

Thank you for your interest in BOOM! 多謝閣下開設 BOOM 交易帳戶!

Your account opening process is almost accomplished! Before sending us your application, please check whether you have completed and signed all sections in the Account Opening Form and prepared all supporting documents required.

開戶手續即將完成! 將開戶申請交回本公司前, 請核實申請表之所有有關部份已經填妥及簽署, 並已準備所需之應附文件。

Please return the **ORIGINAL** signed Account Opening Form and all supporting documents to:

請以 **郵遞方式** 交回
開戶申請表正本 及 所有開戶文件 至:

Monex Boom Securities (H.K.) Limited 寶盛證券 (香港) 有限公司

Room 2801, Level 28, Tower 1, The Millennium,
98 How Ming Street, Kwun Tong, Kowloon, Hong Kong
香港 九龍 觀塘 巧明街 98 號
The Millennium 第 1 座 28 樓 2801 室

Corporate Account - Application Checklist 公司帳戶 - 開戶清單

(Cash / Margin Account 現金帳戶 或 孖展(融資)帳戶)

Before submitting your application, please	在遞交閣下的申請前, 請	Applicant 申請公司	Witness ¹ 見證人 ¹
1. Complete and sign ALL sections in the account opening form	填寫及簽署開戶申請表格 所有 部份	<input type="checkbox"/> Completed 已填寫 & Signed 及簽署	<input type="checkbox"/> Signed 已簽署 (Refer Form: Part 44) (見申請表第 44 項)
2. Attach the following documents*:	附上以下文件*:		
Org. Structure 組織架構 ■ Shareholding (Ownership) Structure [△] (Refer Form: Part 15) (Please contact us for document requirements)	股份 (擁有權) 結構 [△] (見申請表第 15 項) (請聯絡我們查詢所須文件的詳情)	<input type="checkbox"/> Attached 已附上	<input type="checkbox"/> Certified 已核證
Company Registration 公司註冊記錄 For the EACH of the compan(ies) under the organization structure (incl. the Corporate Applicant, all intermediate holding company(ies) and the Ultimate Holding Company (if any)):	每間在「組織架構圖」上的公司 (包括申請公司、直接或間接擁有股份的公司股東 及最終控股公司 (如有)):		
■ Certificate of Incorporation ("CI") [△] ; &	「註冊成立證書」(“CI”) 副本 [△] ; 及	<input type="checkbox"/> Attached 已附上	<input type="checkbox"/> Certified 已核證
■ Memorandum & Articles of Associations ("M&A") [△]	「公司組織章程大綱與細則」(“M&A”) 副本 [△]	<input type="checkbox"/> Attached 已附上	<input type="checkbox"/> Certified 已核證
Board Resolution 董事局會議記錄 ■ Board Resolution: ① for approving opening a BOOM account ; & ② for appointment of Authorized Person(s) and signing arrangement	董事局會議記錄: ① 有關核證開設帳戶的申請; 及 ② 有關委託授權人操作帳戶	<input type="checkbox"/> Attached 已附上 <input type="checkbox"/> Attached 已附上	<input type="checkbox"/> Certified 已核證 <input type="checkbox"/> Certified 已核證
Address Proof 地址證明 ■ Bank Account Statement (Refer Form: Part 20) (printed with the Applicant's Name and Address) (issued within 3 months)	銀行月結單副本 (見申請表第 20 項) (載有申請公司的名稱及地址) (須在最近三個月內發出)	<input type="checkbox"/> Attached 已附上	<input checked="" type="checkbox"/> N/A 不適用
Key Person's Information 主要人士資料 For EACH of the Key Person(s): (Refer Form: Part 13) ■ Completed " Section A: Particulars of Key Person(s) "; & ■ Copy of Key Person's Official ID ² ; & ■ Key Person's Proof of Residential Address ³ ; & ■ Form W-9 ⁴ (applicable to U.S. taxpayer)	每位主要人士須各提供: (見申請表第 13 項) 已填寫「 甲部: 主要人士資料 »; 及 主要人士的 身份證明文件 ² ; 及 主要人士的 住址證明 ³ ; 及 表格 W-9 ⁴ (適用於美國納稅人)	<input type="checkbox"/> Attached 已附上 <input type="checkbox"/> Attached 已附上 <input type="checkbox"/> Attached 已附上 <input type="checkbox"/> Attached 已附上	<input type="checkbox"/> Signed 已簽署 <input type="checkbox"/> Certified 已核證 <input checked="" type="checkbox"/> N/A 不適用 <input checked="" type="checkbox"/> N/A 不適用

		Applicant 申請公司	Witness ¹ 見證人 ¹
Company and directors records 董事及股東資料	1. For Hong Kong Incorporated Company 如屬香港註冊成立之公司： <ul style="list-style-type: none"> Business Registration Certificate[△]; and 「商業登記證」副本[△]; 及 Latest Annual Return & subsequent form(s) filed to the H.K. Company Registry[△] 已向香港公司註冊處遞交之「週年申報表」及 相關表格的副本[△] 	<input type="checkbox"/> Attached 已附上 <input type="checkbox"/> Attached 已附上	<input type="checkbox"/> Certified 已核證 <input type="checkbox"/> Certified 已核證
	2. For Non-Hong Kong Incorporated Company 如非香港註冊成立之公司： <ul style="list-style-type: none"> Certificate of Incumbency or Registered Agents Certificate[△]; & (issued within 6 months) Certificate of Incumbency 或 Registered Agents Certificate[△]; 及 (須在最近六個月內發出) Register of Directors[△]; & 「董事證書」[△] (證明現任董事資料); 及 Register of Members[△] 「股東證書」[△] (證明現任股東資料) 	<input type="checkbox"/> Attached 已附上 <input type="checkbox"/> Attached 已附上 <input type="checkbox"/> Attached 已附上	<input type="checkbox"/> Certified 已核證 <input type="checkbox"/> Certified 已核證 <input type="checkbox"/> Certified 已核證
Guarantor's Information 擔保人資料	The Guarantor shall provide: (Refer Form: Part 29) (if applying corporate margin account) 擔保人須提供: (見申請表第 29 項) (如申請公司孖展 (融資) 帳戶)		
	<ul style="list-style-type: none"> Completed Guarantor Information; & 已填寫的「擔保人資料」表格; 及 Signed Guarantor Agreement; & 已簽署的「擔保書」; 及 Copy of Guarantor's Official ID²; & 擔保人的身份證明文件²; 及 Guarantor's Proof of Residential Address³ 擔保人的住址證明³ 	<input type="checkbox"/> Attached 已附上 <input type="checkbox"/> Attached 已附上 <input type="checkbox"/> Attached 已附上 <input type="checkbox"/> Attached 已附上	<input checked="" type="checkbox"/> N/A 不適用 <input type="checkbox"/> Signed 已簽署 <input type="checkbox"/> Certified 已核證 <input checked="" type="checkbox"/> N/A 不適用
Tax Residency 稅務居民身分	<ul style="list-style-type: none"> Completed & signed "Entity Tax Residency Self-certification"; & 已填寫及簽署「機構投資者：稅務居民身分自我聲明書」; 及 Form W-9⁴ (applicable to U.S. taxpayer / entity) 表格 W-9⁴ (適用於美國納稅人 / 企業) 	<input type="checkbox"/> Attached 已附上 <input type="checkbox"/> Attached 已附上	<input checked="" type="checkbox"/> N/A 不適用 <input checked="" type="checkbox"/> N/A 不適用

Remarks 註釋：

- Witness to Certify all the Signature(s) and Supporting Documents:** An acceptable witness can be a BOOM employee, Justice of Peace, a branch manager of a licensed bank, lawyer, certified public accountant (practicing), chartered secretary (practicing), notary public, or a SFC licensed or registered person accredited to another intermediary.
見證人核證所有簽署及申請文件：認可的見證人包括 BOOM 僱員/ 太平紳士/ 持牌銀行分行經理/ 律師/ 執業會計師/ 執業特許秘書/ 公證人/ 隸屬其他中介團體之證監會持牌或註冊人士。
 - Before signing on this form, each of the signer(s) shall present the original of his / her Identity Card or Passport to the Witness who will certify his / her identity. All the signature(s) and the affixment of the Company Chop on this form shall be made before the Witness.
在本表格上作出任何簽署前，每位簽署人士須向見證人出示其身份證或護照正本以作其身份之根據。而本表格上的所有簽署及公司印章的蓋印，均必須在見證人面前簽訂。
 - All the supporting documents (including Official ID copies of Key Person(s) and Guarantor) to be submitted with this form shall be signed by the Witness and stated as "Certified True Copy".
所有隨本表格遞交的文件（包括主要人士及擔保人之身份證明文件副本），均須由見證人簽署並註明為「經核實之真實副本」
- Official ID:** Official ID shall be issued by a government body bearing the holder's photo.
身份證明文件：身份證明文件須由官方機構發出並附有持證人照片。
- Proof of Residential Address:** Proof of residential address can be a photocopy of utility bills, bank statements, etc. that was printed with the one's residential address and issued within 3 months. Kindly note that P.O. Box are not accepted.
住址證明：住址證明須為最近三個月內發出的電費單或銀行月結單等副本一份。請注意，郵箱號碼恕不接受。
- Related Tax Residency Form(s)**
相關稅務居民表格
 - Form W-9 (applicable to U.S. taxpayer / U.S. Incorporated Entity):** The Form W-9 is required to be completed by a U.S. Person (include U.S. citizen / resident, U.S. green card holder, U.S. entity, U.S. business or organization and U.S. domestic trust) to certify a Key Person¹ or a Corporation's U.S. tax status. Under the Foreign Account Tax Compliance Act (FATCA), foreign financial institutions (such as BOOM) are required to report to the U.S. tax authority the financial assets in the BOOM account. And it is BOOM's policy that U.S. stock trading service is not offered to any U.S. Person.
表格 W-9 (適用美國納稅人 / 於美國企業)：如主要人士或申請公司為美國人士（包括美國公民、美國居民、美國綠卡持有人、美國公司或企業、美國註冊基金），便須填寫 表格 W-9 以證明該人士或公司的美國納稅人身份。根據「外國帳戶稅收遵從法」(FATCA) 規定，外國金融機構（例如 BOOM）須向美國稅務局申報該 BOOM 帳戶持有的資產。另外，按公司內部守則，BOOM 不會向任何美國人士提供美股交易服務。

- * Additional information and/or document(s) might be required for some type(s) / form(s) of incorporation.
根據不同的公司註冊屬性，我們可能要求申請公司提供補充資料及 / 或額外文件。

- △ Not applicable to Director(s), Individual Shareholder(s) and the Beneficial Owner(s) of listed company, regulated financial institution, government/public body, regulated investment vehicle.
△ 不適用於上市公司、受監管金融機構、政府或公共機關、受監管投資工具的董事、個人股東及實益擁有人。

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