



**農銀國際**  
ABC INTERNATIONAL

ABC SECURITIES COMPANY LIMITED

農銀國際證券有限公司 ABCI Securities Company Limited

香港中環紅棉路8號東昌大廈13樓

13/F., Fairmont House, 8 Cotton Tree Drive, Central, Hong Kong

Tel電話: (852) 2868-2183 Fax傳真: (852) 2868-0320

Website 網址: http://sec.abci.com.hk Email電郵: service@abci.com.hk

CE No. CE 編號: ACX411

**MARGIN CLIENT'S SECURITIES ACCOUNT OPENING INFORMATION FORM –**  
**INDIVIDUAL/ JOINT ACCOUNT**

*(ABCI Securities Company Limited "ABCIS")*

Account Number :
------------------

*(Please tick "✓" the appropriate field, # Delete whichever inapplicable, ® Select all applicable)*

<b>(A) Individual/ Primary Account Holder (1)</b>	
Name (English) (Mr/Miss/Ms #)	
Name (Chinese) (先生/小姐/女士#)	Nationality:
Date of Birth: (dd/mm/yyyy)	Place of Birth (City, Country):
ID Card/Passport No.:	Issuing Country:
Education Level: <input type="checkbox"/> Primary or below <input type="checkbox"/> Secondary <input type="checkbox"/> Post Secondary <input type="checkbox"/> University or above	
Residential Address: _____ _____ Country Post Code/Zip Code	
Home Phone: ( ) ( )	Mobile Phone: ( ) ( )
Office Address: _____	
Office Phone: ( ) ( )	Fax No.: ( ) ( )
Correspondence Address (if different from the residential address stated above): <input type="checkbox"/> Home / <input type="checkbox"/> Office / <input type="checkbox"/> Others (Please specify and provide proof of address): _____ _____ Country Post Code/Zip Code	
<b>Process Agent (Applicable to non-Hong Kong Client)</b>	
The Client hereby irrevocably appoints _____ (Name)	
of _____ (Hong Kong Address)	
as the process agent for the purpose of accepting service of legal process relating to ABCIS' Margin Client's Agreement and the Account.	
<b>Financial Profile</b>	
Name of Employer:	Business Nature:
Position:	Year(s) of Service:
Employment Status:	<input type="checkbox"/> Full-time Employed <input type="checkbox"/> Part-time Employed <input type="checkbox"/> Self-employed <input type="checkbox"/> Not Currently Employed <input type="checkbox"/> Retired <input type="checkbox"/> Full-time Student <input type="checkbox"/> Housewife <input type="checkbox"/> Others (Please specify):
Residential Status:	<input type="checkbox"/> Self-owned <input type="checkbox"/> Mortgage <input type="checkbox"/> Rental <input type="checkbox"/> Quarters <input type="checkbox"/> Lived with Parents <input type="checkbox"/> Others (Please specify): Years of Living: Monthly Installment / Rental: HK\$
Annual Income:	<input type="checkbox"/> < HK\$500,000 <input type="checkbox"/> HK\$500,000-HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001-HK\$5,000,000 <input type="checkbox"/> > HK\$5,000,000
Net Assets:	<input type="checkbox"/> < HK\$500,000 <input type="checkbox"/> HK\$500,000-HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001-HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001-HK\$10,000,000 <input type="checkbox"/> HK\$10,000,001-HK\$50,000,000 <input type="checkbox"/> > HK\$50,000,000
Source of Wealth®:	<input type="checkbox"/> Salary and/or bonus <input type="checkbox"/> Saving <input type="checkbox"/> Business Income <input type="checkbox"/> Return on investment <input type="checkbox"/> Retirement funds <input type="checkbox"/> Inheritance <input type="checkbox"/> Others (Please specify):

Source of Funds@:	(a) Country(ies) of Origin(s) of Funds: <input type="checkbox"/> Hong Kong <input type="checkbox"/> Mainland China <input type="checkbox"/> Macau <input type="checkbox"/> Singapore <input type="checkbox"/> United States <input type="checkbox"/> Canada <input type="checkbox"/> Others (Please specify): (b) Activity(ies) that generates the Funds <input type="checkbox"/> Salary and/or bonus <input type="checkbox"/> Saving <input type="checkbox"/> Business Income <input type="checkbox"/> Return on investment <input type="checkbox"/> Retirement funds <input type="checkbox"/> Sale of Property <input type="checkbox"/> Sale of Investment <input type="checkbox"/> Others (Please specify):
<b>Investment Experience</b>	
Investment Experience@:	<input type="checkbox"/> Stocks / <input type="checkbox"/> Warrants / <input type="checkbox"/> Options / <input type="checkbox"/> Bonds / <input type="checkbox"/> Funds / <input type="checkbox"/> Other Derivatives / <input type="checkbox"/> Nil
Investment Objective@:	<input type="checkbox"/> Capital appreciation / <input type="checkbox"/> Dividend yield / <input type="checkbox"/> Hedging / <input type="checkbox"/> Speculation / <input type="checkbox"/> Others (Please specify):
Client knowledge on derivative products: (a) Has the Client undergone training or attended courses that provide general knowledge of the nature and risk of derivatives? <span style="float: right;"><input type="checkbox"/> No / <input type="checkbox"/> Yes</span> (b) Has the Client currently or previously worked in a role related to derivative products? <span style="float: right;"><input type="checkbox"/> No / <input type="checkbox"/> Yes</span> Relevant employment period: _____ Name of employer: _____ (c) Has the Client executed five or more transactions in derivative products within the past three years? <span style="float: right;"><input type="checkbox"/> No / <input type="checkbox"/> Yes</span>  <i>The Client will not be able to trade derivative products through ABCIS' trading account if the Client has been classified as not having sufficient knowledge on derivative products. The Client is required to sign and return the separate form “<b>Risk Disclosure Statement – Derivative Products</b>” and return to our office if he/she wishes to trade those products.</i>	

