



***Corporate Account Application Form***  
**公司賬戶申請表格**



## CORPORATE ACCOUNT APPLICATION FORM

### 公司賬戶申請表格

The Account Application Form together with the OREX Terms of Business and/or TREX Client Agreement where applicable and the Supplemental Documents (including the Risk Disclosure Statement, Personal Information Collection Statement, Order Execution Policy and/or Disclosure of Risk on Margin Trading) constitute the Agreement between the Client and ADS Securities Hong Kong Limited ("ADSS HK") (CE No. AXC847).

賬戶申請表格連同 OREX 業務條款及/或 TREX 客戶協議書及其他補充文件 (包括下單執行政策、風險披露聲明及收集個人資料聲明) 構成客戶和阿布扎比證券香港有限公司 ("ADSS 香港") (中央編號 AXC847) 之間的協議。

Before signing this Account Application Form, please ensure you have completed the Client Risk Profile Questionnaires and have read and understood all information specified in the n the OREX Terms of Business and/or TREX Client Agreement where applicable and the Supplemental Documents, You are advised to ask questions, seek independent advice if you wish and regularly refer to ADSS HK web site for any updates.

簽署本賬戶申請表格前，請確保您已完成客戶風險評估並閱讀及理解 OREX 業務條款及/或 TREX 客戶協議書 (如適用) 及其他補充文件的所有資料，我們邀請您提出問題，建議尋求獨立的意見 (如您有此意願) 及定期參考 ADSS 香港網站的最新資訊。

Please complete ALL sections of this form.

請填寫此表格的所有部分。

Any sections which do not apply to you should be marked with "N/A" to indicate that the relevant question has been considered by you. Leaving sections blank may cause delays in your account application process.

不適用的任何部分請以 "N/A" 來表示有關問題已經被您考慮。留下空白部分可能會延遲您的賬戶申請過程。

Notice Regarding "Know your client" and "Anti-Money Laundering" policy

關於“認識你的客戶”和“反洗錢”政策的通知

According to the "Know your client" and the "Anti-Money Laundering" requirements of Hong Kong law, it is ADSS HK's policy to verify your personal information provided on this application and to monitor your transactions in an on-going basis. ADSS HK reserves the right to request additional documentation from you at any time. Please inform ADSS HK immediately if there is any material change to your personal information provided on this application.

根據香港法律的“了解你的客戶”和“反洗錢”的要求，這是 ADSS 香港的政策，以核實您在此申請表格填寫的個人資料，並以持續監測您的交易。ADSS 香港有在任何時候要求您提供額外資料的權利。如您的個人資料與現時提交的資料有任何變動，請立即通知 ADSS 香港。

To comply with FATCA (Foreign Account Tax Compliance Act), ADSS HK is required to obtain a US Tax certificate (W-8 or W-9 series as appropriate) from all clients. Without the appropriate tax certificate in place we will be unable to facilitate a trading account. ADSS HK strongly advises you to visit [www.irs.gov](http://www.irs.gov) or to consult your external tax advisor for an overview of all available forms.

為配合美國《海外帳戶稅收合規法案》，ADSS 香港需向閣下索取美國稅務證書 (適用的 W-8 或 W-9 系列的表格)。如閣下未能提供恰當的稅務證書，交易戶口將不能啟動。ADSS 香港強烈建議閣下在審視所有合適表格時應參閱 [www.irs.gov](http://www.irs.gov) 或向閣下的外聘稅務師諮詢。

## Account Opening Method

### 開戶方法

#### In Person 親臨開戶

Corporate Account Application must be submitted by at least one Authorized Signer in person.

公司賬戶申請必須由至少一位授權簽署人親身提交。

Please contact us at +852 3185 0900 to make an appointment with an ADSS HK representative and bring along the following required documents:

