

**HTF SECURITIES LIMITED****瑞豐國際證券有限公司**

CE No. 中央編號: BNO909

Unit 1B-2, 19/F, Tower 1, China Hong Kong City, 33 Canton Road, Tsim Sha Tsui, Kowloon, HK.

香港九龍尖沙咀廣東道 33 號中港城 1 座 19 樓 1B-2 室

電話 Tel: (852) 3952 2777 | 傳真 Fax: (852) 3952 2727 | 電郵 Email: [cs@htf.hk](mailto:cs@htf.hk) | 網站 Website: [www.htf.hk](http://www.htf.hk)**開戶文件檢查清單-個人/聯名****Account Opening Documents Checklist – Individual/Joint**

請客戶閱讀以下之文件 Please read the Document below :

<input type="checkbox"/>	客戶協議條款及細則	Clients Agreement Terms and Conditions
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請客戶填妥並簽署以下之表格 Please completed and signed the forms below :

<input type="checkbox"/>	現金客戶資料表 (個人/聯名賬戶)	Cash Client Information Statement (Individual/ Joint Account)
<input type="checkbox"/>	美國國稅局之表格 W-8BEN 表格 (非美國人士)	IRS Form W-8BEN Form ( (Non U.S. Person)
<input type="checkbox"/>	客戶風險承受能力問卷 (個人) (專業投資者適用)	Client Risk Tolerance Questionnaire (Individual) (for Professional Investor)
<input type="checkbox"/>	專業投資者申請書 (個人) (如適用)	Application for Treatment as a Professional Investor (Individual) (if applicable)

由客戶提供之文件 Documents to be provided by client :

<input type="checkbox"/>	身份證明文件 (文件須客戶加簽署) (證監會可接受文件的優先順序) <input type="checkbox"/> (第一優先) 香港身份證 <input type="checkbox"/> (第二優先) 國民身分證證明文件 (非本港居民) <input type="checkbox"/> (第三優先) 護照 (非本港居民)	Identity document (required Client's signature on the documents) (The waterfall requirements for acceptability document by SFC ) <input type="checkbox"/> (1st priority ) HK Identity Card <input type="checkbox"/> (2nd priority) National identification document (Non HK Resident) <input type="checkbox"/> (3rd priority) Passport (Non HK Resident)
<input type="checkbox"/>	住址證明 (如最近三個月發出: 水電煤費賬單、銀行月結單、通訊電話賬單)	Residential address proof (e.g..utility bill, bank statement, telephone bill issued within last 3 months)
<input type="checkbox"/>	銀行戶口證明 顯示申請人為賬戶持有人及列有賬戶號碼的銀行月結單, 銀行存摺首頁或提款卡的副本	Bank account proof Bank statement , copy of the first page of a bank passbook or ATM card with the name as the account holder and the account number
<input type="checkbox"/>	個人專業投資者 (如適用) <input type="checkbox"/> 資產證明之核證副本 <input type="checkbox"/> 投資經驗證明	Individual Professional Investors (If applicable) <input type="checkbox"/> Asset Proof <input type="checkbox"/> Investment Experience Proof
<input type="checkbox"/>	僱主書面同意書 (如適用) (若客戶受僱於香港證券及期貨事務監察委員會註冊之公司)	Employer Consent Letter (if applicable) ( If Client is an employee of a company registered with the SFC)
<input type="checkbox"/>	美國國籍棄籍證明文件 (如適用)	Certificate of loss of U.S. citizenship (If applicable)
<input type="checkbox"/>	客戶支票 (非面對面的情況下開戶) (如適用) - 由香港持牌銀行發出 - 支票抬頭「瑞豐國際證券有限公司」 - 支票金額不低於: HK\$10,000 - 客戶名稱須顯示於支票上 - 支票上客戶的簽名, 須與證券戶口相同.. *支票將存入客戶於本公司之證券買賣賬戶內。 待支票兌現後才可使用該款項。	Client's cheque (Account opening in a non-face to-face approach ) (If applicable) - issued from a licensed bank in HK - payable to "HTF Securities Limited" - cheque amount not less than : HK\$10,000 - client name shown on cheque - signature on the cheque should be identical to the signature shown on the Account Opening Form *The fund will be available in your portfolio when the cheque is cleared

Remark 備註 :

- The above client supporting documents must be certified true copy by the CSRC accredited professional (e.g. lawyer, certified public accountant, local licensed bank manager, notary public) or the staff of HTF Securities Limited.  
以上客戶提供之文件須經由證監會認可的專業人士 (如 律師、執業會計師、本地持牌銀行經理、公證人) 或瑞豐國際證券有限公司職員核證真確副本。
- HTF Securities Limited reserves the right to request additional supporting documents at any time.  
瑞豐國際證券有限公司保留權利在其認為適當的情況下, 要求客戶提供額外證明文件以作開戶之用。
- U.S. citizens or residents are not accepted for account opening, unless with special approval.  
除非得到特別審批, 美國公民或居民不接受開設帳戶。