<b>(B) Secondary Account Holder (2)</b>	
Name (English) (Mr/Miss/Ms #)	Relationship between the Primary Client and the Joint Client:
Name (Chinese) (先生/小姐/女士#)	Nationality:
Date of Birth:  (dd/mm/yyyy)	Place of Birth (City, Country):
ID Card/Passport No.:	Issuing Country:
Education Level: <input type="checkbox"/> Primary or below <input type="checkbox"/> Secondary <input type="checkbox"/> Post Secondary <input type="checkbox"/> University or above	
Residential Address:   Country Post Code/Zip Code	
Home Phone: ( )	Mobile Phone: ( )
Office Address:	
Office Phone: ( )	Fax No.: ( )
Correspondence Address (if different from the residential address stated above): <input type="checkbox"/> Home / <input type="checkbox"/> Office / <input type="checkbox"/> Others (Please specify and provide proof of address):  Country Post Code/Zip Code	
<b>Process Agent (Applicable to non-Hong Kong Client)</b>	
The Client hereby irrevocably appoints _____ (Name) of _____ (Hong Kong Address) as the process agent for the purpose of accepting service of legal process relating to ABCIS' Margin Client's Agreement and the Account.	
<b>Financial Profile</b>	
Name of Employer:	Business Nature:
Position:	Year(s) of Service:
Employment Status:	<input type="checkbox"/> Full-time Employed <input type="checkbox"/> Part-time Employed <input type="checkbox"/> Self-employed <input type="checkbox"/> Not Currently Employed <input type="checkbox"/> Retired <input type="checkbox"/> Full-time Student <input type="checkbox"/> Housewife <input type="checkbox"/> Others (Please specify):
Residential Status:	<input type="checkbox"/> Self-owned <input type="checkbox"/> Mortgage <input type="checkbox"/> Rental <input type="checkbox"/> Quarters <input type="checkbox"/> Lived with Parents <input type="checkbox"/> Others (Please specify): Years of Living: Monthly Installment / Rental: HK\$
Annual Income:	<input type="checkbox"/> < HK\$500,000 <input type="checkbox"/> HK\$500,000-HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001-HK\$5,000,000 <input type="checkbox"/> > HK\$5,000,000
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Source of Wealth@:	<input type="checkbox"/> Salary and/or bonus <input type="checkbox"/> Saving <input type="checkbox"/> Business Income <input type="checkbox"/> Return on investment <input type="checkbox"/> Retirement funds <input type="checkbox"/> Inheritance <input type="checkbox"/> Others (Please specify):
Source of Funds@:	(a) Country(ies) of Origin(s) of Funds: <input type="checkbox"/> Hong Kong <input type="checkbox"/> Mainland China <input type="checkbox"/> Macau <input type="checkbox"/> Singapore <input type="checkbox"/> United States <input type="checkbox"/> Canada <input type="checkbox"/> Others (Please specify): (b) Activity(ies) that generates the Funds <input type="checkbox"/> Salary and/or bonus <input type="checkbox"/> Saving <input type="checkbox"/> Business Income <input type="checkbox"/> Return on investment <input type="checkbox"/> Retirement funds <input type="checkbox"/> Sale of Property <input type="checkbox"/> Sale of Investment <input type="checkbox"/> Others (Please specify):

Investment Experience													
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(C) Instruction													
<p>Identity of the ultimate beneficial owner of the Account:</p> <p><input type="checkbox"/> Myself / <input type="checkbox"/> Third Party: _____ Nationality: _____</p> <p>Ourselves      Third Party Address: _____</p> <p>ID Card/ Passport No.: _____ Issuing Country: _____ (Please attach a copy)</p> <p>Relationship with Account Holder: _____ Contact No.: _____</p>													
<p>Identity of the person ultimately responsible for giving instructions for the Account:</p> <p><input type="checkbox"/> Myself / <input type="checkbox"/> Third Party: _____ Nationality: _____</p> <p>Ourselves      Third Party Address: _____</p> <p>ID Card/ Passport No.: _____ Issuing Country: _____ (Please attach a copy)</p> <p>Relationship with Account Holder: _____ Contact No.: _____</p>													
<p><b>(Remark: The Client is deemed to accept clause 5.4 of the ABCI S' "Margin Client's Agreement" for the authorization)</b></p>													
<p>Payment Instruction:</p> <p>Please issue cheques to the Client's bank account opened in Hong Kong upon request (Prescribed currency: HKD)</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 40%;">Bank Name</th> <th style="width: 40%;">Bank Account Number</th> <th style="width: 20%;">Currency</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td style="text-align: center;"><b>HKD</b></td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>		Bank Name	Bank Account Number	Currency			<b>HKD</b>						
Bank Name	Bank Account Number	Currency											
		<b>HKD</b>											

