



輝立資本管理(香港)有限公司

PHILLIP CAPITAL MANAGEMENT (HK) LIMITED

香港金鐘道 95 號統一中心 11 樓
11/F., United Centre, 95 Queensway, Hong Kong
電話 Tel: (852) 2277 6600
傳真 Fax: (852) 2868 5307

根據《證券及期貨條例》獲證券及期貨事務監察委員會發牌從事就證券提供意見及提供資產管理之受規管活動的公司，CE 編號為 AEP527
A corporation licensed for Type 4 and Type 9 regulated activities under the Securities and Futures Commission with CE No. AEP527

資本管理帳號 PCM Account No.	
股票帳號 PSHK Account No.	

客戶資料表 CUSTOMER INFORMATION FORM

(個人/ 聯名帳戶 INDIVIDUAL/ JOINT ACCOUNT)

負責客戶主任姓名 Responsible AE		與客戶主任認識多久 Known to AE for How Long	
負責客戶主任編號 Responsible AE Code		推薦人 Introduced By	
投資經理姓名 Portfolio Manager		聯名帳戶人關係 Relationship of Joint Account	<input type="checkbox"/> 主要持有人 1st Holder <input type="checkbox"/> 第二持有人 2nd Holder

A. 個人資料 Personal Information

姓名 Name	先生/女士 Surname First	Mr / Mrs / Ms
身份證號碼 ID Card No.	簽發地點 Place of Issue	護照號碼 Passport No.
出生日期(日/月/年) Date of Birth (DD/MM/YY)	住宅地址 Residential Address	簽發地點 Place of Issue
出生地點 Country of Birth		
國籍/公民身份 Nationality/Citizenship		
住宅電話 Home No.	(+)	國家 Country
流動電話 Mobile No.	1. (+) 2. (+)	學歷程度 Education Level
指定銀行 (1) Designated Bank (1)	銀行名稱 Name of Bank 帳戶號碼 Account No 帳戶名稱 Account Name	<input type="checkbox"/> 小學或以下 Primary School or below <input type="checkbox"/> 中學 Secondary School <input type="checkbox"/> 大專或以上 College or above
指定銀行 (2) Designated Bank (2)	銀行名稱 Name of Bank 帳戶號碼 Account No 帳戶名稱 Account Name	
指定銀行 (3) Designated Bank (3)	銀行名稱 Name of Bank 帳戶號碼 Account No 帳戶名稱 Account Name	
電郵地址 E-mail Address (最多 50 個字母 Max. 50 characters):		
*所有交易確認及帳單將透過電郵方式發送至上述電郵地址 All trading confirmations and statements will be sent to the e-mail address stated herein		

B. 工作狀況 Employment Status

行業 Industry		辦公室地址 Office Address	
職位 Job Title			
雇主名稱 Name of Employer			
受雇年期 Duration with Employer		國家 Country	郵政編號 Postal Code
辦公室電話 Office No.	(+)	年薪(港幣) Annual Income (HKD)	