請致電+852 3185 0900 與 ADSS 香港的代表預約，並帶同以下所需的文件：

#### Company Registered in Hong Kong 在香港註冊公司

- Original or certified\* true copy of Business Registration Certification  
商業登記證正本或核證副本\*
- Original or certified\* true copy of Certificate of Incorporation  
公司註冊證書正本或核證副本\*
- Original or certified\* true copy of Latest Audited Accounts  
最近核數賬目正本或核證副本\*
- Original or certified\* true copy of Memorandum & Article of Association  
公司組織章程大綱及細則正本或核證副本\*
- Original or certified\* true copy of the latest Annual Return  
最近公司年報正本或核證副本\*
- Original or certified\* true copy of Address Proof (Principal Business Address ) within the past 3 months  
三個月內的地址證(主要辦事地址)明正本或核證副本\*
- Original or certified\* true copy of company bank account proof for licensed bank under Hong Kong Monetary Authority or equivalent jurisdiction (e.g. bank statement or cheque)  
香港金融管理局或等效管轄的國家持牌銀行的公司戶口證明正本或核證副本\* (如銀行結單或支票)
- Original or certified\* true copy of Board Resolution (For account opening, appointment of authorized signer, authorized trading persons and other operation instructions)  
董事會決議案正本或核證副本\*(有關開戶、委任授權簽署人、授權交易員及其他操作指令)
- Original or certified\* true copy of ID/Passport and Address Proof within the past 3 months of Director(s), Authorized Signer(s), Authorized Trading Person(s) and Ultimate Beneficial Owner(s) with 25% or above ownership  
所有董事、授權簽署人、授權交易人員及擁有 25%或以上擁有權的賬戶最終受益人的身份證明文件 / 護照及三個月內的地址證明的正本或核證副本\*
- Organization Structure Chart showing all the Beneficial Owners with 25% or above ownership  
列有全部擁有 25%或以上擁有權的最終受益人的組織架構圖表
- US Tax Certificate  
美國稅務證書

#### Company Registered outside Hong Kong 在香港以外註冊公司

- Original or certified\* true copy of Certificate of Incorporation  
公司註冊證書正本或核證副本\*

- Original or certified\* true copy of Memorandum & Article of Association  
公司組織章程大綱及細則正本或核證副本\*
- Original or certified\* true copy of Address Proof (Principal Business Address ) within the past 3 months  
三個月內的地址證明正本或核證副本\*
- Original or certified\* true copy of company bank account proof for licensed bank under Hong Kong Monetary Authority or equivalent jurisdiction (e.g. bank statement or cheque)  
香港金融管理局或等效管轄的國家持牌銀行的公司戶口證明正本或核證副本\* (如銀行結單或支票)
- Original or certified\* true copy of Board Resolution (For account opening, appointment of authorized signer, authorized trading persons and other operation instructions)  
董事會決議案正本或核證副本\*(有關開戶、委任授權簽署人、授權交易員及其他操作指令)
- Original or certified\* true copy of ID/Passport and Address Proof within the past 3 months of Director(s), Authorized Signer(s), Authorized Trading Person(s) and Ultimate Beneficial Owner(s) with 25% or above ownership  
所有董事、授權簽署人、授權交易人員及擁有 25%或以上擁有權賬戶最終受益人的身份證明文件 / 護照及三個月內的地址證明的正本或核證副本\*
- Original or certified\* true copy of Appointment of First Director  
委任首任董事的正本或核證副本\*
- Original or certified\* true copy of Register of Directors  
董事記錄名冊正本或核證副本\*
- Original or certified\* true copy of Register of Members/Shareholders  
股東記錄名冊正本或核證副本\*
- Original or certified\* true copy of Incumbency issued by the registered agent within the past 3 months  
三個月內由公司的當地註冊代理人簽發的職權證明書正本或核證副本\*
- Organization Structure Chart showing all the Beneficial Owners with 25% or above ownership  
列有全部擁有 25%或以上擁有權的最終受益人的組織架構圖表
- US Tax Certificate  
美國稅務證書

#### **BY POST 郵遞**

1. Please complete and sign the Account Application Form, US Tax Certificate and all supporting documents, and mail to ADSS HK (address below) and ensure the following required documents are included and certified by professionals\* when returning the application:

請填妥及簽署賬戶申請表格、美國稅務證書及所需證支持文件並郵寄至阿布扎比證券香港有限公司（地址如下），並確保以下所需文件已被核證並一併遞交：

#### **Company Registered in Hong Kong 在香港註冊公司**

- Certified\* true copy of Business Registration Certification  
商業登記證核證副本\*
- Certified\* true copy of Certificate of Incorporation  
公司註冊證書核證副本\*

- Certified\* true copy of Latest Audited Accounts  
最近核數賬目核證副本\*
- Certified\* true copy of Memorandum & Article of Association  
公司組織章程大綱及細則核證副本\*
- Certified\* true copy of the latest Annual Return  
最近公司年報核證副本\*
- Certified\* true copy of Address Proof (Principal Business Address ) within the past 3 months  
三個月內的地址證(主要辦事地址)明核證副本\*
- Certified\* true copy of company bank account proof for licensed bank under Hong Kong Monetary Authority or equivalent jurisdiction (e.g. bank statement or cheque)  
香港金融管理局或等效管轄的國家持牌銀行的公司戶口證明核證副本\* (如銀行結單或支票)
- Certified\* true copy of Board Resolution (For account opening, appointment of authorized signer, authorized trading persons and other operation instructions)  
董事會決議案核證副本\*(有關開戶、委任授權簽署人、授權交易員及其他操作指令)
- Certified\* true copy of ID/Passport and Address Proof within the past 3 months of Director(s), Authorized Signer(s), Authorized Trading Person(s) and Ultimate Beneficial Owner(s) with 25% or above ownership
- 所有董事、授權簽署人、授權交易人員及擁有 25%或以上擁有權的賬戶最終受益人的身份證明文件 / 護照及三個月內的地址證明的核證副本\*
- Organization Structure Chart showing all the Beneficial Owners with 25% or above ownership  
列有全部擁有 25%或以上擁有權的最終受益人的組織架構圖表

#### Company Registered outside Hong Kong 在香港以外註冊公司

- Certified\* true copy of Certificate of Incorporation  
公司註冊證書核證副本\*
- Certified\* true copy of Memorandum & Article of Association  
公司組織章程大綱及細則核證副本\*
- Certified\* true copy of Address Proof (Principal Business Address ) within the past 3 months  
三個月內的地址證明核證副本\*
- Certified\* true copy of company bank account proof for licensed bank under Hong Kong Monetary Authority or equivalent jurisdiction (e.g. bank statement or cheque)  
香港金融管理局或等效管轄的國家持牌銀行的公司戶口證明核證副本\* (如銀行結單或支票)
- Certified\* true copy of Board Resolution (For account opening, appointment of authorized signer, authorized trading persons and other operation instructions)  
董事會決議案核證副本\*(有關開戶、委任授權簽署人、授權交易員及其他操作指令)
- Certified\* true copy of ID/Passport and Address Proof within the past 3 months of Director(s), Authorized Signer(s), Authorized Trading Person(s) and Ultimate Beneficial Owner(s) with 25% or above ownership  
所有董事、授權簽署人、授權交易人員及擁有 25%或以上擁有權的賬戶最終受益人的身份證明文件 / 護照及三個月內的地址證明的核證副本\*
- Certified\* true copy of Appointment of First Director  
委任首任董事的核證副本\*

- Certified\* true copy of Register of Directors  
董事記錄名冊核證副本\*
- Certified\* true copy of Register of Members/Shareholders  
股東記錄名冊核證副本\*
- Certified\* true copy of Incumbency issued by the registered agent within the past 3 months  
三個月內由公司的當地註冊代理人簽發的職權證明書核證副本\*
- Organization Structure Chart showing all the Beneficial Owners with 25% or above ownership  
列有全部擁有 25%或以上擁有權的最終受益人的組織架構圖表

2. Please complete part I in the application form if this application will be certified by professional.  
如此申請由專業人士核證，請填寫申請表格的 I 部份。

\*“Certified” means the document has been certified as true copy by a professional such as licensed lawyers, licensed accountants, public notaries or bank managers in Hong Kong or an equivalent jurisdiction of Hong Kong.

\*“核證”文件已被香港或等效管轄的國家所認可專業資格人員、如執業律師、執業會計師、公共公證人或銀行經理核證為真實副本。

Please mail the above documents to:

ADS Securities Hong Kong Ltd  
3/F Prosperity Tower,  
39 Queen’s Road Central,  
Central, Hong Kong

請郵寄上述文件至：

阿布扎比證券香港有限公司  
中環皇后大道中 39 號  
豐盛創建大廈 3 樓

If you have any questions related to the completion of this Application Form or which documents to submit, please contact us at +852 3185 0900 or cshk@adss.com

如果您對關於完成本申請表格或所需提交文件有任何疑問，請致電+852 3185 0900 或 cshk@adss.com

**ADS Securities Hong Kong Limited is licensed for Type 1, 2, 3 AND 4 regulated activities  
with the Securities and Futures Commission (CE# AXC847).**

**阿布扎比證券香港有限公司在香港證券及期貨事務監察委員會  
獲發牌進行第 1、2、3 及 4 類受規管活動的持牌法團(CE 編號 AXC847)。**

Account Type 賬戶類型	
Trading Products 交易產品: <input type="checkbox"/> Securities Margin Trading Account 證券保證金交易賬戶 <input type="checkbox"/> Futures & Options Margin Trading Account 期貨及期權保證金交易賬戶 <input type="checkbox"/> Leveraged Forex Exchange Trading Account ( <u>USD Denominated only</u> ) 槓桿式外匯交易賬戶 (只供美元結算)	Denominated Currency 結算貨幣 (Choose <b>ONE</b> only 選其一) <input type="checkbox"/> USD Denominated 美元結算 <input type="checkbox"/> HKD Denominated 港元結算

Account Opening Method 開戶方法
PLEASE CHOOSE ONE 請選擇其中一個: <input type="checkbox"/> 1. IN PERSON 親臨開戶 <input type="checkbox"/> 2. BY POST 郵遞

A) COMPANY INFORMATION 公司資料	
Registered Name(English) 註冊公司名稱(英文)	Chinese Name (If any) 中文名字(如適用)
Country of Incorporation 公司成立國家	Date of Incorporation (DD/MM/YYYY) 公司成立日期(日日/月月/年年年年)
Company Incorporation Number 公司註冊號碼	Nature of Business 業務性質
Registered Address 註冊地址	
Principal Business Address (if different from Registered Address) 主要辦事地址(如與註冊址不同)	
Mailing Address (if different from Principal Business Address) 郵寄地址(如與主要辦事地址不同)	
Tel No. (for communication) 電話號碼(用於通訊)	Fax Number 傳真號碼
Email (for communication and delivery of electronic statements) 電郵 (用於通訊及發送電子結單)	Preferred Language 語言: <input type="checkbox"/> Chinese 中文 <input type="checkbox"/> English 英文



B) SHAREHOLDER AND DIRECTOR INFORMATION 股東及董事資料		
Number of Director(s) 董事數目		Number of Shareholder (s) 股東數目
1. Position 職銜: <input type="checkbox"/> Share Holder 股東 <input type="checkbox"/> Director 董事		
Name 名稱		Hong Kong Permanent ID Card/Passport Number 香港永久性居民身份證/護照號碼
Nationality 國籍		Contact Phone Number 聯絡電話號碼
Date of Birth (DD/MM/YYYY) 出生日期(日日/月月/年年年年)	Place of Birth 出生地點	
	Town/City 城市	Country 國家
Residential Address 住宅地址		
2. Position 職銜: <input type="checkbox"/> Share Holder 股東 <input type="checkbox"/> Director 董事		
Name 名稱		Hong Kong Permanent ID Card/Passport Number 香港永久性居民身份證/護照號碼
Nationality 國籍		Contact Phone Number 聯絡電話號碼
Date of Birth (DD/MM/YYYY) 出生日期(日日/月月/年年年年)	Place of Birth 出生地點	
	Town/City 城市	Country 國家
Residential Address 住宅地址		
3. Position 職銜: <input type="checkbox"/> Share Holder 股東 <input type="checkbox"/> Director 董事		
Name 名稱		Hong Kong Permanent ID Card/Passport Number 香港永久性居民身份證/護照號碼
Nationality 國籍		Contact Phone Number 聯絡電話號碼



Date of Birth (DD/MM/YYYY) 出生日期(日日/月月/年年年年)	Place of Birth 出生地點	
	Town/City 城市	Country 國家
Residential Address 住宅地址		
4. Position 職銜: <input type="checkbox"/> Share Holder 股東 <input type="checkbox"/> Director 董事		
Name 名稱	Hong Kong Permanent ID Card/Passport Number 香港永久性居民身份證/護照號碼	
Nationality 國籍	Contact Phone Number 聯絡電話號碼	
Date of Birth (DD/MM/YYYY) 出生日期(日日/月月/年年年年)	Place of Birth 出生地點	
	Town/City 城市	Country 國家
Residential Address 住宅地址		
5. Position 職銜: <input type="checkbox"/> Share Holder 股東 <input type="checkbox"/> Director 董事		
Name 名稱	Hong Kong Permanent ID Card/Passport Number 香港永久性居民身份證/護照號碼	
Nationality 國籍	Contact Phone Number 聯絡電話號碼	
Date of Birth (DD/MM/YYYY) 出生日期(日日/月月/年年年年)	Place of Birth 出生地點	
	Town/City 城市	Country 國家
Residential Address 住宅地址		

### C) BENEFICIARY 實益擁有

Are you ("the Company") the Ultimate Beneficial Owner in relation to this Trading Account?

貴公司是否此交易賬戶的實益擁有人? ☐ Yes 是 ☐ No 不是

If No, please provide the details of the Ultimate Beneficial Owner

如不是，請提供最終實益擁有人的資料

Name 名稱 \_\_\_\_\_

Hong Kong Permanent ID Card/Passport Number 香港永久性居民身份證/護照號碼 \_\_\_\_\_

Place of Issue 簽發地 \_\_\_\_\_ Nationality 國籍 \_\_\_\_\_

Residential Address 住宅地址 \_\_\_\_\_

### D) CERTIFIED BOARD RESOLUTION 核證董事會決議案

I, \_\_\_\_\_, the undersigned Company Secretary/Director (delete where not applicable), of \_\_\_\_\_ ("Company") hereby certify that a meeting of the Board of Directors of said Company was held on and the following resolutions were duly passed by the Board of Directors.