<b>(D) Additional Information</b>
<p>Delivery of statements:</p> <p><input type="checkbox"/> By mail to correspondence address / <input type="checkbox"/> By email, Email Address: _____</p>
<p>Delivery of margin adjustment notifications:</p> <p><input type="checkbox"/> By mail to correspondence address / <input type="checkbox"/> By email, Email Address: _____</p>
<p>Open an Internet Trading Account:</p> <p><input type="checkbox"/> No / <input type="checkbox"/> Yes, Email Address: _____</p>
<p>Whether the Client relates to any employee or director of ABCIS?</p> <p><input type="checkbox"/> No / <input type="checkbox"/> Yes, Name: _____ Relationship: _____</p>
<p>Whether the Client's spouse is a client of ABCIS?</p> <p><input type="checkbox"/> N/A / <input type="checkbox"/> No / <input type="checkbox"/> Yes, Name: _____ Account Number: _____</p>
<p>Whether the Client and the other margin client of ABCIS who are natural persons (other than spouses) act on behalf of the same third party where the third party is not a margin client of ABCIS but is the beneficial owner of your accounts, or stands to gain the commercial or economic benefit or bear the commercial or economic risk of the transactions in your accounts?</p> <p><input type="checkbox"/> No / <input type="checkbox"/> Yes, Name: _____ Account Number: _____</p> <p>Name of third party: _____</p>
<p>Whether the Client and the other margin client of ABCIS who are natural persons (other than spouses) where you act through the others and is the beneficial owner of the other's accounts, or stands to gain the commercial or economic benefit or bear the commercial or economic risk of the transactions in the other's accounts?</p> <p><input type="checkbox"/> No / <input type="checkbox"/> Yes, Name: _____ Account Number: _____</p>
<p>Whether the Client has financial connected with other margin client of ABCIS by guarantee arrangement?</p> <p><input type="checkbox"/> No / <input type="checkbox"/> Yes, Name: _____ Account Number: _____</p>
<p>Is the Client or the Client's authorized person a licensed or registered person, employee or director of a company licensed or registered with the Securities and Futures Commission?</p> <p><input type="checkbox"/> No / <input type="checkbox"/> Yes, Company Name: _____</p>
<p>If the above answer is "Yes", has the Client or the Client's authorized person obtained approval from their employer for opening a securities account with ABCIS?</p> <p><input type="checkbox"/> N/A / <input type="checkbox"/> No / <input type="checkbox"/> Yes</p>
<p>Is the Client or the Client's authorized person a director, employee or major shareholder of any listed company?</p> <p><input type="checkbox"/> No / <input type="checkbox"/> Yes, name of the listed company and place of listing: _____</p>
<p>Is the Client entrusted with prominent public functions, such as senior political or government officials, judicial officials, senior executives of state owned corporations, or family members or close associates of the above-mentioned parties?</p> <p><input type="checkbox"/> No / <input type="checkbox"/> Yes, Please specify: _____</p>
<p>Does the Client alone or jointly with his/her spouse control 35% or more of the voting rights of any client with ABCIS?</p> <p><input type="checkbox"/> N/A / <input type="checkbox"/> No / <input type="checkbox"/> Yes, Name: _____ Account Number: _____</p>

**(E) Signing Instruction (For joint account only)**

Each of the joint account holders specified is authorized to give verbal instructions and/ or instruction through the electronic service (where applicable) in relation to the purchase or sale of any securities from time to time singly; and

- Either one joint account holder signing singly**
- All joint account holders signing jointly**, validates any written instructions relating to the operation of the Account(s).

**(I) Client Confirmation:**

- I/We confirm that the information which I/we provide in this **Margin Client's Account Opening Information Form** is true, correct and complete in all respects. ABCIS is entitled to rely fully on such information for all purposes, unless ABCIS receives notice in writing from me/us of any change therein.
- I/We confirm and understand that the **Margin Client's Agreement** forms a part of, and should be read together with, the **Margin Client's Account Opening Information Form**. I/We understand the terms and conditions stated in the **Margin Client's Agreement** including the terms under Consent To Trade Securities On Internet, Overseas Securities Trading Authorization Letter and Bonds Trading Authorization Letter (if applicable), and accept and agree to be bound by them; and I/we are signing, sealing and delivering this **Margin Client's Account Opening Information Form** in acceptance thereof as a deed.
- I/We acknowledge and confirm that the **Risk Disclosure Statements** were provided to me/us in the language of my/our choice (English or Chinese).
- I/We acknowledge and confirm that I/we were invited to read the **Risk Disclosure Statements** carefully, to ask questions and take independent advice if I/we wish.
- I/We understand that if the above information is not fully completed, ABCIS may delay the opening of the account.

L.S.

L.S.

\_\_\_\_\_  
Client Signature  
(This signature will be treated as specimen signature)  
Date: \_\_\_\_\_

\_\_\_\_\_  
Client Signature (*Joint account holder*)  
(This signature will be treated as specimen signature)  
Date: \_\_\_\_\_

- \* I/We enclose the following documents for your processing:
- (a) Certified true copy of my/our valid ID Card or Passport
  - (b) Original or the certified true copy of the proof of address of my/our residential and correspondence (if applicable)
  - (c) W-8BEN form (if applicable)

**(II) Witness (Completed by a professional person# or SFC licensed representative)**

I hereby witness the signature(s) of the Client (with the Client's original ID card/passport)

\_\_\_\_\_  
Signature  
Print Name:  
Capacity:  
Name of the employer:  
Contact phone number:

\_\_\_\_\_  
Date

# Professional Person can be a notary public/ branch manager of a FATF bank /lawyer/certified public accountant /Justice of Peace.

**(III) Declaration by licensed representative of ABCI Securities Company Limited**

- I, the undersigned, declare that:
- the **Risk Disclosure Statements** have been provided to the Client in English or Chinese (as the case may be), being the language of the Client's choice;
  - I have invited the Client to read the said **Risk Disclosure Statements** and have asked the Client to ask questions and take independent advice if the Client so wishes; and
  - Having considered the above information, does the Client have sufficient knowledge on derivative products?  No /  Yes
  - Is the Client entitled to trade derivative products?  No /  Yes

\_\_\_\_\_  
Signature  
Print Name:  
CE Number:

\_\_\_\_\_  
Date

**(F) Self-Certification Form (Individual)**

Account Holder Name: \_\_\_\_\_ Account Number : \_\_\_\_\_

**Important Notice to Client(s): Please read this section before completing this form. As a financial institution, we are not allowed to give tax advice.**

If you have any questions about this form, these instructions, or defining your tax residency status, please speak to your tax advisor or relevant tax authority. You can also find out more, including a list of jurisdictions that have signed agreements to automatically exchange information, along with details about the information being requested, on the OECD automatic exchange of information portal (<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>).

**Please note that where there are joint account holders, each account holder is required to complete a separate Self-Certification form.**

You may be asked to provide additional documents to evidence the declaration made on this form.

**Section 1: Declaration of US Tax Status**

(a) I certify that I am a citizen of the United States of America\*.

Yes  No

(b) I certify that I am a resident of the United States of America for U.S. federal income tax purposes\*.

Resident of the U.S. includes any individual who (i) holds a U.S. Permanent Resident Card (i.e.a green card) or (ii) meets a U.S. "substantial presence"\*\*\* test as prescribed under the U.S. federal income tax law.

Yes  No

\* If the answer to (a) or (b) is "yes", please provide U.S. Tax Identification Number ("TIN"): \_\_\_\_\_

(c) I certify that I was born in the United States of America (or a U.S. territory), but am no longer a U.S. citizen as I have voluntarily surrendered my citizenship. If "yes", please provide proof or written explanation for not having U.S. citizenship.

Yes  No

Please proceed to Section 2 if you have non-U.S. tax residences.

**Section 2: Declaration of Residence for tax purpose (other than US)**

I hereby confirm that I am, for tax purposes, resident in the following countries.

Please fill in ALL jurisdiction(s) and the associated TIN(s) where you are a tax resident (including Hong Kong). If you have any questions about your jurisdiction(s) of tax residency, please contact your tax advisor.

**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 A, B or C:

Reason A - The jurisdiction where the Account Holder is a resident for tax purposes does not issue TINs to its residents

Reason B - The Account Holder is unable to obtain a TIN or equivalent number. Please explain why you are unable to obtain a TIN in the below table if you have selected this reason.

Reason C - TIN is not required. Select this reason only if the authorities of the jurisdiction of tax residence do not require the TIN to be disclosed.

Jurisdiction of Tax Residence	TIN	Enter Reason A, B or C if TIN is unavailable

**Section 3: Declarations and Signature#**

**I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.**

I acknowledge that the information contained in this form and information regarding the account holder and any reportable account(s) may be reported to any local or foreign governmental, regulatory or tax authorities or bodies (including without limitation the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region of the People’s Republic of China and the U.S. Internal Revenue Service), and to any other local or foreign persons or entities required or directed by applicable laws, regulations, practices or guidelines (including without limitation the Hong Kong Inland Revenue Ordinance, any local implementation of the OECD Standard for Automatic Exchange of Financial Information in Tax Matters/Common Reporting Standard, the U.S. Foreign Account Tax Compliance Act (FATCA) and local implementation hereof, and any similar tax information sharing regime put in place in Hong Kong or any other relevant jurisdiction) or deemed necessary by ABCI Securities Company Limited; and stored, used and disclosed by ABCI Securities Company Limited so that it can comply with obligations, commitments, arrangement or market practices in relation to providing services to me.

I undertake to advise ABCI Securities Company Limited of on any change in circumstances which affects the tax residency status of the individual identified in this form or cause the information contained herein to become incorrect, and to provide ABCI Securities Company Limited with a suitably updated Self-Certification form within 30 calendar days of such change in circumstances.

I certify that I am the account holder / I am authorised to sign for the account holder^ of all the account(s) to which this form relates.

\_\_\_\_\_  
Signature of Account Holder/Authorized Signatory

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Date (dd/mm/yyyy)

\_\_\_\_\_  
Capacity (Indicate the capacity if you are not the account holder)

**WARNING:** 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).

\*\* The “substantial presence” test is generally met with respect to any calendar year if (a) the individual was present in the U.S. for at least 31 days during such year, and (b) the sum of the number of days in which such individual was present in the U.S. during such year 1/3 of the number of such days during the first preceding year, and 1/6 of the number of such days during the second preceding year, equals or exceeds 183 days.

In the event of any inconsistency between the English and Chinese language text on this Self-Certification form, the English version will prevail and all information provided by you on this form will be treated as addressing the English text.

^ Delete as appropriate

**#Note: Please seek legal advice on all notice, legal terms and clauses on this Self-Certification form.**



**(G) Personal Information Collection Statement**

ABCI Securities Company Limited (referred to as the “the Company”, “our”, “we”, or “us”) may collect certain personal information, including without limitation your (also referred to as the “Client”) name, identity card number (and copy of identity card), passport number, contact information, employment, education level, investment experience, financial position and any other regulatory required personal information (together with your account information, “Personal Information”) from you in connection with the establishment or continuation of accounts or the provision of services by the Company and generally your relationship with the Company in Hong Kong. We may also collect personal information about you from third parties such as bankers, brokers, credit reporting agencies, government agencies, courts or public records.

The Company will keep the Personal Information confidential, but may provide any such information to the holding companies of the Company or their subsidiaries and affiliates (including us referred to as “Group Companies” or each of them a “Group Company”), the relevant exchange, the SFC and any other regulatory bodies to comply with their requirements or requests for information under any applicable laws or regulations.

**1. Purpose of Collection**

We may use your Personal Information for the following purposes: (a) opening and administering the Client’s account; (b) the daily operation of the loan facilities provided to the Client; (c) making lending and credit analysis decision; (d) conducting credit checks and ensuring ongoing credit worthiness of the Client; (e) determining the amount of indebtedness owed to or by the Client with the Group Company; (f) recovery of any monies owed from or liabilities incurred by the Client and those providing security for the Client’s obligations; (g) meeting the requirements to make disclosure under any laws, rules or regulations binding on the Group Company; (h) to conduct research and statistical analysis; (i) marketing financial services or related products of the Group Company (unless Client objects to such marketing); (j) enabling an actual or proposed assignee of the Group Company in connection with merger, amalgamation reconstruction or otherwise to evaluate the transaction intended to be the subject of the assignment; (k) commencing, defending or otherwise participating in any legal or administrative proceedings or inquiry before any court or competent authority; and (l) purposes ancillary or relating thereto.

**2. Classes of Transferees**

We may disclose your Personal Information to third parties (within or outside Hong Kong) for the purposes outlined at Section 1 above, including without limitation the following third parties: (a) any agent, contractor or third party service provider who provides administrative, telecommunications, computer, payment or securities clearing or other services to the Group Company in connection with the operation of its or their business; (b) any other person under a duty of confidentiality to the Group Company, which has undertaken to keep such information confidential; (c) any bank or financial institution with which the Client has dealings or proposes to have dealings; (d) any actual or proposed assignee of the Group Company or participant or sub-participant or transferee of the rights of the Group Company in respect of the Client; (e) any legal, accounting or professional person, firm or body; (f) any government, law enforcement, courts or other regulatory authority, body or entity under any applicable laws, rules or regulations; (g) the Group Company; (h) credit reference agencies; (i) debt collection agencies; and (j) partnering financial institutions. The third parties located outside Hong Kong may not have in place data protection law which are substantially similar to, or serve the same purpose as, the Personal Data (Privacy) Ordinance (the "Ordinance"). That means the Personal Information may not be protected to the same or similar level in Hong Kong.

We will not disclose your Personal Information to any other third parties for direct marketing purpose without your consent.

We may transfer your Personal Information in connection with a transaction with another company which affects the control, governance, structure and/or management of all or a substantial part of our business, or if required to satisfy applicable legal or regulatory requirements.

**3. Consequence of failing to provide Personal Information**

Unless otherwise specified by us, it is mandatory for you to provide the Personal Information requested by us. In the event that any such Personal Information is not provide, we may be unable to provide you with the services or carry out the activities outlined at section 1 above.

**4. Access and Correction Rights**

Under the Ordinance, you have the right to request access to and correction of any Personal Information that you provide to us. You may make such a request by writing to our Data Protection Officer at 13<sup>th</sup> Floor, Fairmont House, 8 Cotton Tree Drive, Central, Hong Kong. In accordance with the Ordinance, we have the right to charge a reasonable fee for the processing of any Personal Information access or correction request.

**Acknowledgment and Consent**

ABCI Securities Company Limited (the "Company") intends to use the Client’s Personal Information for the purposes, including the transfer to third parties within or outside Hong Kong, set out in the Personal Information Collection Statement. The Company also intends to use the Client’s name, telephone number, email address and correspondence address for direct marketing the financial services and related product of the Group Companies but the Company cannot so use the Client’s personal data without the Client’s consent.

**Please sign at the end of this statement to acknowledge the Client's understanding and consent to such use. Should the Client find such use of the Client’s personal data for direct marketing purposes not acceptable, please indicate the Client’s objection before signing by ticking the box below.**

The Client named below objects to the proposed use of his/her personal data in direct marketing.