C. 投資經驗及衍生產品認識 Investment Experience & Derivative Products Knowledge

投資目標： Investment Objective:	<input type="checkbox"/> 賺取收入 Generating Income <input type="checkbox"/> 資本增長 Capital Appreciation <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 投機 Speculation			
對衍生產品之認識 Derivative Products Knowledge	<input type="checkbox"/> 本人並未有衍生產品之認識 I have NO knowledge of derivative products.			
* 如客戶沒有衍生產品的認識, 就不能開立股票期權戶口。任何例外情況需要管理層的預先批准。 * If client does not have derivative knowledge, cannot open Stock options Account. Any exception is subject to prior management approval.	<input type="checkbox"/> 本人瞭解衍生產品的性質和風險 (選擇此項則需同時提供證明或完成 衍生工具認識測試) I understand the nature and risks of derivative products by (Choose this option, you need to provide proof or complete the Derivatives Knowledge Test at the same time)			
	1. 已接受有關的培訓或課程 Undergoing relevant training or attending course in: <div style="display: flex; justify-content: space-around; margin-top: 5px;"> <input type="checkbox"/> 監管機構 Regulatory Authority <input type="checkbox"/> 交易所 Exchange <input type="checkbox"/> 大專院校 Tertiary Institution <input type="checkbox"/> 進修學院 Education Institution <input type="checkbox"/> 金融機構 Financial Institution </div>			
	2. 於經紀公司或銀行、基金或資產管理公司、監管機構或交易所等金融機構擁有有關的工作經驗: By gaining prior relevant work experience in financial institutions such as a brokerage firm or bank, fund house or asset management firm, regulatory authority or exchange. <div style="display: flex; justify-content: space-around; margin-top: 5px;"> <input type="checkbox"/> 受監管持牌人士 <input type="checkbox"/> 管理層 <input type="checkbox"/> 與衍生工具相關後勤 </div>			
3. <input type="checkbox"/> 於過去三年內進行了五次或以上有關衍生產品之交易 (不論是否於交易所進行交易) #請選擇以下與你相關的衍生產品的投資經驗。 Executing five or more transactions in derivative products (whether traded on an exchange or not) within the past three years. # Please indicate your relevant derivative investment experience below.				
投資經驗： (可選多於一項) Investment Experience: (Can choose more than one)	<div style="display: flex; flex-wrap: wrap;"> <div style="width: 50%;"> <input type="checkbox"/> 上市證券 Listed Securities <input type="checkbox"/> 期貨或期權 Futures or Options <input type="checkbox"/> 單位信託基金或債券 Unit Trusts or Bonds <input type="checkbox"/> 槓桿及反向產品 Leveraged and Inverse Product </div> <div style="width: 50%;"> 年數 Year(s)() <input type="checkbox"/> 牛熊證 / 窩輪 CBBC/ Warrants <input type="checkbox"/> 槓桿式外匯 Leveraged Foreign Exchange <input type="checkbox"/> 結構性產品 Structured Product </div> </div>			

D. 財政狀況 Financial Situation

流動資產 (港幣) Liquid Assets (HKD)	<input type="checkbox"/> <HKD200,000 <input type="checkbox"/> HKD200,001 – HKD1,000,000 <input type="checkbox"/> HKD1,000,001 – HKD5,000,000 <input type="checkbox"/> HKD5,000,001 – HKD10,000,000 <input type="checkbox"/> Other: HKD _____	資產淨值 (港幣) Net Worth (HKD)	<input type="checkbox"/> <HKD200,000 <input type="checkbox"/> HKD200,001 – HKD1,000,000 <input type="checkbox"/> HKD1,000,001 – HKD5,000,000 <input type="checkbox"/> HKD5,000,001 – HKD10,000,000 <input type="checkbox"/> Other: HKD _____
年薪 (港幣) Annual Income (HKD)	<input type="checkbox"/> <HKD200,000 <input type="checkbox"/> HKD200,000 – HKD500,000 <input type="checkbox"/> HKD500,001 – HKD1,000,000 <input type="checkbox"/> >HKD\$1,000,000 <input type="checkbox"/> Null	住屋業權 Ownership of Residence	<input type="checkbox"/> 擁有 (已抵押) Owned (Mortgaged) <input type="checkbox"/> 擁有 (沒有抵押) Owned (Not Mortgaged) <input type="checkbox"/> 租住 Rented <input type="checkbox"/> 與家人同住 Living with Family
資金來源 (勾選所有適用) Source of Funds (Tick all that apply)	<div style="display: flex; flex-wrap: wrap;"> <div style="width: 50%;"> 1. <input type="checkbox"/> 薪金儲蓄 Savings from Salary 2. <input type="checkbox"/> 租金收入 Rental Income 3. <input type="checkbox"/> 營業溢利 Trading Profits 4. <input type="checkbox"/> 其他 Others: _____ 5. <input type="checkbox"/> 投資所得 Investment Earnings <input type="checkbox"/> 股票 Stock <input type="checkbox"/> 樓宇買賣 House Sale and Purchase <input type="checkbox"/> 其他 Others: _____ </div> <div style="width: 50%;"> 6. <input type="checkbox"/> 家庭成員提供 Provided by Family Member 6a. 成員關係 Relationship with the Family Member _____ 6b. 行業及職位 Industry & Position _____ 7. <input type="checkbox"/> 以往工作收入 Previous Job 7a. 行業及職位 Industry & Position _____ 7b. 年收入 (HKD) Annual Income (HKD) _____ </div> </div>		

