



Customer Due Diligence Form
客戶盡職審查表格

Name of Client 客戶姓名:

1. ACCOUNT HOLDER EMPLOYMENT INFORMATION 賬戶持有人就業資料

☐ Employed 就業 ☐ Self Employed 自僱 ☐ Retired 退休

☐ Unemployed 無業 ☐ Others 其他 _____

Do you have regular income? 您有固定收入嗎? ☐ Yes 有 ☐ No 沒有

Name of Current Employer
現時僱主名稱

Type of Business
行業

Occupation/Position
職業/職位

Years with Current Employer
在現時公司年數

Employer Telephone No.
僱主電話號碼

Employer Address
僱主地址

2. FINANCIAL & CLIENT INFORMATION 財務及客戶資料

What is your total annual income (HKD)? 您的全年總收入為(港元)?

☐ No Income 無收入 ☐ Under 少於 HK\$200,000 ☐ HK\$200,000 – HK\$499,999
☐ HK\$500,000 – HK\$999,999 ☐ HK\$1,000,000 and above 或以上

What is your total liquid asset (HKD)? 您的總流動資產為(港元)?

☐ Less than 少於 HK\$300,000 ☐ HK\$300,000 – HK\$499,999
☐ HK\$500,000 – HK\$999,999 ☐ HK\$1,000,000 and above 或以上

What is your source(s) of fund for trading? (Check all apply) 您交易的資金來源為? (選擇所有適用)

☐ Saving 儲蓄 ☐ Employment 就業薪金 ☐ Self-Employment business 自僱
☐ Pension 退休金 ☐ Investment 投資 ☐ Others 其他 (Please specify 請說明 _____)

Have you ever declared bankrupt or served with a bankruptcy petition?

您是否曾經宣告破產或被申請破產?

☐ Yes 有 ☐ No 沒有

If Yes, Date of Bankruptcy 如有, 破產日期 _____

Are you employed by or related to someone who is employed by ADSS Group?

您是否 ADSS 集團的僱員或任何 ADSS 集團僱員的親屬?

☐ Yes 是 ☐ No 否

If Yes, Name of ADSS employee 如果是, 僱員名稱 _____

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

☐ Yes 是 ☐ No 否

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

Are you an employee of a SFC licensed entity? 您是否香港證監會持牌公司的僱員?

☐ Yes 是 ☐ No 否

If Yes, please provide company consent letter 如果是，請提供僱主的同意書

Are you the Ultimate Beneficial Owner of the account? 您是否賬戶的最終實益擁有人?

☐ Yes 是 ☐ No 否

If No, please name the Ultimate Beneficial Owner 如否，最終實益擁有人名為_____

Are you ultimately responsible for giving trading orders? 您是否最終負責下單的人?

☐ Yes 是 ☐ No 否

If No, please name the ultimately responsible for trading 如否，最終負責下單人為_____

Are you a "Politically Exposed Person (PEP)" or related to PEP as defined by the Hong Kong Law? 您是否香港法律定義下的“政治公眾人物 (PEP)”或與政治公眾人物有密切聯繫?

☐ Yes 是 ☐ No 否

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

3. 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? 您有沒有買賣股票、期貨及/或槓桿式外匯的知識及經驗?					
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? 您的投資目標是什麼?					
<input type="checkbox"/> Income 收入 <input type="checkbox"/> Capital growth 資產增值 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Speculation 投機					

Client Acknowledgement 客戶確認

By signing below, I: 簽署後，即本人：

1. 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ADSS香港。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；
2. have authorized ADSS HK to use my personal information for the purposes of maintaining one or more Account(s), to comply with the laws of Hong Kong and to contact any third parties for the purpose of verifying the personal information provided by me.
已授權ADSS香港使用我在客戶盡職審查表格所提供的個人資料，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。

CLIENT'S SIGNATURE 客戶簽署

DATE (DD/MM/YYYY) 日期 (日日/月月/年年年年)

FOR OFFICIAL USE ONLY – VERIFICATION OF CLIENT'S IDENTITY

僅供官方填寫 - 驗證客戶身份

Verification via face-to-face	<input type="checkbox"/> Yes 是 Name and signature of licensed representative: 持牌代表姓名及簽署:	<input type="checkbox"/> No 否
Verification via telephone call	<input type="checkbox"/> Yes 是 Date, time and ext.: 日期，時間及內線:	<input type="checkbox"/> No 否
Identity Document Number 證件號碼	<input type="checkbox"/> Matched 符合	<input type="checkbox"/> Not Match* 不符合*
Telephone Number 電話號碼	<input type="checkbox"/> Matched 符合	<input type="checkbox"/> Not Match* 不符合*
Email Address 電郵地址	<input type="checkbox"/> Matched 符合	<input type="checkbox"/> Not Match* 不符合*
Mailing Address 郵寄地址	<input type="checkbox"/> Matched 符合	<input type="checkbox"/> Not Match* 不符合*
Client's Signature 客戶簽署	<input type="checkbox"/> Matched 符合	<input type="checkbox"/> Not Match* 不符合*

*Client will need to open a new account 客戶需要開設一個新賬戶