,000,000	<input type="checkbox"/> \$500,000 - \$2,000,000 <input type="checkbox"/> > \$5,000,000
Net Assets Based on the Latest Audited Account (in HKD) 根據最近的審計的賬目，資產淨值數額（以港幣計算）	<input type="checkbox"/> < \$500,000 <input type="checkbox"/> \$2,000,001 - \$5,000,000	<input type="checkbox"/> \$500,000 - \$2,000,000 <input type="checkbox"/> > \$5,000,000
Liquid Assets Based on the Latest Audited Account (in HKD) 根據最近的審計的賬目，流動資產數額（以港幣計算）	<input type="checkbox"/> < \$500,000 <input type="checkbox"/> \$2,000,001 - \$5,000,000	<input type="checkbox"/> \$500,000 - \$2,000,000 <input type="checkbox"/> > \$5,000,000
C. Investment Profile 投資概況		
<input type="checkbox"/> Please attached a completed Investor Characteristic Questionnaire with this Account Opening Form. 請隨此開立帳戶表格附上投資者分類問卷。		
D. Contact Person Information 聯絡人資料		
Primary Contact Person* 主要聯絡人*		
Name of Contact Person 聯絡人姓名	Title 職位	
Contact No. 電話號碼	Email Address 電郵地址	
Secondary Contact Person 第二聯絡人		
Name of Contact Person 聯絡人姓名	Title 職位	
Contact No. 電話號碼	Email Address 電郵地址	
*All E-mail, contract notes and statements will be sent to the above contact person. 所有電郵、成交單據及結單將會寄往上述聯絡人。		
E. Directors Information 董事資料		
Name of Director 董事姓名	ID Card/Passport No. 身份證/護照號碼	Contact No. 電話號碼
F. Ultimate Beneficial Owners 最終實益擁有人		
Name of Beneficial Owners 實益擁有人姓名	ID Card/Passport No. 身份證/護照號碼	
Beneficial Owners are: 實益擁有人為:		
(i) an individual who - 符合以下說明的個人 -		
(a) owns or controls, directly or indirectly, including through a trust or bearer share holding, more than 25% of the issued share capital of the corporation; 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）該法團已發行股本的 25%以上；		
(b) is, directly or indirectly, entitled to exercise or control the exercise of more than 25% of the voting rights at general meetings of the corporation; or 直接或間接地有權行使在該法團的成員大會上的投票權的 25%以上，或支配該比重的投票權的行使；或		
(c) exercises ultimate control over the management of the corporation; or 行使對該法團的管理終的控制權；或		
(ii) if the corporation is acting on behalf of another person, means the other person. 如該法團是代表另一人行事是指該另一人。		
G. Authorized Person(s) 獲授權人士		
<input type="checkbox"/> Please provide the Authorized Person(s) details in the board resolution. (e.g. trading authorization and signing arrangement) 請於董事會決議中提供獲授權人士之詳細資料。(如交易授權及簽署安排)		

H. Designated Bank Account 指定銀行戶口

The following bank account is hereby designated by the Client as the settlement account for settlement purpose (the "Settlement Account"). The Client hereby instructs and authorizes GMSL to deposit any monies and funds payable to the Client into the Settlement Account. GMSL agrees to deposit such monies and funds into the Settlement Account (or pay to the Client through other methods deemed to be appropriate) within such period required under the Applicable Laws or Regulations but GMSL shall not be held liable for any losses, expenses or damages suffered by the Client from any delay of such payments caused by any reasons.

客戶謹此指定以下的銀行帳戶為其作結算用途的結算帳戶("結算帳戶")。客戶謹此指示及授權環球大通證券將所任何應付予客戶之款項及金錢存入結算帳戶。環球大通證券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帳戶中(或以其認為合適的其他方式付予客戶),但環球大通證券不會對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			
Bank Account Name 銀行帳戶名稱		Bank Account Number 銀行帳戶號碼	
Type of Account 帳戶類別	<input type="checkbox"/> HK Dollar A/C 港幣戶口 <input type="checkbox"/> Other Currency A/C 其他貨幣戶口 (Please specify 請說明: _____)		
Bank Address 銀行地址	(For overseas bank only 只適用於海外銀行)	SWIFT Code 銀行國際代碼	(For overseas bank only 只適用於海外銀行)

I. Declaration 聲明

Is the Client, the directors, the authorized persons or the ultimate beneficial owner(s) of the Account related to any employee or director of GMSL?

客戶、其董事、獲授權人士或帳戶之最終實益擁有人是否與環球大通證券之僱員/董事有任何關係?

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

Name of Related Person 相關人士姓名	:	Name of Employee/Director 僱員/董事姓名	:	Relationship 關係	:
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Is the Client a licensed corporation or registered institution licensed by or registered with the SFC?

客戶是否證券及期貨事務監察委員會的持牌或註冊人士嗎?

Yes 是 (CE No. 中央編號: _____) No 否

Is there any accounts (whether individual, joint, corporate, trustee) which I am the ultimate beneficial owner or have any interests from the accounts, whether direct or indirect, held with GMSL or any of its subsidiaries or associated companies?

客戶是否於環球大通證券及其附屬或聯營公司持有任何帳戶(不論個人、聯名、公司、託管),而本人為該等帳戶之最終實益擁有人或從中擁有任何直接或間接利益?

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

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

For Margin Account Only 只適用於保證金帳戶

Related Margin Account(s) 相關保證金帳戶

1. Does the Client control 35% or more of the voting rights of any other Margin Account(s) with Global Mastermind Group?

客戶是否於環球大通集團控制任何其他保證金帳戶 35%或以上之表決權?

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

Name of the Related Account 關聯帳戶名字: _____ Account No. 帳戶號碼: _____

Name of the Related Account 關聯帳戶名字: _____ Account No. 帳戶號碼: _____

Name of the Related Account 關聯帳戶名字: _____ Account No. 帳戶號碼: _____

2. Do any subsidiaries or affiliate of the Client have any Margin Account(s) with Global Mastermind Group?

客戶之附屬公司或聯屬公司有否於環球大通集團持有任何保證金帳戶?

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

Name of the Related Company 關聯公司名字: _____ Account No. 帳戶號碼: _____

Name of the Related Company 關聯公司名字: _____ Account No. 帳戶號碼: _____

Name of the Related Company 關聯公司名字: _____ Account No. 帳戶號碼: _____

J. Tax Obligations 稅務責任

The Client hereby consent GMSL to disclose, report or share any of the Client's information with any local and overseas regulators or tax authorities.

客戶同意環球大通證券可向任何本地及海外監管機構或稅務機關披露、呈交或提供客戶的任何資料。

The Client acknowledge and undertake to promptly provide further information and notify GMSL in writing within 30 days of any changes on the status of the Client's taxes obligations. 客戶理解及同意如若客戶的稅務責任狀況有任何變更,須於 30 日內以書面通知環球大通證券及提供有關資料。

Please attached a completed Common Reporting Standard (CRS) Self-Certification Form with this Account Opening Form.

請隨此開立帳戶表格附上共同匯報標準之自我證明表格。

For the purpose of FATCA, the Client hereby declare that 為符合海外帳戶稅收合規法案, 客戶特此聲明:

We are NOT an US entity 本公司並非美國實體 We are an US entity* 本公司為美國實體*

*Please note that we cannot accept your account opening application if you are an US entity. 如閣下為美國實體, 閣下之開戶申請將不被接納。

We are NOT a Foreign Financial Institution 本公司並非外國金融機構 We are a Foreign Financial Institution** 本公司為外國金融機構**

**Please provide your GIIN 請提供貴公司之全球中介機構識別號碼: _____

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

The Client have read and understood the Circular to Clients Relating to Personal Data (Privacy) Ordinance (Cap 486) (the "Circular"), and acknowledge that all the collected personal information may be used by Global Mastermind Group for the purposes as stated in the Circular.

客戶已閱讀及明白關於《個人資料(私隱)條例》(第 486 章) 客戶通告("通告"), 並知悉環球大通集團會將已收集之個人資料用作通告所述之用途。

Please tick here, if you do not want Global Mastermind Group to use your personal data for such purpose.