\_\_\_\_\_  
Client Signature  
Date:

For internal use		
Signature Verification	Data Update	Document Filed

## LETTER OF AUTHORITY

Unless otherwise defined, all the terms used in this authorization letter shall have the same meanings as in the Securities and Futures Ordinance, the Securities and Futures (Client Money) Rules ("**Client Money Rules**") and Securities and Futures (Client's securities) Rules (the "**Client's securities Rules**") as amended from time to time.

### Standing Authority

The Standing Authority covers all monies, securities and Securities Collateral (defined below) received or held by ABCI Securities Company Limited (the "**Company**") on the Client's behalf.

The Client authorizes the Company to:-

- (a) deposit any of the Client's securities with an authorized institution (as defined by the Banking Ordinance) as collateral for loans or advances made to the Company;
- (b) borrow or lend any of the Client's securities to fulfill settlement obligations between Hong Kong Stock Exchange members. Any borrowing or lending must be in accordance with Hong Kong Stock Exchange rules and regulations;
- (c) deposit any of the Client's securities with Hong Kong Securities Clearing Company Limited as collateral for the discharge and satisfaction of the Company's obligations and liabilities under the General Rules of the Central Clearing and Settlement System. The Client understands that Hong Kong Securities Clearing Company Limited will have a first fixed charge over the Client's securities to the extent of the Company's obligations and liabilities;
- (d) to apply the Client's securities or Securities Collateral pursuant to a securities borrowing and lending agreement. For the purpose of this authority, "**Securities Collateral**" means any securities deposited with or otherwise provided by or on behalf of the Client to the Company or any other person, in the course of the conduct of any regulated activity for which the Company is registered or is required to register under the Securities and Futures Ordinance (Chapter 571 of the Laws of Hong Kong), to secure or facilitate the provision of financial accommodation by the Company;
- (e) to apply the Client's securities in accordance with paragraphs (a) to (d) above if the Company provides financial accommodation to the Client in the course of dealing in securities and also provides financial accommodation to the Client in the course of any other regulated activities of which it is licensed;
- (f) as regards any action (including, without limitation, any rights or new issues or any consolidation, split or redenomination of funds stocks or shares or any other routine event) in connection with any Client's securities or Securities Collateral which affects the Client as the owner of such Client's securities or Securities Collateral, to subscribe, take up or dispose of any rights, benefits, interests or entitlements arising from them or to deal or act in any manner in accordance with any instruction from the Client whether the instruction is given in writing or by any other means (except that any applicable provisions in the constitutional and/or offering documents under which such Client's securities or Securities Collateral were issued, offered or sold shall always prevail and the Company is authorised to deal or act or refrain from dealing or acting in accordance with such provisions despite any instruction from the Client) or, in the absence of or delay in receiving instruction from the Client, in such manner as the Company considers appropriate to preserve the interests of the Client;
- (g) combine or consolidate any or all segregated accounts, of any nature whatsoever and either individually or jointly with others, maintained by the Company or any company or companies within the group of companies (as defined in the Companies Ordinance (Chapter 622 of the Laws of Hong Kong)) to which the Company belongs (the "**ABCI Group**"), and the Company may transfer any sum of monies or any of the securities to and between such segregated account(s) to satisfy the Client's obligations or liabilities to any member of the ABCI Group, whether such obligations and liabilities are actual or contingent, primary or collateral, secured or unsecured, or joint or several;
- (h) transfer any sum of monies (including for the purposes of currency conversion) or any of the securities interchangeably between any of the segregated accounts maintained at any time with the ABCI Group;
- (i) transfer any sum of monies interchangeably between any of the segregated accounts maintained at any time with any member of the ABCI Group and any segregated accounts maintained with counter-broker (whether in Hong Kong or overseas) upon or before any instructions have been given, for the purpose of satisfying margin requirement and/or settlement requirement (if applicable);
- (j) keep the monies of the Client with overseas clearing firm(s) or broker(s) after trading to facilitate future trading or to transfer such monies interchangeably between the segregated account(s) opened and maintained by the Client in Hong Kong and the segregated account(s) opened and maintained by the Client with any overseas clearing firm(s) or broker(s) outside Hong Kong;
- (k) dispose or initiate a disposal of the Client's securities in accordance with a request from Hong Kong Stock Exchange or otherwise required to comply with applicable laws, regulations and rules;
- (l) to sell dispose of or otherwise deal with any Client's securities or Securities Collateral on prevailing market conditions if such sale, disposal or dealing is required by any applicable law, rule, regulation or order or any direction, guideline, notice or restriction (whether or not having the force of law) issued by any competent authority, government agency, exchange or body or is otherwise for the protection of the Client and/or the Company;

(m) to deal with any Client's securities or Securities Collateral in such manner as the Company considers appropriate to facilitate the provision of securities related services to the Client taking into account any legal or regulatory requirement or prevailing market practice applicable to the Company from time to time; and

(n) to do all acts and things which are necessary for or incidental to the performance of the above activities or any of them.

The Company may do any of the things as set out above without giving the Client notice.

The Standing Authority does not cover any consideration the Client must pay or be paid for the Company's borrowing, lending or depositing any of the Client's securities. Any consideration must be set out in a separate agreement between us.

The Company is accountable to the Client for the return of any securities borrowed, lent, or deposited under the Standing Authority.

The Client understands that a third party may have rights to the Client's securities, which the Company must satisfy before the Client's securities can be returned to the Client.

The Standing Authority is valid for a period of 12 months from the date of this letter subject to renewal by the Client or deemed renewal under the Client Money Rules and the Client Securities Rules.

The Client understands that the Company may give to the Client written notice of 14 days prior to the expiry of this letter reminding the Client that the Standing Authority is soon to expire, and if the Client has not opposed to the renewal of this letter, the Standing Authority should be deemed to have been renewed for a further 12 months without the Client's consent.

The Standing Authority may be revoked by the Client at any time by giving to the Company prior written notice of termination of not less than 14 business days.

ABCI shall give the Client a written confirmation of the renewal of the Standing Authority within one week after the date of expiry.

This letter has been fully explained to the Client, and the Client understands the contents of this letter.

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Client Signature  
Date:

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Client Signature (Joint account holder)  
Date:

## Individual Client Risk Assessment Questionnaire

Client name : \_\_\_\_\_ Account number (if any): \_\_\_\_\_

(1) Which age group do you belong to?

>65       51-64       35-50       25-34       18-24

(2) Please indicate your Frequency of Transactions Per Annum and Investment Experience of the Investment Products in the below table.

Investment Products	Frequency of Transactions Per Annum			Investment Experience (year)				
Stocks	<input type="checkbox"/> <20	<input type="checkbox"/> 20-50	<input type="checkbox"/> >50	<input type="checkbox"/> Nil	<input type="checkbox"/> <1	<input type="checkbox"/> 1-3	<input type="checkbox"/> 3-8	<input type="checkbox"/> >8
Unit Trusts/Funds	<input type="checkbox"/> <20	<input type="checkbox"/> 20-50	<input type="checkbox"/> >50	<input type="checkbox"/> Nil	<input type="checkbox"/> <1	<input type="checkbox"/> 1-3	<input type="checkbox"/> 3-8	<input type="checkbox"/> >8
Foreign Currencies	<input type="checkbox"/> <20	<input type="checkbox"/> 20-50	<input type="checkbox"/> >50	<input type="checkbox"/> Nil	<input type="checkbox"/> <1	<input type="checkbox"/> 1-3	<input type="checkbox"/> 3-8	<input type="checkbox"/> >8
Commodities	<input type="checkbox"/> <20	<input type="checkbox"/> 20-50	<input type="checkbox"/> >50	<input type="checkbox"/> Nil	<input type="checkbox"/> <1	<input type="checkbox"/> 1-3	<input type="checkbox"/> 3-8	<input type="checkbox"/> >8
Structured Investment Products	<input type="checkbox"/> <20	<input type="checkbox"/> 20-50	<input type="checkbox"/> >50	<input type="checkbox"/> Nil	<input type="checkbox"/> <1	<input type="checkbox"/> 1-3	<input type="checkbox"/> 3-8	<input type="checkbox"/> >8
Warrants, Callable Bull/Bear Contracts, Options, Futures	<input type="checkbox"/> <20	<input type="checkbox"/> 20-50	<input type="checkbox"/> >50	<input type="checkbox"/> Nil	<input type="checkbox"/> <1	<input type="checkbox"/> 1-3	<input type="checkbox"/> 3-8	<input type="checkbox"/> >8
Bonds	<input type="checkbox"/> <20	<input type="checkbox"/> 20-50	<input type="checkbox"/> >50	<input type="checkbox"/> Nil	<input type="checkbox"/> <1	<input type="checkbox"/> 1-3	<input type="checkbox"/> 3-8	<input type="checkbox"/> >8
Others:	<input type="checkbox"/> <20	<input type="checkbox"/> 20-50	<input type="checkbox"/> >50	<input type="checkbox"/> Nil	<input type="checkbox"/> <1	<input type="checkbox"/> 1-3	<input type="checkbox"/> 3-8	<input type="checkbox"/> >8

(3) Are you currently holding or did you previously hold any of the investment products listed below? (You can select more than 1 option, only the highest score will be counted)

- Cash, deposits, certificates of deposit, capital protected products
- Bonds, bond funds
- Foreign currencies, non-capital protected currency linked structured products and investment products
- Stocks, open-ended funds (excluding bond funds and money market funds), non-capital protected equity linked structured products
- Options, futures, warrants, callable bull/bear contracts, products not authorized by Securities and Futures Commission including private equity funds and OTC derivatives products

(4) Approximately what percentage of your liquid asset is currently held in investment products of which the value will fluctuate?

0%       > 0-10%       >10-25%       >25-50%       >50%

- (5) Normally, what percentage of your monthly household income could be available for investment or savings?
- 0%       >0-10%       >10-25%       >25-50%       >50%
- (6) In general, the longer the investment period, the higher the risk that an investor can tolerate. What time period would you generally plan for when making an investment plan for investment products whose value can fluctuate?
- Less than 1 month       1 month -less than 1 years  
 1-less than 5 years       5- less than 10 years  
 >10 years
- (7) In general, which of the following statements best describes your investment objectives for your investment at ABCI Securities Company Limited?
- Safety – My primary objective is the protection of my capital even if the returns may be low (e.g. in line with the rate of short term bank deposits).
- Income Oriented – I seek primarily a regular stream of income returns such as dividends, and also some capital appreciation as a secondary consideration. I wish to gain returns at a much better rate than the rate of short term bank deposits, even if there is some risk of losing capital.
- Growth and Income – I seek to balance regular income and stable capital growth over time.
- Growth Oriented – I seek predominantly capital appreciation over time and with regular income returns as a secondary consideration. I wish to have gains comparable to that of the stock market indexes.
- Specialist Investment – I am willing to take maximum risk to maximize my capital appreciation, by investing in specialist investments that may be subject to substantial fluctuations in the capital value, uncertain pricing, limited liquidity and/or lack of redemption rights. I wish to gain remarkably higher than that of the stock market indexes.
- (8) What is the highest level of investment loss in your portfolio that you can tolerate?
- No investment loss at all       10% or below       Over 10% up to 20%  
 Over 20% up to 35%       More than 35%

(9) How much funds (including cash or highly liquid assets e.g. foreign currency, bullion, freely tradable securities, etc.) have been roughly reserved for your monthly household expenses?

- ( ) None
- ( ) Less than 6 months of household expenses
- ( ) 6 to less than 12 months of household expenses
- ( ) 12 to less than 24 months of household expenses
- ( ) 24 months or more of household expenses

(10) Please state your highest education level:

- ( ) Primary or below
- ( ) Secondary
- ( ) Post-secondary
- ( ) University or above / professional qualifications (not related to Economics / Finance)
- ( ) University or above / professional qualifications (related to Economics / Finance)

**Marking Scheme: Please aggregate the scores indicated in the brackets for the option selected in each question.**

Client risk tolerance analysis result (Please circle if appropriate).

Total score : (            )

<i>Total Score</i>	<i>Risk Tolerance Level</i>	<i>Investment Aptitude</i>	<i>Suitable financial product for consideration</i>
0-4	Low Risk	Risk adverse	Bank deposit, capital preserved products 、 low risk authorized funds
5-14	Medium Low Risk	Conservative	Straight bonds and preference shares (Investment grade), medium low risk authorized funds
15-24	Medium Risk	Moderate	Listed securities (excluding derivatives), medium risk authorized funds
25-33	Medium High Risk	Growth	Listed derivatives (e.g. futures, options, warrants, CBBC), medium to high risk authorized funds
34-40	High Risk	Aggressive	OTC derivatives, structured products, straight bonds and preference shares (Non-investment grade), high risk or unauthorized funds and other products that cannot be classified into any of the above categories.

Recommendation of Sales Officer:

After taking into account the Client's investment objectives, investment period, risk tolerance and financial circumstances, the Sales Officer advises that the Client may invest in the following types of financial products:

Product Risk Profile : \_\_\_\_\_

Investment \_\_\_\_\_

Investment Period : \_\_\_\_\_

**Disclaimer:**

*The result of this questionnaire is derived from information that you (the 'Client') have provided, and only serves as reference for your consideration when making your own decisions. This questionnaire and the results are not an offer to sell or a solicitation for an offer to buy any financial products and services and they should not be considered as investment advice. ABCI Securities Company Limited accepts no responsibility or liability as to the accuracy or completeness of the information given. Personal information collected in this questionnaire is subject to the Personal Information Collection Statement of ABCI Securities Company Limited.*

\_\_\_\_\_  
Client Signature(s)

\_\_\_\_\_  
Sales Officer Signature

Date: \_\_\_\_\_

Date: \_\_\_\_\_

*Please sign and return the completed form by mail : 13/F Fairmont House, 8 Cotton Tree Drive, Central, Hong Kong or fax to (852) 2868-0320.*

Reviewed by Department head or Responsible Officer:

If the product risk profile does not match the client's risk profile, please comment:

\_\_\_\_\_

If the investment types involve unauthorized products or derivative structured products, please comment:

\_\_\_\_\_

\_\_\_\_\_  
**Department head / Responsible officer**

Date: \_\_\_\_\_

For internal use			
Signature verification	Data Update	Acknowledgment sent	Document Filed



**Consent Under the Hong Kong Investor Identification Regime (HKIDR) and Over-the-Counter Securities Transactions Reporting Regime (OTCR)**

You acknowledge and agree that we, ABCI Securities Company Limited, may collect, store, process, use, disclose and transfer personal data relating to Account Name: \_\_\_\_\_ (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) 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) 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) 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) 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 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.

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.

Failure to provide us with your personal data or consent as described above may mean that we 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).

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 SFC.

**CONSENT ON HONG KONG INVESTOR IDENTIFICATION REGIME AND OVER-THE-COUNTER SECURITIES TRANSACTIONS REPORTING REGIME**

I/We hereby give my/our consent as above.

Signature(s): \_\_\_\_\_ Date: \_\_\_\_\_

Account Name: \_\_\_\_\_ Account Number: \_\_\_\_\_

For internal use				
SV & ID	Phone confirmation	Input	Ref No.	Check
Date:	Date:	Date:	Date:	Date: