

香港證券市場交易服務申請表 (適用於公司/機構帳戶)

HK securities market trading application form (For Corporate/Institutional Account)

本公司現向廣發證券(香港)經紀有限公司(「廣發證券(香港)」)申請以下證券帳戶之香港證券市場交易服務:
We hereby apply the [Hong Kong Securities Market Trading] for the below account(s) with GF Securities (Hong Kong) Brokerage Limited (“GFSHK”):

帳戶號碼 Account Number	
帳戶名稱 Account Name	
客戶類別 Client Type	<input type="checkbox"/> 投資基金 Funds <input type="checkbox"/> 實體 - 基金經理 Legal Entity – Fund Managers <input type="checkbox"/> 其他實體 Legal Entity – Others

第一部份：聲明及確認

Par 1: Declaration and Confirmation

本公司明白及確認廣發證券(香港)已告知本公司有關收集客戶識別信息時需提供的身份證明文件排序表之要求，本公司確認已根據以下排序表勾選及提供合適的身份證明文件予廣發證券(香港)作為客戶識別信息的目的。

We understand and confirm that GFSHK has informed us of the requirement in respect of the waterfall of the identity documents and we have submitted below selected identity document as appropriate to GFSHK for client identification data (“CID”) purpose.

<input type="checkbox"/> (1)	法律實體識別編碼 (簡稱 “LEI”) 登記文件；或 Legal entity identity (“LEI”) registration document; or	身份證明文件號碼 ID Number: _____
<input type="checkbox"/> (2)	公司註冊證明書；或 Certificate of incorporation; or	
<input type="checkbox"/> (3)	商業登記證；或 Certificate of business registration; or	
<input type="checkbox"/> (4)	其他同等文件。 Other equivalent documents.	

第二部份：以下部分只適用於持有香港證監會類別1牌照的客戶 - 證券交易

Part 2: This part is only applicable for the client with HKSF's Type 1 license – Dealing in Securities

上述帳戶是否以相關受規管中介人身份行事¹?

Whether the aforesaid account(s) is/are acted in the capacity of Relevant Regulated Intermediaries (“RRI”)¹?

<input type="checkbox"/> (1)	<p>是，本公司以相關受規管中介人身份行事。</p> <p>本公司已根據證監會的要求就收集及處理客戶的個人資料取得客戶的明示同意書。在香港投資者識別碼制度實施後，本公司會在交易指令中附上本公司預先分派的券商客戶編碼及將券商客戶編碼與客戶識別信息的配對檔案提交予聯交所並確保配對檔案為最新；本公司保證提供予廣發証券(香港)的券商客戶編碼的準確性及有效性，若本公司發現提供予廣發証券(香港)的券商客戶編碼有誤，本公司會盡快通知廣發証券(香港)，以供廣發証券(香港)及時提供錯誤報告予聯交所。</p> <p>Yes, we act in RRI capacity.</p> <p>We have obtained express consents from individual Relevant Clients for the collection and handling of their personal data in compliance with data privacy law. Upon the implementation of the HKIDR and OTCR, we will tag the assigned BCAN along with the order placed with GFSHK and will ensure the BCAN-CID Mapping File that submitted to SEHK is up-to-date. We confirm the accuracy and effectiveness of BCAN information that provided to GFSHK, where there is any incorrect BCAN information that has been identified, we will notify GFSHK immediately for GFSHK’s further submission of the BCAN Error Report to SEHK.</p>	<p>中央編號 CE no.:</p> <p>_____</p>
<input type="checkbox"/> (2)	<p>否，本公司不是以相關受規管中介人身份行事。</p> <p>No, we do not act in RRI capacity.</p>	

¹ 相關受規管中介人指符合以下說明的持牌法團及/或註冊機構: (i) 進行自營交易; 或 (ii) 就透過為另一人開立和維持的帳戶所發出的交易指令而向該人提供證券經紀服務。該持牌法團是否相關受規管中介人，取決於持牌法團以甚麼身分行事。若持牌法團沒有從事上述任何活動 (不論相關受規管中介人是否就第 1 類或第 9 類或其他類別的受規管活動獲發牌)，則該持牌法團並非相關受規管中介人。 Relevant Regulated Intermediaries refers to an LC or RI which (i) carries out proprietary trading, or (ii) provides securities brokerage services for another person in respect of order placed through an account opened and maintained for that person. Whether that LC is an RRI depends on the capacity in which it acts. If the LC without perform the above activities (regardless the RRI whether with license of Type 1, Type 9 or regulated activities), then it is deemed as a non-RRI.

簽名及蓋章 (如適用)

Signature with company chop

(where applicable)

簽署人名稱

Name of the undersigned

身分

Capacity of the undersigned

日期

Date

FOR OFFICIAL USE ONLY 僅供本公司使用

	SV	Input by	Checked by
Signature			
Name			
Date			