



Account Opening Form (Individual Account) 客戶開戶表格 (個人賬戶)

Account Type 賬戶類別	<input type="checkbox"/> Cash Trading Account 現金交易賬戶 <input type="checkbox"/> Margin Trading Account 保證金交易賬戶	Account No. 賬戶號碼	(C)	(M)
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Part 1 第 1 部 Personal Information 個人資料

Title 稱謂	<input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Mrs. 太太 <input type="checkbox"/> Ms. 女士	Gender 性別	<input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女
Name in Chinese 中文姓名	Name in English 英文姓名		
Type of Identification Document 身份證明文件類別	Identification Doc. No. 身份證明文件號碼		
<input type="checkbox"/> HKID 香港身份證 <input type="checkbox"/> PRC ID 內地身份證 <input type="checkbox"/> Passport 護照 (Issue Country 簽發國家 _____) <input type="checkbox"/> Others 其他: _____	Nationality 國籍		
Date of Birth 出生日期	DD 日	MM 月	YYYY 年
E-mail 電郵	Mobile 手提	Home Tel. 住宅電話	Fax 傳真
Residential Address (Proper documentary proof of residential address is required) 住宅地址 (需提供適當證明文件)			
Room/Flat 室/單位	Floor 層數	Block 座數	Building 大廈
Estate/Court 屋村/屋苑	No. & Name of Street 街號及街名		
District 地區	City 城市	Country 國家	
Correspondence Address 通訊地址	<input type="checkbox"/> Same as above Residential Address 同上住宅地址 <input type="checkbox"/> Office or Others (please specify below) 辦事處或其他(請於下方註明)		
Communication Method (For issuance of Daily/Monthly Statement) 通訊方式 (用作發送日/月結單)	Statement Language 結單語言		
<input type="checkbox"/> Post 郵寄 (Administration Fee of \$50 per statement + postage. 每份結單行政費為港幣50元正,另加郵費) <input type="checkbox"/> E-mail 電郵	<input type="checkbox"/> 繁體 <input type="checkbox"/> 簡體 <input type="checkbox"/> English		

Part 2 第 2 部 Education Level 教育程度 / Employment Status 就業狀況

Education Level 教育程度	<input type="checkbox"/> University or above 大學或以上 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Primary or below 小學或以下 <input type="checkbox"/> Others 其他 _____		
Employment Status 就業狀況 / Source of Income 收入來源	Self-employed 自僱: <input type="checkbox"/> Professional 專業人士 <input type="checkbox"/> Non-Professional - Partnership 非專業人士 - 合夥經營 <input type="checkbox"/> Non-Professional - Sole Proprietor 非專業人士 - 獨資經營 <input type="checkbox"/> Non-Professional - Limited Company 非專業人士 - 有限公司 Employed 受僱: <input type="checkbox"/> Regular Salaried 固定收入 <input type="checkbox"/> Non-Regular Salaried 非固定收入 <input type="checkbox"/> Temporary/ Part time 臨時/兼職 <input type="checkbox"/> Salaried (Controller/Owner/Director) 領薪 (總監/持有人/董事) <input type="checkbox"/> Home Maker 管家(家庭主婦) <input type="checkbox"/> Unemployed 失業 <input type="checkbox"/> Retired 退休		
Employment Information 受僱資料 (For Employed / Self-employed, please complete) (如屬受僱 / 自僱, 請填寫) (Full-time investors (or equivalent) will not be accepted as employment information 不可填寫全職投資者(或其等同)為受僱資料)	Company Name 公司名稱		
Company Address 公司地址	Company Website (if any) 公司網頁 (如有)		
Industry 行業	Year(s) of Employed 任職年期		
Office Tel. 辦公室電話	Position 職位		

Part 3 第 3 部 Bank Details 銀行詳情 (For Fund Withdrawal Only 只供提款之用)

(Proper documentary proof of bank account information is required 需提供適當證明文件)		
Currency 貨幣	Name of Bank 銀行名稱	Account No. 賬戶號碼 (Joint Account not accepted 不接受聯名賬戶)
HKD 港元		
CNY 人民幣		
USD 美金		

Part 4 第 4 部 Financial Position 財政狀況		
<b>Source of Wealth</b> (one or more item(s)) <b>財富來源</b> (可選多項)	<input type="checkbox"/> Earning from Work 工作收入 <input type="checkbox"/> Personal Savings 個人儲蓄 <input type="checkbox"/> Inheritance 資產繼承 <input type="checkbox"/> Earning Given by Spouse 配偶給予的收入 <input type="checkbox"/> Borrowing/Loans 借貸	<input type="checkbox"/> Earning from Own Business 自資業務收益 <input type="checkbox"/> Return on Investment 投資收益 <input type="checkbox"/> Winning Lottery / Prize Money 博彩獎金 <input type="checkbox"/> Sale of Assets (e.g. Car, Property) 資產轉售 (如：汽車、物業) <input type="checkbox"/> Others 其他：_____
<b>Annual Income (HKD)</b> <b>每年收入 (港幣)</b>	<b>Other Assets 其他資產</b> (one or more item(s) 可選多項)	<b>Total Net Worth (HKD)</b> <b>總資產淨值 (港幣)</b>
<input type="checkbox"/> < 120,000 <input type="checkbox"/> 120,000 – 360,000 <input type="checkbox"/> 360,001 – 600,000 <input type="checkbox"/> 600,001 – 1,200,000 <input type="checkbox"/> 1,200,001 – 5,000,000 <input type="checkbox"/> 5,000,001 – 10,000,000 <input type="checkbox"/> > 10,000,000	<input type="checkbox"/> Cash / Deposit 現金 / 存款 <input type="checkbox"/> Securities 證券 <input type="checkbox"/> Bonds / Funds 債券 / 基金 <input type="checkbox"/> Property 物業 <input type="checkbox"/> Vehicles 車輛 <input type="checkbox"/> Others 其他：_____	<input type="checkbox"/> < 100,000 <input type="checkbox"/> 100,000 – 500,000 <input type="checkbox"/> 500,001 – 1,000,000 <input type="checkbox"/> 1,000,001 – 5,000,000 <input type="checkbox"/> 5,000,001 – 10,000,000 <input type="checkbox"/> 10,000,001 – 50,000,000 <input type="checkbox"/> > 50,000,000

Part 5 第 5 部 Investment Experience 投資經驗			
<b>Investment Experience</b> <b>投資經驗</b>	<b>Products Invested 曾投資產品</b> (one or more item(s) 可選多項)	<b>Investment Objectives 投資目標</b> (one or more item(s) 可選多項)	<b>Estimated Investment Amount (HKD)</b> <b>預計投資金額 (港幣)</b>
<input type="checkbox"/> Nil 沒有 <input type="checkbox"/> < 1 Year 年 <input type="checkbox"/> 1 – 5 Years 年 <input type="checkbox"/> 6 – 10 Years 年 <input type="checkbox"/> > 10 Years 年	<input type="checkbox"/> Nil 沒有 <input type="checkbox"/> Securities 證券 <input type="checkbox"/> CBBCs 牛熊證 <input type="checkbox"/> Derivative Warrants 衍生權證 <input type="checkbox"/> ETFs 交易所買賣基金 <input type="checkbox"/> Futures & Options 期貨及期權 <input type="checkbox"/> Bonds 債券 <input type="checkbox"/> Funds 基金 <input type="checkbox"/> Others 其他：_____	<input type="checkbox"/> Dividend Income 股息收入 <input type="checkbox"/> Capital Appreciation 資本增值 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Others 其他：_____	<input type="checkbox"/> < 100,000 <input type="checkbox"/> 100,000 – 500,000 <input type="checkbox"/> 500,001 – 1,000,000 <input type="checkbox"/> 1,000,001 – 5,000,000 <input type="checkbox"/> 5,000,001 – 10,000,000 <input type="checkbox"/> > 10,000,000

Part 6 第 6 部 Risk Tolerance and Client Investment Interest 可承受風險及客戶投資意向	
<b>Risk Tolerance 可承受風險</b> (只填選一項 one item only)	<b>Client Investment Interest 客戶投資意向</b> (one or more item(s) 可選多項) Please tick the below product(s) if you have interest in trading of: 請選擇以下有意欲交易之產品:
<input type="checkbox"/> Aggressive 高	<input type="checkbox"/> Derivative Warrants / Callable Bull / Bear Contracts 衍生權證(窩輪) / 牛熊證 <input type="checkbox"/> ETFs / Trust 交易所買賣基金 / 信托基金 <input type="checkbox"/> Shanghai Connect Stock 滬股通股票 (Please COMPLETE Appendix 1 below 請完成以下附表 1) <input type="checkbox"/> Shenzhen Connect Stock 深股通股票 (Please COMPLETE Appendix 1 below 請完成以下附表 1) <input type="checkbox"/> Grey Market 暗盤市場 (Please COMPLETE Appendix 2 below 請完成以下附表 2) <input type="checkbox"/> GEM <input checked="" type="checkbox"/> Main Board 主板
<input type="checkbox"/> Moderate 中	<input type="checkbox"/> ETFs / Trust 交易所買賣基金 / 信托基金 <input type="checkbox"/> GEM <input checked="" type="checkbox"/> Main Board 主板
<input type="checkbox"/> Conservative 低	<input checked="" type="checkbox"/> Main Board 主板

Appendix 1 附表 1 Personal Information Collection - Northbound China Connect Orders 中華通北向交易 - 個人資料收集
(Applicable to trading in Shanghai and/or Shenzhen Connect Stock 適用於交易滬股通 及/或 深股通股票) <b>Acknowledgement and Consent 確認和同意</b> I hereby acknowledge I have read and understand the content of the Personal Information Collection Statement Concerning Northbound China Connect Orders of the Client Account Agreement. By ticking the box below, I signify my consent for Aristo Securities Limited to use my personal data on the terms of and for the purposes set out in the Personal Information Collection Statement Concerning Northbound China Connect Orders of the Client Account Agreement. 本人在此確認已閱讀並理解《客戶賬戶協議書》所載的中華通北向交易個人資料收集聲明的內容。通過勾選下面的方框，本人表示同意雅利多證券有限公司根據“個人資料收集聲明”中的條款和目的使用本人的個人數據。 <input type="checkbox"/> I agree that Aristo Securities Limited use of my personal data for the purposes set out in the Personal Information Collection Statement Concerning Northbound China Connect Orders of the Client Account Agreement. 本人同意雅利多證券有限公司將本人之個人資料用於《客戶賬戶協議書》的中華通北向交易個人資料收集聲明所載的目的。

Appendix 2 附表 2 首次公開招股股票 - 暗盤下單條款 (In Chinese only)
(適用於交易暗盤市場) 確認和同意 <input type="checkbox"/> 本人在此確認已閱讀並理解《客戶賬戶協議書》所載的首次公開招股股票 - 暗盤下單條款的內容。本人表示同意首次公開招股股票 - 暗盤下單條款中的條款並受其約束。

**Part 7 第 7 部 Client's Knowledge of Derivatives and Trading Experience 客戶對衍生工具產品的認識及投資經驗**

**My knowledge of derivative products are as followed: 對衍生產品的認識如下:**

I understand the nature and risks of derivative products by: 本人經以下途徑了解衍生產品的性質和風險:

I have undergone training or attended courses on derivative products (Please provide certificate or related supporting documents)

本人已接受有關介紹一般衍生產品之性質及風險的培訓或課程 (請提供證書或相關之證明文件)

Name of Courses / Seminars 課程 / 研討會名稱: \_\_\_\_\_

Organizer 主辦機構: \_\_\_\_\_ Yr of Participation 參與年份: \_\_\_\_\_

I have current or previous work experience related to derivative products (Please provide job proof: reference letter or name card etc.)

本人現時擁有或過去曾擁有與衍生產品有關之工作經驗 (請提供工作證明文件, 如推薦信, 名片等)

Name of employer 公司名稱: \_\_\_\_\_ Position 職位: \_\_\_\_\_

I have executed five or more transactions in derivative products within the past three years 本人曾於過去三年內曾執行過五次或以上有關衍生產品之交易

Product(s) invested 曾交易產品:  CBCBs 牛熊證  Derivative Warrants 衍生權證(窩輪)  ETFs 交易所買賣基金

Others 其他: \_\_\_\_\_

I do NOT have any knowledge of derivative products. 本人對衍生產品沒有認識。

**Assessment Result  
(For Official Use Only)**

評估結果 (只供本公司使用)

With knowledge of derivatives 對衍生產品有認識

Without knowledge of derivatives 對衍生產品沒有認識

Client has fully understood the relevant risks of the derivative product(s) enclosed herewith and wish to trade derivative product(s) 客戶已明白衍生產品所附帶的相關風險, 並有意進行衍生產品交易

**Part 8 第 8 部 Disclosure of Identity 身份披露**

1. Are you an employee or a licensed or registered person under the Securities and Futures Ordinance or a registered institution under the Banking Ordinance? 你是否證券及期貨條例註冊持牌法團或銀行業條例之註冊機構之僱員、持牌代表或註冊人員?

No 否  Yes 是, Name of licensed corporation/registered institution 持牌法團/註冊機構名稱: \_\_\_\_\_

Your CE No. 你的中央編號: \_\_\_\_\_

(\*Please attach a consent letter of account opening from the licensed corporation/registered institution. 請附上該持牌法團/註冊機構發出之開戶同意書)

2. Are you a relative of any director/employee/representative of Aristo Securities Limited? 你是否雅利多證券有限公司任何董事/僱員/代表的親屬?

No 否  Yes 是, Name of director or employee or representative 董事/僱員/代表: \_\_\_\_\_

Relationship with him/her 雙方關係: \_\_\_\_\_

3. Are you a substantial shareholder\* / director / senior management officer of any (listed) company whose shares are traded on any exchange or market? 你是否任何其股份在交易所或市場買賣的(上市)公司之主要股東\* / 董事 / 高級管理人員?

No 否  Yes 是, Company Name 公司名稱: \_\_\_\_\_ Stock Code 上市編號: \_\_\_\_\_

\* "substantial shareholders" means, in relation to a company, a person who is entitled to exercise, or control the exercise of, 10% or more of the voting power at any general meeting of that company. 「主要股東」指, 就一間公司而言, 任何人士於該公司之任何股東大會擁有權行使, 或可控制行使, 10% 或以上之投票權

4. Do you and/or your spouse, partner, child, parent, spouse or partner of your child, or your close associate entrust and has ever entrusted with a prominent public function, which includes a head of state, head of government, judicial or military official, and an important political party official? 你或/及你之配偶、伴侶、子女、父母、子女的配偶或伴侶或與你關係密切的人, 是否擔任及曾擔任重要公職, 包括國家元首、政府首長、及重要政黨幹事?

No 否  Yes 是, Name of relevant person 相關人士名稱: \_\_\_\_\_

Position entrust or has entrusted 擔任及曾擔任之公職: \_\_\_\_\_

**Part 9 第 9 部 <sup>1</sup> Related Margin Client(s) Information 關連保證金客戶資料 (For Margin Accounts Only 只適用於保證金賬戶)**

1. Is your spouse a margin client of Aristo Securities Limited? 你的配偶是否雅利多證券有限公司的保證金客戶?

No 否  Yes 是, whose Account No. 其賬戶號碼: \_\_\_\_\_ and 及

Account Name 其賬戶名稱: \_\_\_\_\_

2. Are you, either alone or with your spouse, in control of 35% or more of the voting rights of any corporate margin account of Aristo Securities Limited? 你是否單獨或與你的配偶共同控制任何雅利多證券有限公司的公司保證金賬戶 35%或以上投票權?

No 否  Yes 是, Corporate Margin Account No. 該公司保證金賬戶號碼: \_\_\_\_\_ and 及

Corporate Margin Account Name 該公司保證金賬戶名稱: \_\_\_\_\_

<sup>1</sup> "Group of Related Margin Client" as defined in FRR: (a) where it is a group of two margin clients, one is the spouse of the other; (b) where one or more of the margin clients are corporations, one is in control, either alone or with his/her spouse, of 35% or more of the voting rights of that other margin client or each of the other margin clients; or (c) where the margin clients are corporations, they are members of the same group of companies. 財政資源規則所定義的「一組關連保證金客戶」是指: (a) 如該組只有 2 名保證金客戶, 其中一名保證金客戶是另一名的配偶; (b) 如該等保證金客戶中有一名或多於一名是法團, 其中一名保證金客戶單獨或與其配偶控制其餘的一名或每名保證金客戶的 35% 或以上的表決權; 或 (c) 如該等保證金客戶均為法團, 該等保證金客戶是同一公司集團的成員。

**Part 10 第 10 部 Taxation 稅務狀況**

**Automatic Exchange of Financial Account Information 自動交換財務賬戶資料:** Please indicating the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and the account holder's Taxpayer Identification Number ("TIN") for each jurisdiction indicated. 請於下表列明賬戶持有人的居留司法管轄區 (即稅務管轄區(香港包括在內))及該居留司法管轄區發給賬戶持有人的稅務編號。Please indicate **all** (not restricted to three) jurisdictions of residence in the following table. 請列出**所有**(不限於 3 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. \*如賬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。

Jurisdiction of Residence 居留司法管轄區	TIN* 稅務編號*	No TIN Reason 沒有稅務編號理由	Explanation of Reason B Selected 選取理由B的原因及解釋
(1)		Reason 理由: <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
(2)		Reason 理由: <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
(3)		Reason 理由: <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	

Reason A 理由 A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents. 賬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. 賬戶持有人不能取得稅務編號。如選取這一理由, 解釋賬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. 賬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賬戶持有人披露稅務編號。

**DECLARATIONS 聲明**

I 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 the 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)有關交換財務賬戶資料的法律條文, (a)收集本表格所載資料並可備存作自動交換財務賬戶資料用途及(b) 把該等資料和關於賬戶持有人及任何須申報賬戶的資料向香港特別行政區政府稅務局申報, 從而把資料轉交到賬戶持有人的居留司法管轄區的稅務當局。

Of all the account(s) to which this form relates, I certify that 本人證明, 就與本表格所有相關的賬戶:

I am the account holder 本人是賬戶持有人 **OR 或**

I am authorized to sign for the account holder. 本人獲賬戶持有人授權簽署本表格。(Capacity 身分: \_\_\_\_\_)  
(Please attach a certified copy of the power of attorney. 請附上授權書的核證副本。)

I undertake to advise Aristo Securities Limited of any change in circumstances which affects the tax residency status of myself or causes the information contained herein to become incorrect, and to provide Aristo Securities Limited with a suitably updated self-certification form within 30 days of such change in circumstances. 本人承諾, 如情況有所改變, 以致影響本人的個人的稅務居民身分, 或引致本表格所載的資料不正確, 本人會通知雅利多證券有限公司, 並會在情況發生改變後 30 日內, 向雅利多證券有限公司提交一份已適當更新的自我證明表格。 **AND 及**

**I declare that the information given and statements made are, to the best of my knowledge and belief, true, correct and complete.** 本人聲明就本人所知所信, 所填報的所有資料和聲明均屬真實、正確和完備。

**WARNING 警告: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).** 根據《稅務條例》第 80(2E)條, 如任何人在作出自我證明時, 在明知一項陳述在要項上屬具誤導性、虛假或不正確, 或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下, 作出該項陳述, 即屬犯罪。一經定罪, 可處第 3 級 (即\$10,000) 罰款。

**Part 11 第 11 部 FATCA Self-Certification (Individual) 海外賬戶稅收合規法案聲明書 (個人)**

**FATCA Status 海外賬戶稅收合規法案:**

Are you a citizen (US passport holder) or resident (green card holder) of the United States?

閣下是否為美國公民(持有美國護照) 或 美國居民(持有美國綠卡)?

No 否  Yes 是, please provide ITIN 請提供個人納稅識別號碼: \_\_\_\_\_

**CERTIFICATION 聲明**

I hereby consent for Aristo Securities Limited to disclose, report or share my relevant information with local and overseas regulators or tax authorities where necessary to establish my tax liability in any jurisdiction. I declare that I have examined the information on this self-certification and to the best of my knowledge and belief, it is true, correct and complete. I will inform your company within 30 days if any information herein becomes incorrect. 本人同意雅利多證券有限公司可向本地及海外監管機構或稅務機構披露、呈交或提供本人的資料以確立本人於任何司法管轄區的稅務責任。本人在此聲明本人已查閱此聲明之內容, 並盡本人所知及確信, 聲明內容均屬真實、正確及完整。本人同意如以上聲明有變更, 將於 30 日內通知貴公司。

**Part 12 第 12 部 Anti-Money Laundering And Anti-Terrorist Financing Questionnaire 防止洗黑錢及防止恐怖份子籌資活動問卷**

1. Are you a citizen of a place which is a member of the Financial Action Task Force ("FATF")? (Members of FATF include: Argentina, Australia, Austria, Belgium, Brazil, Canada, China, Denmark, Finland, France, Germany, Greece, Hong Kong, Iceland, India, Ireland, Italy, Japan, South Korea, Luxembourg, Malaysia, Mexico, Netherlands, New Zealand, Norway, Portugal, Russian Federation, Singapore, South Africa, Spain, Sweden, Switzerland, Turkey, United Kingdom, USA, European Commission, and the Gulf Cooperation Council)

你是否財務行動特別組織的成員的公民? (財務行動特別組織成員包括: 阿根廷、澳洲、奧地利、比利時、巴西、加拿大、中國、丹麥、芬蘭、法國、德國、希臘、香港、冰島、印度、愛爾蘭、意大利、日本、南韓、盧森堡、馬來西亞、墨西哥、荷蘭、紐西蘭、挪威、葡萄牙、俄羅斯聯邦、新加坡、南非、西班牙、瑞典、瑞士、土耳其、英國、美國、歐洲委員會及海灣合作理事會)

Updated List for the Members of FATF 最新財務行動特別組織成員名單: <http://www.fatf-gafi.org/countries/#FATF>

Yes 是  No, please elaborate below 否, 請於下方詳述:

2. Do you live in a place with established laws / regulations designed to prevent money laundering?

你是否居住在一個已有現行法律或條例立以制止洗黑錢的活動的地方?

Yes 是  No, please elaborate below 否, 請於下方詳述:

3. Are you free from links with politically exposed persons? (Politically exposed person: individual who is or has been entrusted with prominent public function, e.g. head of state/government, senior politician, senior executive of government-owned corporation, important political party official, etc.)

你與政界人士並沒有聯繫? (政界人士: 指目前或以往曾經擔任重要公職的人士, 如國家或政府的首長、資深政客、政府屬下企業高級官員和重要政黨官員等)

Yes 是  No, please elaborate below 否, 請於下方詳述:

4. Is the nature of your job not particularly susceptible to money laundering risk? (For example: not money changer or casino business that handles large amount of cash etc.)

你的工作性質並不是特別容易蒙受洗黑錢的風險? (舉例: 不是會接觸大量現金往來的找換業或博彩業等)

Yes 是  No, please elaborate below 否, 請於下方詳述:

5. Have you maintained a "no conviction record" for anti-money laundering or anti-terrorist financing legislation?

你是否就反洗黑錢條例或反恐怖份子籌資活動條例維持著“無罪紀錄”?

Yes 是  No, please elaborate below 否, 請於下方詳述:

**For client who works in a company with business involving the handling of third party assets (e.g. fund manager, stockbrokers), please answer the following questions.**

如閣下工作的公司業務涉及處理第三者的資產 (如基金經理, 股票經紀), 請回答以下的問題。

6. Has the company you work for (including foreign branches and subsidiaries, if any) established written policies and implemented internal procedures and controls to combat money laundering?

你工作的公司 (包括外國的分行及子公司) 是否已制訂書面政策, 並執行內部程序和管理, 以打擊洗黑錢的行動?

Yes 是  No, please elaborate below 否, 請於下方詳述:

7. In the company you work for, are there documented procedures for reporting suspicious activities and transactions to the appropriate authorities?

你工作的公司就舉報可疑的活動和交易是否已確立程序向適當的監控組織報告?

Yes 是  No, please elaborate below 否, 請於下方詳述:

8. In the company you work for, are there established policies and procedures to ensure that reasonable measures are taken to obtain information about the true identity of your customers, and are these records retained for a specified period of time?

你工作的公司是否已制訂政策與程序, 確保已採用合理方法去取得客戶真正身份的資料, 並將有關資料於指定時限內予以保留?

Yes 是  No, please elaborate below 否, 請於下方詳述:

Client Signature 客戶簽署

Print Name

正楷姓名

Date (DD / MM / YYYY)

日期 (日 / 月 / 年)

**Standing Authority under the Securities and Futures (Client Securities) Rules**

根據《證券及期貨(客戶證券)規則》作出的常設授權

This letter of authority covers the securities or securities collateral received or held by you on my behalf. Unless otherwise defined, all the terms used in this Authorization Letter shall have the same meanings as defined in the Securities and Futures Ordinance and the Securities and Futures (Client Securities) Rules as amended from time to time. 本授權書是關於貴公司代表本人接收或持有的證券或證券抵押品。除另有說明外，在本授權書內的所有用語應具有經不時修訂的《證券及期貨條例》及《證券及期貨(客戶證券)規則》所定義的相同意思。

I authorize you, Aristo Securities Limited, to:

本人授權雅利多證券有限公司(下稱「貴公司」):

1. apply any of my securities or securities collateral pursuant to a securities borrowing and lending agreement; 依據證券借貸協議運用本人的任何證券或證券抵押品;
2. deposit any of my securities collateral with an authorized financial institution as defined in the Banking Ordinance (Cap. 155 of the Laws of Hong Kong) as collateral for financial accommodation provided to you; or 將本人的任何證券抵押品存放於一家認可的財務機構(根據《銀行業條例》(香港法例第 155 章)之定義)，作為提供予貴公司的財務通融的抵押品; 或
3. deposit any of my securities collateral with: 將本人的任何證券抵押品存放於:
  - (i) a recognized clearing house; or 一家認可的結算所; 或
  - (ii) another intermediary licensed or registered for dealing in securities, 獲發牌或獲註冊進行證券交易的另一中介人，as collateral for the discharge and satisfaction of your settlement obligations and liabilities. 作為貴公司履行交收義務與責任的抵押品。

You may execute any of the above actions without giving me notice. 貴公司可毋須通知本人而進行上述各項。

Those securities and securities collateral shall be dealt with according to the laws and regulations of the relevant jurisdiction where they are received or held. 該等證券及證券抵押品將根據在其收取或持有之有關海外地區的法律及規則處理。

The authority given in this Authorization Letter does not cover any consideration which I may pay or be paid for the lending or borrowing of securities by you. Such consideration shall be set by a separate agreement between us. 本授權書不涉及就 貴公司借貸予本人之任何證券或證券抵押品而須支付或收取的任何代價。該等代價均須由本人與 貴公司另行協議訂明。

You are accountable to me for the return of equivalent securities deposited under this authority after full repayment by me of all my outstanding loans under the facility. 當本人等全數償還信貸安排下的所有未清償的貸款後，貴公司須負責向本人歸還在此授權下存放的相等證券。

I understand that a third party may have a lien or charge on my securities or securities collateral, which you must satisfy before my securities or securities collateral can be returned to me. 本人明白，本人的證券或證券抵押品可能受制於第三者之留置權或押記，貴公司必須先行了結有關留置權或押記，方可將本人的證券或證券抵押品歸還本人。

I am aware that there is risk if I provide you with an authority that allows you to apply my securities or securities collateral pursuant to a securities borrowing and lending agreement, repledge my securities collateral for financial accommodation or deposit my securities collateral as collateral for the discharge and satisfaction of your settlement obligations and liabilities. 本人知悉，本人若授權貴公司，准許貴公司依據證券借貸協議運用本人的任何證券或證券抵押品，或准許 貴公司再質押本人的證券抵押品以取得財務通融，或准許貴公司存放本人的證券抵押品作為 貴公司履行交收義務與責任的抵押品，如此授權是帶有風險的。

I acknowledge and agree that the authority shall be valid for maximum of 12 months and will expire at the end of 12 months from the date of this Authorization Letter or 31st December of each year, whichever is earlier. I understand that the authority shall be deemed to be renewed for subsequent periods of 12 months on a continuing basis without my written consent if you give me a written reminder at least 14 days prior to the expiry date and I do not object to such deemed renewal before the expiry date. I understand that I may revoke this authority by giving you at least five trading days' prior written notice. However, you may, in your absolute discretion, treat the revocation notice as having immediate effect upon your receipt. 本人確認並同意，此授權有效期最長為 12 個月，將於本授權書簽訂之日後 12 個月結束時或每西歷年 12 月 31 日止屆滿，以較早者為準。本人明白，若貴公司在屆滿日之前至少 14 日給予本人續期通知書而本人在屆滿日之前沒有表示反對續期，則此授權將視為毋須本人書面同意而繼續地續期，每次續期期間為 12 個月。本人明白，本人可給予貴公司至少五個交易日的預先書面通知，以撤銷此授權。但是，貴公司有絕對酌情決定權將撤銷授權通知書視為於貴公司收訖時隨即生效。

In the event of any discrepancy between the English and Chinese version of this Authorization Letter, I agree that the English version shall prevail. 若本授權書的英文文本及中文文本在內容上有任何歧異，本人同意以英文文本為準。

**Client Acknowledgement and Signature 客戶確認及簽署 (For Margin Accounts Only 只適用於保證金賬戶)**

I confirm that I have read and understood the contents of the above Authorization Letter and agreed to be bound by its terms. 本人確認已閱讀及明白以上授權書的內容，並同意受本授權書的內容約束。

Client Signature 客戶簽署

Print Name  
正楷姓名 \_\_\_\_\_

Date (DD / MM / YYYY)  
日期 (日 / 月 / 年) \_\_\_\_\_

閣下明白並同意，雅利多證券有限公司（「雅利多」）為了向閣下提供與在香港聯合交易所（「聯交所」）上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會（「證監會」）的規則和規定，雅利多可收集、儲存、處理、使用、披露及轉移與閣下有關的個人資料（包括閣下的客戶識別信息及券商客戶編碼）。在不限制以上的內容的前提下，當中包括——

You acknowledge and agree that Aristo Securities Limited (“Aristo”) may collect, store, process, use, disclose and transfer personal data relating to you (including your CID and BCAN(s)) as required for us to provide services to you in relation to securities listed or traded on the Stock Exchange of Hong Kong (“SEHK”) and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (“SFC”) in effect from time to time. Without limiting the foregoing, this includes –

A. 根據不時生效的聯交所及證監會規則和規定，向聯交所及／或證監會披露及轉移閣下的個人資料（包括客戶識別信息及券商客戶編碼）； disclosing and transferring your personal data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time;

B. 允許聯交所：(i) 收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便監察和監管市場及執行《聯交所規則》；(ii) 向香港相關監管機構和執法機構（包括但不限於證監會）披露及轉移有關資料，以便他們就香港金融市場履行其法定職能；及(iii)為監察市場目的而使用有關資料進行分析；及

allowing SEHK to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; and (ii) disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and (iii) use such information for conducting analysis for the purposes of market oversight; and

C. 允許證監會：(i) 收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及(ii)根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料。

allowing the SFC to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for the performance of its statutory functions including monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets; and (ii) disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements.

D. 向香港中央結算有限公司（「香港結算」）提供券商客戶編碼以允許香港結算：(i) 從聯交所取得、處理及儲存允許披露及轉移給香港結算屬於閣下的客戶識別信息，及向發行人的股份過戶登記處轉移閣下的客戶識別信息，以便核實閣下未就相關股份認購進行重複申請，以及便利首次公開招股抽籤及首次公開招股結算程序；及(ii) 處理及儲存閣下的客戶識別信息，及向發行人、發行人的股份過戶登記處、證監會、聯交所及其他公開招股的有關各方轉移閣下的客戶識別信息，以便處理閣下對有關股份認購的申請，或為載於公開招股發行人的招股章程的任何其他目的。

providing BCAN to Hong Kong Securities Clearing Company Limited (“HKSCC”) allowing HKSCC to: (i) retrieve from SEHK (which is allowed to disclose and transfer to HKSCC), process and store your CID and transfer your CID to the issuer's share registrar to enable HKSCC and/ or the issuer's share registrar to verify that you have not made any duplicate 3 applications for the relevant share subscription and to facilitate IPO balloting and IPO settlement; and (ii) process and store your CID and transfer your CID to the issuer, the issuer's share registrar, the SFC, SEHK and any other party involved in the IPO for the purposes of processing your application for the relevant share subscription or any other purpose set out in the IPO issuer's prospectus.

閣下亦同意，即使閣下其後宣稱撤回同意，雅利多在閣下宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移閣下的個人資料以作上述用途。

You also agree that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

閣下如未能向雅利多提供個人資料或上述同意，可能意味著雅利多不會或不能夠再（視情況而定）執行閣下的交易指示或向閣下提供證券相關服務，惟出售、轉出或提取閣下現有的證券持倉（如有）除外。

Failure to provide us with your personal data or consent as described above may mean that Aristo will not, or will no longer be able to, as the case may be, carry out your trading instructions or provide you with securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any).

備註：本條文所述的“券商客戶編碼”及“客戶識別信息”具有《證券及期貨事務監察委員會持牌人或註冊人操守準則》第 5.6 段所界定的含義。

Note: The terms “BCAN” and “CID” used in this clause shall bear the meanings as defined in paragraph 5.6 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.

#### Acknowledgement and Consent 確認和同意

I hereby acknowledge I have read and understand the content of the Personal Information Collection Statement Concerning Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR) of the Client Account Agreement. By ticking the box below, I signify my consent for Aristo Securities Limited to use my personal data on the terms of and for the purposes set out in the Personal Information Collection Statement Concerning Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR) of the Client Account Agreement. 本人在此確認已閱讀並理解《客戶賬戶協議書》所載的香港投資者識別碼制度及場外證券交易匯報制度個人資料收集聲明的內容。通過勾選下面的方框，本人表示同意雅利多證券有限公司根據“個人資料收集聲明”中的條款和目的使用本人的個人資料。

I agree that Aristo Securities Limited use of my personal data for the purposes set out in the Personal Information Collection Statement Concerning Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR) of the Client Account Agreement. 本人同意雅利多證券有限公司將本人之個人資料用於《客戶賬戶協議書》的香港投資者識別碼制度及場外證券交易匯報制度個人資料收集聲明所載的目的。

**Part 15 第 15 部 Acknowledgement and Declaration by Client 客戶確認及聲明**

1. I, who sign this Account Opening Form, agree to open the above account(s) with Aristo Securities Limited. 本人(簽署本開戶表格)同意於雅利多證券有限公司開立上述賬戶。
  2. I am the ultimate and sole beneficial owner of the Account and is fully responsible for all instructions for the operation of the said Account. 本人是賬戶的最終及唯一實益擁有人，並完全負責為該賬戶運作所發出的一切指示。
  3. I am not a bankrupt person and I am not aware of any legal proceedings which have been started against me for bankruptcy. 本人並非破產人士，而且據本人所知，並沒有任何針對本人的破產的法律程序正在進行。
  4. I am not a citizen (US passport holder) or resident (green card holder) of the United States. 本人並非美國公民(持有美國護照)或美國居民(持有美國綠卡)。
  5. I confirm that the information in this Form is true, complete and correct, and I have read and fully understood all provisions in the Terms and Conditions of the Client Account Agreement, and sought independent advice if needed, and accept and agree to be bound thereby. Aristo Securities Limited reserves the right to cancel my application at any time if the information given in the application is found to be untrue. Aristo Securities Limited are entitled to rely fully on such information for all purposes, unless Aristo Securities Limited receives notice in writing of any changes. 本人確認本表格所填資料屬真實、完整及正確，並已閱讀和完全明白《客戶賬戶協議書》的條款及條件所載的條文，並按需要(如有)徵求獨立意見，及接受並同意受該等文件的約束。本人明白若雅利多證券有限公司發現任何刻意隱瞞之事實，雅利多證券有限公司將保留取消此申請之權利。除非雅利多證券有限公司收到資料更改的書面通知，雅利多證券有限公司有權為任何目的信賴這些資料。
  6. I understand that Aristo Securities Limited will rely on the above information to assess whether I have acquired the knowledge of derivative products. 本人明白雅利多證券有限公司將會根據以上資料來評核本人是否對衍生產品有認識。
  7. If I am categorized as "without knowledge of derivatives", I further acknowledge that I have carefully read the relevant risks associated with investing in derivative products of the Risk Disclosure Statement in the Client Account Agreement and fully understood the relevant risks herewith. Although I might not have relevant derivatives product(s) trading experience, I may still base on my own independent judgement to request for entering into transaction(s) of derivatives product(s) and would take all risks associated. 如本人被歸類為「對衍生產品沒有認識」，本人進一步確認已仔細閱讀在《客戶賬戶協議書》所載風險披露聲明所列明的有關投資衍生產品所涉及的風險，並完全明白其中所述之相關風險。儘管本人可能並沒有相關衍生產品交易經驗，本人可能基於獨立判斷仍要求進行衍生產品交易。本人願意承擔所有相關衍生產品風險。
  8. I undertake to notify Aristo Securities Limited within 30 days if any change of the above information. 如果上述資料有任何變更，本人確保會於 30 日內通知雅利多證券有限公司。
  9. **(For Cash Account 適用於現金賬戶)** I confirm that the Risk Disclosure Statement, in or accompanying the Client Account Agreement have been provided in a language of my choice (English or Chinese) and that I have read and accepted the nature and contents thereof. I appreciate that they are not and cannot be taken as a comprehensive or exhaustive list of all possible risks. I confirm that I have been given the opportunity to ask questions and seek independent advice if I so wish. 本人確認或附於《客戶賬戶協議書》之風險披露聲明已按本人選擇之語言(英文或中文)提供予本人，及本人已閱讀、瞭解和接受其/其等(若適用)性質和內容。本人明白這不是而且不能被當為一份完全或徹底列舉所有潛在風險的清單。此外，本人已被給予機會提出問題及徵求獨立的意見(若本人有此意願)。
  10. **(For Margin Accounts Only 只適用於保證金賬戶)** I declare the Risk Disclosure Statements (including any additional risk disclosure statements) in or accompanying the Client Account Agreement, have been provided in the my choice of language (English or Chinese) and that I have been invited to read the Risk Disclosure Statements, to ask questions and if the I wish, to take independent advice and I hereby agree to be bound by the Agreement including the Terms and Conditions (including Letter of Authorization in Part 14) as the same may be amended from time to time. The additional risk disclosure statements include but not limited to risks related to Derivatives traded on the Exchange and Margin Financing. 本人謹此確認，《客戶賬戶協議書》中所列的風險披露聲明(包括任何額外的風險披露聲明)乃根據本人所選擇的語言(中文或英文)提供，且已獲得邀請細閱及進行提問。如本人有此意願，可就風險披露聲明徵求獨立意見，與及本人謹此同意受可不時被修改的協議書(包括其標準條款及細則(包括第 14 部之授權書))約束。額外的風險披露聲明包括但不限於在交易所買賣的衍生產品的風險及保證金借貸。
  11. I acknowledge this Form is part of the Client Account Agreement and I agree to read the most updated provision of the Client Account Agreement will be posted from time-to-time in the company web-site. <https://www.aristo.hk> and understand the most updated provision of the Client Account Agreement will be posted from time-to-time in the company web-site. 本人同意及確認此開戶表格為《客戶賬戶協議書》的一部份，並同意自行到本公司網站 <https://www.aristo.hk> 瀏覽最更新之《客戶賬戶協議書》，並知悉本公司會適時於網站發佈最更新之《客戶賬戶協議書》。
  12. If there is a discrepancy between English and Chinese version of the Account Opening Form, the English version shall prevail. 如開戶表格之中英文版本文義有歧義，將以英文版本為準。
- I have read, accepted and agreed the above terms stated in the Declaration by Client. If any of the terms stated in the declaration is not applicable, I will complete and return the relevant form(s) to Aristo Securities Limited. 本人已閱讀、接受及同意以上客戶聲明之條款。如任何一項聲明與本人資料不符，本人將填妥相關表格並交予雅利多證券有限公司。
- I do not agree with the provision, use and transfer of my personal data for direct marketing purposes. 本人不同意提供、使用及轉移本人之個人資料作直接促銷目的。

**Client Signature 客戶簽署**

Client Signature 客戶簽署

Print Name

正楷姓名 \_\_\_\_\_

Date (DD / MM / YYYY)

日期 (日 / 月 / 年) \_\_\_\_\_

**Witness Information (If applicable) 見證人資料 (如適用)**



Witness Signature 見證人簽署	Witness Name 見證人姓名：	
	Profession & Title 所屬專業及職銜：	
	CE No. 中央編號 (if any 如有)：	
	Date 日期：	

**Declaration Made by a Licensed Representative 持牌代表聲明**

I, the undersigned, have provided the Client Account Agreement and Risk Disclosure Statements in a language of the Client's choice and have fully explained the contents of which to the Client. I have invited the Client to read the Risk Disclosure Statements (including any additional risk disclosure statements), ask questions and seek independent advice if the Client wishes. 本人為以下簽署者，已以客戶所選擇能夠明白的語言向客戶完全解釋上述《客戶賬戶協議書》及《風險披露聲明》(包括任何額外的風險披露聲明)的內容及已邀請客戶細閱及進行提問，如客戶有此意願，可就《客戶賬戶協議》及《風險披露聲明》徵求獨立意見。

Signature 簽署	Staff Name 職員姓名：	
	CE No. 中央編號：	
	Date 日期：	
	Channel 途徑：	<input type="checkbox"/> Witness 見證 <input type="checkbox"/> Phone 電話 ( _____ hh : _____ mm)

**For Official Use Only 此欄由本公司職員填寫**

**Document Checklist:**

- I.D. Card (permanent residence) and/or Passport Copy
- Residential Address Proof (Copy of bank statement or utility bill in the latest 3 months (P.O. Boxes are not accepted))
- Bank Card Copy
- World-Check
- AML Risk Assessment Form

Non face-to-face account opening:

- Person Cheque Copy (if applicable)
  - issued by a Hong Kong licensed bank
  - bear the client name identical to his/her identity document(s)
  - signature identical to that shown on this Form
  - made payable to "Aristo Securities Limited"
- License Proof of Witness (if applicable)
- Employer Consent (if any)

Cash Account		Margin Account	
Brokerage:		Brokerage:	
Trading Limit: HKD		Credit Limit: HKD	
Name of AE: <input type="checkbox"/> House <input type="checkbox"/>		Name of AE: <input type="checkbox"/> House <input type="checkbox"/>	
Code of AE: <input type="checkbox"/> 088 <input type="checkbox"/>		Code of AE: <input type="checkbox"/> 088 <input type="checkbox"/>	
Input By	Checked by	Approved by	
Name:	Name:		
Date:	Date:	Name:	Date: