

Certified Copy Certificate – Client Identification Documents for Hong Kong

To be used for Individual Clients

Part A: Client Details

IBHK Account Number: _____
Full Name: _____
HKID Number: _____

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 original documents examined **AND INITIALED** by me.*

(Please tick ✓)

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 Client**
- Government Issued ID
 - **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

YOU ARE REQUIRED TO SIGN THIS FORM TO EVIDENCE THAT YOU HAVE RECEIVED, READ, UNDERSTAND AND AGREE TO THE TERMS SET FORTH IN THE IBHK CLIENT AGREEMENT AND HONG KONG RISK DISCLOSURE STATEMENT.

I/We acknowledge that:

- I/We have read carefully the IBHK Client Agreement, and the Hong Kong Risk Disclosure Statements;
- The contents of the IBHK Client Agreement and the Hong Kong Risk Disclosure Statements have been fully explained to me by the materials provided by IBHK in a language which I/we understand. I/we have agreed to the Agreement being in English.
- Should I/we choose to use the algorithms available on the trading platform, I/we certify I am/we are aware of the training and documentation available on the IBHK website and I/we confirm that I/we 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 own legal advisers about the IBHK Client Agreement and the Hong Kong Risk Disclosure Statements.
- I/we have received the IBHK Client Agreement and the Hong Kong Risk Disclosure Statements. I confirm that I am trading on my own account and understand that IBHK, when calculating the balance in my account, may net off funds that are payable to me by IBHK against funds that are payable to IBHK by me.
- I/we have read and completed the Account Application and other relevant documents for Hong Kong Users previously provided to me by IBHK and confirm that the information I 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.

1st Account Holder

2nd Account Holder

Name: _____

Name: _____

Signature: _____

Signature: _____

Date: _____

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: _____)