本人(下方簽署人), \_\_\_\_\_, 乃 \_\_\_\_\_ ("公司") 公司秘書/董事(請刪去不適用) · 特此核以下決議案已獲董事會正式通過。

It was resolved as follows:

獲得通過如下:

1. That an account(s) ("Account") be opened with ADS Securities Hong Kong Securities Limited ("ADSS HK") for the purposes of Securities and Futures Margin Trading and/or Leveraged Foreign Exchange ("LFX") Trading as offered by ADSS HK from time to time.  
與阿布扎比證券香港有限公司 ("ADSS 香港") 開設由ADSS香港不時提供之證券及期貨保證金交易及/或槓桿式外匯("外匯")交易賬戶。
2. That the following individuals, whose names and specimen signatures appear below ("Authorized Signer"), shall be and are hereby jointly and severally authorized to undertake the following in conjunction with the Company's account(s) held with ADSS HK:  
以下簽署人士("授權簽署人") · 現共同及個別予授權下述及辦理與ADSS香港開設的公司賬戶:
  - a) To sign any document in connection with the opening and operation of this Account;  
簽署任何與開設及管理此賬戶有關的文件;

- b) To authorize fees and commissions to be paid to ADSS HK or third party from this Account;  
授權從此賬戶支付給ADSS香港或第三方的費用及佣金；
- c) To authorize deposits to be made into and withdrawals to be made from this Account;  
授權存入資金至此賬戶或從此賬戶提款；
- d) To receive requests and demands for additional margin, notices of intention to trade Securities and Futures and/or LFX and any other notices or demands of whatever character;  
接收要求額外保證金通知、證券及期貨及/或外匯交易意向通知及任何其他通知或要求；
- e) To receive and confirm the correctness of notice, confirmations, requests, demands and confirmations of every kind;  
接收正確性通知、確認、要求、需求及任各種確認；
- f) To place electronic and oral orders for Securities and Futures and/or LFX with ADSS HK directly or through the System in this Account;  
直接或經賬戶系統與ADSS香港以電子及口頭為證券及期貨及/或外匯交易下單；
- h) To settle, compromise, adjust and give release on behalf of the Company with respect to any and all claims, disputes and complaints relating to this Account;  
解決、和解、調整和代表公司發放任何或所有關於此賬的索賠、糾紛和投訴；
- i) To perform all terms and provisions of any and all agreements executed with ADSS HK and to take any action relating to any of the foregoing matters.  
執行任何或所有與ADSS香港協定的條款及規定和採取任何有關上述事宜的行動。

3. That the Authorized Signer(s) for this Account be:

此賬戶的授權簽署人

**A.**

Name 名稱		Position 職銜	
Nationality 國籍		Hong Kong Permanent ID Card/Passport Number 香港永久性居民身份證/護照號碼	
Contact Phone Number 聯絡電話號碼		Signature Specimen 簽署樣式	
Date of Birth (DD/MM/YYYY) 出生日期(日/月/年)		Place of Birth 出生地點	
		Town/City 城市	Country 國家

Residential Address 住宅地址

**B.**

Name 名稱		Position 職銜	
Nationality 國籍		Hong Kong Permanent ID Card/Passport Number 香港永久性居民身份證/護照號碼	

Contact Phone Number 聯絡電話號碼		Signature Specimen 簽署樣式	
Date of Birth (DD/MM/YYYY) 出生日期(日日/月月/年年年年)	Place of Birth 出生地點		
	Town/City 城市	Country 國家	
Residential Address 住宅地址			
<b>C.</b>			
Name 名稱		Position 職銜	
Nationality 國籍		Hong Kong Permanent ID Card/Passport Number 香港永久性居民身份證/護照號碼	
Contact Phone Number 聯絡電話號碼		Signature Specimen 簽署樣式	
Date of Birth (DD/MM/YYYY) 出生日期(日日/月月/年年年年)	Place of Birth 出生地點		
	Town/City 城市	Country 國家	
Residential Address 住宅地址			
<b>D.</b>			
Name 名稱		Position 職銜	
Nationality 國籍		Hong Kong Permanent ID Card/Passport Number 香港永久性居民身份證/護照號碼	
Contact Phone Number 聯絡電話號碼		Signature Specimen 簽署樣式	
Date of Birth (DD/MM/YYYY) 出生日期(日日/月月/年年年年)	Place of Birth 出生地點		
	Town/City 城市	Country 國家	
Residential Address 住宅地址			

4. That these resolutions be communicated to ADSS HK and shall remain in force and that ADSS HK shall be entitled to rely on the same until an amending resolution shall be passed and a copy certified by an officer of the Company shall have been received by the Company.

這決議案已傳達至 ADSS 香港並應維持有效及 ADSS 香港有權依照直至修訂決議案已通過及本公司已收到由本公司人員核證的副本。

I further certify that the Company has the power under its governing instruments and applicable law to take any action authorized herein and contemplated by the foregoing resolution.

本人進一步核證本公司在其執政管轄及適用的法律下有權採取任何行動予授權及通過上述決議案。

ACKNOWLEDGED BY:

確認人:

\_\_\_\_\_  
COMPANY SECRETARY/DIRECTOR NAME

公司秘書/董事名稱

\_\_\_\_\_  
SIGNATURE

簽署

\_\_\_\_\_  
DATE (DD/MM/YYYY)

日期 (日日/月月/年年年年)

## E) FINANCIAL & CUSTOMER INFORMATION 財務及客戶資料

What is your total annual income (in HKD) of the entity? 貴公司的全年總收入為 (港元)?

What is your total liquid assets (in HKD) of the entity? 貴公司的總流動資產為(港元)?

What is the source(s) of fund for trading? 交易的資金來源為?

Any Director/Authorized Signer/Authorized Trader/Beneficial Owner is/are:

有沒有任何董事/授權簽署人/授權交易人員/最終實益擁有人是:

i) employed by or related to someone who is employed by ADSS Group ?

ADSS 集團的僱員或任何 ADSS 集團僱員的親屬?

☐ Yes 有 ☐ No 沒有

If Yes, Name of Employee 如果有, 僱員名稱 \_\_\_\_\_

ii) related to any ADSS HK clients? 您是否與任何 ADSS 香港客戶有關連?

☐ Yes 有 ☐ No 沒有

If Yes, Name of ADSS HK client 如果是, ADSS 香港客戶名稱 \_\_\_\_\_

iii) an employee of a SFC Licensed Entity?

香港證監會持牌公司的僱員?

☐ Yes 有 ☐ No 沒有

If Yes, Name of Entity 如果有, 公司名稱 \_\_\_\_\_

iv) a "Politically Exposed Person (PEP)" or related to a PEP as defined by the Hong Kong Law?

香港法律定義下的“政治公眾人物 ( PEP ) ”或與政治公眾人物有密切聯繫 ?

☐ Yes 有 ☐ No 沒有

If Yes, Position/ Name of PEP 如果是, 職位/政治公眾人物名稱 \_\_\_\_\_

Are you a licensed entity, listed company or regulated entity in Hong Kong or country in equivalent jurisdiction?

貴公司是否香港或等效管轄的國家持牌公司、上市公司或受監管公司?

☐ No  
否

☐ Yes, Licensed entity licensed by \_\_\_\_\_  
是, 持牌公司由 \_\_\_\_\_ 發牌

☐ Yes, listed company  
是, 上市公司

☐ Yes, regulated by \_\_\_\_\_  
是, 受 \_\_\_\_\_ 監管

## F) TRADING INFORMATION AND INVESTMENT OBJECTIVE 交易資料及投資目標

Have you had knowledge and experience on trading Equity, Futures and/or Leveraged Foreign Exchange?

貴公司有沒有買賣股票、期貨及/或槓桿式外匯的經驗?

Type of product 產品種類	No 沒有	Yes 有	Years of Experience if Yes 如有，所擁有之經驗		
			Less than 1 year 少於 1 年	1-5 years 1-5 年	More than 5 years 多於 5 年
Cash, deposits, certificates of deposit, capital protected products 現金、存款、存款証、保本產品					
Bonds, bond funds 債券、債券基金					
Foreign currencies, non-capital protected currency linked structured products and investment products 外幣、非保本之貨幣掛鉤結構產品及投資產品					
Stocks, open-ended funds (excluding bond funds and money market funds), non-capital protected equity linked structured products 股票、開放式基金(不包括債券基金或貨幣市場基金)、 非保本之股票掛鉤結構產品					
Options, futures, warrants, callable bull/bear contracts, products not authorized by Securities and Futures Commission including private equity funds and OTC derivatives products 期權、期貨、認股權証(俗稱“窩輪”)、牛熊證、証監會 非認可產品包括私募基金及場外衍生產品					
Leveraged Foreign Exchange 槓桿式外匯					

What is your investment objective? 貴公司的投資目標是什麼?

☐ Income 收入 ☐ Capital growth 資產增值 ☐ Hedging 對沖 ☐ Speculation 投機

What is your risk tolerance level? 貴公司的風險承受能力是什麼?

(For opening Securities or Futures trading account client, provide the result on your Client Risk Profile Questionnaire.

如開立證券或期貨賬戶之客戶，請提供於客戶風險承受問卷所得程度結果)

☐ High 高 ☐ Medium 中 ☐ Low 低

## G) REFERRAL & PROMOTION 介紹及推廣

How did you hear about ADSS HK? 您如何認識 ADSS 香港?

☐ Magazine 雜誌 ☐ Online Ad 網上廣告 ☐ Friend 朋友 ☐ Search Engine 搜索引擎  
☐ Newspaper 報紙 ☐ Seminar 研討會 ☐ Forum 論壇 ☐ Others 其他\_\_\_\_\_

PROMOTION CODE 推廣編號: \_\_\_\_\_



## H) CUSTOMER ACKNOWLEDGEMENT 客戶確認

By signing below, I, the Authorized Signer,:

在下面簽署，本人，授權簽署人，：

1. have read and understood 已閱讀及了解:

- ☐ the Securities and Futures Margin Trading TREX Client Agreement and Supplemental Documents (including the Risk Disclosure Statement, Disclosure of Risk on Margin Trading and the Personal Information collection Statement) provided to me in a language of my choice;

證券及期貨保證金交易TREX客戶協議書及其他補充文件（包括風險披露聲明，保證金交易風險披露及個人資料收集聲明）的所有條文，而文件的語言為本人的選擇；

- ☐ the Leveraged Foreign Exchange (LFX) Trading OREX Terms of Business and the Supplemental Documents (including the Order Execution Policy, the Risk Disclosure Statement and the Personal Information Collection Statement) provided to me in a language of my choice;

槓桿式外匯交易OREX業務條款及其他補充文件（包括訂單執行政策，風險披露聲明及個人資料收集聲明）的所有條文，而文件的語言為本人的選擇；

2. have agreed to open one or more Account(s) with ADSS HK and to be bound by all the provisions of the OREX Terms of Business and/or TREX Client Agreement where applicable and the Supplemental Documents and any subsequent revisions posted on the ADSS HK web site from time to time;  
已同意在ADSS香港開設一個或多個賬戶並已同意OREX業務條款及/或TREX客戶協議書(如適用)及其他補充文件的所有條文，而條文可能在ADSS香港網站不時作出更新；
3. have been invited to ask questions or to seek independent advise (if I wish) about the OREX Terms of Business and/or TREX Client Agreement where applicable and the Supplemental Documents and I have received satisfactory answers from ADSS HK or independent advisor;  
已獲邀就有關OREX業務條款及/或TREX客戶協議書(如適用)及其他補充文件提出問題及徵求獨立的意見(如我有此意願)並已從ADSS香港或獨立顧問得到滿意的解答；
4. have confirmed the Company stands to gain the commercial or economic benefits of the securities and futures and/or foreign exchange transactions and/or bear their commercial or economics risks and the Authorized Trader(s) us/are the ultimately responsible for operating and giving instructions for the Account;  
已確認本公司為本賬戶之證券及期貨及/或外匯交易買賣的商業或經濟利益之得益者及/或商業或經濟損失的承受者，且授權交易人員為賬戶的最終操作負責人及指示者；
5. have confirmed the Company is the sole source of funding and trading will be done by its Authorized Trader(s), will notify ADSS HK in writing immediately if there is any change;  
已確認本公司為資金的唯一來源及交易將由本公司的授權交易人員完成；對此如有任何更改，本人會立刻以書面通知阿布扎比證券香港有限公司；
6. have confirmed all information including supporting documents provided or to be provided by me is true, complete and correct, I will inform ADSS HK any material change of such information and documents as soon as practicable. ADSS HK is entitled to rely fully on such information and representations for all purposes, unless ADSS HK receives notice of change from me;  
已確認本人已提供或將提供的所有資料，包括所需文件均為真實、完整及正確的；如有任何重大變更，本人會盡快通知阿布扎比證券香港有限公司；除非ADSS香港收到本人更改資料通知，ADSS香港完全可以依靠這些資料及陳述作任何目的；
7. have authorized ADSS HK to use the information for the purposes of opening and maintaining a Securities and Futures and/or LFX Account, to comply with the laws of Hong Kong and to contact any third parties for the purpose of verifying the information provided by me;  
已授權阿布扎比證券香港有限公司使用我在證券及期貨及/或外匯賬戶申請表格所提供的資料，在遵守香港的法律下，與任何第三方進行核實本人所提供的個人資料；

<p>8. have confirmed the Company will receive ADSS HK communications including trade confirmations and statements through Email only; 已確認本公司將只以電子分式收到阿布扎比證券香港有限公司的通信，包括交易確認和結單；</p> <p>9. have acknowledged that Interactive Brokers LLC (SFC CE# AEX264) and Interactive Brokers Hong Kong Limited (SFC CE# ADI249) provide execution, clearing and carrying services for my Securities and Futures Margin Trading (Trex) account pursuant to an agreement with ADSS HK. (Only for client opens Securities and Futures Margin Trading account). 已確認 (如客戶開立證券及期貨保證金交易(TREX)賬戶) · 盈透有限公司(SFC CE# AEX264)和盈透證券香港有限公司(SFC CE# ADI249) 根據與ADSS香港的協議，向本人之證券及期貨保證金交易(TREX)賬戶提供執行，結算和調期的服務；</p> <p>10. To comply with FATCA ("Foreign Account Tax Compliance Act"), ADSS HK must identify U.S. account holders as well as entities under U.S. control (i.e. U.S. persons having a substantial ownership interest in the entity) and provide the Internal Revenue Service ("IRS") with information on their assets, income payments and trade flows during the fiscal year. 為符合「海外賬戶稅收遵從法」("FATCA") ADSS香港必須識別出美國賬戶持有人及由美國控制的實體(即持有實體重大擁有權權益的美國人士)，然後向稅務局(IRS)提供其於該財政年度內的資產、收入款項及交易流資料。</p> <p>11. According to the Inland Revenue Ordinance (Cap. 112) ("IRO") of Hong Kong, ADSS HK as a financial institution defined under the IRO is required and authorized to collect and/or report certain information about the Account Holder's tax residence and the account information for the purpose of automatic exchange of financial account information. The information requested and collected in this form is intended to be consistent with the law requirements in Hong Kong. 根據香港《稅務條例》(第112章) · ADSS香港作為《稅務條例》定義下的財務機構是被要求及授權收集及/或匯報若干關於帳戶持有人的納稅居住地和帳戶資料作自動交換財務帳戶資料之用。</p> <p>12. have witnessed all the signatories of all Authorized Signers. 已見證所有授權簽署人簽署。</p>
<p><input type="checkbox"/> Please check this box shall you not wish ADSS HK to send information by mail /Email or other means for the purpose of direct marketing on ADSS HK's products, services and promotional offers. Please visit <a href="http://www.adss.com/">http://www.adss.com/</a> for more details about the Personal Information Collection Statement of ADSS HK. 如果您不希望 ADSS 香港通過郵件/電子郵件或其他方式發放直銷資料給閣下，藉以提供 ADSS 香港的產品、服務、推廣優惠，請選取此方塊。有關「個人資料收集聲明」，請參考 ADSS 香港網頁(<a href="http://www.adss.com/">http://www.adss.com/</a>)</p>
<p>* Should there be any inconsistencies between the English and the Chinese version of this Account Application Form, the English version shall prevail. *如本賬戶申請表格的英文版與中文版有歧義，應以英本版本為準。</p>

\_\_\_\_\_  
AUTHORIZED SIGNER'S NAME  
授權簽署人名稱

\_\_\_\_\_  
AUTHORIZED SIGNER'S SIGNATURE  
授權簽署人簽署

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

**I) WITNESS AND DECLARATION BY PROFESSIONAL  
(PLEASE SEE NOTE 2 UNDER "BY POST" ON PAGE 5)  
專業人士見證及聲明 (請參考頁 5 "郵遞" 的第 2 項)**

I, \_\_\_\_\_, hereby confirm that I have verified the identity and witnessed the  
signature of Mr./Mrs./Miss \_\_\_\_\_.

本人, \_\_\_\_\_, 特此確認本人已核證

\_\_\_\_\_ 先生/女士/小姐的身份及見證其簽署。

Name 名稱	QUALIFICATION 專業資格	License Number 牌照號碼
Address 地址		Phone Number 電話號碼

\_\_\_\_\_  
SIGNATURE  
簽署

\_\_\_\_\_  
DATE (DD/MM/YYYY)  
日期(日日/月月/年年年年)

FOR ADSS HK'S INTERNAL USE ONLY 只供 ADSS 香港內部使用:

**WITNESS AND DECLARATION BY ADS SECURITIES HONG KONG LIMITED LICENSED REPRESENTATIVE**

**阿布扎比證券有限公司持牌代表見證及聲明**

I 本人, \_\_\_\_\_, hereby confirm  
that I have 特此確認本人已:

- i) verified the identity and witnessed the signature of Mr./Mrs./Miss  
核對\_\_\_\_\_先生/女士/小姐的身份及見證其簽署;and 及
- ii) provided the Supplemental Documents (including the Order Execution Policy, the Risk Disclosure Statement, Disclosure of Risk on Margin Trading and the Personal Information Collection Statement where applicable) in a language of the client's choice(English or Chinese); and  
按照客戶所選擇的語言(英文或中文)提供補充文件 (包括訂單執行政策、風險披露聲明、保證金交易風險披露及個人資料收集聲明, 如適用);及
- iii) invited the client to read the Risk Disclosure Statement, ask questions and take independent advice if the client wishes.  
邀請客戶細覽風險披露聲明, 提出問題及徵求獨立意見(如客戶有此意願)。
- iv) received of the signed Account Application Form.  
收到已簽署的賬戶申請表格。

\_\_\_\_\_  
LICENSED REPRESENTATIVE'S SIGNATURE  
持牌代表簽署

\_\_\_\_\_  
SFC CE NUMBER  
證監會中央編號

\_\_\_\_\_  
DATE (DD/MM/YYYY)  
日期 (日日/月月/年年年年)

Acknowledgement by ADS Securities Hong Kong Limited 阿布扎比證券香港有限公司確認  
We acknowledge and agree to the above. 本公司確認並認同以上。

\_\_\_\_\_  
Duly authorized for and on behalf of  
ADS Securities Hong Kong Limited  
阿布扎比證券香港有限公司正式授權代表