如閣下不欲環球大通集團將閣下的個人資料用於上述自願性用途, 請加上✓號。

If you would like to update your direct marketing arrangement, please contact us. (Address: Unit 1201-02, 12/F, West Tower, Shun Tak Centre, 168-200 Connaught Road Central, Hong Kong Tel: 2763 3939)

如閣下需要更新直接促銷安排之選擇, 請與本公司聯絡。(地址: 香港干諾道中 168-200 號信德中心西座 12 樓 1201-02 室 電話: 2763 3939)

L. Client Declarations, Confirmation and Acknowledgement 客戶聲明、確認及承認

The Client hereby declare that all the information provided is true and correct to his best knowledge and that the Client have not willfully withheld any material fact(s). GMSL is entitled to rely fully on such information, until GMSL receives any written notice form the Client for any changes. GMSL is authorized at any time to contact anyone, including the Client's banks, brokers or any credit agency, for the purpose of verifying any provided information.

客戶謹此聲明, 盡其所知, 所有提供之資料均為真實及正確, 客戶並未刻意隱瞞任何重要事實。環球大通證券將有權依據這些資料, 作任何用途或目的, 直至環球大通證券收到客戶發出的書面通知以示變更。客戶授權環球大通證券可在任何時間聯絡任何人, 包括客戶的銀行、經紀等任何信貸機構, 藉以查證客戶提供之資料。

The Client hereby confirm to use the electronic trading service provided by GMSL and have already read and understood all the terms and conditions and all the associated risks in the Agreement and Risk Disclosure Statement.

客戶謹此確認使用環球大通證券所提供之電子交易服務並已閱讀及明白該協議及風險披露聲明書中的所有條款及細則和所有附帶風險。

The Client hereby acknowledge, understand and confirm that: 客戶謹此承認、明白及確認:

- the submission of this form and the acceptance of this form by you in no way implies the approval of opening the Account and that you reserve the unconditional right to reject the application.

客戶遞交此表格及閣下接納此表格並非代表閣下同意開立帳戶, 並清楚閣下保留無條件拒絕開戶申請的權力。

- the Client have received, read and understood the current version of the Agreement for Securities Trading Account, Account Opening Form, the Risk Disclosure Statement and other documents, including but not limited to any schedules, appendices and annexes ("Agreement") and the Client accept and agree to be bound by them. GMSL shall have absolute rights to change, amend, delete or substitute any of the terms in or add new terms to the Agreement. All amendment and the revised Agreement will be available on the website of GMSL. the Client further acknowledge and confirm that such Agreement is published on GMSL website (www.globalmsec.com) and shall be responsible to view the website regularly to be aware of any amendments in a timely manner.

客戶已收妥、閱讀及明白環球大通證券現行版本的證券交易帳戶協議、開立帳戶表格、風險披露聲明書及其他文件, 包括但不限於任何附表、附錄及附件("該協議"), 而客戶接納並同意受該等條款約束。環球大通證券有絕對酌情權修訂、更改、刪減或取代本協議之任何條款或加入新的條款。所有修訂及經修改之協議書將刊載於環球大通證券之網站上。客戶知悉及確認該協議書已刊載於環球大通證券網站(www.globalmsec.com)上, 及有責任定期瀏覽上述網址確保及時知悉任何修訂。

- the Client hereby acknowledge and confirm that GMSL has provided Risk Disclosure Statement in a language of my choice (English or Chinese) and the Client have been invited to read and to ask questions, and take independent advice if the Client wish. the Client confirm that the Licensed Representative Declaration in this Account Opening Form forms part of the Risk Disclosure Statement.

客戶承認及確認環球大通證券已按照客戶選擇的語言(英文或中文)提供風險披露聲明書, 而客戶已獲邀閱讀補充文件、提出問題及徵求獨立的意見(如客戶有此意願)。客戶確認本開立帳戶表格中之持牌代表聲明構成風險披露聲明之一部分。

- the Client may be required to provide additional information or submit documentary proof when requested by GMSL from time to time as it deems appropriate for the purpose of complying with any regulatory requirements (including but not limited to the prevention of money laundering, terrorist financing and provision of financial and/or other services to persons or entities which may be subject to sanctions) and conducting client identification, verification and due diligence before opening the Account or accepting any instructions. GMSL may refuse to open, suspense or terminate the Account or reject the instructions if such documents or information are not provided or the client identification, verification or due diligence exercise is not completed to the satisfaction of GMSL.

客戶清楚環球大通證券也許不時要求客戶提供更多相關的資料或證明文件, 以遵守任何法規要求(包括但不限於防止清洗黑錢、恐怖分子資金籌集及提供財務及/或其他服務予可能受制裁之人士或實體) 及於開立帳戶或接受任何指示前進行客戶身份辨別、核實及盡職審查。若未能提供該些文件或資料或客戶身份辨別、核實及盡職審查程序未能以令環球大通證券滿意, 則環球大通證券有權拒絕開立帳戶、拒絕接受指示、暫停或終止帳戶。

- the Client authorize GMSL to instruct, engage and appoint such executing or clearing brokers, agents, custodians, nominees, overseas broker and dealers (including branches or affiliates of Global Mastermind Group) (Collectively refer as "Agent") as GMSL may in its absolute discretion deem fit to execute, effect, trade, implement, clear and settle any instructions and transactions on the Client's behalf. The Client acknowledges and accepts the risks of loss or failure in completion of transactions in the event of the defaults, failure of any Agent in fulfilling its roles or winding up or cessation of business of such Agent, and GMSL shall not be responsible for any losses or damages incurred or suffered as a result thereof.

客戶授權環球大通證券指示、聘用及委任其按絕對酌情權視為適當的執行或結算經紀、代理人、託管人、代名人、海外經紀及交易商(包括環球大通集團的分行或附屬成員)(統稱"代理人"), 以代表客戶執行、進行、交易、實施、結算及完成任何指示及交易。客戶知悉及同意承擔因相關代理人違約、未能履行其責任, 或因相關代理人破產、停業而導致客戶無法完成交易或蒙受損失之風險, 且環球大通證券不需對上述引致的損失或損害承擔責任。

- The English version of any provided documents, including but not limited to the Agreement and Risk Disclosure Statement shall be deemed to be conclusive and definitive and prevail over the Chinese translation.

任何提供之文件包括但不限於該協議及風險披露聲明書之英文本, 應被視為確實及有最終效力, 並凌駕中文譯本。

Client Signature 客戶簽名

Client Name

客戶姓名

Date

日期

M. Licensed Representative Declaration 持牌人士聲明

I hereby declare and confirm that I have provided the Agreement (including the Risk Disclosure Statement) to the above Client in a language of the Client's choice and fully explained the same to the Client in that language and I have also invited the Client to read every part of it, ask questions and take independent advice if the Client wishes. 本人謹此聲明及確認本人已按照上述客戶所選擇的語言向客戶提供協議書(包括風險披露聲明)及向其以該語言詳盡解釋，而本人曾邀請客戶閱讀協議書的每一部份、提出問題及徵求獨立的意見(如客戶有此意願)。

Licensed Representative Signature 持牌代表簽署 _____

Date 日期 : _____

Name Licensed Representative _____

CE No. (in Block Letters) _____

持牌代表姓名 : _____

CE 編號 (正楷填寫) : _____

N. Witness 見證人

I hereby declare and confirm that the Client has signed the Agreement with my presence. I further declare that I have verified the original identification proof and other documents provided by the client and confirmed the enclosed copies as certified true copies*. I hereby declare and confirm that the Client has signed the Agreement with my presence. 本人謹此聲明及確認客戶於本人面前簽署此協議書。本人進一步聲明本人已核對客戶提供之身份證明文件及其他文件之正本並確認附上之副本為認證副本*。本人謹此聲明及確認客戶於本人面前簽署此協議書。

Witness Signature 見證人簽署 _____

Witness Name 見證人姓名 : _____

Witness Contact No. 見證人聯絡電話 : _____

Please provide witness's ID copy and name card 請提供見證人之身份證副本及名片

Witness Date 見證日期 : _____

*Remark: The copy of the Identification proof and other documents can be certified by a Justice of the Peace or a professional person such as our company's licensed person, certified public accountant, lawyer or notary public. *備註：身份證明文件及其他文件副本可由以下人士進行核證：太平紳士或專業人士例如本公司之持牌人士、執業會計師、律師或公證人。

For Internal Use Only 內部專用

AM Code	Signature	Date
Account Type	CASH A/C	MARGIN A/C
Loan Limit	N/A	HKD
Purchase Limit	HKD	HKD
Approved by Credit Control		
Normal/Default Interest Rate	%	%
Min. Commission	HKD	HKD
Commission Rate	%	%

Approval Use

Approved by	Checked by	Inputted by	Date

Remarks: