# AYERS Alliance Securities (HK) Limited
# 澳豐証券香港有限公司

# Corporate Account Opening Form
# 公司帳戶開戶表格

## Client Name 客戶名稱：

## Account No. 帳戶號碼：

**IMPORTANT:**
If this Account Opening Form is accompanied by a Chinese version, in the event of any inconsistency, the English version of this Account Opening Form shall prevail.

**重要提示：**倘若本開戶書附帶中文版，而與英文版有任何歧異，以英文版為準。

Registered Office:
Suites 1812-1814, 18/F, Two International Finance Centre,
No.8 Finance Street, Central, Hong Kong

註冊辦事處：
香港中環金融街8號國際金融中心二期18樓1812-1814室

Website 網址： www.AAsec.com.hk
Tel 電話：+852 2596 6688 Fax 傳真：+852 3012 9634

A licensed corporation under the Securities and Futures Ordinance (Cap.571 of the Laws of the Hong Kong SAR)
CE No. BBE915

根據證券及期貨條例〈香港法例571章〉規定的持牌法團
證監會中央編號BBE915

AYERS Alliance
AYERS Alliance Securities (HK) Limited

AE Name 經紀名稱：____________________

AE Code 經紀編號：____________________

# ACCOUNT OPENING FORM 開戶表格

☐ please tick where appropriate 請於適當位置填上「√」號

## A. ACCOUNT TYPE 帳戶類別

| | | |
|---|---|---|
| **A1. Account Type 帳戶類別** | ☐ Cash Securities Account 現金證券帳戶 | |
| **A2. Client Account Type 客戶類別** | ☐ Corporate Account 公司帳戶 | |
| **A3. Electronic Trading Services 網上交易服務** | ☐ Internet 互聯網 | ☐ Mobile 手機 |

## CLIENT INFORMATION STATEMENT 客戶資料聲明

**IMPORTANT: Please complete this form in BLOCK LETTERS** 重要提示：請以正楷填寫本表格

## B. CORPORATE INFORMATION 公司資料

Name of Company / Corporation 公司名稱
(In Chinese)
(中文)____________________
(In English)
(英文)____________________

Trading Name 經營名稱 (if different from above 如有異於上述)
(In Chinese)
(中文)____________________
(In English)
(英文)____________________

Nature of Business (e.g. private limited company, association, society, etc.)
業務性質（如私人有限公司，協會，社團等）____________________

Business Registration Number
商業登記編號____________________

Place of Incorporation
註冊成立地點 ____________________

Date of Incorporation (DD/MM/YY)
註冊成立日期（日/月/年）____________________

Certificate of Incorporation Number
註冊證編號 ____________________

Registered Address 註冊地址____________________ Postal Code 郵政編號 __________

Business Address (if different from Registered Address) (PO Box not allowed) 辦事處地址（如與註冊地址不同）（不接受郵政信箱）
____________________ Postal Code 郵政編號 __________

Correspondence Address (if different from Business Address) (PO Box not allowed) 通訊地址（如與辦事處地址不同）（不接受郵政信箱）
____________________ Postal Code 郵政編號 __________

Office Telephone No. 公司電話號碼（_____）-____________________ Office Fax. No. 公司傳真號碼（_____）-____________________

E-mail address 電郵地址 ____________________

**Method of Daily / Monthly Statement / General Correspondence 寄送日/月結單/一般函件地址 (choose one only 只可選一項)**

☐ E-mail Address 電郵地址

☐ Registered Address 註冊地址

☐ Business Address 辦事處地址

☐ Correspondence Address 通訊地址

**Preferred Statement Language 結單語言**

☐ English 英文 ☐ Chinese 中文

**B1. Beneficiary Bank Account 收款銀行帳戶**

Please provide details of your beneficiary bank account as the settlement account to which your money will be transferred.

請提供可供轉入閣下款項的銀行帳戶詳情。

| Currency 貨幣 | Name of Bank 銀行名稱 | Bank Account no. 銀行帳戶號碼 | Name of Account Holder 銀行帳戶名稱 | SWIFT Code 代號 |
|---|---|---|---|---|
| HKD 港幣 | | | | |
| CNY 人民幣 | | | | |
| USD 美元 | | | | |

**B2. Financial Profile 財務狀況**

Paid-up Capital (in HK$)
繳足股本（以港幣計）______________________

Net Asset Value (in HK$)
淨資產值（以港幣計）________________________

Major Assets
主要資產______________________________

Net Profit (After Tax) in preceding year (in HK$)
上一年除稅後溢利(以港幣計)________________________________________________________________

Source of Income 收入來源 (choose one or more 可選多項)

☐ Trading Profits 營業溢利 ☐ Manufacturing Profits 生產利潤 ☐ Dividend/Interest Income 股息/利息收入

☐ Service Income 服務收入 ☐ Rental Income 租金收入 ☐ Others (please specify) 其他(請說明)_____________

Annual Turnover (HKD) 每年營業額（港元）:

☐ Less than 少於200,000 ☐ 200,001 - 1,000,000 ☐ 1,000,001 - 5,000,000 ☐ 5,000,001 - 10,000,000 ☐ Over多於10,000,000

Net Asset Value (HKD) 資產淨值（港元）:

☐ Less than少於 500,000 ☐ 500,000 – 1,000,000 ☐ 1,000,001 – 3,000,000

☐ 3,000,001 –8,000,000 ☐ 8,000,001 –40,000,000 ☐ Over 多於40,000,000

Source of Income 收入來源 (choose one or more 可選多項)

☐ Trading Profits 營業溢利 ☐ Manufacturing Profits 生產利潤 ☐ Dividend/Interest Income 股息/利息收入

☐ Service Income 服務收入 ☐ Rental Income 租金收入 ☐ Others (please specify) 其他(請說明)_____________

**B3. Investment Profile 投資取向**

(1) Investment Objective 投資目標 (you may choose more than one option 可選擇多於一項 )

☐ Hedging對沖 ☐ Capital Gain 資本增值 ☐ Dividend Income 股息收入 ☐ Speculation 投機

☐Others, please specify 其他，請說明 ________________

(2) Investment Experience 投資經驗

| ***Please tick one of the following for every investment category* 請說明每一類產品的投資經驗** | | |
|---|---|---|
| Shares 股票 | ☐ No experience 從沒經驗 | ☐ <1 year 少於一年 ☐ 1-5 years 一至五年<br>☐ 6-10 years 六至十年 ☐ > 10 years多於十年 |
| Bonds or Funds 債券或基金 | ☐ No experience 從沒經驗 | ☐ <1 year 少於一年 ☐ 1-5 years 一至五年<br>☐ 6-10 years 六至十年 ☐ > 10 years多於十年 |
| Forex or Bullion 外匯或黃金 | ☐ No experience 從沒經驗 | ☐ <1 year 少於一年 ☐ 1-5 years 一至五年<br>☐ 6-10 years 六至十年 ☐ > 10 years多於十年 |
| Derivatives 衍生工具 | ☐ No experience 從沒經驗 | ☐ <1 year 少於一年 ☐ 1-5 years 一至五年<br>☐ 6-10 years 六至十年 ☐ > 10 years多於十年 |
| Others, please specify 其他，請說明__________ | | ☐ <1 year 少於一年 ☐ 1-5 years 一至五年<br>☐ 6-10 years 六至十年 ☐ > 10 years多於十年 |

**B4. Particulars of the Ultimate Beneficial Owner(s) 最終實益擁有人詳情)**
**(Not applicable to public listed companies 上市公司不用填寫)**

The individuals who hold 10% or more of the ultimate beneficial interest of the Corporate Client 擁有百分之十或以上的公司最終權益擁有人

| Name 姓名 | I.D. Card/Passport No. 身分證/護照號碼 | Tel. No. * 電話號碼* | U.S. Person* 美國人* | Address* 地址* | % holding 持有百分比 | Listed Company 上市公司 |
|---|---|---|---|---|---|---|
| | | ( )- | ☐ No 否 ☐ Yes 是 | | | ☐ No 否 ☐ Yes 是 |
| | | ( )- | ☐ No 否 ☐ Ye 是 | | | ☐ No 否 ☐ Yes 是 |
| | | ( )- | ☐ No 否 ☐ Yes 是 | | | ☐ No 否 ☐ Yes 是 |
| | | ( )- | ☐ No 否 ☐ Yes 是 | | | ☐ No 否 ☐ Yes 是 |
| | | ( )- | ☐ No 否 ☐ Yes 是 | | | ☐ No 否 ☐ Yes 是 |

**B5. Particulars of the Directors 董事詳情**

| Name 姓名 | I.D. Card/Passport No. 身分證/護照號碼 | Tel. No.* 電話號碼* | U.S. Person* 美國人* | Address* 地址* |
|---|---|---|---|---|
| | | ( )- | ☐ No 否 ☐ Yes 是 | |
| | | ( )- | ☐ No 否 ☐ Ye 是 | |
| | | ( )- | ☐ No 否 ☐ Yes 是 | |
| | | ( )- | ☐ No 否 ☐ Yes 是 | |
| | | ( )- | ☐ No 否 ☐ Yes 是 | |

*If the information provided by the Client indicates any "U.S. Indicia" as below: *如果客戶所提供的資料，有以下任何一項「美國指標」；
(1) The Client is a U.S. citizen or resident; 客戶為美國公民或居民；
(2) The Client was born in U.S.; 客戶在美國出生；
(3) The Client holds a current U.S. mailing, residential address (including a U.S. post office box); 客戶現時擁有美國的郵寄地址、住宅地址（包括美國郵政信箱）；
(4) The Client holds a current U.S. telephone number; 客戶現時擁有美國的電話號碼；
(5) The Client requests Standing instructions to transfer funds to an account maintained in the U.S.; 客戶要求以常設授權方式，匯款往一個在美國開立的賬戶；
(6) Any of the Directors and/or Authorized Person(s) of the Client holds a U.S. address; or 賬戶的任何董事及/或獲授權人士擁有美國地址；或
(7) The Client used an "in-care-of" or "hold mail" address as his/her sole address. 客戶以一個代收或代存郵件地址作為其唯一地址。

Then, please choose any 1 of the following options to declare the U.S. or non-U.S. status of the Client or the ultimate beneficial owner of the account:
請客戶或賬戶之最終實益擁有人選擇以下其中一項，申報其美國人或非美國人的身份：

a. If the Client or the ultimate beneficial owner of the account holds a U.S. citizenship or lawful permanent resident (green card) status, whether he/she was born in U.S., please complete Form W-9 to establish U.S. status.
如客戶或賬戶之最終實益擁有人擁有美國公民或美國合法永久居民(綠咭)身份，不論其是否在美國出生，請填寫 W-9 表格以確立美國人身份。

b. If the Client or the ultimate beneficial owner of the account does NOT hold a U.S. citizenship or lawful permanent resident (green card) status, but has any of the U.S. indicia (2) to (7), please:
如客戶或賬戶之最終實益擁有人並無擁有美國公民或美國合法永久居民(綠咭)身份，但擁有上述(2)至(7)項美國指標，請
(i) complete Form W-8 and provide a non-U.S. passport or other similar government issued evidence establishing his/her citizenship in a country other than the U.S.; and
填寫 W-8 表格及提供非美國護照或其他由政府發出的證明文件以確立非美國人身份；及
(ii) if the Client or the ultimate beneficial owner of the account was born in U.S., please provide the copy of the form "Certificate of Loss of Nationality of the United States" or written explanation regarding his/her relinquishment of U.S. citizenship or reason why he/she did not obtain U.S. citizenship at birth.
如客戶或賬戶之最終實益擁有人在美國出生，請提供表格 "Certificate of Loss of Nationality of the United States" 的副本，或書面解釋有關客戶或賬戶之最終實益擁有人放棄 美國公民身份或沒有取得美國公民身份的原因。

c. If the Client or the ultimate beneficial owner of the account does NOT have any U.S. indicia above, no W-8 or W-9 forms are required.
如客戶或賬戶之最終實益擁有人並無擁有上述任何美國指標，則不用填寫 W-8 或 W-9 表格。

**B6. Disclosure of Related Account(s) 關連賬戶資料之披露**

(1) Are you and/or any of the ultimate beneficial owner(s) of the Account a person licensed by or registered with Securities and Futures Commission of Hong Kong or an employee of a licensed/registered person?
閣下及/或任何之最終實益擁有人是否香港證券及期貨事務監察委員會發牌或註冊人士或其僱員?

☐ No 否
☐ Yes 是 (please provide the consent letter from employer and the details below 請提供僱主同意書及以下資料 )

Name of the licensed or registered person and C.E. No. (If applicable) 持牌或註冊人士姓名 及中央編號 (如適用)

____________________________________________________________

(2) Are you and/or any of the shareholder(s), director(s), partner(s), authorized person(s) or ultimate beneficial owner(s) of the Account a client of AYERS Alliance Securities (HK) Limited or its associates?
閣下及/或任何之股東、董事、合夥人、獲授權人士或最終實益擁有人是否澳豐証券香港有限公司或其聯號之客戶？

☐ No 否
☐ Yes 是 (please provide the details below 請提供以下資料)

| Name of Account<br>帳戶名稱 | AYERS Alliance Securities (HK) Limited 澳豐証券香港有限公司/ or its associates (please specify) 或其聯號(請說明) | Account Number<br>帳戶號碼 |
|---|---|---|
| | | |
| | | |
| | | |

(3) Are your shareholder's, director's, partner's, authorized person's or ultimate beneficial owner's spouse is a client of AYERS Alliance Securities (HK) Limited or its associates?
閣下之股東、董事、合夥人、獲授權人士或最終實益擁有人之配偶是否為澳豐証券香港有限公司或其聯號之客戶?

☐ N/A 不適用
☐ No 否
☐ Yes 是 (please provide the details below 請提供以下資料)

| Name of Account<br>帳戶名稱 | AYERS Alliance Securities (HK) Limited 澳豐証券香港有限公司/ or its associates (please specify) 或其聯號(請說明) | Account Number<br>帳戶號碼 |
|---|---|---|
| | | |
| | | |
| | | |

**B7. Declaration of Relationship 關係聲明**

Are your shareholder(s), director(s), partner(s), authorized person(s) or ultimate beneficial owner(s) related to any director or employee of AYERS Alliance Securities (HK) Limited, or its associates, e.g. family member or hold any beneficial interest?
閣下之股東、董事、合夥人、獲授權人士或最終實益擁有人是否與澳豐証券香港有限公司之任何董事，或職員或其聯號有任何關連，如家庭成員或有任何實際權益？

☐ No 否
☐ Yes 是(please provide the details below 請提供以下資料)

| Name 姓名 | Position 職位 | Relationship 關係 |
|---|---|---|
| | | |
| | | |

# Client Investment Suitability Questionnaire

客戶投資屬性問卷

(1) The following questionnaire is designed to help you consider your attitude toward investment risk. It asks questions which provide some indication of the overall general attitude toward risk for a typical investor displaying your personal investment characteristics. It may not match your actual attitude toward investment risk, but it indicates the profile you fit into. Please refer to our Questionnaire Disclaimer Statement. Please tick the appropriate boxes.
以下問卷為協助 閣下考慮對投資風險的取向而設。問題涉及典型投資者對風險的整體取向，顯示 閣下的個人投資特色。結果未必配對 閣下對投資風險的實際取向，但顯示 閣下屬於的類別。請參閱問卷免責聲明。請於適當空格填上「√」號。

1. What is your investment horizon? 閣下預期中的投資年期為多久?

- a. Less than 1 year 少於一年 ☐
- b. 1 - 3 years 一至三年 ☐
- c. 4 - 6 years 四至六年 ☐
- d. 7 - 10 years 七至十年 ☐
- e. Over 10 years 多於十年 ☐

2. What is your current objective for investment? 閣下現時之投資目標是?

- a. Capital preservation with a return similar to bank deposit rate 保本及賺取相約於銀行存款的回報 ☐
- b. Earn a return which is slightly above bank deposit 賺取略高於銀行存款的回報 ☐
- c. Stable, balanced income and capital growth 穩定平衡收人與資本增長 ☐
- d. Gradual long-term capital growth 資本長期地逐漸增長 ☐
- e. Maximize capital growth as soon as possible 以最短時間爭取最高回報 ☐

3. Generally, the higher the expected return the higher price fluctuation may be involved. What level of annualized price fluctuation would you generally be comfortable with? 一般而言, 預期較高回報, 亦會涉及較高的價格波幅。閣下可以接受以下哪個年度價格波幅?

- a. No price fluctuation 沒有價格波幅 ☐
- b. Price fluctuates between -5% and +5% 價格波幅介乎-5% 至 + 5% ☐
- c. Price fluctuates between -10% and +10% 價格波幅介乎-10% 至 + 10% ☐
- d. Price fluctuates between -15% and +15% 價格波幅介乎-15% 至 + 15% ☐
- e. Price fluctuates between -20% and +20% 價格波幅介乎-20% 至 + 20% ☐

4. Which of the following statement could best describe your attitude towards investment risk? 以下那一段句子最能反映閣下對風險的態度?

- a. I am risk averse and don't want to take any risks 我不願意承受任何風險 ☐
- b. I will try to avoid risks but minor ones are still acceptable 我會盡量回避風險但仍可承受較低的風險 ☐
- c. I am trying to strike a balance between risks and returns 我會平衡風險與回報 ☐
- d. I am willing to accept more risks, as I aim for more returns 我願意承受較高的風險以換取更高回報 ☐
- e. I never consider risks, as I aim to maximize returns 我不會考慮風險務求得高回報 ☐

5. What portion of your overall income is available for investment for each month? 閣下每月可用作投資的金額，佔總收入多少個百分比?

- a. Less than 10% 十個百分比或以下 ☐
- b. 10% - 29% 十至廿九個百分比 ☐
- c. 30% - 49% 三十至四十九個百分比 ☐
- d. 50% - 69% 五十至六十九個百分比 ☐
- e. 70% or above 七十個百分比或以上 ☐

6. How familiar are you with investment market development? (e.g. interest rate change or change of fiscal / monetary policies)
閣下對投資市場發展的熟悉程度如何? (例如: 利率變動或財政/貨幣政策的變動)

- a. Not familiar. Feel uncomfortable with the complexity 不熟悉。對其複雜感到費解 ☐
- b. Not very familiar. Occasionally read financial news 不是很熟悉。偶爾會閱讀財經新聞 ☐
- c. Somewhat familiar. Used to follow financial news, but not fully understand 較為熟悉。過去經常跟進財經新聞但不是完全明白 ☐
- d. Fairly familiar. Understand factors affecting investment performance 相對熟悉。了解影響投資表現的因素 ☐
- e. Very familiar. Regularly review market research and financial materials to understand/monitor the market development 非常熟悉。定期閱讀市場研究和財務資料，以便了解/跟進市場發展 ☐

| 7. What is your total liquid net worth (excluding property and business values)? 閣下的總流動資產淨值是多少 (物業和商業價值除外)? | 8. Which of the following products you have previously invested? (you may choose more than 1 option) *(The highest point answer for this question will be used to calculate your total score)* 請問閣下曾投資過甚麼產品?(可選多項)*(以此題之最高分答案計分)* |
|---|---|
| a. Below HKD8 million 少於港幣八百萬 ☐<br>b. HKD8 million to HKD15 million 港幣八百萬至一千五百萬 ☐<br>c. HKD15 million to HKD40 million 港幣一千五百萬至四千萬 ☐<br>d. HKD40 million to HKD80 million 港幣四千萬至八千萬 ☐<br>e. Above HKD80 million 港幣八千萬或以上 ☐ | a. Deposit-linked products / currency fund 存款掛鈎產品或貨幣基金 ☐<br>b. Bond or bond fund 債券或債券型基金 ☐<br>c. Equity or equity fund 股票或股票型基金 ☐<br>d. Structured product: e.g. linked note 結構型商品:如掛鈎債券 ☐<br>e. Options or futures 期權或期貨 ☐ |
| 9. If there is a fall of 15% or over in your overall investment portfolio, what level of your living will be suffered?<br>若閣下整體投資資產下跌超過十五個百分比,對閣下的生活影響程度如何? | 10. How do you expect your future monthly investable amount over the next 5 years? 閣下預計未來五年每月可投資之金額會怎樣? |
| a. Intolerable 無法承受 ☐<br>b. Great impact 影響程度大 ☐<br>c. Medium impact 中度影響 ☐<br>d. Little impact 影響程度小 ☐<br>e. No impact 不會有影響 ☐ | a. Expect the monthly investable amount will decrease gradually 預計每月可投資之金額會減少 ☐<br>b. Expect the monthly investable amount will remain unchanged 預計每月可投資之金額會維持不變 ☐<br>c. Expect the monthly investable amount will increase gradually 預計每月可投資之金額會逐漸急升 ☐<br>d. Expect the monthly investment amount will increase sharply 預計每月可投資之金額會急升 ☐ |

**Total Score of Client 總評分: ________________**

| Answer 答案 | Score 分數 |
|---|---|
| a. | 1 |
| b. | 3 |
| c. | 5 |
| d. | 7 |
| e. | 10 |

## Assessment of Client Risk Grading 客户風險等級評分方式：

| Total Score Range 總評分範圍 | Client Risk Grade 客户風險等級 | Investment Suitability Classification 投資屬性分類 |
|---|---|---|
| 10 ≦Total Score 總評分 ≦ 14 | 第一級 | Secure 保守型 |
| 15 ≦Total Score 總評分 ≦ 36 | 第二級 | Cautious 安穩型 |
| 37 ≦Total Score 總評分 ≦ 73 | 第三級 | Balanced 穩健型 |
| 74 ≦Total Score 總評分 ≦ 95 | 第四級 | Adventurous 成長型 |
| 96 ≦Total Score 總評分 | 第五級 | Speculative 積極型 |

## Description of Client Investment Suitability Classification

各類投資屬性分析請詳下方說明

| (1) Investment Suitability Classification 投資屬性 | Description 投資屬性分析 | Risks Level of Investment Products 建議產品風險等級 |
|---|---|---|
| **Grade 1 第一級 Secure 保守型** | You can bear extremely low level of investment risks with a main concern of principal protection. You prefer receiving fixed annual interests; deposit products or products with stable returns may be suitable for your consideration.<br>閣下能承受的資產波動風險極低，極度保守的閣下十分注重本金的保護，寧可讓資產隨利率水準每年獲取穩定的孳息收入，也不願冒風險追求可能的可觀報酬。閣下的理財目的可利用銀行存款，或具有穩定收益的產品來達成。 | RL1 |
| **Grade 2 第二級 Cautious 安穩型** | You can bear low level of investment risks. With a concern of principal protection, you are willing to take limited risks to outperform deposits over the medium term. In addition to deposit or currency products, with fixed income or balanced return products may be suitable for your consideration.<br>閣下能承受的資產波動風險低。除了注重本金的保護外，閣下願意承受有限的風險，以獲得比定存高的報酬。所以除了定存和貨幣市場工具之外，建議可將部分資金配置在投資等級的固定收益或平衡型商品。 | RL1 ~RL2 |
| **Grade 3 第三級 Balanced 穩健型** | You can bear medium level of investment risks. You expect a balanced portfolio among principal protection, fixed interest and capital gain. You can bear a higher level of short-term market fluctuation, which may fall, below your original investment. A balanced allocated portfolio with various types of assets may be suitable for your consideration.<br>閣下能承受的資產波動風險中庸。穩健的閣下期望在本金保全、固定孳息、與資本增長達至平衡。閣下可以接受短期間的市場波動，並且瞭解投資現值可能因而減損。穩健的投資組合可以包括多種類別的資產，透過風險分散的方式獲得穩健的投資報酬，但仍需留意個別類型的波動性。 | RL1~RL3 |
| **Grade 4 第四級** Adventurous 成長型** | You can bear high risks. To pursue over the short, medium and long term in returns, you are willing to bear capital values can fluctuate and may fall substantially below your original investment. Growth investment portfolio may be suitable for your consideration. You are also suggested to adopt small regular instalments and preset stop-loss and limit selling price in order to achieve your goal.<br>閣下能承受的資產波動風險高，為了達成長期的資本增長，閣下願意忍受較大幅度的市場波動與短期下跌的風險。成長的投資組合可以包括多種類別，且預期報酬較高的資產，但建議您採取分批投入，且設定停損停利點以便循序漸進達到您的投資目標。 | RL1~RL4 |
| **Grade 5 第五級** Speculative 積極型** | You can tolerate extremely volatile market fluctuation and very high level of investment risks. You are looking for adventurous and speculative investment products. Aggressive investment portfolio, even leverage transactions. Even you are suggested to strictly execute stop-loss and limit selling price investment principles to achieve your goal.<br>閣下能承受的資產波動風險極高。非常積極的您如獵鷹般不停尋找獲利市場，並願意大筆投資在風險較高的產品。積極的投資組中不但資產類別包羅萬象，且在必要時利用槓桿操作來提高獲利，但因市場反轉所造成的資本下跌風險偏高，建議嚴格執行停損停利的投資原則，才能達到長期資產增值的目的。 | RL1~RL5 |

## **Assessment on Knowledge of Derivative Products 衍生產品知識評估**

The following questionnaire is designed to ensure the provision of services to you with respect to derivative products are in compliance with our obligations under the Code of Conduct issued by the SFC. *(You may require to provide the relevant supporting documents to show your knowledge/experience with derivative products)*
以下問卷為確保本公司所提供給閣下有關衍生工具的服務已遵從〈證券及期貨事務監察委員會持牌人或註冊人操守準則〉中的責任。*(閣下可能須要提供相關證明文件以認證閣下對衍生產品的認識/經驗。)*

(1) I have undergone training or attended courses on derivative products
本人曾接受有關衍生產品的培訓或修讀相關課程
☐ No 否
☐ Yes 是 (Please provide the details below 請提供以下資料)
(i) Name of course or training and name of course or training provider 培訓或相關課程之名稱及提供培訓或相關課程之機構名稱:
________________________________________________
(ii) Type(s) of derivative products relevant to the training or course 培訓或相關課程之有關投資產品種類:
________________________________________________
(iii) Whether the training or course provide you with general knowledge of the nature and risks of derivative products:
培訓或相關課程是否為閣下提供衍生工具的性質和風險的一般知識
☐ No 否 ☐ Yes 是

(2) My current work experience relates to derivative products
本人現時的工作經驗與衍生產品有關
☐ No 否
☐ Yes 是 (Please provide the details below 請提供以下資料)
(i) Name of employer 僱主名稱:________________________________________
(ii) Job Title 職位:________________________________________
(iii) Please briefly state how your work relates to derivative products 請簡述閣下的工作如何與衍生產品有關:
________________________________________________
(iv) Years of work experience which relates to derivative products 衍生產品有關工作經驗之年資: ____________________

(3) My previous work experience relates to derivative products
本人過去的工作經驗與衍生產品有關
☐ No 否
☐ Yes 是 (Please provide the details below 請提供以下資料)

(i) Name of previous employer 前僱主名稱:________________________________________

(ii) Job title 職位:________________________________________

(iii) Please briefly state how your previous work relates to derivative products 請簡述閣下過去的工作如何與衍生產品有關:
________________________________________________
(iv) Years of previous work experience which relates to derivative products 過去與衍生產品有關工作經驗之年資: ________________

(4) I have prior trading experience in derivative products
本人有買賣衍生產品的經驗
☐ No 否
☐ Yes 是 (Please provide the details below 請提供以下資料)

(i) Type of derivative products traded 以往曾買賣的衍生產品種類: ______________________________
(ii) Number of transaction within the past three years 過去三年曾買賣衍生產品的交易數目: ____________________

| (2) Investor characterization 投資者分類 | Description 說明 |
| --- | --- |
| With derivative experience 有衍生工具的相關經驗 | You are characterized as client with derivative experience and can transact derivative products.<br>閣下被分類為有衍生工具相關經驗之投資者及可以 買賣衍生產品。 |
| Without derivative experience 沒有衍生工具的相關經驗 | You have been characterized as without derivative experience and in general cannot transact derivative products, unless, you wish to:<br>(a) purchase a derivative product which is traded on an exchange without our solicitation or recommendation and after appropriate explanation by us of the risks associated with the product; or<br>(b) purchase a derivative product which is not traded on an exchange without our solicitation or recommendation and after receive our appropriate advice in deciding whether or not the transaction is suitable for you in all the circumstances.<br>閣下被分類為沒有衍生工具相關經驗之投資者及在一般情況下閣下不能進行衍生產品交易，除非閣下欲：<br>(a) 認購在交易所買賣的衍生產品，且本公司沒有向閣下作出招攬或建議行為及本公司已向閣下解釋該產品所附帶的相關風險；或<br>(b) 認購並非在交易所買賣的衍生產品，且本公司沒有向閣下作出招攬或建議行為及就有關交易對閣下是否在任何情況下都合適，本公司已向閣下提供恰當的意見。 |

(1) Client Investment Suitability Classification: Client Risk Grade* 1 / 2 / 3 / 4 / 5
客戶投資屬性分類: 客戶風險等級第* 1 / 2 / 3 / 4 / 5 級
(2) Client Investor Characterization: Client *has/has no derivative experience and *can/cannot transact derivative products.
客戶投資者分類: 客戶*有 / 沒有衍生工具的相關經及*可以 / 不可以買賣衍生產品。

*Delete if not applicable 請將不適用者刪去

**CLIENT'S DECLARATION 客戶聲明**

☐ I/We hereby acknowledge and agree that the above Investor Characterization Assessment of derivative products. I/We fully acknowledge and accept the risks associated with derivative products in general and the relevant listed derivative product in which I/we have decided to trade.
本人/吾等特此確認及同意，上述有關衍生產品的投資者分類評估。 本人/吾等完全明白並接受本人/吾等所選擇的衍生產品交易所帶來的風險。

☐ I/We hereby acknowledge that the above Risks Level of Investment Products and Investment Suitability Classification is consistent with my/our investment risk requirements and investment objective.
本人/吾等特此確認，上述產品風險等級和投資屬性與本人/吾等的投資風險要求和投資目標相符。

☐ The above Risks Level of Investment Products and Investment Suitability Classification is not consistent with my/our investment risk requirement and investment objective which I/we hereby nominate my Investment Suitability Classification Grade to be:
上述產品風險等級和投資屬性與本人/吾等的投資風險要求和投資目標不符，本人/吾等特此指定本人/吾等的投資屬性級別為** _______

**** IMPORTANT NOTE重要提示 ：**
The risk of your selected Investment Suitability Classification may be higher or lower than your Risks Level of Investment Product. Please note that your Risks Level of Investment Product should be at least "RL5" to pursue "Adventurous" Investment Suitability Classification, and should be at least "RL5" to pursue "Speculative" Investment Suitability Classification.
閣下所選投資屬性的風險可能高於或低於閣下的產品風險等級。 要採取"成長型"的投資屬性，閣下的產品風險等級應至少達到 "RL4";要採取 "積極型"的投資屬性，應至少達到 "RL5"。

Signature of Director / Authorized Person and Chop of the Company
董事／獲授權人士簽署及公司蓋章

Name(s) of Individual(s)
簽署人姓名： ________________________________

Name of Company
公司名稱 ： ________________________________

Date日期： ______________________________________

## NOTICE TO CUSTOMERS RELATING TO THE PERSONAL DATA (PRIVACY) ORDINANCE ("PDPO")(CAP.486)
## 關於《個人資料(私隱)條例》(第 486 章) 致客戶的解釋說明

1. From time to time, it may be necessary for the Client to supply AYERS Alliance Securities (HK) Limited ("AASEC") with data in connection with the opening or continuation of accounts, provision of securities trading, nominee and/or investment advisory services. The data is collected pursuant to applicable laws, regulations, rules or codes binding on AASEC.
客戶須不時就開設或維持戶口、或者與證券交易、股票托管和投資諮詢服務向澳豐証券香港有限公司(以下簡稱『澳豐証券』)提供有關的個人資料。資料將由澳豐証券根據有關法律、規例、守則和規範的要求收集。

2. Failure to supply such data may result in AASEC being unable to open or continue accounts or provide securities trading, nominee and/or investment advisory services to the Client.
如客戶未能提供有關資料，可能導致澳豐証券將無法為客戶開設或維持戶口，或提供證券交易、股票託管和投資諮詢服務。

3. It is also the case that data may be collected from Clients in the ordinary course of the continuation of the business relationship.
個人資料亦會因應要維持正常業務聯繫的需要而向客戶收集。

4. AASEC will not collect any personal data that identifies a user to this website from cookies (which are small pieces of information stored on a person's computer containing information that can be retrieved by this website) or other sources, unless specified otherwise.
除非明確列明，否則澳豐証券將不會從曲奇檔案(即儲存於個人電腦內而載有可以由本網站重取個人資料之小件資料)或其他方面搜集任何可認定本網站使用者身份之個人資料。

5. The purposes for which the data relating to the Client may be used are as follows:
與客戶有關的個人資料主要有如下用途：
   a) the daily operation of securities-related services provided to the Client;
   為客戶提供有關證券日常運作服務；
   b) designing financial services or related products for the Client's use;
   根據客戶的需要設計有關的財務或相關產品；
   c) marketing financial services or related products;
   推廣財務服務和相關產品；
   d) determining the amount of indebtedness owed to or by the Client;
   確定客戶尚未繳付或尚欠客戶之款項；
   e) collection of amounts outstanding from the Client;
   向客戶收取尚未清還的款項；
   f) meeting the requirements to make disclosure under the requirements of any law, regulations, rules, codes binding on AASEC; and
   為遵守澳豐証券具有約束力的有關法律、規定、守則和規範的要求，而披露的資料；及
   g) purposes ancillary or relating to any of the above.
   其他與任何上述有附屬或附帶關係的用途。

6. Data held by AASEC relating to the Client will be kept confidential but AASEC may provide such information to the following parties for the purposes set out in paragraph 5:
澳豐証券將把客戶個人資料保密但亦可就第 5 段所述的用途向下列各方披露客戶的有關個人資料：
   a) any agent, contractor or third party service provider who provides administrative, telecommunications, computer, legal, accounting, payment or securities clearing or other services to AASEC in connection with the operation of its business;
   向澳豐証券提供的業務活動有關的管理、電訊、電腦、法律、會計、付款或股票交收或其他服務的任何代理人、合約商或者第三者；
   b) any other person under a duty of confidentiality to AASEC;
   任何對澳豐証券有保密責任之人士；
   c) any financial institution with which the Client has or proposes to have dealings;
   客戶有業務往來或即將有業務往來的財務機構；
   d) any actual or proposed assignee of AASEC or participant or sub-participant or transferee of AYERS Alliance's rights in respect of the Client;
   任何澳豐証券的實際或可能承讓人，或者澳豐証券就客戶而擁有之權益的參與人或次參與人或轉讓人；
   e) any person to whom AASEC is compelled by law or by relevant regulatory authorities to make disclosure;
   澳豐証券因應法律或有關監管機構要求必須向其作出披露的有關人士；
   f) any person with the Client's express or implied consent;
   經客戶直接或間接同意的任何人士；
   g) any person where AASEC's interests require disclosure; and
   澳豐証券因本身利益需要而必須對其作出披露的任何人士；及
   h) any person where the public interest requires disclosure.
   因公眾利益而需要對其作出披露的任何人士。

7. In the course of performing AASEC's duties, AASEC may, as permitted by law, match, compare, transfer or exchange any personal data provided by the Client with data held, or hereafter obtained, for these or any other purposes by AASEC, government bodies, other regulatory authorities, corporations, organizations or individuals in Hong Kong or overseas for the purpose of verifying those data.
在履行本身的業務活動過程中，澳豐証券可能在法律允許的範圍內，將客戶所提供的或澳豐証券其後為此目的或其他目的所獲得的客戶個人資料與香港及海外的政府機構、其他監管機構、公司、公共機構或個人所持的個人資料進行校對、比較、轉換和交換該等資料的可靠性。

8. Under and in accordance with the terms of the Personal Data (Privacy) Ordinance of Hong Kong ("PDPO") any individual:
在符合香港個人資料(私隱)條例(「私隱條例」)之條款之下，任何個別人士：
   (a) has the right to check whether AASEC holds data about him/her and the right of access to such data;
   有權查詢澳豐証券是否持有他/她的資料並有權取得該等資料；
   (b) has the right to require AASEC to correct any data relating to him/her which is inaccurate; and
   有權要求澳豐証券更改有關他/她的錯漏資料；及
   (c) has the right to ascertain AASEC's policies and practices in relation to data and to be informed of the kind of personal data held by AASEC.
   有權查詢澳豐証券擁有該些資料的政策和應用範圍，並可了解澳豐証券所持有的個人資料的種類。

9. In accordance with the terms of the PDPO, AASEC has the right to charge a reasonable fee for the processing of any data access request.
在符合私穩條例之條款的情況下，澳豐証券有權對資料查詢人士收取合理費用。

10. AASEC may use the data of the Client in direct marketing with the Client's consent (which includes an indication of no objection) for that purpose. In this connection, please note that:
在獲得客戶的同意（包括表示不反對）下，澳豐証券可能會把客戶的個人資料作於直接促銷。因此，請注意以下兩點：
   (a) the name, contact details, portfolio information, transaction pattern and financial background of the Client may be used in direct marketing of investment or financial related products and services of AASEC; and
   客戶的姓名、聯絡詳情、投資組合資料、交易模式及財務背景可被用於直接促銷澳豐証券的投資及有關財務產品及服務;及

   (b) If a Client does not wish AASEC to use and/or transfer the data for use in direct marketing, the Client may, without charge, exercise the right to opt-out.
   若客戶不願意澳豐証券使用及/或轉送個人資料作直接促銷，客户可行使其不同意此安排的權利。

11. The person to whom requests for access to data or correction of data or for information regarding policies and practices and kinds of data held are to be addressed is as follows:
Data Protection Officer
AYERS Alliance Securities (HK) Limited
Suites 1812-1814, 18/F, Two International Finance Centre, No.8 Finance Street, Central, Hong Kong
任何人士如欲查詢或更正資料或查詢有關政策和應用範圍以及個人資料的種類等資料，請如下致予詢函：
資料保護專員
澳豐証券香港有限公司
香港中環金融街 8 號國際金融中心二期 18 樓 1812-1814 室

## QUESTIONNAIRE DISCLAIMER STATEMENT
## 問卷免責聲明

The results of the questionnaire are derived from information that you have provided to us, and only serve as a reference for your consideration when making your own investment decisions. The questionnaire and the results are not an offer to sell or a solicitation for an offer to buy any financial products and services and they should not be considered as investment advice. AYERS Alliance Securities (HK) Limited ("AYERS") accepts no responsibility or liability as to the accuracy or completeness of the information given. Personal information collected in the questionnaire will be kept confidential by AYERS. The information may be used by AYERS and / or any associated entity under a duty of confidentiality to AYERS, for designing and/or marketing of financial products and services.
問卷的結果乃根據閣下所提供的資料而得出，並僅供閣下考慮為本身作出的投資決定時作參考之用。問卷內容及結果不可視為對任何投資產品及服務的銷售邀約或購買邀請，亦不應作為投資建議予以考慮。澳豐証券香港有限公司("澳豐")對所提供資料的準確性及完整性並不負上義務或責任。澳豐將就此問卷內的個人資料保密。閣下提供的資料可供澳豐及／或任 何對澳豐負有保密義務的關連實體用作設計及／或推廣金融產品及服務。

**<u>Declaration by AYERS Alliance Securities (HK) Limited Licensed Staff</u>**
**<u>澳豐証券香港有限公司持牌職員聲明</u>**

I, named below, a licensed staff member of AYERS Alliance Securities (HK) Limited, hereby declare that I have:

- ❑ met and identified each of the person(s) who executed this Account Opening Form before me, and reviewed the original of his/their ID card(s) or passport(s); and
- ❑ provided to the Client the risk disclosure statements (as contained in the Terms and Conditions) in a language of the Client's choice (English or Chinese) at ____________________ (place) and /or via telephone on ________________________ (time); and
- ❑ invited the Client to read the risk disclosure statements, ask questions and take independent advice if it so wishes.

本人(姓名見下)，為澳豐証券香港有限公司之持牌職員，謹此聲明，本人：

- ❑ 確實與本開戶表格簽署人會面及識別各人(一名或多名)，並核對其身份證或護照正本，他(們)並在本人面前簽署本開戶表格；及
- ❑ 已在___________________________________(地點)及/或在___________________(時間)用電話以客戶選擇的語言(英文或中文)提供風險披露聲明(載於條款及條件內)；及
- ❑ 已邀請其各自詳閱風險披露聲明，並按其意願提出問題及如有需要可諮詢獨立意見。

**<u>Signature of Staff 職員簽署</u>**

Staff Name 職員姓名: ________________________________________

Staff Designation 職員職銜: __________________________________

CE Number 中央編號: ______________________________________

Date 日期:__________________________________________________

**<u>Certification 核證</u>**
**(Must be completed where this Account Opening Form is not signed before a licensed staff member of AYERS Alliance Securities (HK) Limited)**
**(如本開戶表格並非在澳豐証券香港有限公司持牌職員面前簽署，必須填寫此欄)**

*To be certified by a person licensed or registered with Hong Kong Securities and Futures Commission or his affiliate, a Justice of the Peace, or a professional person (such as a branch manager of a bank, certified public accountant, lawyer or notary public).*
由香港證券及期貨事務監察委員會發牌或註冊之人士或其聯繫人士、太平紳士或專業人士 (例如銀行分行經理、執業會計師、律師或公證人) 核證。

I, named below, certify that I have met and identified each of the person(s) who executed this Account Opening Form before me, and reviewed the original of his/their ID card(s) or passport(s).

本人(姓名見下)核證已經與本開戶表格簽署人會面及核對其身份證或護照正本，他(們)並在本人面前簽署本開戶表格。

**<u>Witness Signature 見證人簽署</u>**

Name 姓名: ___________________________________________________

Profession 職業: ______________________________________________

CE Number (if applicable) 中央編號 (如適用): _____________________

Date 日期:___________________________________________________

## Acknowledgement, Declaration & Signatures確認，聲明及簽署

The undersigned client hereby acknowledges, declares and confirms that: 下述簽署客戶謹此承諾，聲明並確認：

- The information set out in this Account Opening Form is true, complete and correct and AYERS Alliance Securities (HK) Limited ("AYERS") is entitled to rely full on such information for all purposes relating to the Account(s) and the transaction contemplated by the AYERS Terms and Conditions for Cash Securities Trading ("Terms and Conditions"). The undersigned client undertakes to notify AYERS promptly in case of any change of information;
  本開戶表格內所載資料屬真實、完整及為正確無誤，而澳豐証券香港有限公司(「澳豐」）有權全面依賴此等資料就有關帳戶及按照澳豐現金證券交易條款及條件（「條款及條件」）預計進行的交易作任何用途。倘資料有任何更改，以下簽署客戶承諾盡快知會澳豐；
- The undersigned client has received, read and understood the Terms and Conditions (including the schedules, appendices and annexes thereto, if any), and the undersigned client accepts and agrees to be bound by them;
  以下簽署客戶已收到、閱讀及明白規限證券交易帳戶之條款及條件(包括其附表、附錄及附件(如有))，且接納並同意受該等條款約束；
- The risk disclosure statements (as contained in the Terms and Conditions) were provided to the undersigned client in a language of the undersigned client's choice (English or Chinese)
  風險披露聲明（載於條款及條件內）按以下簽署客戶選擇的語言(英文或中文）的版本提供予以下簽署客戶；
- The undersigned client was invited to read this risk disclosure, and to ask questions and take independent advice if the undersigned client so wishes;
  以下簽署客戶已獲邀請閱讀風險披露聲明，並按其意願提出問題及諮詢獨立意見；
- The undersigned client undertakes to promptly notify AYERS if any of its shareholders and/or directors becomes employed by any licensed or registered person with Securities and Futures Commission of Hong Kong.
  倘以下簽署客戶的任何股東及／或董事為受聘於香港證券及期貨事務監察委員發牌或註冊的任何人士，則以下簽署客戶承諾盡快通知澳豐；
- Each of the undersigned client's shareholder(s) and director(s) is over 18 years of age;
  以下簽署客戶各股東及董事已年滿十八歲；
- The undersigned client is and will be acting as principal, unless where particulars of the ultimate beneficial owner(s) are provided in this Account Opening Form  in which case the Company confirms that the person(s) whose particulars are so provided is/are the ultimate beneficial owner(s);
  除非於本開戶表格提供最終實益擁有人的詳情，否則以下簽署客戶乃以及將以當事人之身份行事，而倘於本開戶表格已提供最終實益擁有人的詳情，則以以下簽署客戶確認所提供詳情的人士（一名或多名）為帳戶（一個或多個）的最終實益擁有人（一名或多名）
- The undersigned client is fully responsible for all instructions for the operation of the Account;
  以下簽署客戶是完全負責為帳戶運作所發出的一切指示。
- The undersigned client has read the Notice to Customers Relating to the Personal Data (Privacy) Ordinance (attached in this Account Opening Form), understood it and agreed to its terms. The undersigned accept AYERS's intention and practice of using my/our name, telephone number, address and other contact information as provided for direct marketing of financial products and services. (Should the undersigned client find such use of personal data not acceptable, please indicate objection before signing by ticking the box below.)
  以下簽署客戶已閱讀『關於《個人資料（私隱）條例》(第 486 章)致客户的解釋說明』(附於本開戶表格)，並明白且同意其條款。以下簽署客戶同意澳豐可使用以下簽署客戶的姓名、電話號碼、地址及以下簽署客戶提供的其他聯絡資料以向以下簽署客戶直接促銷金融產品和服務。(如果不同意個人資料用於直接促銷，請簽署前在下面的空格內打勾表示反對。)

☐ The undersigned client objects to the proposed use of my/our personal data in direct marketing.
以下簽署客戶反對使用以下簽署客戶個人資料作直接促銷用途。

| | |
|---|---|
| Signature of Director / Authorized Person and Chop of the Company<br>董事／獲授權人士簽署及公司蓋章<br>Name 姓名：__________<br>Date 日期　：__________ | Signature of Director / Authorized Person and Chop of the Company<br>董事／獲授權人士簽署及公司蓋章<br>Name 姓名：__________<br>Date 日期　：__________ |

## Document Checklist
## 文件清單

Where this Account Opening Form is executed in the presence of an employee of AYERS, the Client shall provide the documents as required in Box A.
如本開戶表格於澳豐的僱員前簽署，則客戶須提供列明於 A 格內的文件。

Where this Account Opening Form is not executed in the presence of an employee of AYERS, the Client must provide the documents as required in Box B.
如本開戶表格並不於澳豐的僱員前簽署，則客戶須提供列明於 B 格內的文件。

| Box A （A 格） | Box B （B 格） |
|---|---|
| ❑ Certified true copy of Certificate of Incorporation<br>公司註冊證書核證副本 | Document set out in Box A which shall be certified by:<br>A 格內的文件，並須由下列人士核證:<br><br>(a) a person or an affiliate of a person licensed by or registered with the SFC; or<br>獲證監會發牌或註冊的人士或其聯繫人士；或<br><br>(b) a Justice of the Peace; or<br>太平紳士；或<br><br>(c) a professional person such as a branch manager of a bank, a certified public accountant, a lawyer or a notary public; or<br>專業人士例如銀行分行經理、執業會計師、律師或公證人等；或<br><br>(d) Certification services that are recognized by the Electronic Transactions Ordinance (Cap. 553), such as the certification services available from the Hongkong Post.<br>獲得《電子交易條例》(第 553 章)認可的驗證服務，例如由香港郵政所提供的驗證服務。 |
| ❑ Details of the ownership and structure control of the company, e.g. an ownership chart<br>公司的擁有權及控制權結構詳情，例如擁有權架構表 | |
| ❑ Certified true copy of Memorandum and Articles of Association and other constitutional documents of the Company<br>組織章程大綱及細則及其他憲章核證副本 | |
| ❑ Certified true copies of ID Card or Passport of ALL Directors, Authorized Person(s) and Shareholders who hold 10% or more of the ultimate beneficial interest of the Company<br>所有董事、獲授權人士和擁有公司 10%股權或最終權益股東之身份證或護照核證副本 | |
| ❑ Address Proof from the recent 3 months of the Director(s), Authorized Person(s) and Shareholder who hold 10% or more of the ultimate beneficial interest of the Company<br>帳戶持有人、董事、獲授權人士及擁有公司 10%股權或最終權益股東的住址證明 | |
| ❑ Certified true copy of Company Search Report (e.g. latest Annual Return)<br>公司查冊報告核證副本(如最近周年申報表) | |
| ❑ Certified true copy of extracts of Board Resolution<br>董事會決議摘要核證 | |
| ❑ Certified true copy of Certificate of Incumbency issued within last 6 months (applicable to company incorporated overseas)<br>於過去 6 個月內簽發的職權證明書(現任職位證明書)核證副本(只適用於海外註冊之公司) | |
| ❑ Certified true copy of Register of Member & Register of Directors (applicable to company incorporated overseas)<br>股東名單及董事名單之核證副本(只適用於海外註冊之公司) | |
| ❑ Certified true copy of Business Registration Certificate (applicable to company incorporated in Hong Kong)<br>商業登記證核證副本(只適用於香港成立之公司) | |
| ❑ Financial Statement for the Latest Financial Year (if applicable)<br>最新財政年度之年報(如適用) | |
| ❑ Self-Certification Form - Entity<br>自我證明表格 – 實體 | |
| ❑ Self-Certification Form – Controlling Person<br>自我證明表格 – 控權人 | |
| ❑ Auto Cash Withdrawal (if applicable)<br>自動提款通知(如適用) | |
| ❑ W-8BEN Form<br>W-8BEN 表格 | |
| ❑ W-9 Form<br>W-9 表格 | |
| ❑ Certified true copy of trust deed (applicable to trust account)<br>信託書核證副本(只適用於信託帳戶) | |
| ❑ Other document and/or information as AYERS may reasonably require<br>澳豐合理情況下需要之其他文件及/或資料 | |

**FOR OFFICE USE ONLY 只供本公司使用**

Documentation checked by 文件核實人: ____________________________ Signature 簽署: ______________________ Date 日期: ________________

Client Investment Suitability Total Score 客户投資屬性問卷總評分: _______________

Client Investment Suitability Classification 客户投資屬性分類: Grade 第 1 / 2 / 3 / 4 / 5 級

Client Risk Classification 客戶風險分類: Low Risk 低風險 / Medium Risk 中風險 / High Risk 高風險

Client AML Risk 客戶 AML 風險: Low Risk 低風險 / Medium Risk 中風險 / High Risk 高風險

| | Amount Applied 申請之數額 | Amount Approved 獲批核之數額 |
|---|---|---|
| Brokerage Rate 經紀佣金 | ________________________ | ____________________________ |
| Trading Limit 交易限額 | ________________________ | ____________________________ |
| Credit Limit 信貸限額 | ________________________ | ____________________________ |
| Cap Limit 最高限額 | ________________________ | ____________________________ |

Background of Client and the relevant information 客戶背景及其相關資料:

____________________________________________________________________________________________________

____________________________________________________________________________________________________

Approved by 文件審批人: _____________________________________ Signature 簽署: ___________________________ Date 日期: ______________

Remarks 附註: ____________________________________________________________________________________________

____________________________________________________________________________________________________

Inputted by: _________________________ Checked by: ______________________ Account Open Date: ___________________________

# CERTIFIED TRUE COPY OF BOARD RESOLUTIONS

# 董事會決議摘要核證

To: AYERS Alliance Securities (HK) Limited (hereinafter referred to as "AYERS")

致: 澳豐証券香港有限公司 (以下簡稱「澳豐」)

1. PRESENT Name Signature

_______________________________________ _______________________________

_______________________________________ _______________________________

_______________________________________ ________________________________

2. CHAIRMAN

__________________________________________________ was elected as the chairman (the “Chairman”) of the meeting.

3. Extracts from the Minutes of the Meeting of the Board of Directors of (Name of the Company) _________________________ _______________________________________ (the “Company”) held at (Place) _______________________________________ on (Date)______________________________at which a quorum was present and which resolutions were duly passed and are now in full force and effect.

摘錄自(公司名稱)______________________________________________________________________________(「本公司」)於（日期）_________________________________假座（地點）_______________________________________________ 舉行的董事會會議的會議紀錄，此會議均有足夠法定人數出席，並正式通過以下已全面實施並生效之決議案。

4. It was RESOLVED that: 以下決議經已正式通過：

a) One or more cash securities account(s) (the "Account") be opened and maintained in the name of the Company with AYERS for the purpose of holding funds relating to any purchases, sales, holdings and other dealings in Securities as the Company may instruct AYERS to effect from time to time on behalf of the Company and that the Account and all such purchases, sales, holdings and other dealings be effected subject to and in accordance with, wherever applicable, the Terms and Conditions contained in the Account Opening Form including the Terms and Conditions (including the schedules, appendices and annexes thereto, if any) (the “Agreement”) to be entered into by the Company with AYERS in connection with the opening of the Account;

以本公司的名義於澳豐開立及維持一個或多個現金證券帳戶（「帳戶」），以持有與本公司可能指示澳豐代表本公司不時進行的任何證券買賣、持有及其他交易有關的資金，並根據及按照（如適用）本公司與澳豐將就開立帳戶訂立的開戶表格及按照澳豐現金證券交易條款及條件（「條款及條件」）（ 包括其附表、附錄及附件（ 如有 ））操作帳戶及進行一切有關買賣、持有及其他交易；

b) The Agreement in such form as completed and produced to the Meeting be and are hereby approved and any (number) ________Director(s) and/or____________________________________ (name) of the Company be authorized to open the Account with AYERS and to sign the Agreement and Account Opening Form for and on behalf of the Company and the signed originals thereof be delivered to AYERS and to affix the Company’s Common Seal (if required) to any instruments, documents or agreements;

批准有關格式為已填妥及提呈此會議的協議及開戶表格，授權任何（人數）______名董事及／或本公司_________________________（姓名）於澳豐開立帳戶及代表本公司簽署協議，並將其已簽署之協議正本送交澳豐及於任何文據、文件或協議加蓋本公司印章(如需要)；

5. The undermentioned designated persons be hereby authorized and empowered, on behalf of the Company as follows: 以下列方式授權及賦權下述指定人士代表本公司：

**a) Trading Representative (for trading instructions) 交易代表（有關交易指示）**

Any of the following person(s) (“Trading Representative”) is/are to place orders and to give all verbal or written instructions with respect to any such transactions or any matter concerning the Account and otherwise pursuant to the Agreement and to sign all trade related documents in connection therewith:

任何以下人士（「交易代表」）將就關於帳戶及以其他方式根據協議進行的任何有關交易或任何事項發出指令及發出一切口頭或書面指示，並就此簽署一切買賣相關文件：

Any one of the following Trading Representative(s) acting singly:

任何一名以下交易代表可單獨行事：

| Name<br>姓名 | Position<br>在本公司之職位 | Contact No.<br>聯絡電話 | ID/Passport No.<br>身分證號碼/護照號碼 | Specimen Signature<br>簽名式樣 |
|---|---|---|---|---|
| | | | | |
| | | | | |
| | | | | |
| | | | | |

**b) Account Operation Authorized Person(s) (for all instructions) 授權操作帳戶人士（有關一切指示）**

Any (number) _____ of the following persons(s) (“Account Operation Authorized Person”) is/are to give AYERS such instructions and/or to do any act or thing as may be necessary or expedient for the operation and maintenance of the Account; and generally to do and take any and all action necessary in connection with the Account (including but not limited to giving any trading instructions and instructions relating to and/or the withdrawals, transfers and other dealings in assets held in the Account) or considered desirable by such persons in connection therewith;

任何（人數）_____名以下人士（「授權操作帳戶人士」）可向澳豐發出就操作或維持帳戶的必要或適切指示，及/或作出任何行為或事情；及一般地作出或採取就帳戶而言屬必要（包括但不限於發出交易指示及關於帳戶所持有資產及／或其提取、轉讓及其他資產處理的指示）或有關人士認為就此而言屬適宜的任何及一切行動；

The list of Account Operation Authorized Persons is as follows: 授權操作帳戶人士列表如下:

| Name<br>姓名 | Position<br>在本公司之職位 | Contact No.<br>聯絡電話 | ID/Passport No.<br>身分證號碼/護照號碼 | Specimen Signature<br>簽名式樣 |
|---|---|---|---|---|
| | | | | |
| | | | | |
| | | | | |
| | | | | |

4. **Specimen of Company's Chop / Seal 公司蓋章或式樣**

☐ Valid specimen should be signed together with company's chop / seal

簽署式樣須加上公司蓋章或式樣方為有效

☐ Signature solely could be a valid specimen. No company's chop / seal is required

簽署式樣不須加上公司蓋章或式樣

5. I HEREBY CERTIFY that the foregoing Resolutions are a complete, true and correct copy of the resolutions duly passed and adopted by the Board of Directors of the Company on the date stated therein and that the said resolutions have been duly entered in the minute book of the Company and signed therein by me as Chairman and are in accordance with the Articles of Association of the Company and that the same has not been rescinded or modified and remain in full force and effect.
茲證實上述決議案根據公司章程細則由本人作為會議主席簽署為完整、真實及正確的，由公司董事會在上述日期的會議上通過，與載於公司會議紀錄者相同及。該章程細則維持有效。

6. I further certify that the names and other information of the Authorized Persons required to operate the Account(s) on behalf of the Company and their specimen signatures provided to AYERS are correct and genuine.
本人進一步證實代表本公司操作帳戶的獲授權人士之名字，其他資料及簽署式樣均為正確及真實。

7. **End of Meeting**

There being no other business, the Chairman declared the meeting closing.

沒有其他事項，主席宣布會議結束。

Signature of Chairman of the Meeting 董事會會議主席簽署

Name of Chairman 董事會會議主席姓名