



開戶程序

多謝閣下選擇鉅亨證券有限公司 ("鉅亨證券") 為投資夥伴，以下為鉅亨證券開立帳戶程序:-

1. 細閱[現金帳戶開戶文件表格冊子](#)、[電子交易條款](#)以及[證券買賣條款及細則](#)
2. 填寫相關資料在個人帳戶開戶表格
 - I) [第一部分](#) [客戶資料] 包括 [W-8BEN表格](#) 或 W-9表格
 - II) [第二部分](#) [客戶風險分析]
 - III) [第三部分](#) [聲明及確認]
 - i) 在相關格子[點擊列印](#)開戶文件表格 (注意: 如有資料更改, 請在更改地方簽署確認)
 - ii) 小心細閱, 簽署並填寫日期
3. 如閣下親身與本公司職員開戶, 可毋須理會本點
閣下未能親身開戶, 可選擇下列其中一方法作身份核實:-
 - I) 從閣下香港或海外(須列入香港證監會[合資格司法管轄區](#)名單) 銀行戶口存入 / 匯入一筆不少於 港幣 \$10,000 至本公司在匯豐銀行(香港) 有限公司的以下帳戶

戶口名稱: Anuenue Securities Limited-Client Trust Account
戶口號碼: 500-357561-292

閣下須提供有關支票/銀行/匯款收據副本或其他銀行文件以核對存款/匯款者與閣下同名, 本公司在閣下開戶後, 將存入款項記入閣下帳戶並發結單收據作實
 - II) 客戶協議的簽署及有關的身分證明文件可由專業人士如律師、執業會計師、銀行經理、太平紳士或特許秘書 (須註明專業屬會編號或銀行名稱) 簽署見證
4. 遞交/郵寄已簽署帳戶開戶表格 (正本) 連同相關文件*至本司下列地址

鉅亨證券有限公司 - 香港銅鑼灣邊寧頓街 18 號 28 樓

***需交回的相關文件如下**

 - i) 申請人的身份證或護照影印本
 - ii) 住址證明 (作通訊用) (例如最近3個月的水、電、銀行月結單或個人帳單)
 - iii) 已簽署W-8BEN表格 (非美國居民) / W-9表格 (美國納稅人)
 - iv) 個人財力及投資經驗證明 (如有)
5. 如需協助, 請聯絡本公司客戶服務部

電話: (852) 2122 8800 電郵: cs@anuenuegroup.com

Account Opening Procedure

Thank you for choosing Anuenue Securities Limited ("ASL") to open a securities trading account. The following is the account opening procedures of ASL:-

1. Read carefully the following account opening documents
 - o [Account Opening Forms Booklet](#)
 - o [Supplemental Terms and Conditions for Electronic Trading](#)
 - o [Terms and Conditions For Securities Trading](#)
2. Fill in the relevant information in the Account Opening Form
 - I) [Part 1](#): [Client Information] including [W-8BEN Form](#) / W-9 Form
 - II) [Part 2](#): [Risk Profiling]
 - III) [Part 3](#): [Declaration and Acknowledgement]
 - i) Click to print the Account Opening Form on the box provided (Note: please sign beside for any amendment of information)
 - ii) Read carefully, sign and date the document.
3. If you open account in person with us, please ignore this point
 If you cannot open account with us in person, please choose one of the two methods for verification of identity below:-
 - I) Deposit/remit an amount of not less than HK\$10,000 from your personal bank account maintained either in Hong Kong or a country within [the SFC's eligible jurisdictions](#) into our bank account in HSBC, Hong Kong

Account Name: Anuenue Securities Limited - Client Trust Account

Account Number: 500-357561-292

You should provide copy of the cheque/bank receipt(s)/advice or other bank documents showing the name of the depositor/remitter is the same as you. Upon opening of account, the fund will be recorded in your account and ASL shall issue statement of account to you as acknowledgement of receipt for the fund deposited/received

OR
 - II) Appoint a professional person such as lawyer, certified public account, bank manager, Justice of Peace or chartered secretary to certify the signature of the account opening form and sighting of identity card or passport
4. Send the completed and signed account opening form together with the required documents* to ASL at address below.

Floor 28, 18 Pennington Street, Causeway Bay, Hong Kong, Anuenue Securities Limited

***Documents required:**

 - i) Copy of the applicant's identity card or passport
 - ii) Address proof (for correspondence purpose) (e.g. the utility bill such as water, electricity, bank statement or other personal billing for the last 3 months)
 - iii) Signed W-8BEN Form (Non-US citizen) / W-9 Form (US tax resident), where applicable
 - iv) Proof of financial capability and investment experience (if any)
5. If you need assistance, please contact our customer service department

Tel No : (852) 2122 8800 Email : cs@anuenuegroup.com

Anuenue Securities Limited

Floor 28, 18 Pennington Street, Causeway Bay, Hong Kong

p/電話 852. 2122 8800 f/傳真 852. 2122 8009 e/電郵 cs@anuenuegroup.com

www.anuesec.com



Individual Account Opening Form 個人帳戶開戶表格

第一部分 客戶資料 Client Information

甲部 身份資料 Personal Information

("Client" or "客戶")

Title 稱謂	Mr 先生	Mrs 太太	Ms 女士
Client 客戶*	English Name 英文姓名	Chinese Name 中文姓名	Alias (if any) 別名(如有)
	(日期 DD/ 月份 MM / 年份 YYYY) Date of Birth 出生日期*	Place of Birth 出生地點	Nationality 國籍 Other 其他
Identity Document 身份證明文件 (at least one to be provided) (最少提供一項) *	Type 種類*	Number 號碼* <input type="text"/>	Region/Country of Issue 簽發地區/國家 (日期 DD/ 月份 MM / 年份 YYYY) Effective Date 有效日期
	Other identity document (if any) 第二身份證明文件種類(如需要)	Number 號碼* <input type="text"/>	Region/Country of Issue 簽發地區/國家
Contact 通訊 (District) No (區號) 號碼	Residential 住宅電話 ()	Mobile 手機* ()	Office 辦公電話 ()
			Fax 傳真 ()

Address 地址

To fill in English (請以英文填寫)

請台灣客戶以中華郵政全球資訊網提供的中文地址英譯系統作為準則(<https://www.post.gov.tw/post/internet/Postal/index.jsp?ID=207>)

Residential 住宅地址* <input type="text"/>	Corresponding (if different from residential) 通訊地址(如與住宅地址不同)
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Address(1)地址(行1)

Address(2)地址(行2)

Address(3)地址(行3)

District 地區

City 城市

Region/Country 地區/國家

Portal No 郵遞區號
(if yes / 如有)(Compulsory)Email Address
電郵地址 (必須) *

Job 工作*	Occupation 職業	Post 職位	Year(s) Employed 受僱年資
	Name of Employer 僱主名稱 (if Self-Employed, Name of business) (若自僱 · 業務名稱)	Company Address 公司地址	

閣下是否受僱於香港證監會持牌人或註冊機構? *

Are you employed by a licensed corporation or registered institution of Securities And
Future Commission of Hong Kong?☐ Yes 是 ☐ No 否

如是,請提供同意書和填上機構名字

if yes, please provide a letter of consent and fill in name of the company

Notes: * = Required 必填, = Attach copy 提供影印本

Individual Account Opening Form 個人帳戶開戶表格

閣下和/或任何閣下之家庭成員是否現在擔任或曾擔任任何地區/國家的重要公職? *

如有, 請提供資料

☐ Yes 有 ☐ No 沒有

Are you and/or any of your family member currently or previously entrusted with prominent public function for any region/country?

if yes, please specify

閣下是否與鉅亨證券或集團成員的任何員工有親屬關係? *

☐ Yes 有 ☐ No 沒有

如有, 請提供資料

Are you related to any staff member of ASL or Group Party?

if yes, please specify

Name of Employee

員工的姓名

Relationship

與客戶關係

Bank Account

銀行戶口

Name of Bank 存款銀行名稱

Country/Region of the bank 銀行所在國家/地區

Account Number 存款銀行號碼

Designated account for fund transfer 指定為轉帳戶口

乙部 客戶財務背景 Financial Background

Source of Funds / Financial Profile 資金來源/財務狀況*	Annual Income (HKD) 估計每年收入(港元)	Net liquid assets (HKD) 流動資產淨值(港元)	Purpose of Account Opening 開戶目的	Others (Please Specify) 其他(請具體說明)
Source of funds 資金來源	Employment / Business 受僱/商業	Inheritance 繼承	Sale of Investment 投資出售所得	
Other (specify) 其他資金來源 (請具體說明)	Investment Income / Dividend / Interest 投資收益 (如股息、利息、租金等)	Retirement 退休	Saving 儲蓄	
Source of fund 資金來源地	Hong Kong 香港	Mainland China 中國大陸	Taiwan 臺灣	
Other (specify) 其他資金來源地 (請具體說明)				

丙部 身份確認 Identity Confirmation

Ultimate Decision & Beneficial Owner 最終決策及實益擁有人

Client 客戶

For any Transactions done in the account, I am: 就賬戶的任何交易, 我是:

(i) the **ultimate decision maker**; and 最終決策人; 及

(ii) the **Beneficial Owner(s)** of the account 賬戶的實益擁有人

* I confirm 我確認

* Please tick in the box provided, otherwise we cannot open the account for you 客戶請在格內填上☑號, 否則我們無法為閣下開戶

Beneficial Owner 實益擁有人 = The person who stands to gain the commercial or economic benefit of the Transaction and/or bear its commercial or economic risk 享有交易的商業或經濟利益 及 / 或 承擔交易的商業或經濟風險的人士

Individual Account Opening Form 個人帳戶開戶表格

丁部 相關身份披露 (以符合 CRS 及 FATCA 的相關要求)

Individual Identity Declaration (for CRS and FATCA reporting purpose)

共同匯報標準 Common Reporting Standard (CRS)

Important Notes:

- This is a self-certification form provided by the account holder to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction. 這是由帳戶持有人向申報財務機構提供的自我證明表格，以作匯交換財務帳戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一司法管轄區稅務當局。
- The account holder should report all changes in his / her tax residency status to the reporting financial institution. 如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。
- All parts of the form must be completed (unless not applicable or otherwise specified). if space provided is insufficient, continue on additional sheet(s). Information in fields / parts marked with an asterisk (*) are required to be reported by the reporting financial institution to the Inland Revenue Department. 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在各欄/部標有星號(*)的項目為申報財務機構須向稅務局申報的資料。

Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") 居留司法管轄區及稅務編號或具有等同功能的識別編號 (以下簡稱「稅務編號」)

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for a tax purposes and (b) the account holder's TIN for each jurisdiction indicated. Indicate all (not restricted to five) the jurisdictions of residence. 提供以下資料，列明(a)帳戶持有人的居留司法管轄區 (香港包括在內)，亦即帳戶持有人的稅務管轄區及(b)該居留司法管轄區發給帳戶持有人的稅務編號。列出所有 (不限於5個) 居留司法管轄區。 If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. If a TIN is unavailable, provide the appropriate reason A, B or C: 如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。如沒有提供稅務編號，必須填寫合適的理由：

Reason A 理由A	-	The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents. 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。	
Reason B 理由B	-	The account holder is unable to obtain a TIN, Explain why the account holder is unable to obtain a TIN if you have selected this reason. 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。	
Reason C 理由C	-	TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed. 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。	
Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號， 填寫理由A、B、C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選取理由B，解釋帳戶持有人不能取得稅務編號的 原因

(1)

(2)

(3)

美國公民或稅務居民 US Citizenship / Tax Residency (Individual) (FATCA)

You are a U.S. citizen if:

若閣下滿足下列任一條件，則閣下即為美國公民：

- you are a U.S. citizen residing within or outside of the United States; or
閣下為居住在美國境內或境外的美國公民；或
- you hold multiple citizenships any one of which is U.S. citizenship; or
閣下具有多重公民身份，其一為美國公民身份；或
- you were born in the United States (or a U.S. territory) and have not legally surrendered your U.S. citizenship.
閣下出生於美國 (或美國領土)，且未依法放棄閣下的美國公民身份。

You are a U.S. tax resident for U.S. federal income tax purposes if:

若閣下滿足下列任一條件，則閣下即為美國聯邦所得稅意義上的美國稅務居民：

- you are a U.S. permanent resident card (i.e., green card) holder; or
閣下是美國永久居民卡(綠卡)持有人；或
- you satisfy a substantial physical presence test generally determined based on your number of days physically present in the United States; or
閣下符合一般基於閣下於美國居留的日數計算之「實質親身居留測試」；或
- you have validly elected to be treated as a U.S. tax resident for U.S. federal income tax purposes.
閣下已有效地被視為就美國聯邦所得稅目的而言之美國稅務居民。

For more information on the definition of U.S. citizen and U.S. tax resident, please refer to the U.S. Internal Revenue Service website: www.irs.gov.

有關美國公民或美國稅務居民的定義，更多詳情請瀏覽美國國稅局網站: www.irs.gov.

If you are in any doubt, please seek independent professional advice.

如有任何疑問，請尋求獨立專業意見。

Are you a U.S. tax resident? 閣下是否美國納稅人? *

☐ Yes 是 ☐ No 否

If yes, please provide a completed W-9 form and your US Taxpayer Identification Number (TIN)?

如是，請提供填寫完畢的W-9表及閣下的美國納稅人識別號碼 (TIN)。

if no, please click and complete W-8BEN and return the form together with other account opening documents.

如不是，請點擊並填妥W-8BEN，並連同開戶資料一并提交。

[W8-BEN Form](#)

Individual Account Opening Form 個人帳戶開戶表格

第二部分 客戶風險分析 Risk Profiling

戊部 客戶投資認識和經驗 Investment Knowledge and Experience

Age; Investment Horizon; Liquidity Needs; Capacity To Top Up; Investment Objective etc.

年齡；投資期限；流動性需求；補足差額能力；投資目標等

- 1) What is your age?
您的年齡是？ *
- 2) When investing in investment products, how long will your investment horizon be?
What is the expected overall time horizon for your investments?
購買投資產品時，您認為持有多久才合適？您計劃的整體年期為？ *
- 3) Which of the price fluctuation returns you would generally be most comfortable with?
您願意投資於價格波幅多大的投資產品？ *
- 4) On average, what is your monthly household disposable income?
平均來說，您每月可動用的家庭收入有多少？ *
- 5) What is your investment objective?
你的投資目標是？ *

衍生產品經驗 Knowledge of derivative productions

- 6) Do you have any knowledge on derivative product(s)?
閣下對衍生產品有何等認識？ *

If you choose A or B, and would still like to trade derivative products in future, client must tick the following. 若你選擇 A 或 B，但依然選擇進行與衍生產品相關的交易，則必須同意以下聲明並在空格內加「X」

I/we do not have experience and or knowledge on derivative product(s), but I/we confirm that I/we fully read, agreed and understood the relevant risks of the derivative product(s). I/we understand that I/we have to acquire enough understanding on derivative product(s) before trading them and I/we fully accept all relevant risks. ASL has notified me/us that it is compulsory to understand the derivative product(s) before trading them and also warned me/us about the nature and risk of the derivative product(s).

本人/吾等對衍生產品並沒有相關認識和投資經驗，不過本人/吾等確認已閱覽，同意及知悉衍生產品的相關風險。本人/吾等不單已知悉投資前須充分了解衍生產品，並確認願完全承受投資該類產品的相關風險。鉅亨證券已告知本人/吾等在交易前必須清楚了解衍生產品並警示此等產品的性質及風險。

- 7) What is your knowledge of financial markets and investments?
您對金融市場和投資的認識有多少？
 - A) Low. I have only some basic knowledge of financial markets such as differences between stocks and bonds
低水平: 本人/吾等對金融市場只有一些基本知識，例如股票和債券分別
 - B) Medium. I have above basic knowledge and understand the importance of diversification and practice it (i.e., invested in different types of investments to diversify the risks).
中等水平: 達基本知識以上的水平，明白分散投資的重要性，並作出分散投資(即把資金配置於不同類別的投資，以分散風險)
 - C) High. I know how to read a company's financial reports (i.e., profit and loss statements and balance sheet etc) and understand the factors affecting the prices of stocks and bonds.
高水平: 本人/吾等懂得閱讀一家公司的財務報表(即損益表及資產負債表等)，並明白影響股票和債券價格的因素。
 - D) Advanced. I am familiar with most financial products (including bonds, stocks, warrants, options, and futures) and understand the various factors that may affect the risk and performance of these financial products.
精通: 本人/吾等熟識大部份金融產品(包括債券、股票、認股權證、期權及期貨)，並明白影響這些金融產品的風險和表現的各項因素。

其他事項 Others

- 8) Are you currently holding any of the following investment products? (if more than 1 option, please choose one where D is the highest score)
您現時是否持有以下任何投資產品？(如為多項，請選擇較高分數一項，A為最低，D為最高。)*
- 9) In the past year, how many transactions have you executed?
在過往一年，您曾執行過多少次交易？*
- 10) How many months could your savings meet your basic family expenses?
您的儲蓄金額大約可應付多少個月的家庭基本開支？*

Risk Profiling Score Calculation 風險評分計算

10 - 20分 Conservative 平穩型	The level of your investment risk tolerance is low with the capital protection is the main objective. You would prefer receiving fixed and stable returns. 您能承受低度投資風險，而您的投資主要目的為保本，您會偏向收取固定和平穩回報。
21 - 30分 Moderate 增長型	The level of your investment risk tolerance is moderate with the stable long term growth is the main objective. You are willing to accept a higher level of volatility and risk to achieve higher investment income and capital growth. 您能承受中度投資風險，而您的投資主要目的為長期平穩增長，您樂意接受更大波動及風險以取得較高回報和資本增長。
31 - 40分 Aggressive 進取型	The level of your investment risk tolerance is high with the maximization of rate of return is the main objective. You are willing to accept large fluctuations in the value of your investments to obtain higher return. 您能承受高度投資風險，而您的投資主要目的為達到最高回報，您樂意接受極大波動以取得最高回報。

Risk Profiling Score 風險分析總評分:

If the assessment could not generate the score, please use the following criteria for scoring manually.

(10 Questions of Investment knowledge and experience; A: 1 mark, B: 2 mark, C: 3 mark, D: 4 mark)

如未能自動評分，請根據以下準則自行評分 (丁部10條問題: A: 1分, B: 2分, C: 3分, D: 4分)

If you disagree with the above assessment, please indicate your tolerate level that you believe is more accurate and specify the reason(s).

如果您不同意以上風險分析結果，請指出你承受的風險程度及詳述原因？

己部 CHINA CONNECT 中華通

Will you trade in shares in connection with China Connect?

閣下會否買賣中華通股票？*

Yes 會 ☐ No 否

If yes, please read and acknowledge understanding of China Connect Supplemental Terms and Conditions in Part II of the Terms and Conditions for Securities Trading regarding risks disclosure statement.

如是，請閱讀並確認明白證券買賣條款及細則第二部分的風險披露聲明有關中華通補充條款及細則。

I/We have read the "China Connect Supplemental Terms and Conditions" in particular the terms, conditions and risk disclosures and confirm I/we fully understood the contents of the aforementioned documents and have sought, or have had the opportunity to seek independent professional and legal advice concerning their contents and effect. I/we agree ASL's use of my/our personal data for the terms and purpose as set out in the Personal Information Collection Statement in part E of the Account Opening Forms Booklet.

本人/吾等已細閱有關中華通補充條款及細則內所載之條款、細則及相關風險披露條文並確認 本人/吾等完全明白上述文件所載之內容及已尋求，或已獲知可尋求對該等文件之內容及效力尋求獨立專業法律意見。本人/吾等同意鉅亨證券根據開戶文件表格冊子E部中華通北向交易之個人資料收集聲明中的條款和目的使用本人/吾等的個人資料。

I/We hereby accept and agree to be bound by the same.

本人/吾等謹此接受及同意受該等文件制約。

第三部分 聲明及確認 Declaration and Acknowledgement

A. I/We hereby confirm and acknowledge that:

本人 / 吾等確認並同意:

- 1 I/We have received and read the Securities Trading Agreement (in a language of my/our choice, being either English or Chinese) and fully understand and agree to be bound by the Securities Trading Agreement (as the same may be supplemented, amended and modified from time to time).
本人 / 吾等已收到並已閱讀證券買賣協議（按本人 / 吾等選擇的語言版本，即英文或中文），並完全明白證券買賣協議且同意受其所約束（其可能會不時補充、修訂和修改）。
- 2 I/We have received the Risk Disclosure Statements in Part II of the Terms and Conditions for Securities Trading (in a language of my/our choice, being either English or Chinese) and was/were invited to read the Risk Disclosure Statements, ask questions and take independent advice if I/we wish.
本人 / 吾等已收到證券買賣條款及細則第二部分的風險披露聲明（按本人 / 吾等選擇的語言版本，即英文或中文），並獲邀請閱讀該風險披露聲明，提出問題及徵詢獨立意見（如本人 / 吾等有此意願）。
- 3 I/We have carefully considered the Risk Disclosure Statements in Part II of the Terms and Conditions for Securities Trading and recognize that trading in securities and various investment products involves a high degree of risk. Considering my/our financial position, investment experience, investment objectives, investment horizon and risk tolerance (including the risk of loss of capital), I/we confirm that I/we am/are financially able to assume such risks and to sustain any losses resulting from such trading. I/We also confirm that, unless otherwise notified by me/us to ASL in writing, I/we am/are the person who will make decisions on such trading.
本人 / 吾等已仔細考慮證券買賣條款及細則第二部分的風險披露聲明，認知進行證券及各種投資產品的買賣涉及高風險。考慮到本人 / 吾等的財務狀況、投資經驗、投資目標、投資期限和風險（包括本金損失風險）承受能力，本人 / 吾等確認本人 / 吾等在財政上能承擔該等風險和承受該等交易帶來之任何損失。本人 / 吾等亦確認，本人 / 吾等是作出該等買賣決定之人，除非本人 / 吾等另行書面通知鉅亨證券。
- 4 I/We understand the Risk Disclosure Statements in Part II of the Terms and Conditions for Securities Trading do not purport to disclose all the risks and I/we confirm that in respect of the investments which ASL does not solicit, recommend and/or advise on, I/we am/are solely responsible for making my/our investment decisions based on my/our own independent judgment and shall seek independent professional advice as I/we consider appropriate.
本人 / 吾等理解證券買賣條款及細則第二部分的風險披露聲明並不意在披露全部風險，並且本人 / 吾等確認，對於鉅亨證券未推介、建議及/或就之提供意見的投資，本人 / 吾等應自行負責根據本人 / 吾等自身的獨立判斷作出本人 / 吾等的投資決定，並將在本人 / 吾等認為合適時尋求獨立專業意見。

B. I/We represent that the contents and information provided by me/us in this Account Opening Forms Booklet are true, complete and correct and that the representations made by me/us herein are accurate. ASL is entitled to rely entirely upon such contents, information and representations for all purposes unless notice in writing from me/us of any change thereof has been furnished to ASL. I/We hereby undertake to notify ASL in writing forthwith upon any material change(s) in the information provided herein or in my/our personal situation(s) and/or other information that is relevant to ASL in its provision of services to me/us. ASL is further and hereby authorized to contact any person or persons at any time and from time to time, including my/our banks, brokers, advisors or any credit reporting agency, credit bureaus or other information sources (both in Hong Kong and overseas) as it deems necessary or desirable for or relating to the purpose of verifying the information provided by me/us in this Account Opening Forms Booklet and other information provided by me/us to ASL.

本人 / 吾等陳述，本人 / 吾等在本開戶表格冊子所提供之內容和資料乃真實、完整及正確，而本人 / 吾等在此作出的陳述均為準確。除非接獲本人 / 吾等向鉅亨證券發出關於任何變更的書面通知，否則鉅亨證券有權就一切目的全面信賴該等內容、資料及陳述。本人 / 吾等特此承諾倘若本開戶表格冊子中提供的資料或本人 / 吾等個人狀況和/或與鉅亨證券向本人 / 吾等提供服務相關的其他資料方面有任何重大改變，將立即以書面通知鉅亨證券。鉅亨證券進一步並特此獲授權隨時及不時聯絡其認為必需或理應聯絡的任何人士，包括本人 / 吾等的銀行、經紀、顧問或任何信貸報告機構、信貸局或其他數據來源（香港及海外），以查核本人 / 吾等在本開戶表格冊子中提供之資料及本人 / 吾等向鉅亨證券提供的其他資料。

C. I/We acknowledge and understand that: / 本人 / 吾等確認並理解:

- 1 any statement of investment objectives or financial goals by me/us does not create or create by implication any undertaking, agreement or guarantee by ASL as to the attainment or the feasibility of attainment of such objectives or goals;
本人 / 吾等所作的關於投資目標或財務目標的任何陳述，並不構成（也並不通過暗示構成）鉅亨證券就該等目標的實現或實現該等目標的可行性作出的任何承諾、同意或保證;

- 2 if I/we fail to provide ASL with all the information and documents requested by ASL or to respond to additional questions and requests by ASL, then ASL, any Group Party (as defined in the Terms and Conditions for Securities Trading) and each of its Representatives will only be able to provide services to me/us based on the limited information and documents that I/we provide. In particular, I/we agree and acknowledge that when ASL provides its services to me/us (including when providing any advice, recommendation, or solicitation on any investment product if ASL is engaged to do so), ASL will not be able to and will not take into account any information on my/our financial background, investment experience, investment objectives, investment horizon, risk tolerance and particular needs which I/we have not provided to ASL as per ASL's request and which ASL does not have.

如本人／吾等未向鉅亨證券提供鉅亨證券要求提供的全部信息和文件或未答覆鉅亨證券提出的補充問題和要求，則鉅亨證券、任何集團成員（定義見《證券買賣條款及細則》）以及其每一位代表將僅能根據本人／吾等提供的有限信息和文件向本人／吾等提供服務。尤其是，本人／吾等同意並確認，鉅亨證券在向本人／吾等提供其服務時（包括在鉅亨證券受聘就任何投資產品提供任何意見、建議或推介時），鉅亨證券將無法也不會對本人／吾等未按照鉅亨證券要求提供的且鉅亨證券並不擁有的關於本人／吾等財務背景、投資經驗、投資目標、投資期限、風險承受能力和特定需求的任何信息加以考慮。

I/We further acknowledge, agree and undertake to comply with the indemnity provisions stated in Clause 33 of the Terms and Conditions for Securities Trading and other relevant document(s).

本人／吾等進一步確認、同意和承諾遵守《證券買賣條款及細則》第33條和其他相關文件的彌償規定。

- D. I/We acknowledge and agree that if I/we so request, upon the execution-only services on securities, nominee services, where ASL or its nominee only acts as my/our nominee, and ASL will not provide any solicitation, recommendation or advice in respect of any Transactions in securities. Accordingly, ASL will not be required to ensure the suitability of any such Transactions in securities.
- 本人／吾等確認並同意，就證券的執行服務及（若本人／吾等要求提供）代名人服務（由鉅亨證券或其代名人擔任本人／吾等的代名人），鉅亨證券不就任何證券交易提供任何推介、建議或意見。因此，鉅亨證券不必確保任何該等證券交易的適合性。

In respect of any Transactions in securities which ASL does not solicit, recommend or advise on, I/we understand and acknowledge that I/we shall be responsible for making my/our own investment decisions and that before and when making any such investment decisions:

對於鉅亨證券未推介、建議或就之提出意見的任何證券交易，本人／吾等理解並確認，本人／吾等應負責自行作出本人／吾等的投資決定，而且，在作出任何該等投資決定之前和之時：

- 1 I/we shall understand and take into account the nature, features and risks of the securities and the Transactions;
本人／吾等應理解證券及交易的性質、特點和風險並加以考慮；
- 2 I/we shall take into account my/our financial background, investment experience, investment objectives, investment horizon, risk tolerance and other personal circumstances; and
本人／吾等應考慮本人／吾等的財務背景、投資經驗、投資目標、投資期限、風險承受能力和其它個人情況；及
- 3 I/we should seek advice from independent professional advisers if I/we consider it appropriate.
在本人／吾等認為適當時，本人／吾等應向獨立專業顧問徵詢意見。

- E. (In case where it is specifically agreed in writing between ASL and me/us for ASL to provide me/us services which involve any solicitation, recommendation or advice on any financial product by ASL) If ASL solicits the sale of or recommend any financial product to me/us, the financial product must be reasonably suitable for me/us having regard to my/our financial situation, investment experience and investment objectives. No other provision of the Securities Trading Agreement or any other document ASL may ask me/us to sign and no statement ASL may ask me/us to make derogates from this clause.

（適用於本人／吾等與鉅亨證券明確書面約定由鉅亨證券向本人／吾等提供涉及由鉅亨證券就任何金融產品進行任何推介或者提供任何建議或意見的服務的情形）如果鉅亨證券向本人／吾等推銷或建議任何金融產品時，就本人／吾等的財務情況、投資經驗和投資目標而言，該等金融產品必須合理地適合於本人／吾等。證券買賣協議的任何其他規定、鉅亨證券可能要求本人／吾等簽署的任何其他文件及鉅亨證券可能要求本人／吾等作出的任何聲明，均不損害本條規定。

Note: For the purpose of this Clause E, "financial product" means any securities, futures contracts or leveraged foreign exchange contracts as defined under the Securities and Futures Ordinance. Regarding "leveraged foreign exchange contracts", it is only applicable to those traded by persons licensed for Type 3 regulated activity.

注：就本E條的目的而言，“金融產品”指《證券及期貨條例》項下定義的任何證券、期貨合約或槓桿式外匯合約。關於“槓桿式外匯交易合約”，其僅適用於由獲發牌可以進行第3類受規管活動的人士買賣的合約。

- F. (The following declarations are specific to the Information to Account Holders Pursuant to the Personal Data (Privacy) Ordinance (Cap.486) in Part C of the Account Opening Forms Booklet)
- (以下聲明是針對開戶表格冊子C部所載的根據《個人資料(私隱)條例》(香港法例第486章)致帳戶持有人的訊息)
- I/We have read and understood the Information to Account Holders Pursuant to the Personal Data (Privacy) Ordinance (Cap.486) in Part C of the Account Opening Forms Booklet. I/We agree that the personal data in relation to any individual(s) provided to ASL may be used, disclosed and/or transferred by ASL for such purposes and to such persons in accordance with the Information to Account Holders Pursuant to the Personal Data (Privacy) Ordinance (Cap.486) in Part C of the Account Opening Forms Booklet.
- 本人/吾等已閱讀並理解開戶表格冊子C部所載的根據《個人資料(私隱)條例》(香港法例第486章)致帳戶持有人的訊息。本人/吾等同意,向鉅亨證券提供的與任何個人有關之個人資料均可由鉅亨證券就開戶表格冊子C部所載的根據《個人資料(私隱)條例》(香港法例第486章)致帳戶持有人的訊息中所載之目的進行使用、向其所載之人進行披露和/或轉移。
- I/We expressly agree and consent to ASL transferring all data relating to any such individual(s) to a place outside of Hong Kong in accordance with the Information to Account Holders Pursuant to the Personal Data (Privacy) Ordinance (Cap.486) in Part C of the Account Opening Forms Booklet.
- 本人/吾等明確同意鉅亨證券按開戶表格冊子C部所載的根據《個人資料(私隱)條例》(香港法例第486章)致帳戶持有人的訊息之規定將與任何該等個人有關的所有資料轉移至位於香港境外之地點。

CONSENT AND CONFIRMATION REGARDING REPORTING AND WITHHOLDING

有關申報和預扣事宜的同意和確認

- G. I/We acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).
- 本人/吾等知悉及同意,財務機構可根據《稅務條例》(第112章)有關交換財務帳戶資料的法律條文, (a) 收集本表格所載資料並可備存作自動交換財務帳戶資料用途及 (b) 把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報,從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。
- I/We certify that I am the account holder / I am authorized to sign for the account holder # of all the account(s) to which this form relates.
- 本人/吾等證明,就與本表格所有相關的帳戶,本人是帳戶持有人/本人獲帳戶持有人授權簽署本表格#。
- I/We undertake to advise ASL of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide ASL with a suitably updated self-certification form within 30 days of such change in circumstances.
- 本人/吾等承諾,如情況有所改變,以致影響本表格第1部所述的個人的稅務居民身分,或引致本表格所載的資料不正確,本人/吾等會通知鉅亨證券,並會在情況發生改變後30日內,向鉅亨證券提交一份已適當更新的自我證明表格。

- H. Subject to any applicable law, I hereby consent to ASL or any of its affiliates to use, verify, provide or share my information with any domestic and overseas regulator, tax authority or governmental agency where necessary to ensure ASL's compliance with any law, regulation, directive and obligation applicable to ASL as ASL may determine in its sole discretion.
- 在遵守任何適用法律的前提下,本人特此同意,在鉅亨證券自行確定為確保鉅亨證券遵守適用於鉅亨證券的任何法律、法規、指令和義務而有必要的情況下,鉅亨證券或其任何關聯方可使用、核實、提供或分享本人的信息與任何國內外監管機構、稅務機關或政府機構。
- Where required by any domestic and overseas regulator, tax authority or governmental agency, I/We acknowledge and agree that ASL may withhold from my/our account(s) such amounts as may be necessary to comply with any applicable law, regulation, directive and obligation.
- 本人/吾等承認並同意,在任何國內外監管機構、稅務機關或政府機構要求時,鉅亨證券為遵守任何適用之法律、法規、指令和義務可從本人/吾等戶口中預扣必要的金額。

ASL and each affiliate of ASL, and any director, officer, employee, or agent of ASL or an affiliate of ASL (collectively, the "Relevant ASL Persons") shall not be liable to me/us or any other person for any liabilities, losses, damages, claims, costs and/or expenses which may be suffered or reasonably incurred because of any actions taken by Relevant ASL Persons in good faith as a result of obligations imposed on a Relevant ASL Person by applicable law. I/We agree to fully indemnify and hold the Relevant ASL Persons harmless in respect of any liabilities, losses, damages, claims, costs and/or expenses which may be suffered or reasonably incurred by any of the Relevant ASL Persons directly or indirectly arising out of or in connection with any material misrepresentation, or incomplete or inaccurate or false information regarding the information referred to in this Certificate of US Citizenship/Tax Residency (Individuals).

若鉅亨證券及其每一關聯方以及鉅亨證券或其任何一關聯方的任何董事、高級職員、僱員或代理人（合稱“鉅亨證券有關人士”）因適用法律對其施加的義務並未著誠信而採取了任何行為，因而導致本人/吾等或任何其他人士遭受或合理招致任何責任、損失、損害、索償、成本和/或費用，鉅亨證券有關人士均不就此對本人或任何其他人士承擔責任。若任何鉅亨證券有關人士所遭受或合理招致的任何責任、損失、損害、索償、成本和/或費用是直接或間接由於本美國公民或美國稅務居民證明（個人）所載信息含有任何實質性誤述或含有不完整、不準確或虛假的信息或者與之相關而引起的，本人/吾等同意就此對鉅亨證券有關人士做出充分彌償並使其免於受損。

All the information given above is true, accurate and complete. If there is any change in connection to this Certificate, I/We will promptly notify ASL in writing within 30 calendar days and submit a new Certificate.

以上所有信息均真實、準確且完整。若發生與本證明相關之任何變更，本人/吾等將會在30個日曆日內及時書面通知鉅亨證券並提交新證明。

I. I/We further agree, acknowledge, declare and confirm that:

本人/吾等進一步同意、承認、聲明並確認：

1. unless otherwise specifically stated, I/we am/are ultimately responsible for originating the instructions in relation to Transactions conducted through my/our account, and I/we am/are the person(s) who stand(s) to gain the commercial or economic benefit of the Transactions in my/our account and/or bear the commercial or economic risks and/or are the beneficial owner of my/our account;
除非另行明確說明，否則本人/吾等是最終負責就透過本人/吾等帳戶進行之交易作出指示之人士，並且本人/吾等是將獲得本人/吾等帳戶交易帶來的商業或經濟利益及/或相應承擔商業或經濟風險之人士，及/或本人/吾等是本人/吾等帳戶的實益擁有人；
2. specimen signatures contained herein and/or provided to ASL will be used to verify all written instructions given relating to the operation of my/our account;
在此所載的和/或提供給鉅亨證券的簽名式樣將用於核實就本人/吾等帳戶操作所作之所有書面指示；
3. I/we further acknowledge and understand that any questionnaire requested by ASL and the results are for information purposes only and do not constitute investment advice or recommendation by ASL of any kind, and do not constitute any offer or solicitation to trade in any investment products;
本人/吾等進一步承認並理解，鉅亨證券要求進行的任何問卷調查及結果僅作參考之用，並不構成鉅亨證券任何種類的投資建議或推薦，亦不構成對任何投資產品進行交易的任何要約或招攬；
4. I/we understand that I/we may not be able to deal with certain derivative products (including investment funds with derivative features) if I/we do not have sufficient knowledge in such products; and
本人/吾等理解，若本人/吾等對某些衍生產品（包括帶衍生產品特點的投資基金）不具備充分知識，則可能無法買賣該等衍生產品；及
5. I/we understand that a copy of the latest version of the Securities Trading Agreement will be available upon request.
本人/吾等理解，證券買賣協議的最新版本可應要求提供。

I/we acknowledge and agree that the signature below will serve as the specimen of my / our authorized signature.

本人/吾等理解及同意，以下的簽名將被視作本人/吾等之簽名樣本。

I/we have read the Account Opening Forms Booklet, Supplemental Terms and Conditions for Electronic Trading and Terms and Conditions For Securities Trading and agree that my/our signature on this form has the same effect as the signatures signed on Pg. 14, 18, 28, 30, 31, 33, 37, 39 and 41 of ASL Account Opening Forms Booklet.

本人/吾等已閱讀現金帳戶開戶文件表格冊子，電子交易條款及證券買賣條款及細則並同意本表格上的簽名等同於在現金帳戶開戶文件表格冊子第14, 18, 28, 30, 32, 34, 37, 39 和 41頁上的簽名。

Signature of Client / 客戶簽名

(日期DD/月份MM/年份YYYY)



Printed Name / 正楷姓名：

* Signing Date / 簽署日期：

Individual Account Opening Form 個人帳戶開戶表格



Anuenue Securities
鉅亨證券

Witness (if any) 見證人 (如有)

Witness should be a certified public accountant, lawyer, chartered secretary, notary public, bank manager, a JP or a staff of ASL 見證人須為執業會計師、律師、特許秘書、公證人、銀行分行經理、太平紳士或鉅亨證券之職員

Signature 簽署:

Occupation 職業:

Name 姓名:

Address 地址:

Date (dd/mm/yyyy) 日期 (日/月/年):

Declaration by Licensed Person 持牌人聲明

I am staff of ASL. I confirm that I have provided the client the Securities Trading Agreement and the Risk Disclosure statement in Part II of the Terms and condition for Trading in a language of client's choice (English or Chinese) and invite the client to read the contents of the same thoroughly, ask question and take independent advice if client wishes.

本人為鉅亨證券的職員，本人確認已按照申請人所選擇的語言（中文或英文）向申請人提供了證券買賣協議及證券買賣條款及細則第二部份的風險披露聲明及邀請申請人細閱該風險披露聲明、提出疑問及徵求獨立的意見（如申請人有此意願）。

Signature 持牌人簽署:

English Name 持牌人姓名 (英文):

Chinese Name 持牌人姓名 (中文):

CE No. 中央編號:

Date (dd/mm/yyyy) 日期 (日/月/年):

FOR OFFICIAL USE ONLY 僅供職員使用

Name of Referee 引薦人: (if applicable 如適用) Date 日期 (dd/mm/yy):	Relationship with Client: 與客戶關係:
Reviewed By 審核人:	
Name of Staff 姓名:	Title 職位:
Date 日期 (dd/mm/yy):	
Approved By 批准人:	
Name of Authorized person 姓名:	Title 職位:
Date 日期 (dd/mm/yy):	