

Certified Copy Certificate – Client Identification Documents for Hong Kong

To be used for Entity Clients

Part A: Client Details

Type of Client (please tick ✓)

-
- Corporation
-
- Partnerships
-
- Unincorporated Business

IBHK Account Number _____

Full Name of Entity: _____

Country of Domicile: _____

Full Name of Authorized Signatory: _____

Government issued ID Number of Authorized Signatory: _____

Part B: Certifier Details

Please complete Part B to enable us to contact you if necessary to confirm any information provided on this form.

Type of Profession (please tick ✓)

- | | |
|---|--|
| <input type="checkbox"/> SFC Licensed persons | <input type="checkbox"/> HKMA Registered persons |
| <input type="checkbox"/> Justice of Peace | <input type="checkbox"/> Branch Manager of a Bank |
| <input type="checkbox"/> Practicing Lawyer | <input type="checkbox"/> Practicing Chartered Secretary |
| <input type="checkbox"/> Notary Public | <input type="checkbox"/> Others (Subjected to review): _____ |
| <input type="checkbox"/> Practicing Certified Public Accountant | |

Registration Number of Profession: _____

Full Name of Certifier: _____

Name of Organization: _____

Title/Position: _____

Address: _____

Phone Number: _____

Part C: Certifier Declaration

I have witnessed the Client named in Part A of this form signing the attached Interactive Brokers Acknowledgements by Client form. I have examined the originals of all the documents which are set out in Part D of this form. The copy documents attached are true and correct copies of the

(Please tick ✓) *original documents examined AND INITIALED by me.*

Privacy Statement: Interactive Brokers is collecting your personal information in order to assist in the identification of the Client named in Part A.

Signature of Certifier _____

Date _____



Part D: Documents Checklist

- Acknowledgement by Client
 - **Original copy**
 - **Completed and signed by Authorized Signatory**
- Government Issued ID of Authorized Signatory
 - **Initialed by Certifier**

For fastest account approval, we recommend first submitting a scanned copy of the Certified Copy Certificate and Government Issued ID via email to newaccounts@interactivebrokers.com with your IBHK account number on the email subject line, followed by submitting the physical original copies via mail or couriered to:

**New Accounts Department
Interactive Brokers Hong Kong Limited
Suite 1512, Two Pacific Place
88 Queensway
Admiralty
Hong Kong**

Part E: Checklist for Certifier

The following must be completed in full by the Certifier:

- All parts of this form have been completed
- All documents listed on Part D are attached to this form
- All attached documents are initialed
- You are a person within a specified class of accepted certifiers defined in the *Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission* (paragraph 5.1):
“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”



ACKNOWLEDGEMENTS BY CLIENT

I/We acknowledge that:

- I/We have carefully read the IBHK Client Agreement, and the Hong Kong Risk Disclosure Statements and the Regulatory Information and Additional Provisions for Users from Hong Kong and Users Trading on Hong Kong Exchanges.
- The contents of all relevant agreements and disclosures (including but not limited to the IBHK Client Agreement, the Hong Kong Risk Disclosure Statements and the Regulatory Information Additional Provisions for Users from Hong Kong and Users Trading on Hong Kong Exchanges) have been fully explained to me/us by the materials provided by IBHK in a language which I/we understand.
- Should I/we request IBHK to provide me/us trading permission in relation to securities listed or traded on the Stock Exchange of Hong Kong or for the Stock Connect Northbound Trading Service, my/our consent in relation to paragraph 45 of the IBHK Client Agreement will apply. I/We further acknowledge that if I/we do not agree to give my consent under paragraph 45 of the IBHK Client Agreement, I/we will not request for or request to remove from such relevant trading permission.
- Should I/we choose to use the algorithms available on the trading platform, I/we certify I/we am/are aware of the training and documentation available on the IBHK website have a good understanding of the algorithms as well as the compliance and regulatory issues that may arise from algorithmic trading.
- I/We have been given an adequate opportunity to ask questions of IBHK's representatives and to consult my/our own legal advisers about the IBHK Client Agreement and the Hong Kong Risk Disclosure Statements and the Regulatory Information and Additional Provisions for Users from Hong Kong and Users Trading on Hong Kong Exchanges.
- I/We have received the IBHK Client Agreement and the Hong Kong Risk Disclosure Statements and the Regulatory Information and Additional Provisions for Users from Hong Kong and Users Trading on Hong Kong Exchanges. I/We am/are trading on my/our own account.
- I/We have read and completed the Account Application and Supplemental Questions for Hong Kong Users previously provided to me/us by IBHK and confirm that the information I/we have provided is true and complete.
- I/We agree to electronically sign additional documents included during the account opening process and from time to time, including, but not limited to risk disclosures and other agreements.

I/We confirm my/our proficiency in English. I/We am/are able to read, understand and agree to the contents of the account opening documents in English, including the IBHK Client Agreement, the Hong Kong Risk Disclosure Statements and the Regulatory Information Additional Provisions for Users from Hong Kong and Users Trading on Hong Kong Exchanges.

本人/吾等 確認精通英文，能閱讀、明白、並同意盈透證券香港有限公司（“IBHK”）以英文提供的所有開戶文件，包括客戶協議、風險說明及對就在香港及在香港交易所進行交易的用戶有效的額外監管信息條款。

Name of Applying Entity: _____

Name of Authorized Signatory: _____

Signature of Authorized Signatory: _____

Date: _____

STAFF DECLARATION (For Internal Use only)

I declare:

- The client was provided with the IBHK Client Agreement and the Hong Kong Risk Disclosure Statements in the English Language; and
- The client was invited to read the IBHK Client Agreement and the Hong Kong Risk Disclosure Statements, ask questions and take independent advice if the client wishes.

Signature of Registered Representative: _____

Initials of Registered Representative: _____

(Account Number: _____)