E.利益關係申報 Interest Declaration

<p>1. 你(及/或聯名帳戶第二持有人) 是否證券/ 期貨交易所參與者的雇員或代理人, 或於證監會註冊的持牌法團/註冊機構? 如是, 交易所參與者/ 持牌法團/ 註冊機構的名稱是(請提供你雇主的書面同意):</p> <p>Are you (and /or the Secondary Joint Account Holder) an employee or agent of an exchange participant of a stock/ futures exchange, or a licensed corporation or registered institution? If yes, the name of the related exchange participant/ licensed corporation/ registered institution is (please provide your employer's consent letter):</p> <p>_____</p>	<p><input type="checkbox"/>是 Yes <input type="checkbox"/>否 No</p>
<p>2. 你(及/或聯名帳戶第二持有人) 是否與輝立資本管理(香港)有限公司 (「輝立資本管理」)的職員或代理人? 職員/代理人的名稱是:</p> <p>Are you (and /or the Secondary Joint Account Holder) an employee or agent of Phillip Capital Management (HK) Limited ("Phillip Capital Management") or its Associated Companies? If yes, the detail are:</p> <p>_____</p>	<p><input type="checkbox"/>是 Yes <input type="checkbox"/>雙親 Parent <input type="checkbox"/>配偶 Spouse <input type="checkbox"/>兄弟姊妹 Sibling <input type="checkbox"/>孩子 Child <input type="checkbox"/>否 No</p>
<p>3. 你(及/或聯名帳戶第二持有人)的配偶是否在輝立證券集團 (包括輝立證券(香港)有限公司及有關連的子公司或關連公司之法人團體(不論在香港或其他地方) 包括並不限於輝立商品(香港)有限公司和輝立資本管理(香港)有限公司)開設任何帳戶? 如是, 戶口號碼是:</p> <p>Does your (and /or the Secondary Joint Account Holder's) spouse maintain any account(s) with Phillip Securities Group (i.e. Phillip Securities (Hong Kong) Limited and its subsidiaries and affiliates which include but is not limited to Phillip Commodities (HK) Ltd. and Phillip Securities (Hong Kong) Limited)? If yes, the account number is:</p> <p>_____</p>	<p><input type="checkbox"/>是 Yes <input type="checkbox"/>否 No</p>
<p>4. 你(及/或聯名帳戶第二持有人) 是否單獨或與配偶共同控制之公司 (持有 35% 或以上之投票權) 持有輝立證券集團之保證金帳戶?如是, 戶口號碼是:</p> <p>Do you (and /or the Secondary Joint Account Holder) either alone or with your (and /or the Secondary Joint Account Holder's) spouse control 35% or more of the voting rights of a corporation that maintains a margin account with Phillip Securities Group? If yes, the account number is:</p> <p>_____</p>	<p><input type="checkbox"/>是 Yes <input type="checkbox"/>否 No</p>
<p>5. 你(及/或聯名帳戶第二持有人) 是否在任何擔保安排下為其他輝立證券集團孖展客戶的財務負債作為擔保人? 如是, 戶口號碼是:</p> <p>Are you (and /or the Secondary Joint Account Holder) a guarantor of other margin client(s) of Phillip Securities Group for their financial liabilities under any guarantee arrangement(s)? If yes, the account number of the guaranteed margin account is:</p> <p>_____</p>	<p><input type="checkbox"/>是 Yes <input type="checkbox"/>否 No</p>
<p>6. 你(及/或聯名帳戶第二持有人)的保證金帳戶的財務負債是否由輝立證券集團其他客戶有任何擔保安排? 如是, 戶口號碼是:</p> <p>Do you (and /or the Secondary Joint Account Holder) have any financial liabilities under your margin account(s) which are subject to any guarantee arrangement(s) with other client(s) of Phillip Securities Group? If yes, the account number of the guarantor is:</p> <p>_____</p>	<p><input type="checkbox"/>是 Yes <input type="checkbox"/>否 No</p>

F. 稅務居民資料 Tax Residency*

根據《稅務條例》有關交換財務帳戶資料的法律條文，請提供你（及/或聯名帳戶第二持有人）的稅務編號。如沒有提供稅務編號，必須填寫合適的理由：

理由 A – 帳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。

理由 B – 帳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帳戶持有人披露稅務編號。

理由 C – 帳戶持有人不能取得稅務編號。（如選取理由 C，解釋帳戶持有人不能取得稅務編號的原因）

Pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance. Please provide you (and /or the Secondary Joint Account Holder's) jurisdiction of residence where the account holder(s) is a resident for tax purposes and TIN for each jurisdiction indicated. If a TIN is unavailable, provide an appropriate reason:

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

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

Reason C – The account holder is unable to obtain a TIN. (Explain why the account holder is unable to obtain a TIN if you have selected Reason C)

☐ 本人持有**香港**稅務居民資格 I hold **Hong Kong** Tax residence

及/ 或 and/ or

☐ 本人持有**香港以外**稅務居民資格 I hold tax residence **other than Hong Kong**

稅務管轄區: Jurisdiction of Residence:	(1)	(2)	(3)
稅務編號: TIN:	(1)	(2)	(3)
沒有稅務編號理由: No TIN Reason:	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C
選取理由 C 的原因: Explanation to selected Reason C:			
額外資料: Additional Information:			

*若空格不敷使用，請另附自我證明表格及簽署。Please attach and sign Self-Certification Form for additional tax residency if necessary.

G. 注意事項 Notes

- 請隨本表格附上全部帳戶持有人之身份證副本及最近三個月內之住宅及通訊位址證明檔（郵政信箱恕不接受）。
Please enclose an ID copy and residential and correspondence address(es) proof dated within the last 3 months (P.O. box is not accepted) for all account holders with this Form.
- 全部帳戶持有人必須在輝立資本管理或聯繫人士的職員/代理人面前填妥及簽署本表格；如非親身開戶，請參看下方的註解 7。This Form should be completed and signed by all account holders in front of an employee or agent of Phillip Capital Management (HK) Limited or its Associates. Otherwise, please see Note 6 below.
- 全部帳戶持有人應向輝立資本管理報告公司的稅務身份的所有變化。任何有關個人資料的刪改必須由全部帳戶持有人簽署作實。Account holder(s) should report all changes in his/her tax residency status to Phillip Capital Management (HK) Limited. Any deletion or amendment of the personal information must be signed by all account holders.
- 帳戶持有人的款項將會被存入本表格內所提供的指定銀行帳戶，除非另行通知。
All monies payable to the account holder will be credited to the designated bank account(s) nominated on this Form, unless otherwise instructed.
- 個人客戶以聯名銀行戶口作指定銀行戶口時，需說明雙方銀行戶口持有人的關係和提供另一位銀行戶口持有人（非開戶本人）的身分證明文件及顯示所有持有人姓名的銀行證明（月結單/銀行卡）。Individual client using a joint bank account as a designated bank must explain their relationship and provide identity document of the other bank account holder (non Phillip account holder) and provide a bank proof with the name of both account holders (Bank statement/bank card).
- 輝立資本管理恕不接受第三者存款。任何例外情況都需要管理層的預先批准。
Third-party deposit will not be accepted. Any exception is subject to prior management approval.
- 如資料表並非在輝立資本管理或聯繫人士的職員/代理人面前簽署，帳戶持有人必須遵從以下其中一個程序要求：
If this Form is not executed by the account holders in front of an employee or agent of Phillip Capital Management (HK) Limited or its Associates, the account holders should comply with either one of the following procedural requirements:
 - 交給輝立資本管理在香港持牌銀行開立的帳戶所簽發不少於 10,000 港元的個人支票，該支票的簽名及姓名須與本表格的客戶簽名及身份證明文件相符，而支票抬頭須為“輝立資本管理(香港)有限公司”。客戶的帳戶必須待支票兌現後才可使用；或
Send a personal cheque in favour of Phillip Capital Management (HK) Limited for not less than HK\$10,000 drawn on an account with a licensed bank in Hong Kong, bearing the signature(s) as on this Form and name(s) as on the identity document(s). The new account will not be activated until the cheque is cleared; or
 - 由其他持牌人或註冊人、輝立資本管理的聯繫人士、太平紳士、銀行分行經理、執業會計師、律師或公證人見證客戶的簽名及身份證明文件。
Have any other licensed or registered person, Associate of Phillip Securities Group, justice of the peace, branch manager of a bank, certified public accountant, lawyer or notary public certify the signature and identity documents of the account holders.
- 根據“稅務條例”，任何人獲悉在聲明上作出具誤導性、虛假或不正確的陳述，或罔顧該聲明在陳述上是否具誤導性、虛假或不準確之處，即屬違法。任何人觸犯該罪行，一經定罪，可處第 3 級罰款（即\$ 10,000）。It is an offence under the Inland Revenue Ordinance if any person, 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).
- 輝立資本管理可向介紹人支付轉介費或介紹費，而該介紹人並非輝立資本管理的代理人。Phillip Capital Management (HK) Limited may pay fees to any person(s) who referred or introduced me to Phillip Capital Management (HK) Limited (the "Introducer"), and that the Introducer is not an agent of Phillip Securities Group.
- 全部帳戶持有人可登入 <http://www.poems.com.hk/zh-hk/customer-service/download-forms/> 下載證券客戶協議或掃描以下行動條碼。
Account holder(s) can login to download Securities Client Agreement or Scan the QR code as below.
- 聯名戶口持有人須注意證券客戶協議條款第 15 條 – 若本戶口的任何一位持有人身故（戶口內其他持有人仍尚存）將不會導致本協議終止，已故者在帳戶的權益將歸屬於生存者。Joint account holders MUST pay attention to the provisions set out in clause 15 of the Securities Client Agreement - On the death of any of the joint account holders (being survived by any other such account holder), this Agreement shall not be terminated and the interest in the Account of the deceased will thereupon vest in and ensure for the benefit of the survivor(s).

