



Aden Financial Group Limited 亞丁金融集團有限公司
Exchange Participant of the Stock Exchange of Hong Kong
香港聯合交易所有限公司參與者 SFC CE No. BMO727
Unit 01, 31/F West Tower, Shun Tak Centre, 168-200 Connaught Road, Central, Hong Kong
香港中環干諾道中 168-200 號信德中心西翼 31 樓 01 室
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Email 電郵: cs@adenfin.com.hk Website 網址: www.adenfin.com.hk

Account Opening Form (Corporate Account) 開戶表格 (公司帳戶)

Please complete in BLOCK LETTERS 請用正楷填寫

Account No.: 帳戶號碼: _____

1. Account Type 帳戶類別	
Securities Trading Account 證券交易帳戶 / Futures Trading Account 期貨交易帳戶	
Type of Account 帳戶類別	<input type="checkbox"/> Cash Securities Trading Account 證券交易帳戶 <input type="checkbox"/> Margin Securities 保證金證券帳戶 <input type="checkbox"/> Futures Trading Account 期貨交易帳戶
Account Service 戶口服務	<input type="checkbox"/> Internet trading 網上交易 <input type="checkbox"/> Mobile Trading 手機交易
2. Corporate Information 公司資料	
Name of Company 公司名稱	English 英文 Chinese 中文
Scope of Business 業務範圍:	Location where Major Business is Operated: 主要業務營運地區:
Registered Address 註冊地址:	
Business Address 辦事地址:	
Nature of Entity: <input type="checkbox"/> Limited company 有限公司 <input type="checkbox"/> Listed company 上市公司 <input type="checkbox"/> State-owned Company 國有企業公司性質: <input type="checkbox"/> Partnership 合伙經營 <input type="checkbox"/> Others 其他:	
Country(ies) / Jurisdiction (s) of Residence for Tax Purposes (Please select one or more as applicable) 稅務居民所在國家 / 司法管轄區 (可多於一個) <input type="checkbox"/> China 中國 <input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> United States 美國 <input type="checkbox"/> Other 其他:	
Country of Incorporation 註冊成立國家:	Date of Incorporation 註冊成立日期:
Business Registration No. 商業登記號碼:	Certificate of Incorporation No. 公司註冊號碼:
Office Tel. No. 公司電話號碼:	Fax. No. 傳真號碼:
E-mail Address 電郵地址:	

3. Director(s) 董事						
	Name 姓名	ID Card /Passport No. 身分證/護照號碼	Date of Birth 出生日期	Residential Address 居住地址	Nationality 國籍	(Area Code) Contact Tel. No. (區號) 聯絡電話號碼
1						
2						
3						
4						
5						

6						
7						
8						

Aden Financial Group Limited ("Aden" or the "Company") carries on the business of dealing in securities & futures is licensed to carry on Type 1, Type 2, Type 4 & Type 9 regulated activities under the Securities and Futures Ordinance (Cap. 571) (CE No. BMO727). 亞丁金融集團有限公司 ("亞丁金融集團" 或 "本公司") 經營的是證券及期貨交易的業務，並根據證券及期貨條例 (第 571 章) 獲發牌經營第一類、第二類、第四類及第九類受規管活動 (中央編號: BMO727)。

4. Registered Shareholder(s) 註冊股東							
	Name 姓名	ID Card /Passport No. 身分證/護照號碼	Date of Birth 出生日期	Residential Address 居住地址	Nationality 國籍	Contact Tel. No. 聯絡電話號碼	Shareholding(%) 股 權 (%)
1							
	Is Shareholder U.S. Person? 股東是否美國人士? <input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是 Family Relationship with Other Shareholder (s) 與其他股東存在家屬關係 <input type="checkbox"/> No 沒有 <input type="checkbox"/> Yes 有, please specify(請註明)						
2							
	Is Shareholder U.S. Person? 股東是否美國人士? <input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是 Family Relationship with Other Shareholder (s) 與其他股東存在家屬關係 <input type="checkbox"/> No 沒有 <input type="checkbox"/> Yes 有, please specify(請註明)						
3							
	Is Shareholder U.S. Person? 股東是否美國人士? <input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是 Family Relationship with Other Shareholder (s) 與其他股東存在家屬關係 <input type="checkbox"/> No 沒有 <input type="checkbox"/> Yes 有, please specify(請註明)						
4							
	Is Shareholder U.S. Person? 股東是否美國人士? <input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是 Family Relationship with Other Shareholder (s) 與其他股東存在家屬關係 <input type="checkbox"/> No 沒有 <input type="checkbox"/> Yes 有, please specify(請註明)						
5							
	Is Shareholder U.S. Person? 股東是否美國人士? <input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是 Family Relationship with Other Shareholder (s) 與其他股東存在家屬關係 <input type="checkbox"/> No 沒有 <input type="checkbox"/> Yes 有, please specify(請註明)						
6							
	Is Shareholder U.S. Person? 股東是否美國人士? <input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是 Family Relationship with Other Shareholder (s) 與其他股東存在家屬關係 <input type="checkbox"/> No 沒有 <input type="checkbox"/> Yes 有, please specify(請註明)						
7							
	Is Shareholder U.S. Person? 股東是否美國人士? <input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是 Family Relationship with Other Shareholder (s) 與其他股東存在家屬關係 <input type="checkbox"/> No 沒有 <input type="checkbox"/> Yes 有, please specify(請註明)						
8							
	Is Shareholder U.S. Person? 股東是否美國人士? <input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是 Family Relationship with Other Shareholder (s) 與其他股東存在家屬關係 <input type="checkbox"/> No 沒有 <input type="checkbox"/> Yes 有, please specify(請註明)						

5. ULTIMATE BENEFICIAL OWNER 最終實際利益擁有人 (Please tick ✓ appropriate box. 請在適當空格加 ✓)	
I/We am/are the ultimate beneficial owner(s) of the account. 本人/吾等是該帳戶的最終實際利益擁有人。	
<input type="checkbox"/> Yes 是 <input type="checkbox"/> No, please specify 否, 請填寫以下部份	
<input type="checkbox"/> ULTIMATE BENEFICIAL OWNER 最終實際利益擁有人 <input type="checkbox"/> PERSON ULTIMATELY BENEFITING FROM THE TRANSACTIONS AND BEARING THE RISK 最終受益於交易及承擔風險人士 <input type="checkbox"/> PERSON ULTIMATELY RESPONSIBLE FOR ORIGINATING INSTRUCTIONS FOR THE ACCOUNT 最終負責發出指示的人士	

<input type="checkbox"/> Mr.先生 <input type="checkbox"/> Ms.女士 <input type="checkbox"/> Mrs.夫人	English Name: 英文姓名:	ID/Passport No. 身分證/護照號碼	Place of Issue of ID Card: 身份證發出地:
	Chinese Name: 中文姓名:	Passport No.: 護照號碼:	Place of Issue of Passport: 護照發出地:
		Country of Birth: 出生國家:	Date of Birth 出生日期
Nationality (Please fill in more than one as appropriate): 國籍(可填寫多於一個):			Marital Status: 婚姻狀況: <input type="checkbox"/> Single 未 婚 <input type="checkbox"/> Married 已 婚
Residential Address 居住地址			Country 國家
Permanent Address (If different from residential address): 永久地址			Country 國家
(Country Code) Home Tel. No.: (國家區號) 住宅電話號碼: ()		(Country Code) Mobile Phone No.: (國家區號) 手提電話號碼: ()	
Country(ies) / Jurisdiction (s) of Residence for Tax Purposes (Please select one or more as applicable) 稅務居民所在國家 / 司法管轄區 (可多於一個) <input type="checkbox"/> China 中國 <input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> United States 美國 <input type="checkbox"/> Other 其他 :			Is U.S. Person? 是否美國人士? <input type="checkbox"/> No 不 是 <input type="checkbox"/> Yes 是
E-mail Address: 電子郵件地址:		U.S. Tax Obligation 美國稅務責任: <input type="checkbox"/> Yes 有 (TIN 稅務身份號碼: _____) <input type="checkbox"/> No 沒有	
Shareholding 所佔股權(%):		Control 所佔控制權(%):	
6. Share Capital 股本			
Authorized Share Capital 法定股本 :		Par Value of Each Share 每股面值 :	
Issued Share Capital 已發行股本 :		Par Value of Each Share 每股面值 :	

7. Financial Profile 財務狀況					
Latest Annual Profit 最近年度稅後純利:		Annual Profit (after tax) in preceding year 前一年度稅後純利:			
Total Net Asset Value 資產淨值 :		Liquid Assets 流動資產:			
Source of Capital 資本來源 <input type="checkbox"/> Dividend / Interest Income 股息/利息收入 <input type="checkbox"/> Manufacturing Profits 生產利潤 <input type="checkbox"/> Service Income 服務收入 <input type="checkbox"/> Trading Profits 營業溢利 <input type="checkbox"/> Others 其 他 _____		Annual Net profit (HKD) 全年淨利潤(港幣) <input type="checkbox"/> \$0-\$500,000 <input type="checkbox"/> \$500,001-\$1,000,000 <input type="checkbox"/> \$1,000,001-\$2,500,000 <input type="checkbox"/> \$2,500,001-\$5,000,000 <input type="checkbox"/> >\$5,000,001 <input type="checkbox"/> Others 其 他 _____			
Place of Origin of the Funding Source 資金來源地 <input type="checkbox"/> HKSAR 中國香港特別行政區 <input type="checkbox"/> Mainland China 中國大陸 <input type="checkbox"/> U.S. 美國 <input type="checkbox"/> Others 其 他 _____					
8. Investment Experience 投資經驗					
Product 產 品	Experience (in term of year) 經驗 (以年計算)				
	Nil 無	≤ 1	1-5	6-10	> 10
Stocks 證券					
Futures and Options 期貨及期權合約					
Derivative Products (Warrants or Callable/Bear Contract (CBBC)) 衍生產品 (認股證/牛熊證)					
Unit Trust/Mutual Funds 單位信託/互惠基金					
Exchange Trade Fund (ETF) 交易所買賣基金					
Bonds 債券					

Foreign Currencies 外幣					
Other (Please specify) 其他 (請註明):					

9. Investment Objectives and Risk Tolerance 投資目的及可承受風險

i) Investment Objective 投資目的 :

☐ Capital Gain 資本增值 ☐ Hedging 對沖 ☐ Long-term Investment 長線投資 ☐ Short-term Investment 短線投資

☐ Conservation of capital 保本投資 ☐ Others 其他 : _____

ii) Estimated investment amount 估計投資金額

☐ Below 少於\$100,000 ☐ \$100,000~\$500,000 ☐ \$500,001~\$1,000,000 ☐ \$1,000,001~\$8,000,000 ☐ Above 多於\$8,000,000

iii) Investment horizon 投資年期

☐ Short Term 短線 (少於一年) ☐ Medium Term 中線 (一至三年) ☐ Long Term 長線 (三年或以上)

iv) Risk Tolerance 可承受風險

☐ Low 低風險 (投資價值波動於-15% 至+15%之間) ☐ Medium 中等風險 (投資價值波動於-30% 至+30%之間)

☐ High 高風險 (投資價值波動多於-30% 至+30%之間)

Securities Margin Account belongs to Medium and/or High risk categories. 證券保證金買賣帳戶屬於“中等風險”及/或“高風險”類別。

10. Client's Knowledge of Derivative Products 客戶對衍生產品的認識

The Client acknowledges and understands the Company will assess whether the Client has adequate knowledge on derivative products according to the information the Client provided.

客戶知悉及明白公司將根據以下的資料以評估客戶是否對衍生工具產品有認識。

☐ 1. The Client underwent training or attended courses on derivative products. 客戶曾接受有關衍生產品的培訓或修讀相關課程。

☐ 2. The Client has current or previous work experience related to derivative products. 客戶現時或過去擁有與衍生產品有關的工作經驗。

☐ 3. The Client has executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, Commodities, Structured Products, and Exchange Traded Funds, etc.

客戶於過去 3 年曾執行 5 次或以上有關衍生產品的交易，例如：衍生權證、牛熊證、股票、期權、期貨及期權、商品、結構性產品及交易所買賣基金等。

☐ 4. The Client has **NOT** acquired knowledge of derivative products. 客戶沒有衍生工具之認識。

11. Settlement Account Information 結算帳戶資料

The Client hereby instructs and authorizes that the following bank account will be used as the settlement. (the account must be in your name) 客戶謹此指示及授權使用以下的銀行帳戶，作為結算帳戶。(必須與客戶名稱相同)

Currency 貨幣	Name of Bank 銀行名稱	Account No. 戶口號碼	Country of Receiving Bank 收款銀行所在國家
HKD 港幣			
USD 美元			
CNY 人民幣			
Account Name 客戶名稱			
SWIFT CODE/ BIC 銀行國際識別號碼			
Important reminder 重要注意事項	<p>If a client opens a securities account, but not able to provide a bank account for funds withdrawal in the future.</p> <p>Aden Securities will only output of funds by wire transfer to the same name clients bank account, the client must bear all the wire transfer costs and failed to wire transfer of the various factors and risks.</p> <p>客戶開立證券帳戶時如未提供銀行戶口作進出資金之用，當客戶日後需要提出資金亞丁轉出資金時只會電匯到同客戶同名銀行帳戶，客戶需承擔所有電匯費用及未能電匯所產生的各項因素及風險</p>		

12. Method of Communication 通訊方法			
Please select one of the following method of communication 請選擇以下其中一項通訊方法： <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <input type="checkbox"/> E-mail Address 電郵地址 <input type="checkbox"/> Business Address 商業地址 <input type="checkbox"/> Registered Address 註冊地址 </div> <div style="margin-top: 5px;"> <input type="checkbox"/> Other address, please specify (其他地址，請說明) _____ </div>			
ACCOUNT OPERATION 帳戶操作			
13. Authorized Person 獲授權人士			
The Client hereby appoints the persons as the Authorized Person(s) in the Board Resolution. 客戶謹此委任在董事局決議案通過的獲授權人士。			
Authorized Person 獲授權人士名單			
授權項目	A) Authorized Trader List 授權交易人士----可進行口頭或書面交易指示 B) Authorized Signature List 授權簽字人士----可進行資金／股票的存入／提取指示和其他有關帳戶的指示 C) Authorized Settlement List 授權交收人士----可進行交收指示		
Any _____ of the authorized person verbal or written instructions of A) Dealing instructions B) Fund/Share Deposit/Withdrawal and any other instructions C) Settlement instructions given by any one of the following Authorized Person(s) will be valid: 以下任何_____位獲授權人士所給予的 A) 口頭或書面交易指示 B) 資金／股票的存入／提取指示和其他有關帳戶的指示 C) 交收指示 均為有效 Please delete the Non-Applicable part 請刪去不適用部份			
	<i>Authorized Person (1) 獲授權人士 (1)</i> <input type="checkbox"/> A)交易 <input type="checkbox"/> B)簽字 <input type="checkbox"/> C)交收	<i>Authorized Person (2) 獲授權人士 (2)</i> <input type="checkbox"/> A)交易 <input type="checkbox"/> B)簽字 <input type="checkbox"/> C)交收	<i>Authorized Person (3) 獲授權人士 (3)</i> <input type="checkbox"/> A)交易 <input type="checkbox"/> B)簽字 <input type="checkbox"/> C)交收
Name 姓名			
Date of Birth 出生日期			
ID / Passport No. 身份證 / 護照號碼：			
Nationality 國籍			
Contact No. 聯絡電話號碼:			
Wechat 微信			
Specimen Signature 簽名式樣：			
DECLARATION 聲明			
14. Disclosure of Related Account(s) 披露關連帳戶			
i) Is the Client's shareholder, director, authorized person or ultimate beneficial owner related to any employee or director of the Company or its associated companies? 客戶之股東、董事、獲授權人或帳戶最終權益擁有人是否與本公司或其聯營公司之任何僱員或董事有任何親屬關係？ <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (Please provide details below 請填寫以下資料) Name of employee / director 僱員/董事姓名 : _____ Relationship 關係 : _____			
ii) 客戶之股東、董事、獲授權人或帳戶最終權益擁有人是否亞丁金融集團有限公司的客戶？ Is the Client's shareholder, director, authorized person or ultimate beneficial owner a client of Aden Financial Group Limited? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (Please provide details below 請填寫以下資料) Name of the relevant member(s) Account No. 有關成員帳戶名稱: _____ 帳戶號碼: _____			

iii) Does the Client and/or any member of the same group of companies of the Client control 35% or more of the voting rights of any margin client of the Company?

客戶及/或客戶的公司集團任何成員是否控制本公司任何保證金客戶的 35%或以上的表決權？

☐ No 否

☐ Yes 是 (Please provide details below 請填寫以下資料)

Name of the controlled client 受控制客戶名稱 : _____

Account No. 帳戶號碼: _____

iv) Is member of your group companies currently maintaining account(s) with our company? 貴公司集團旗下公司成員有否在本公司開設帳戶？

☐ No 否

☐ Yes 是 (If yes, please specify 請填寫帳戶資料) :

15. Disclosure of Identity 披露身份
<p>i) Is the Client's shareholder, director, authorized person or ultimate beneficial owner, a licensed person or a director or an employee of any licensed corporation/authorized institution registered with the Securities and Futures Commission? 客戶之股東、董事、獲授權人或帳戶最終權益擁有人是否證券及期貨事務監察委員會註冊的持牌人士或持牌法團/註冊機構的董事或僱員?</p> <p><input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (Please provide details below 請填寫以下資料)</p> <p>Name of the licensed person or licensed corporation/registered institution 持牌人士或持牌法團/註冊機構名稱: _____</p> <p>CE No. of the licensed person or licensed corporation/registered institution 持牌人士或持牌法團/註冊機構號碼: _____</p>
<p>ii) Is the Client's shareholder, director, authorized person or ultimate beneficial owner, includes a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a stated-owned corporation and an important political party official? 客戶之股東、董事、獲授權人或帳戶最終權益擁有人，是否擔任或曾擔任重要公職，包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事？</p> <p><input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (Please provide details below 請填寫以下資料)</p>

16. United States Status Certification 美國身分聲明
<p>For Director/Shareholder/Beneficial Owner 適用於董事/股東/最終受益人</p> <p>i) Is the Director or the Shareholder or the Client's ultimate beneficial owner a United State Person ("U.S. Person") defined under the Foreign Account Tax Compliance Act ("FATCA")? 根據海外帳戶稅收合規法案定義，董事或股東或其最終受益人是不是美國人？</p> <p><input type="checkbox"/> No 否 / <input type="checkbox"/> Yes 是, TIN is 美國聯邦納稅人識別碼是: _____</p> <p>ii) For individual Client who has the below particular(s), please tick the appropriate box(es). 對於具以下明細的個人客戶，請剔選合適的方格。</p> <p><input type="checkbox"/> U.S. place of birth 出生地為美國</p> <p><input type="checkbox"/> U.S. mailing or residence address (including a U.S. post office box) 郵寄或永久地址為美國</p> <p><input type="checkbox"/> U.S. telephone number 美國電話號碼</p> <p><input type="checkbox"/> Standing instruction to transfer funds to an account maintained in the United States 常設授權將資金轉至設在美國的帳戶</p> <p><input type="checkbox"/> Power of attorney or signatory authority granted to a person with a U.S. address 授予擁有美國地址的人士代理權或簽名權</p> <p><input type="checkbox"/> An "in-care-of" or "hold mail" address that is the sole address 提供一個轉交地址或代存郵件地址</p>

17. Foreign Account Tax Compliance Act (FATCA) Information 外國帳戶稅務合規法案資料
<p>For Corporation Only 以下只供法團</p> <p>iii) The Client certifies that the Client has no substantial (10% or more ownership) U.S. owner? 客戶就此確認沒有美國人對客戶作重大控制權(百分之十或以上控制權)?</p> <p><input type="checkbox"/> No 否, the Client has substantial U.S. owner 有美國人對客戶作重大控制權 <input type="checkbox"/> Yes 是</p> <p>iv) Is the Client a Non-Participating Foreign Financial Institution (Non-Participating "FFI") defined under FATCA? 根據外國帳戶稅務合規法案定義，客戶是否被定義為“不參與之海外金融機構”？</p> <p><input type="checkbox"/> Yes 是</p> <p><input type="checkbox"/> No, please specify the FATCA status. 否，請註明在海外帳戶稅收合規法案定的身份</p> <p style="margin-left: 20px;"><input type="checkbox"/> U.S. registered entity, our Tax ID No. is 為美國註冊公司，稅務識別號碼為: _____</p> <p style="margin-left: 20px;"><input type="checkbox"/> Registered Participating FFI, GIIN is 已註冊為海外金融機構參與者，全球中介人識別碼是 _____</p> <p style="margin-left: 20px;"><input type="checkbox"/> Non-report IGA FFI 無需申報的 IGA 外國金融機構</p> <p style="margin-left: 20px;"><input type="checkbox"/> Non-Financial Foreign Entity (NFFE) 非金融外國實體</p>

18. Corporate FATCA Self-Certification 公司《海外帳戶稅收合規法案》自行認證	
<p>1. Is your corporate a "Specified U.S. Person"? 貴公司是否“指定美國人士”？ If yes, please specify TIN 如是，請提供稅務身份號碼：</p> <p>_____</p>	<p><input type="checkbox"/> Yes 是</p> <p><input type="checkbox"/> No 否</p>
<p>2. Is your corporate a "Foreign Financial Institution (FFI)"? 貴公司是否“海外金融機構”？</p>	<p><input type="checkbox"/> Yes 是 (Go to Q3 回答問題 3)</p> <p><input type="checkbox"/> No 否 (Go to Q5 回答問題 5)</p>
<p>3. If Q2 is "Yes", please tick in the box: 如問題 2 回答“是”，請在格內劃上剔號：</p> <p><input type="checkbox"/> Participating FFI 參與法案的海外金融機構</p> <p><input type="checkbox"/> Registered Deemed Compliant FFI 已註冊被視作合規的海外金融機構</p> <p><input type="checkbox"/> Reporting Model 1 FFI 以版本一申報的海外金融機構</p> <p><input type="checkbox"/> Reporting Model 2 FFI 以版本二申報的海外金融機構</p> <p><input type="checkbox"/> Certified Deemed Compliant FFI 經認證被視作合規的海外金融機構</p>	

<input type="checkbox"/>	Owner-Documented FFI 已提供所有人資訊的海外金融機構	
<input type="checkbox"/>	Sponsored FFI that has not obtained a GIIN 不具 GIIN 之受贊助的海外金融機構	
<input type="checkbox"/>	Non-Participating FFI 不參與法案的海外金融機構	
<input type="checkbox"/>	Exempt Beneficial Owner 豁免實益擁有人	
<input type="checkbox"/>	Other 其他_____	
4. If you are a "Participating FFI", "Registered Deemed Compliant FFI", "Reporting Model 1 FFI" or "Reporting Model 2 FFI" 如貴公司屬於“參與法案的海外金融機構”、“已註冊被視作合規的海外金融機構”、以版本一申報的海外金融機構或“以版本二申報的海外金融機構” Please provide GIIN 請提供全球中介人身份號碼：_____		
5. If 2 is "No", please TICK: 如 2 “否”，請在格內劃上剔號： Active Non-Financial Foreign Entity 實質營運的非金融海外實體 Passive Non-Financial Foreign Entity 非實質營運的非金融海外實體 (回答問題 6)		
6. Does your corporate, being a "Passive Non-Financial Foreign Entity", have controlling person that is a US citizen or resident? 貴公司，屬於“非實質營運的非金融海外實體”，是否存在美國公民或居民控制人？		<input type="checkbox"/> Yes 是 (Go to Q7 回答問題 7) <input type="checkbox"/> No 否
7. If Q6 is "Yes", please provide the following details of the US controlling person:- 如 問題 6 回答“是”，請提供以下該美國控制人的詳情:-		
Name Taxpayer 姓名 稅務身份號碼	Identification No. 姓名 稅務身份號碼	
Address 地址		

We hereby confirm the information provided above is true, accurate and complete. We undertake to notify Aden Financial Group Limited within 30 calendar days if there is a change in any information which we have provided. 吾等確認以上所提供的資料是真實、準確及完整。吾等保證吾等提供的任何資料如有變更，吾等會於三十日內通知亞丁金融集團有限公司。

19. Client's Declaration for Data Protection 客戶個人資料保障聲明 The Client has carefully read, fully understood and agreed to accept and be bound by the Personal Data (Privacy) Ordinance in Aden Financial Group Limited's Terms and Conditions. 客戶已仔細閱讀，完全理解並同意接受並遵守載於亞丁條款及條件中關於《個人資料(私隱)條例》致客戶的解釋說明。 The Client hereby consents to the contents and the use of the data by Aden Financial Group Limited in direct marketing. 客戶謹此同意該內容及同意亞丁使用其個人資料作直接促銷用途。 Please tick the box below if disagree: 如不同意，請在以下空格加上「✓」號 <input type="checkbox"/> I/We DISAGREE that Aden Financial Group Limited and/or any member of the Group to use my/our personal data in direct marketing via personal call, mail, E-mail, SMS, fax or others. 本人/吾等不同意亞丁金融集團有限公司及或其集團任何成員使用本人/吾等的個人資料透過專人電話、郵寄、電郵、電話短訊、傳真或其他的途徑作直接促銷。

20. RISK DISCLOSURE STATEMENTS and Signature 客戶風險披露聲明及簽署 <p>IMPORTANT NOTICE: These risk disclosure statements do not purport to disclose or discuss all of the risks and other significant aspects of any transaction. You should therefore consult with your own legal, tax, financial and other professional advisers as you deem appropriate and ensure that you fully understand the risks involved and satisfy yourself that you are willing to accept such risks before entering into any particular transaction. It is important for you to determine whether any transaction is suitable for you in the light of your own investment experience, investment objectives, financial situation and other relevant circumstances.</p> <p>重要通知: 此等風險披露聲明不擬披露或討論任何交易的所有風險及其他重要事項。因此，若你認為恰當便應該諮詢你自己的法律、稅務、財務及其他專業顧問，並且確保自己完全明白涉及的風險，與及滿意自己於你進行任何某宗交易之前，你是願意接受一切有關風險。重要的是你必須根據自己的投資經驗、投資目標、財務狀況及其他有關情況，去判斷有關交易是否適合你。</p> <p>RISK OF SECURITIES TRADING: The prices of securities fluctuate, sometimes dramatically. The price of a security may move up or down, and may become valueless. It is as likely that losses will be incurred rather than profit made as a result of buying and selling securities. 證券交易的風險: 證券價格有時可能會非常波動。證券價格可升可跌，甚至變成毫無價值。買賣證券未必一定能夠賺取利潤，反而可能會招致損失。</p> <p>RISK OF TRADING GROWTH ENTERPRISE MARKET STOCKS: Growth Enterprise Market (GEM) stocks involve a high investment risk. In particular, companies may list on GEM with neither a track record of profitability nor any obligation to forecast future profitability. GEM stocks may be very volatile and illiquid. You should make the decision to invest only after due and careful consideration. The greater risk profile and other characteristics of GEM mean that it is a market more suited to professional and other sophisticated investors. Current information on GEM stocks may only be found on the internet website operated by The Stock Exchange of Hong Kong Limited. GEM Companies are usually not required to issue paid announcements in gazetted newspapers. You should seek independent professional advice if you are uncertain of or have not understood any aspect of this risk disclosure statement or the nature and risks involved in trading of GEM stocks.</p> <p>買賣創業板股份的風險: 創業板股份涉及很高的投資風險。尤其是該等公司可在無需具備盈利往績及無需預測未來盈利的情况下在創業板上市。創業板股份可能非常波動及流通性很低。你只應在審慎及仔細考慮後，才作出有關的投資決定。創業板市場的較高風險性質及其他特點，意味著這個市場較適合專業及其他熟悉投資技巧的投資者。現時有關創業板股份的資料只可以在香港聯合交易所有限公司所操作的互聯網網站上找到。創業板上市公司一般毋須在憲報指定的報章刊登付費公告。假如你對本風險披露聲明的內容或創業板市場的性質及在創業板買賣的股份所涉風險有不明白之處，應尋求獨立的专业意見。在香港以外地方收取或持有的客戶資產的風險</p> <p>RISK OF CLIENT ASSETS RECEIVED OR HELD OUTSIDE HONG KONG: Client assets received or held by the licensed or registered person outside Hong Kong are subject to the applicable laws and regulations of the relevant overseas 4 jurisdiction which may be different from the Securities and Futures Ordinance (Cap.571) and the rules made thereunder. Consequently, such client assets may not enjoy the same protection as that conferred on client assets received or held in Hong Kong. 在香港以外地方收取或持有的客戶資產的風險: 持牌人或註冊人在香港以外地方收取或持有的客戶資產，是受到有關海外司法管轄區的適用法律及規例所監管的。這些法律及規例與《證券及期貨條例》(第 571 章) 及根據該條例制訂的規則可能有所不同。因此，有關客戶資產將可能不會享有賦予在香港收取或持有的客戶資產的相同保障。</p> <p>RISK OF PROVIDING AN AUTHORITY TO REPLEDGE YOUR SECURITIES COLLATERAL: There is risk if you provide the licensed or registered person with an authority that allows it to apply your securities or securities collateral pursuant to a securities borrowing and lending agreement, repledge your securities collateral for financial accommodation or deposit your securities collateral as collateral for the discharge and satisfaction of its settlement obligations and liabilities. If your securities or securities collateral are received or held by the licensed or registered person in Hong Kong, the above arrangement is allowed only if you consent in writing. Moreover, unless you are a professional investor, your authority must specify the period for which it is current and be limited to not more than 12 months. If you are a professional investor, these restrictions do not apply. Additionally, your authority may be deemed to be renewed (i.e. without your written consent) if the licensed or registered person issues you a reminder at least 14 days prior to the expiry of the authority, and you do not object to such deemed renewal before the expiry date of your then existing authority. You are not required by any law to sign these authorities. But an</p>
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authority may be required by licensed or registered persons, for example, to facilitate margin lending to you or to allow your securities or securities collateral to be lent to or deposited as collateral with third parties. The licensed or registered person should explain to you the purposes for which one of these authorities is to be used. If you sign one of these authorities and your securities or securities collateral are lent to or deposited with third parties, those third parties will have a lien or charge on your securities or securities collateral. Although the licensed or registered person is responsible to you for securities or securities collateral lent or deposited under your authority, a default by it could result in the loss of your securities or securities collateral. A cash account not involving securities borrowing and lending is available from most licensed or registered persons. If you do not require margin facilities or do not wish your securities or securities collateral to be lent or pledged, do not sign the above authorities and ask to open this type of cash account.

提供將你的證券抵押品等再質押的授權書的風險: 向持牌人或註冊人提供授權書，容許其按照某份證券借貸協議書使用你的證券或證券抵押品、將你的證券抵押品再質押以取得財務通融，或將你的證券抵押品存放為用以履行及清償其交收責任及債務的抵押品，存在一定風險。假如你的證券或證券抵押品是由持牌人或註冊人在香港收取或持有的，則上述安排僅限於你已就此給予書面同意的情況下方行有效。此外，除非你是專業投資者，你的授權書必須指明有效期，而該段有效期不得超過 12 個月。若你是專業投資者，則有關限制並不適用。此外，假如你的持牌人或註冊人在有關授權的期限屆滿前最少 14 日向你發出有關授權將被視為已續期的提示，而你對於在有關授權的期限屆滿前以此方式將該授權延續不表示反對，則你的授權將會在沒有你的書面同意下被視為已續期。現時並無任何法例規定你必須簽署這些授權書。然而，持牌人或註冊人可能需要授權書，以便例如向你提供保證金貸款或獲准將你的證券或證券抵押品借出予第三方或作為抵押品存放於第三方。有關持牌人或註冊人應向你解釋為何種目的而使用授權書。倘若你簽署授權書，而你的證券或證券抵押品已借出予或存放於第三方，該等第三方將對你的證券或證券抵押品具有留置權或作出押記。雖然有關持牌人或註冊人根據你的授權書而借出或存放屬於你的證券或證券抵押品須對你負責，但上述持牌人或註冊人的違責行為可能會導致你損失你的證券或證券抵押品。大多數持牌人或註冊人均提供不涉及證券借貸的現金帳戶。假如你毋需使用保證金貸款，或不希望本身證券或證券抵押品被借出或遭抵押，則切勿簽署上述的授權書，並應要求開立該等現金帳戶。

RISK OF PROVIDING AN AUTHORITY TO HOLD MAIL OR TO DIRECT MAIL TO THIRD PARTIES: If you provide the licensed or registered person with an authority to hold mail or to direct mail to third parties, it is important for you to promptly collect in person all contract notes and statements of your account and review them in detail to ensure that any anomalies or mistakes can be detected in a timely fashion.

提供代存郵件或將郵件轉交第三方的授權書的風險:假如你向持牌人或註冊人提供授權書，允許他代存郵件或將郵件轉交予第三方，那麼你便須盡速親身收取所有關於你帳戶的成交單據及結單，並加以詳細閱讀，以確保可及時偵察到任何差異或錯誤。

RISK OF MARGIN TRADING: The risk of loss in financing a transaction by deposit of collateral is significant. You may sustain losses in excess of your cash and any other assets deposited as collateral with the licensed or registered person. Market conditions may make it impossible to execute contingent orders, such as “stop-loss” or “stop-limit” orders. You may be called upon at short notice to make additional margin deposits or interest payments. If the required margin deposits or interest payments are not made within the prescribed time, your collateral may be liquidated without your consent or prior notification to you. Moreover, you will remain liable for any resulting deficit in your account and interest charged on your account. You should therefore carefully consider whether such a financing arrangement is suitable in light of your own financial position and investment objectives.

保證金買賣的風險: 藉存放抵押品而為交易取得融資的虧損風險可能極大。你所蒙受的虧損可能會超過你存放於有關持牌人或註冊人作為抵押品的現金及任何其他資產。市場情況可能使備用交易指示，例如“止蝕”或“限價”指示無法執行。你可能會在短時間內被要求存入額外的保證金款額或繳付利息。假如你未能在指定的時間內支付所需的保證金款額或利息，你的抵押品可能會在未經你的同意下或在沒有預先通知你的情況下被出售。此外，你將要為你的帳戶內因此而出現的任何短欠數額及需繳付的利息負責。因此，你應根據本身的財政狀況及投資目標，仔細考慮這種融資安排是否適合你。

RISK OF TRADING NASDAQ-AMEX SECURITIES AT THE STOCK EXCHANGE OF HONG KONG LIMITED: The securities under the Nasdaq-Amex Pilot Program (“PP”) are aimed at sophisticated investors. You should consult the licensed or registered person and become familiarized with the PP before trading in the PP securities. You should be aware that the PP securities are not regulated as a primary or secondary listing on the Main Board or the Growth Enterprise Market of The Stock Exchange of Hong Kong Limited.

在香港聯合交易所有限公司買賣納斯達克－美國證券交易所證券的風險: 按照納斯達克－美國證券交易所試驗計劃（“試驗計劃”）掛牌買賣的證券是為熟悉投資技巧的投資者而設的。你在買賣該項試驗計劃的證券之前，應先諮詢有關持牌人或註冊人的意見和熟悉該項試驗計劃。你應知悉，按照該項試驗計劃掛牌買賣的證券並非以香港聯合交易所有限公司的主板或創業板作第一或第二上市的證券類別加以監管。

RISK ASSOCIATED WITH ELECTRONIC COMMUNICATION: You understand that the Internet or other electronic communication system, due to unpredictable traffic congestion and other reasons, may not be a reliable medium of communication and that such unreliability is beyond the control of Aden Financial. This may give rise to situations including delays in transmission and receipt of your instructions or other information, delays in execution or execution of your instructions at prices different from those prevailing at the time your instructions were given, misunderstanding and errors in any communication between you and Aden Financial and so on. Whilst Aden Financial will take every possible step to safeguard its systems, client information, accounts and assets held for the benefit of its clients, you accept the risk of conducting transactions via electronic communication systems.

電子通訊相關的風險: 你明瞭基於互聯網或其他電子通訊系統可能遇到未可預計的交通擠塞情況及其他原因，因此電子通訊系統可能並非是可靠的通訊途徑，而這種不可靠性並非亞丁金融集團所能控制。這可能會導致下列情況，包括：在傳送或收取你的指示或其他資料時有所延誤、延誤執行買賣盤或有關買賣盤以有別於你落盤時的市價執行、進行通訊時出現誤解及錯誤等等。儘管亞丁金融集團將會採取一切可行的步驟去保障其系統、顧客資料、帳戶及為客戶利益而持有的資產，你接納透過電子通訊系統進行交易所涉及之風險。

RISKS OF ENTERING INTO OTC TRANSACTIONS: Over-the-counter or off-exchange transactions (“OTC Transactions”) may be allowed or permitted in some jurisdictions. With regard to an OTC Transaction, it may be difficult or impossible to liquidate an existing position, to assess the value, to determine a fair price or to assess the exposure to risk. For these reasons, OTC Transactions may involve increased risks. OTC Transactions may be less regulated or subject to a separate regulatory regime. Before you undertake such transactions, you should familiarize yourself with applicable rules and attendant risks.

進行場外交易的風險: 在某些司法管轄區，場外交易或會是容許或獲批准的。就某宗場外交易而言，有可能很困難或甚至無法去平掉現有的倉位、進行估值、判斷價格或評估須承受的風險。因此，場外交易或會涉及更高的風險。此等交易也可能受到較寬鬆的規管或受另一個監管制度所約束。於你進行此等交易之前，你應當熟習適用的規則及有關的風險。

ADDITIONAL RISK DISCLOSURE FOR OTC DERIVATIVE TRANSACTIONS: Over-the-counter or off-exchange derivative transactions (“OTC Derivative Transactions”) involve a variety of significant risks. The specific risks presented by a particular OTC Derivative Transaction will necessarily depend upon the terms of the transaction. In general, all OTC Derivative Transactions involve some combination of market risk, credit risk, funding risk and operational risk. There may be other significant risks that you should consider based on the terms of a specific transaction. Highly customized OTC Derivative Transactions in particular may increase liquidity risk and introduce other significant risk factors of a complex character. Highly leveraged transactions may experience substantial gains or losses in value as a result of relatively small changes in the price or level of underlying asset or instrument or related market factors. In evaluating the risks and contractual obligations associated with a particular OTC Derivative Transaction, you should also consider that an OTC Derivative Transaction may be modified or terminated only by mutual consent of the parties and subject to agreement on individually negotiated terms. Accordingly, it may or may not be possible for you to modify, terminate or offset your obligations or your exposure to the risks associated with a transaction prior to its scheduled termination date.

關於場外衍生工具交易的額外風險披露: 場外衍生工具交易涉及多種不同的重大風險。某宗場外衍生工具交易所帶來的風險，乃必然地視乎該宗交易本身的條款。一般而言，所有場外衍生工具交易涉及市場風險、信貸風險、融資風險及運作上的風險。基於某宗特定交易的條款，你應當考慮其他重大的風險。特別是極為度身訂造的場外衍生工具交易，它們或會增加流通性風險及帶來其他複雜性質的重大風險因素。高度槓桿的交易或會由於相關資產或工具的價格或水平或相關市場因素較小的變化，而帶來重大的收益或虧損。在衡量某宗場外衍生工具交易所帶來的風險及合約責任時，你應當同時考慮該宗交易的被修改或終止，可能須要立約人相互的同意及受限於個別地談判的條款所達成的協定。因此，在有關合約約定的終止日前，你或會可以或不可以修改、終止或抵償你的有關責任或你所須承受的風險。

RISK OF TRADING DERIVATIVE PRODUCTS: Trading in derivative products (including but not limited to equity-linked instruments, credit-linked notes, derivative warrants and convertible securities) tracking fluctuations in the price or level of securities, bonds, money market instruments, interest rates, reference indices or other benchmark) involves risks. Changes in market conditions may cause great changes in the value of such products. As a consequence, your related exposure to price or market risk may be significantly higher in connection with a derivative product than with other non-derivative financial instruments with which you may be familiar. Derivative products may not be suitable for you as they can be complex and carry with them substantial risk of loss. You should make investment in derivative products only after carefully assessing among other things the direction, timing, and magnitude of the potential future changes in the price or level of the underlying asset or instrument or other benchmark, as the return of any such investment may be dependent upon such changes. However, risks associated with trading in derivative products are not and should not be presumed to be predictable. Investing in certain types of derivative products may result in your having to take or make delivery of certain underlying asset or instrument at a pre-determined price. In such circumstances, you will need to perform such obligation however far the market price or level of the underlying asset or instrument has moved away from the pre-determined price or level and the resulting losses to you can be substantial

買賣衍生工具產品的風險: 買賣追蹤證券、債券、貨幣市場工具、利率、參考指數或其他指標的變動或水平變化的衍生工具產品(包括但不限於股票掛勾工具、信貸掛勾票據、衍生權證及可換股債券)將涉及風險。市況的轉變可為這些產品的價值帶來極大的變化。因此，你在衍生工具產品須承受的價格或市場風險，可能明顯地較你熟悉的其他非衍生金融工具所涉及的有關風險為高。衍生工具產品可會是複雜的，它們並且可帶來極大的虧損風險，所以此類產品可能並不適合你。你應當祇在小心評估相關資產、工具或其他有關指標的價格或水平的潛在將來變化的方向、時間及大小幅度及其他有關因素之後，才考慮投資衍生工具產品，因為任何這種投資的回報可受此等變化的影響。但是，買賣衍生工具產品所涉及的風險並不是及不應被假設是可預期的。投資某種類衍生工具產品的可能結果是你須要以某預定的價格購入或交付某些相關的資產或工具。在這種情況下，無論相關資產或工具的市場價格或水平離預定的價格或水平多麼遠，你將須履行有關的責任，並且你結果將須承受的虧損可能會很大。

☐ Client is fully understand all terms and risk of opening margin trading account and signed on the account opening form to confirm
客戶已清楚明白開立保證金買賣戶口之條款及一切風險，並於開戶書簽名確認此授權聲明

21. CLIENT ACKNOWLEDGEMENT 客戶之確認	
<p>All transactions in securities which Aden Financial effect on my/our instructions ("Transactions") shall be effected in accordance with all laws, rules and regulatory directions applying to Aden Financial. This includes the rules of The Stock Exchange Of Hong Kong Limited (the "Exchange") and of the Hong Kong Securities Clearing Company Limited (the "Clearing House"). All actions taken by Aden Financial in accordance with such laws, rules and directions shall be binding on me/us.</p> <p>亞丁金融集團按本人/吾等的指示而進行的一切證券交易(「交易」), 須根據適用於亞丁金融集團的一切法例、規則和監管指示的規定而進行。 這方面的規定包括香港聯合交易所有限公司(「聯交所」)及香港中央結算有限公司(「中央結算公司」)的規則。亞丁金融集團根據該等法例、規則及指示 而採取的所有行動均對本人/吾等具有約束力。</p> <p>I/We confirm that the information provided in the Account Opening Information Form is complete and accurate. I/We will inform Aden Financial of any changes to that information. Aden Financial are authorized to conduct credit enquiries on me/us to verify the information provided. I/We hereby declare that I/we am/are the ultimate beneficial owner(s) of the Account and no one other than me/us has any interest in the Account.</p> <p>本人/吾等確認「開戶資料表格」所載資料均屬完整及正確。倘該等資料有任何變更, 本人/吾等將會通知亞丁金融集團。本人/吾等特此授權亞丁金融集團對本人/吾等的信用進行查詢, 以核實上述表格所載資料。</p> <p>I/We hereby irrevocably direct Aden Financial to set-off and withhold from and apply any securities, receivable and monies held in or for the Account against all actual or contingent liability incurred by Aden Financial including any liability to pay the purchased securities and other expense to any third party.</p> <p>本人/吾等現聲明本人/吾等是該帳戶之最終受益人及唯一擁有該帳戶之人士。本人/吾等不得撤回指示亞丁金融集團將本人/吾等在亞丁金融集團之帳戶內的任何證券、應收款項或其中持有之現金進行抵銷及扣留, 作為抵銷 本人/吾等在亞丁金融集團之帳戶一切實際或有負債, 包括支付買入證券及向第三者支付的費用。</p> <p>On all Transactions, I/we will pay commission and charges to Aden Financial, as notified to me/us, as well as applicable levies imposed by the Exchange and the SFC, and all applicable stamp duties. Aden Financial may deduct such commissions, charges, levies and duties from the Account.</p> <p>本人/吾等會就所有交易支付亞丁金融集團通知本人/吾等的佣金和收費, 繳付聯交所及證監會徵收的適用徵費, 並繳納所有有關的印花稅。亞丁金融集團可以從戶口中扣除該等佣金、收費、徵費及稅項。</p> <p>I/We understand and agree that Aden Financial may monitor or record any of my/our telephone conversations in order to verify the instructions given by me/us or my/our Authorized Person.</p> <p>本人/吾等明白及同意亞丁金融集團可以監聽或記錄本人/吾等與亞丁金融集團之電話談話內容以供亞丁金融集團核實本人/吾等或任何 授權人之指示。</p> <p>I/We acknowledge and agree that Aden Financial and the directors, officers, employees and agents of Aden Financial shall not responsible or liable for any loss suffered or which may be suffered by me/us as a result of any delay, failure or inaccuracy in the transmission or communication of instructions or orders.</p> <p>本人/吾等確認及同意亞丁金融集團之董事、高級職員、僱員及代理人毋須對任何指示及落盤在傳遞及通訊上的延誤、無效及錯漏而產生之損失承擔任何 責任, 此損失由本人/吾等承擔。</p> <p>I/We acknowledge that all Transactions effected by Aden Financial pursuant to my/our instructions is a result of my/our judgement and decision and not result from selection or advice from Aden Financial.</p> <p>本人/吾等確認本人/吾等指示進行所有證券交易是根據本人/吾等自己的判斷及決定作出, 而非基於亞丁金融集團之選擇或建議而進行交易。</p> <p>I/We hereby apply to open the above type(s) of account and agree to be bound by the Terms and Conditions as the same may be amended or supplemented from time to time. I/We also hereby acknowledge receipt a copy of the Terms and Conditions.</p> <p>本人/吾等現申請開立上述類別的帳戶, 並同意接受可不時被修改或補充的條款及細則所約束, 同時茲收到條款及細則文本一份。</p> <p>I/We acknowledge and confirm that Aden Financial has provided the Risk Disclosure Statements in a language of my/our choice (English or Chinese) and I/we have been invited to read the Risk Disclosure Statements, to ask questions and take independent advice if I/we wish.</p> <p>風險披露聲明內容已按照本人/吾等選擇的語言提供, 及已獲邀閱讀該風險披露聲明、提出問題及徵求獨立的意見(如本人/ 吾等有此意願)。</p>	
Authorized Signature(s) 被授權人簽署	Company Chop 公司印章
Name of Authorized signatory(ies) (Please Print) 被授權簽署人姓名 (請書寫)	Date(dd/mm/yyyy)日期(日日/月月/年年年年):

SIGNED by Witness 見證人簽署	
I, the undersigned, have witnessed the signature and inspected the original identity documents of the above-named client. 本人已見證及驗證上述客戶之簽署及有關其身分證明文件之正本。	
Full Name of Witness (Print) 見證人姓名(請以正楷書寫)	Witness Signature 見證人簽署:
Witness ID No./Passport No. 見證人身份證/護照號碼:	Witness' Qualification 見證人職位
Date(dd/mm/yy)日期(日日/月月/年年):	

21. Declaration by the licensed or registered staff 持牌或註冊人員之聲明
<p>The Client has been provided with the relevant risk disclosure statements and disclaimers in a language of the Client's choice. The undersigned licensed or registered staff has invited the Client to read the risk disclosure statements, disclaimers and explained the relevant risks associated with the derivative products based on the client's knowledge of derivatives as set out in the Terms and Conditions, ask questions and take independent advice if the Client wishes.</p> <p>客戶已獲提供以其所選語言之有關風險披露聲明及免責聲明。以下簽署之持牌或註冊人員已邀請客戶參閱條款及條件及當中列明之風險披露聲明及免責聲明、提出問題及按其意願諮詢獨立意見, 並按其對衍生產品的認識解釋相關風險。</p>