



HTF SECURITIES LIMITED (CE No: BNO909)

瑞豐國際證券有限公司

Unit 1807, 18/F., Office Tower, Convention Plaza, 1 Harbour Road, Wanchai, Hong Kong

香港灣仔港灣道1號會展廣場辦公大樓18樓1807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)

## 有關香港投資者識別碼制度 (HKIDR) 及 場外證券交易匯報制度 (OTCR) 下的 提供客戶身份識別信息 (CID)

在香港投資者身份識別碼制度 (HKIDR) 和場外證券交易匯報制度 (OTCR) 下，瑞豐國際證券有限公司 (瑞豐國際證券) 必須按證券及期貨事務監察委員會要求 (可接受的身份證明文件的優先順序)，收集最新的客戶身份識別信息。

如果客戶在開戶過程中沒有提供身份證明文件 (根據以下證監會規定的優先順序) 或客戶識別信息有任何變更，請向瑞豐國際證券提供身份證明文件的 認證副本<sup>1</sup>。

身份證明文件 上所示的全名	(英) (中)
身份證明文件類別 (按證監會優先次序排第)，請在相應的方中打勾 <input checked="" type="checkbox"/> 。	
<input type="checkbox"/> <b>個人客戶</b> <input type="checkbox"/> (1) 香港身份證 <input type="checkbox"/> (2) 國民身分證明文件 <input type="checkbox"/> (3) 護照 <div style="border: 1px solid black; padding: 5px; margin-top: 10px;">             身分證明文件號碼 _____              簽發國家或司法管轄區 _____           </div> <p><b>註：若為聯名帳戶，每一位帳戶持有人需填寫並提交一份客戶識別信息。</b></p>	
<input type="checkbox"/> <b>公司客戶</b> <input type="checkbox"/> (1) 法律實體識別編碼 (LEI) 登記文件 * <input type="checkbox"/> (2) 公司註冊證明書 <input type="checkbox"/> (3) 商業登記證 <input type="checkbox"/> (4) 其他同等文件：_____ <div style="border: 1px solid black; padding: 5px; margin-top: 10px;">             身分證明文件號碼 _____              簽發國家或司法管轄區 _____           </div>	
<input type="checkbox"/> <b>信託客戶的受託人 (個人性質)</b> <input type="checkbox"/> (1) 香港身份證 <input type="checkbox"/> (2) 國民身分證明文件 <input type="checkbox"/> (3) 護照 <div style="border: 1px solid black; padding: 5px; margin-top: 10px;">             身分證明文件號碼 _____              簽發國家或司法管轄區 _____           </div> <p>或</p> <input type="checkbox"/> <b>信託客戶的受託人 (公司性質)</b> <input type="checkbox"/> (1) 法律實體識別編碼 (LEI) 登記文件 * <input type="checkbox"/> (2) 公司註冊證明書 <input type="checkbox"/> (3) 商業登記證 <input type="checkbox"/> (4) 其他同等文件：_____ <div style="border: 1px solid black; padding: 5px; margin-top: 10px;">             身分證明文件號碼 _____              簽發國家或司法管轄區 _____           </div> <p>• 受託人的客戶識別信息 (應與上述公司或個人客戶的客戶識別信息相同)，視乎受託人的性質而定。              • 若信託是一個投資基金 (即集體投資計劃)，則應提交就該信託在瑞豐國際證券開立交易帳戶的資產管理公司或個別 (視何者適用而定) 的客戶識別信息。</p>	

\* **法律實體識別編碼指 Legal Entity Identifier (LEI)**：金融穩定理事會在全球 LEI 體系下採納的 20 位元字元代碼，旨在以獨有的方式識別出參與金融交易的特定法律實體。

**認證副本**<sup>1</sup>：認證人應為瑞豐國際證券的工作人員，或以下任何一位人士：

(i) 在香港執業的律師、在香港執業的會計師；(ii) 香港金融管理局認可的銀行、有限制牌照銀行或存款公司；(iii) 在《證券及期貨條例》項下獲香港證券及期貨事務監察委員會發牌的法團；(iv) 其他國家執業的律師、公證人、核數師或專業會計師；(v) 其他國家的銀行；或 (vi) 太平紳士。

認證人需審核文件原件，認證人必須在文件副本上簽字並標注日期 (以大寫印刷字體在其下方清楚簽下姓名)，並在文件副本上清楚寫明其職銜或身份。認證人必須說明該文件副本是原件的真實副本 (或具有類似含義的措辭)。

### 客戶確認：

本人/本公司特此確認所提供的上述信息是真實、準確和最新的，如果上述任何信息已更新，本人/本公司將盡快通知瑞豐國際證券有限公司。

<b>客戶簽名</b> (所有聯名賬戶持有人必須共同簽署或加蓋公司印章，簽名式樣必須與瑞豐國際證券記錄相同)	
賬戶名稱：	
賬戶號碼：	
日期：	聯絡號碼：

<b>本司專用</b>	
S.V.	
Inputted by	
Checked by	



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## Under HKIDR and OTCR - Provision of Client Identification Data (CID)

Under the Hong Kong investor identification regime ("HKIDR") and the over-the-counter securities transaction reporting regime ("OTCR"), HTF Securities Limited ("HTFSL") is required to collect up-to-date CID from its clients in accordance with the regulatory requirements (Waterfall for acceptability of identity document for the CID).

If the identification document (as required under the order of priority requirement of the SFC) is not provided during the account opening process or your CID have been changed, please provide HTFSL with a [certified true copy](#)<sup>1</sup> of the identity document.

Full name as shown on your identity document	(Eng) : (Chi) :
Identity document type (in order of priority). Please tick the appropriate box <input checked="" type="checkbox"/> .	
<input type="checkbox"/> <b>Individual client</b> <input type="checkbox"/> (1) HKID card <input type="checkbox"/> (2) National identification document <input type="checkbox"/> (3) Passport	Identity document number : _____ Issuing country/jurisdiction : _____
<i>Note : <b>For joint account holders</b>, each account holder should fill in and submit one Client Identification Data.</i>	
<input type="checkbox"/> <b>Corporate client</b> <input type="checkbox"/> (1) Legal Entity Identifier ("LEI") registration document * <input type="checkbox"/> (2) Certificate of incorporation <input type="checkbox"/> (3) Business registration certificate <input type="checkbox"/> (4) Other equivalent documents : _____	Identity document number : _____ Issuing country/jurisdiction : _____
<input type="checkbox"/> <b>Trustee of a client that is a trust (individual nature)</b> <input type="checkbox"/> (1) HKID card <input type="checkbox"/> (2) National identification document <input type="checkbox"/> (3) Passport or <input type="checkbox"/> <b>Trustee of a client that is a trust (corporate nature)</b> <input type="checkbox"/> (1) Legal Entity Identifier ("LEI") registration document* <input type="checkbox"/> (2) Certificate of incorporation <input type="checkbox"/> (3) Business registration certificate <input type="checkbox"/> (4) Other equivalent documents : _____	Identity document number : _____ Issuing country/jurisdiction : _____  <ul style="list-style-type: none"> <li>the CID of the trustee, which should be the same as that of a corporate or individual client, depend on the trustee nature.</li> <li>In the case of a trust which is an investment fund (i.e. collective investment schemes), the CID of the asset management company or the individual fund, as appropriate, which has opened the trading account on behalf of the trust with HTFSL, should be provided.</li> </ul>


\* **Legal Entity Identifier (LEI)** : refers to the Legal Entity Identifier which is a 20-character alpha-numeric code under the Global LEI System adopted by the Financial Stability Board to uniquely identify distinct legal entities which participate in financial transactions.

**certified true copy**<sup>1</sup> - The certifier shall be HTFSL's staff member, or any of the following persons:  
 (i) a solicitor practising in Hong Kong or a certified public accountant practising in Hong Kong; (ii) a bank, a restricted licence bank or a deposit-taking company authorized by the Hong Kong Monetary Authority; (iii) a corporation licensed by the Securities and Futures Commission of Hong Kong under the Securities and Futures Ordinance; (iv) a lawyer, a notary public, an auditor or a professional accountant practising in other country (other than Hong Kong); (v) a bank in other country; or (vi) a Justice of the Peace.

The certifier will need to have seen the original documentation. The certifier must sign and date the copy document (printing his/her name clearly in capitals underneath) and clearly indicate his/her position or capacity on it. The certifier must state that it is a true copy of the original (or words to similar effect).

### Client Confirmation :

I/we hereby confirm that the above information provided is true, accurate and most updated, and I/we shall notify HTF Securities Limited as soon as practicable in case any of the above information has been updated.

<b>Client Signature</b> (ALL account holders of joint account must sign jointly or with company chop. Signature specimen must be consistent with HTFSL's records.)	
	
A/C Name :	
A/C No. :	
Date :	Contact No.

Office Use Only	
S.V.	
Inputted by	
Checked by	