中文版



English Version



H.客戶確認及簽署 Acknowledgement and Execution by Customer

客戶確認 Acknowledgement by Customer

我確認是此帳戶的最終實益擁有人。

☐

I acknowledge that I am the ultimate beneficial owner(s) in relation to the account.

我 / 我們同意輝立資本管理或連絡人士以各種方式提供投資或有關財務產品及服務的資料，其包括研究報告及特別優惠等。

☐

I / We consent to Phillip Capital Management (HK) Limited or its Associates providing information about investment or financial related products and services including research reports and special offers by any means.

我確認輝立證券以客戶選擇的語言（英文或中文）提供資產管理協議包括其附表 2 中的個人資料收集聲明。我確認已閱讀並理解個人資料收集聲明的內容，並且我同意輝立資本管理根據個人資料收集聲明的條款及用途使用我的個人資料。

☐

I acknowledge that a copy of the Asset Management Agreement including the Personal Information Collection Statement in Schedule 2 were provided in a language of (English or Chinese) of my choice. I acknowledge that I have read and understand the contents of the Personal Information Collection Statement and I consent for Phillip Securities to use my personal data on the terms of and for the purposes set out in the Personal Information Collection Statement.

我 / 我們知悉在這客戶資料表（“表格”）上所記載之資料，將有可能以作自動交換財務帳戶資料用途。我 / 我們知悉及同意，輝立資本管理可根據《稅務條例》（第 112 章）有關交換財務帳戶資料的法律條文，（a）收集本表格所載資料並可備存作自動交換財務帳戶資料用途及（b）把該等資料和關於我 / 我們的資料向香港特別行政區政府稅務局申報，從而把資料轉交到我 / 我們的居留司法管轄區的稅務當局。我 / 我們確認表格中提供的信息和聲明是真實和準確的。我 / 我們承諾，如情況有所改變，以致影響本表格所述的個人的稅務居民身分，或引致本表格所載的資料不正確，我 / 我們會通知輝立資本管理，並會在情況發生改變後 30 日內，向輝立資本管理提交一份已適當更新的綜合戶口資料更改書。輝立資本管理有權聯繫任何人，包括客戶的銀行，經紀人或任何信用機構，以驗證本表格上提供的信息。

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I / We acknowledge that any information contained in this Customer Information Form (“the Form”) may be provide to a reporting financial institution for the purpose of automatic exchange of financial account information. I / We agree that (a) the information contained in this form is collected and may be kept by Phillip Capital Management (HK) Limited 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). I / We declare that the information given and statements made in this form is true and accurate. I / We undertake to advise Phillip Capital Management (HK) Limited of any change in circumstances which affects the tax residency status of the Account Holder(s) of this form or causes the information contained herein to become incorrect, and to provide Phillip Capital Management (HK) Limited with a suitably updated Account Particulars Amendment Form within 30 days of such change in circumstances. Phillip Capital Management (HK) Limited is authorized to contact anyone, including Customer's banks, brokers or any credit agency, for verifying the information provided on this form.

我 / 我們確認輝立資本管理以客戶選擇的語言（英文或中文）提供資產管理協議包括其附表 3 的風險披露聲明及免責聲明。我 / 我們進一步確認輝立資本管理已經邀請我 / 我們閱讀風險披露聲明，提出問題及徵求獨立的意見（如我 / 我們有此意願）。

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I / We acknowledges that the Asset Management Agreement including the Risk Disclosure Statements and Disclaimers in Schedule 3 attached were provided in a language (English or Chinese) of the Customer's choice. I / We further acknowledges that I / We was invited to read the risk disclosure statements, ask questions and take independent advice, if the Customer wished.

我 / 我們確認輝立資本管理可向介紹人支付轉介費或介紹費，而該介紹人並非輝立資本管理的代理人。

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I / We acknowledges that Phillip Capital Management (HK) Limited may pay fees to any person(s) who referred or introduced the Customer to Phillip Capital Management (HK) Limited (the “Introducer”), and that the Introducer is not an agent of Phillip Capital Management (HK) Limited.

*帳戶持有人簽署 Account Holder's Signature:

日期 Date:

*將被用作簽名樣式 Will be used as Specimen Signature

職員/經紀聲明 Declaration by Staff / Account Executive

我確認已經以客戶選擇的語言（英文或中文）提供了載於資產管理協議附表 3 內的風險披露聲明，並且我已經邀請客戶閱讀風險披露聲明，提出有關問題及尋求獨立意見（如客戶有此意願）。

I confirm that I have provided the Risk Disclosure Statements as set out in Schedule 3 of the Asset Management Agreement in a language (English or Chinese) of the Customer's choice. I have also invited the Customer to read the Risk Disclosure Statements, ask questions and take independent advice if the Customer wishes.

持第 1 類（證券買賣）Licensed for Type 1 (Licensed Corporation)

CE 編號 CE No.:	職員/經紀姓名 Name of Staff/ AE:	職員/經紀簽署 Signature of Staff/ AE:	日期 Date:
帳戶 AML 風險級別 A/C AML Risk category (參考 AML 政策) (refer to AML policy)	<div><input type="checkbox"/> 低 Low</div> <div><input type="checkbox"/> 中 Medium</div> <div><input type="checkbox"/> 高 High</div> <div>(如選擇中或高風險，請參考 Appendix 1B，填寫所有中高風險因素至右欄) (If you choose Medium or High Risk, please refer to Appendix 1B of AML policy and fill in all medium or high risk factors in the right column)</div>	高風險理由 Reason for High Risk:	

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文件查核列表 Document check list	Non face-to-face account opening procedure:		
1. 已核實的身份證或護照副本 Certified I.D Card/Passport Copy <input type="checkbox"/> 是 Yes	<input type="checkbox"/> Mainland Colleague		
2. 地址證明副本 Address proof <input type="checkbox"/> 是 Yes	<input type="checkbox"/> Notary public or professional		
3. 已核實 W-8ben 或 W-9 表格 Certified W-8ben/W-9 form <input type="checkbox"/> 是 Yes	<input type="checkbox"/> Crossed Personal Cheque		
4. 銀行及信貸參考(如適用) Bank and Credit Reference (if applicable) (例如：銀行結單、屋契等) (e.g. Bank statement, title deeds etc.) <input type="checkbox"/> 是 Yes <input type="checkbox"/> 不適合 N/A	Applicable to Crossed Personal Cheque account opening procedure:		
	AE/Dealer	Staff	Personal cheque received (if applicable):
	<input type="checkbox"/>	<input type="checkbox"/>	issued from a licensed bank in HK
	<input type="checkbox"/>	<input type="checkbox"/>	payable to "Phillip Capital Management (HK) Limited(Hong Kong) Limited "
	<input type="checkbox"/>	<input type="checkbox"/>	cheque amount not less than HK\$10,000
	<input type="checkbox"/>	<input type="checkbox"/>	client name shown on cheque
5. 雇主書面同意(如適用) Employer consent letter (if applicable) <input type="checkbox"/> 是 Yes <input type="checkbox"/> 不適合 N/A	<input type="checkbox"/>	<input type="checkbox"/>	same signature on cheque and A/C Opening Form
<input type="checkbox"/>	<input type="checkbox"/>	cheque copy retained	

文件確認 Document reviewed by

職員姓名 Name of Staff:	職員簽署 Signature of Staff:	日期 Date:
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客戶資料核對 Customer information checked by

職員姓名 Name of Staff:	職員簽署 Signature of Staff:	日期 Date:	<input type="checkbox"/> In Person <input type="checkbox"/> By phone (Ext:)
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基本佣金 Basic Commission

輝利市佣金 POEMS Commission

港元佣金 (%) HKD Brokerage (%)	港元最低佣金 HKD Minimum Commission	港元佣金 (%) HKD Brokerage (%)	港元最低佣金 HKD Minimum Commission
人民幣佣金 (%) CNY Brokerage (%)	人民幣最低佣金 CNY Minimum Commission	人民幣佣金 (%) CNY Brokerage (%)	人民幣最低佣金 CNY Minimum Commission
美元佣金 (%) USD Brokerage (%)	美元最低佣金 USD Minimum Commission	美元佣金 (%) USD Brokerage (%)	美元最低佣金 USD Minimum Commission

開戶批核 Account opening approved by

職員姓名 Name of Staff:	職員簽署 Signature of Staff:	日期 Date:
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備註:
Remarks: