百利好証券有限公司
PLOTIO SECURITIES LIMITED
中央編號 CE No. : BPQ161

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Account Opening Documents Checklist (Individual /Joint Account) 開立賬戶文件核對清單 (個人/ 聯名賬戶)

Basic Account Documents 基本開戶文件	
Please read the Opening Document below 請客戶閱讀以下之文件	
☐	Securities Client Agreement and Schedules 證券客戶協議及附表
Please completed and signed the forms below 請客戶填妥並簽署以下之 表格:	
☐	1. Securities Account Opening Form (Individual / Joint) 證券戶口開戶表格(個人/聯名) ☐ Knowledge of Derivatives 衍生產品的認識 ☐ US FATCA Self-Certification 美國海外賬戶稅收合規法案聲明 ☐ CRS-I (Individual Tax Residency Self-Certification 個人稅務居民身分自我證明)
☐	2. IRS Form 美國國稅局之表格 ： W-8BEN (Non U.S. Person 非美國人)
☐	3. Client Risk Profile Questionnaire (Individual) 客戶風險取向問卷（個人）

Documents attached by Client 客戶附上之文件	
☐	1. Certified true copy of Identity Card (both sides) /Passport 身份證 (正背面) / 護照副證明核證副本 - Hong Kong permanent residents Identity Card 香港永久居民身份證 - Non-Hong Kong permanent residents: Identity Card of the place of residence and/or Passport 非香港永久居民：當地身份證及／或護照 - Non-Hong Kong residents (including Mainland residents and overseas nationals) : Identity Card /a valid Exit / Entry Permit and/or Travel Permit 非香港(包括中國內地居民及海外人士) 之身份證／入境證明及／或通行證身份證明文件副本
☐	2. Certified true copy of residential address proof 住址證明之核證副本 (within 3 months 三個月內) Utility statement, Bank statement etc. 銀行結單或公共服務單據等副本 (Post office box numbers will not be accepted 郵政信箱恕不接受)
☐	3. Copy of the first page of a bank passbook or ATM card with the name as the account holder and the account number 顯示申請人為賬戶持有人及列有賬戶號碼的銀行存摺首頁或提款卡的副本
☐	5. Certificate of loss of U.S. citizenship and proof of other nationality 美國國籍棄籍證明及其他國籍證明文件 (If applicable 如適)用)
☐	6. Employer Consent Letter 僱主書面同意書 (if applicable如適用) (If Client is an employee of a company registered with the SFC , 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)
Additional Documents (account opening in a non-face to-face approach) 附加文件 (非面對面的情況下開戶)	
☐	A cheque with amount not be less than HK$10,000 附上金額不少於港幣 10,000 元支票 ☐ issued from a licensed bank in HK 由香港持牌銀行發出 ☐ payable to "Plotio Securities Limited " 支票抬頭「百利好証券有限公司」 ☐ client name shown on cheque 客戶名稱須顯示於支票上 ☐ Your signature on the cheuqe should be identical to the signature shown on the Form 客戶之簽名於支票上，須與證券戶口開立表格上相同 *The fund will be available in your portfolio when the cheque is cleared 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
☐	Arrange witnessing professional to sign on Account Opening Form and certify true ALL above-mentioned documents required 安排見證人於開戶表格上簽署及所有上述文件的認證副本 Where the account opening documents are not executed in the presence of an employee of the licensed or registered person, the signing of the client agreement (as defined in paragraph 6.1 of the Code of Conduct) and sighting of related identity documents should be certified by any other licensed or registered person, an affiliate of a licensed or registered person, a JP (Justice of the Peace), or a professional person such as a branch manager of a bank, certified public accountant, lawyer, notary public or chartered secretary. 如開戶文件並非在持牌人或註冊人的僱員面前簽立，則客戶協議（如《操守準則》第 6.1 段所界定）的簽立，及有關的身分證明文件的見證，應由其他持牌人或註冊人、持牌人或註冊人的聯繫人士、太平紳士或專業人士例如銀行分行經理、執業會計師、律師、公證人或特許秘書加以驗證。 • Sign and write "Certified True Copy" on the photocopy of the documents; 在有關副本上簽署及寫上「經核實之真實副本」; • Sign and state his/her full name and specific designation on the original copy of the Account Opening Form, and 在開戶申請表的正本上簽署，並註明見證人的姓名及職銜; 及 • Attach his/her business card. 附上見證人的名片

* Other documents and/or information (if necessary) that may be required by PSL.
百利好証券可能要求(如有需要) 其他文件和/ 或資料。

* No trading will be allowed until all the relevant documents submitted are checked and approved by the Company.
以上有關文件未經本公司核證及批准前，客戶不可進行任何證券交易。

For enquiry, please call our customer services department. 如有查詢，請致電我們的客戶服務部 : (852) 3192 9588。