

## Account Opening Method

### 开立账户方法

Obtain copies of the following supporting documents

备妥下列证明文件副本乙份:

1. Government issued ID(s) with photo or passport(s) of all account holders; and  
由政府发出附有相片的证件或护照 (所有账户持有人); 及
2. Copy of a bank statement or utility bill for the last three-month time for proof of residential address (P.O. boxes are not acceptable.); and  
最近3个月的住址证明(如公用服务单据或信用卡账单) 请注意, 邮政信箱是不被接受的; 及
3. Proof of Hong Kong bank account with client's name and bank account number. If your designated bank account is outside Hong Kong, copy of a bank account statement within the last 3 months.  
香港银行账户证明文件(包含账户持有人全名及账户号码), 若指定银行为香港以外银行账户, 请提供最近 3个月的银行结单副本。)

Submit the Account Opening Form and supporting documents to Eddid Securities and Futures Limited ("ESFL"). You can:

将开户表及其他所需证明文件交回艾德证券期货有限公司(「艾德证券期货」), 您可以:

<b>IN PERSON</b> 亲临开户	Bring with you the Account Opening Form, and copies of all supporting documents to ESFL for certification (signing and sighting) by an ESFL employee. 携同开户表及所需文件副本亲临艾德证券期货办事处, 于艾德证券期货雇员面前签署及见证有关文件。
<b>BY POST</b> 邮递开户	Bring with you the Account Opening Form and copies of all supporting documents for certification (signing and sighting) by a professional third party <sup>^</sup> . Mail the <b>certified</b> Account Opening Form and copies of all supporting documents to us:  <b>Eddid Securities and Futures Limited</b> Customer Service Team 23/F., YF Life Tower, 33 Lockhart Road, Wanchai, Hong Kong  <sup>^</sup> A Justice of the Peace, or a professional person such as certified public accountant, lawyer or notary public practicing in Hong Kong or an equivalent jurisdiction.  <i>To waive the certification required please send in a personal cheque payable to "Eddid Securities and Futures Limited" of at least HK\$10,000 drawn upon an account in the name of the applicant with a licensed bank in Hong Kong. The signature on the personal cheque must match the signature on the account opening form. The account will be activated only after the cheque is cleared.</i>  携同開戶表及所需文件的副本, 由專業第三者 <sup>^</sup> 認證, 並於上述人士面前簽立及見證, 然後寄回已认证的開戶表及所需文件至:  <b>艾德證券期貨有限公司</b> 客戶服務部 香港灣仔駱克道 33 號 萬通保險大廈 23 樓 <sup>^</sup> 太平紳士或專業人士(例如在香港或對等司法管轄區的執業會計師、律師或公證人)  <i>如欲豁免上述認證需要, 申請人可遞交 10,000 港元或以上由其名下香港持牌銀行戶口發出的個人支票。個人支票抬頭為 "Eddid Securities and Futures Limited"。個人支票的簽名必須與開戶表上的簽名相同。賬戶將在支票兌現後生效。</i>

Eddid Securities and Futures Limited is licensed to conduct Type 1 (dealing in securities), Type 2 (Dealing in Futures Contracts), Type 3 (Leveraged Foreign Exchange Trading), Type 4 (advising on securities), Type 5 (Advising on Futures Contracts) and Type 9 (Asset Management) regulated activities under the Securities and Futures Ordinance (CE No. BHT550).

艾德證券期貨有限公司根據《證券及期貨條例》獲許進行第 1 類 (證券交易)、第 2 類 (期貨合約交易)、第 3 類 (槓桿式外匯交易)、第 4 類 (就證券提供意見)、第 5 類 (就期貨合約提供意見) 及第 9 類 (資產管理) 受規管活動(中央編號 BHT550)。

Please attach:

- Copy of Primary (and Joint) Client's ID card or passport  
 Copy of a bank statement or utility bill within the last 3 months for proof of residential address.  
 Proof of Hong Kong bank account with client's name and bank account number. If your designated bank account is outside Hong Kong, copy of a bank account statement within the last 3 months.

請附上:

- 个人(及联名)账户持有人的身份证或护照副本。  
 最近 3 个月的银行结单或公共服务单据副本作为提供住址证明。  
 香港银行账户证明文件(包含账户持有人全名及账户号码), 若指定银行为香港以外之银行账户, 请提供最近 3 个月的银行结单副本。

Please complete this form in BLOCK LETTER and check one only for items with "*" 請以正楷填寫本表格並於 "*" 項目選擇其一			
A1. Application For* 申请账户为*		A2. Account Type* 账户类别*:	
<input type="checkbox"/> Individual Account 个人账户 <input type="checkbox"/> Joint Account 联名账户		<b>Eddid Securities and Futures Limited ("ESFL") 艾德證券期貨有限公司(「艾德證券期貨」)</b> <input type="checkbox"/> Hong Kong and Global Securities Account (Cash) 香港及環球證券賬戶(現金) <input type="checkbox"/> Hong Kong and Global Securities Account (Margin) 香港及環球證券賬戶(保證金) <input type="checkbox"/> Hong Kong and Global Futures Account (Margin) 香港及環球期貨賬戶(保證金) <input type="checkbox"/> Leveraged Foreign Exchange Account (Margin) 槓杆式外匯賬戶(保證金)	
A3. Account Opening Method* 开户方法*			
<input type="checkbox"/> IN PERSON 亲临开户; <input type="checkbox"/> BY POST - CERTIFIED DOCUMENTS 郵遞-已認證文件; <input type="checkbox"/> BY POST - HK\$10,000 OR ABOVE CHEQUE CERTIFICATION 郵遞 - 以 10,000 港元或以上個人支票認證; <input type="checkbox"/> ONLINE ACCOUNT OPENING 网上开户申请; <input type="checkbox"/> MOBILE APP IDENTITY VERIFICATION 手机应用程序身份验证 - Please specify 请注明 i) Name of Bank 銀行名稱 _____ ii) Bank account no. 銀行賬戶號碼 _____ <input type="checkbox"/> Electronic Signature Certificates No. 电子签名证书号码 _____			
<b>B. Primary Account Holder Information 主要账户持有人资料</b>			
Title 称谓	<input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Mrs. 太太 <input type="checkbox"/> Miss 小姐		
Last Name (Surname) 英文姓氏	First Name 英文名字	Chinese Name 中文姓名	
If you have changed your legal name, please provide: 如閣下曾經更改法定姓名, 請提供			
Former English Name 曾用英文姓名		Former Chinese Name 曾用中文姓名	
ID Card No. / Passport No. 身份证或护照号码	Country of Issue 签发国家		
Nationality 国籍	Type of Identity Document 身份证件类型		
Place of Birth 出生地点	Date of Birth (mm/dd/yy) 出生日期 (月/日/年)		
Email Address (for communication and delivery of electronic statements) 电邮(用于通讯及发送电子结单)	Tel No. (for communication) 电话号码(用于通讯)		
Residential Address (P.O. Box is not acceptable) 住宅地址(不接受邮政信箱)			
Mailing address (if different from Residential Address) 邮寄地址(如与住宅地址不同)			
<b>C. Primary Account Holder Employment Details 主要账户持有人就业资料</b>			
Employment Status 就业情况	<input type="checkbox"/> Employed 就业 <input type="checkbox"/> Self Employed 自雇 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Unemployed 无业 <input type="checkbox"/> Others 其他 _____		
Name of Current Employer 目前公司名称		Business Address 办公室地址	
Nature of Business 业务性质	Occupation 职位	Year of employed 受雇年期	Business phone No. 办公室电话

<b>D. Primary Account Holder Financial and Other Details 主要账户持有人财务及其他资料</b>		
<b>D1. Your financial information 客户财务资料:</b> <ul style="list-style-type: none"> <li>● Total annual income (HKD) 客户全年总收入为(港元)  <input type="checkbox"/> &lt; \$200,000   <input type="checkbox"/> \$200,001-\$500,000   <input type="checkbox"/> \$500,001-\$1,000,000   <input type="checkbox"/> &gt; \$1,000,001 (please specify 请注明): _____</li> <li>● Total net worth (HKD) 客户资产净值(港元):  <input type="checkbox"/> &lt; \$1,000,000   <input type="checkbox"/> \$1,000,001-\$3,000,000   <input type="checkbox"/> \$3,000,001-\$8,000,000   <input type="checkbox"/> &gt; \$8,000,001 (please specify 请注明): _____</li> <li>● Source(s) of fund/ wealth for trading? (Check all apply) 客户交易的资金/财富来源 (选择所有适用)  <input type="checkbox"/> Saving 储蓄   <input type="checkbox"/> Employment 就业薪金   <input type="checkbox"/> Self-Employment business 自营业务收益  <input type="checkbox"/> Pension 退休金   <input type="checkbox"/> Investment 投资   <input type="checkbox"/> Others 其他 (please specify 请注明): _____</li> </ul>		
<b>D2. Your investment experience and investment products 客户投资经验及曾买卖产品:</b> <input type="checkbox"/> Securities 证券 <input type="checkbox"/> <1 year 少于一年 <input type="checkbox"/> 1-5 years 一至五年 <input type="checkbox"/> 6-10 years 六至十年 <input type="checkbox"/> >10 years 多于十年 <input type="checkbox"/> CBBC 牛熊证 <input type="checkbox"/> <1 year 少于一年 <input type="checkbox"/> 1-5 years 一至五年 <input type="checkbox"/> 6-10 years 六至十年 <input type="checkbox"/> >10 years 多于十年 <input type="checkbox"/> Warrants 衍生权证(窝轮) <input type="checkbox"/> <1 year 少于一年 <input type="checkbox"/> 1-5 years 一至五年 <input type="checkbox"/> 6-10 years 六至十年 <input type="checkbox"/> >10 years 多于十年 <input type="checkbox"/> Futures 期货 <input type="checkbox"/> <1 year 少于一年 <input type="checkbox"/> 1-5 years 一至五年 <input type="checkbox"/> 6-10 years 六至十年 <input type="checkbox"/> >10 years 多于十年 <input type="checkbox"/> Options 期权 <input type="checkbox"/> <1 year 少于一年 <input type="checkbox"/> 1-5 years 一至五年 <input type="checkbox"/> 6-10 years 六至十年 <input type="checkbox"/> >10 years 多于十年 <input type="checkbox"/> Forex Exchange 外汇 <input type="checkbox"/> <1 year 少于一年 <input type="checkbox"/> 1-5 years 一至五年 <input type="checkbox"/> 6-10 years 六至十年 <input type="checkbox"/> >10 years 多于十年 <input type="checkbox"/> Others 其他: _____ <input type="checkbox"/> <1 year 少于一年 <input type="checkbox"/> 1-5 years 一至五年 <input type="checkbox"/> 6-10 years 六至十年 <input type="checkbox"/> >10 years 多于十年		
<b>D3. Your Knowledge of Derivative Products 客户对衍生产品的认识</b> If you have knowledge on derivative products, please answer the following questions. 假若您对衍生产品有认识, 请回答以下问题。 <ul style="list-style-type: none"> <li>● Has the Client ever undergone training or attended courses on derivative products with general knowledge of the nature and risks of derivatives? 客户是否曾接受有关衍生产品性质和风险的一般知识培训或修读相关课程?</li> <li>● Has the Client current or previous work experience related to derivative products? 客户是否从现时或过去拥有与衍生产品有关的工作经验?</li> <li>● Has the Client 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.? 客户是否于过去3年曾执行5次或以上有关衍生产品的交易, 例如: 衍生权证、牛熊证、股票期权、期货及期权、商品、结构性产品及交易所买卖基金等?</li> </ul>	YES 是   <input type="checkbox"/>   <input type="checkbox"/>   <input type="checkbox"/>	NO 否   <input type="checkbox"/>   <input type="checkbox"/>   <input type="checkbox"/>
<b>D4. Have you ever declared bankrupt or served with a bankruptcy petition? 客户是否曾经宣告破产或被申请破产?</b> <input type="checkbox"/> No 没有 <input type="checkbox"/> Yes 有, Date of Bankruptcy 破产日期 _____ +Please provide the Certificate of Discharge 请提供破产解除证明书		
<b>D5. Is the Client employed by or related to someone who is employed by ESFL? 客户是否艾德证券期货的雇员或任何其雇员的亲属?</b> <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是, Name and Relationship of ESFL's employee 艾德证券期货雇员名称及关系 _____		
<b>D6. Is the Client related to any ESFL's client(s)? 客户是否与任何艾德证券期货客户有关连?</b> <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是, Name of ESFL's client 艾德证券期货客户名称 _____		





G7. Is the Client a director or an employee of the Securities and Futures Commission ("SFC") licensed entity, or an accredited person of any exchange participant of the Hong Kong Exchange or any licensed or registered person of SFC?

客户是否香港交易所之交易所参与者或证监会之持牌人或注册人之董事、雇员或认可人士?

No 否

Yes 是, the Client is a director or an employee or an accredited person of the following exchange participant of the Hong Kong Exchange or licensed or registered person of the Securities and Futures Commission: (Please provide details) 客户为以下香港交易所之交易所参与者或证监会之持牌人或注册人之董事、雇员或认可人士: (请详述)

\_\_\_\_\_

+Please provide employer's consent letter 请提供雇主同意书

G8. Are you U.S. citizenship or lawful permanent resident status? 客户是否拥有美国公民或美国合法永久居民身份?

No 否

Yes 是, Taxpayer Identification No. (T.I.N) 税务编号: \_\_\_\_\_

G9. Are you a US resident for tax purpose? 就税务而言, 您是否美国居民?

No 否

Yes 是, Taxpayer Identification No. (T.I.N) 税务编号: \_\_\_\_\_

G10. Is the Client a "Politically Exposed Person (PEP)" or related to PEP as defined by the Hong Kong Law?

客户是否香港法律定义下的“政治公众人物 (PEP)”或与政治公众人物有密切联系?

No 否

Yes 是, Position/ Name of PEP 职位/政治公众人物名称 \_\_\_\_\_

G11. I hereby confirm and agree that my "Investment Objective" and "Risk Tolerance Level" are consistent with Primary Account Holder.

本人确认并同意本人之「投资目标」及「风险承受能力」与主要账户持有人相同。

Yes 是

No 否

#### H. Settlement Account Information 结算账户资料

The Client hereby instructs and authorizes Eddid Securities and Futures Limited("ESFL") to deposit all payments payable to the Client into the following bank account. ESFL will comply with the requirements of the "Trading Agreement" and to the extent as soon as reasonably practicable, deposit the payments into the following Settlement Account for the Client as soon as possible. ESFL shall not be held liable for any loss, expenses or damages suffered by the Client as a result of any delay in depositing such payments caused by any reason whatsoever.

客戶謹此指示及授權艾德證券期貨有限公司(「艾德證券期貨」)將所有應付客戶之款項存入下列之銀行賬戶。艾德證券期貨將在符合《業務條款及細則》之規定及於合理可行的情況下, 盡快為客戶把款項存入以下之結算賬戶, 艾德證券期貨不會對基於任何原因而延遲存入該款項而令客戶蒙受的任何損失、開支或賠償承擔任何法律責任。

Please provide supporting bank proof, and NO third-party payment

請提供銀行證明, 并不接受第三者支付

Currency 货币	Name of Bank 银行名称	Account No 账户号码	Name of Account Holder 账户持有人名称
HKD 港币			
USD 美元			
CNY 人民币			

#### I. Related Margin Financing Account(s) 相关保证金融资账户 (For Securities Account (Margin) only) 只适用于证券账户(保证金)

I1. Does the spouse of the Client maintain any related margin account of Eddid Securities and Futures Limited("ESFL")?

客户的配偶是否持有艾德证券期货任何相关的保证金账户?

No 否  Yes 是 (please specify)(请详述): Name of Account Holder. 账户持有人姓名: \_\_\_\_\_

Account No. 账户号码: \_\_\_\_\_

12. Does the Client alone or jointly with his/her spouse control 35% or more of the voting rights of another margin client of ESFL?

客户及/或其配偶是否单独或共同控制艾德证券期货之其他保证金账户 35%或以上之表决权?

No 否  Yes 是 (please specify)(请详述): Name of Account Holder. 账户持有人姓名: \_\_\_\_\_

Account No. 账户号码: \_\_\_\_\_

13. Does the Client have a margin account opened by a member of the same group of companies of the Client?

客户是否有以客户的同一集团公司旗下之公司开立保证金账户?

No 否  Yes 是 (please specify)(请详述): Name of Account Holder. 账户持有人姓名: \_\_\_\_\_

Account No. 账户号码: \_\_\_\_\_

### J. Referral and Promotion 邀请及推广

How did you hear about ESFL? (Check all apply) 您透过哪些渠道认识艾德证券期货? (选择所有适用)

- Online Ad 网上广告     Seminar 讲座     Friend 朋友     Search Engine 搜索引擎  
 Newspaper 报纸     Magazine 杂志     Forum 论坛  
 Others 其他 \_\_\_\_\_

Promotional Code 推广码 \_\_\_\_\_

Referral Code 邀请码 \_\_\_\_\_

### K. DECLARATION 声明

#### K1. Identity Declaration 身份声明

K1.1. Is the Client the Ultimate Beneficial Owner of the account? 客户是否账户的最终实益拥有人?

- No 否, please name the Ultimate Beneficial Owner 最终实益拥有人名称为 \_\_\_\_\_  
 Yes 是

K1.2. Is the Client ultimately responsible for giving trading orders? 客户是否最终负责下单的人?

- No 否, please name the ultimately responsible for trading 最终负责下单人为 \_\_\_\_\_  
 (Trading Authorization form is required 必需提交交易授权书)  
 Yes 是

#### K2. Common Reporting Standard ("CRS") Declaration 共同汇报标准声明

According to the Inland Revenue Ordinance (Cap. 112) ("IRO") of Hong Kong, Eddid Securities and Futures Limited 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. 根据香港《税务条例》(第 112 章), 艾德证券期货有限公司作为《税务条例》定义下的财务机构是被要求及授权收集及/或汇报若干关于账户持有人的纳税居住地和账户资料作自动交换财务账户资料之用。此表格要求及收集的资料旨在与香港法例要求的一致。

#### Important Notes 重要提示:

- This is a self-certification provided by account applicant to Eddid Securities and Futures Limited ("ESFL") for the purpose of automatic exchange of financial account information. The information collected by ESFL may be transmitted by ESFL to the Inland Revenue Department for transfer to the tax authority of another jurisdiction(s). 这是由账户申请人向艾德证券期货有限公司(「艾德证券期货」)提供的自我证明, 以作自动交换财务账户资料用途。艾德证券期货可把收集所得的资料交给税务局, 税务局会将资料转交到另一税务管辖区的税务当局。
- You should report all changes in your tax residency status to Eddid Securities and Futures Limited. 如阁下的税务居民身份有所改变, 应尽快将所有变更通知艾德证券期货。

Jurisdiction of Residence and Taxpayer identification Numbers ("TINs") or their functional equivalents ("TIN equivalents") 居留司法管辖区及税务编号或具有等同功能的辨识编号。

**Please select your Jurisdiction(s) of residence for tax purpose (you may provide more than one)**  
**请选择您就税务用途的居留司法管辖区(您可提供多于一个)**

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number (HKID). 如账户持有人是香港税务居民, 税务编号是账户持有人的香港身份证号码。

If a TIN is unavailable, provide the appropriate reason A, B or C 如没有提供税务编号, 必须填写合适的理由:

# Reason A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

理由 A - 账户持有人的居留司法管辖区并没有向其居民发出税务编号。

Reason B - The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.

理由 B - 账户持有人不能取得税务编号。如选取这一理由，解释账户持有人不能取得税务编号的原因。

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

理由 C - 账户持有人毋须提供税务编号。居留司法管辖区的主管机关不需要账户持有人披露税务编号。

Jurisdiction of Residence 居留司法管辖区	TIN 税务编号	#Enter Reason A, B or C if no TIN is available 如没有提供税务编号，填写理由 A、B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如选取理由 B，解释账户持有人不能取得税务编号的原因
(1)			
(2)			
(3)			
(4)			
(5)			

### DECLARATION 声明

I declare that 本人声明:-

1. undertake to advise ESFL of any change in circumstances which affects the tax residency status of the individual identified in this form or causes the information contained herein to become incorrect, and to provide ESFL with a suitably updated self-certification form within 30 days of such change in circumstances;

承诺，如情况有所改变，以致影响本表格所述的个人的税务居民身分，或引致本表格所载的资料不正确，本人会通知艾德证券期货，并会在情况发生改变后 30 日内，向艾德证券期货提交一份已适当更新的自我证明表格。

2. (a) the information contained in this form is collected and may be kept by ESFL for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112); and

已知悉及同意，艾德证券期货可根据《税务条例》(第 112 章)有关交换财务账户资料的法律条文，(a) 收集本表格所载资料并可备存作自动交换财务账户资料用途及 (b) 把该等资料和关于账户持有人及任何须申报账户的资料向香港特别行政区政府税务局申报，从而把资料转交到账户持有人的居留司法管辖区的税务当局；及

3. all statement made in this declaration are to the best of my knowledge and belief, true, correct and complete.

此声明内的所有陈述是根据本人所知所信，是真实、正确及完整。

I accept the above declaration

本人接受上述声明

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. HK\$10,000). 警告: 根据《税务条例》第80(2E)条，如任何人在作出自我证明时，在明知一项陈述在要项上属具误导性、虚假或不正确，或罔顾一项陈述是否在要项上属具误导性、虚假或不正确下，作出该项陈述，即属犯罪。一经定罪，可处第3级(即\$10,000)罚款。

### K3. Use of Personal Information Declaration 个人资料之使用声明

I am hereby informed that Eddid Securities and Futures Limited ("ESFL") intends to use or transfer my personal data to its associated companies and/or its business partners in direct marketing of: (i) Financial services and investment products; (ii) Related promotional schemes; (iii) Financial and investment advices; or (iv) promotional and marketing events of ESFL for the aforesaid services or products. Such personal data includes my name, contact details, financial background and statistical data which are provided to ESFL under this Account Opening Form or obtained by ESFL from time to time. I understand that I may, at any time, require ESFL to cease to use or transfer my personal data for direct marketing through such channel prescribed by ESFL in accordance with the ESFL's PERSONAL INFORMATION COLLECTION STATEMENT AND PRIVACY POLICY STATEMENT.

本人现获告知艾德证券期货有限公司(「艾德证券期货」)拟使用或转移本人之个人资料至其联营公司及/或其合作伙伴作直接促销: (i)金融服务和投资产品; (ii)相关推广计划; (iii)金融和投资建议; 或(iv)艾德证券期货就上述服务或产品之业务推广和宣传活动。该等个人资料包括本人在本开户表格中向艾德证券期货提供的及艾德证券期货不时获得的姓名、联络详情、财务背景及

艾德证券期货有限公司 Eddid Securities and Futures Limited

香港湾仔骆克道33号万通保险大厦23楼 23/F., YF Life Tower, 33 Lockhart Road, Wan Chai, Hong Kong

☎(852) 3896 6300 ✉cs@eddidsec.com 🌐eddid.com.hk

统计资料等。本人明白本人可以根据艾德证券期货的**收集个人资料声明及隐私政策声明**随时通过艾德证券期货指定的渠道要求艾德证券期货停止在直接促销中使用或转移本人的个人资料。

I **object** to the use of or transfer my personal data by ESFL and its associated companies and/or its business partners in direct marketing. And I understand that ESFL may, as a result, not be able to process my account application.

本人**不同意**艾德证券期货及其关联公司根据以上安排把本人之个人资料转移及/或作直接促销，及明白艾德证券期货有可能因此未能处理本人之申请。

#### **K4. Client Declaration 客户声明**

1. The Client agrees to open accounts listed in Section A2 herein ("Account") with ESFL and is bound by the Account Opening Form and the relevant Sections of the "Trading Agreement" and all the provisions of the rules and guidelines promulgated by ESFL from time to time (collectively referred to as "All Those Terms"). The Client has already been advised by ESFL to seek independent legal advice for All Those Terms. The Client agrees that ESFL can request the Client to sign any documents as required under the above said terms and conditions. Before opening the Account with ESFL, the Client has fully read and understood the contents of All Those Terms and the Client agrees, accepts and confirms all its provisions and agrees and accepts to be bound by All Those Terms.

客户同意遵守开户表及《业务条款及细则》之相关章数的所有条款及条件及其他由艾德证券期货不时发出之守则及指引内之所有条款及条件(统称「该等条款」)开立此开户表格 A2 章节所列出的账户(「账户」)。艾德证券期货已经建议客户对上述之该等条款寻求独立法律意见。客户同意艾德证券期货有权要求客户就上述有关条款及规则的要求签署相关文件。客户于艾德证券期货开立账户前已经细阅及完全明白所有该等条款之内容，客户并同意、接受及确认该等条款内所有条款及条件，并同意及接纳受该等条款的约束。

2. The Client hereby acknowledges and confirms that the Client has authorized ESFL to deal with the Client's moneys, securities, the Collateral and the Margin upon and in accordance with the relevant part of the "Trading Agreement" (the "Relevant Standing Authority"). The Client acknowledges and confirms that the contents and effects of the Relevant Standing Authority have been explained to the Client, and the Client fully understands: - (i) the contents and effects of the Relevant Standing Authority; and (ii) The Client hereby authorizes ESFL to have an absolute discretion to renew the relevant authorities. The Standing Authority (Client Securities) is applicable to the Securities Margin Accounts Clients while it is not applicable to cash clients who only hold a securities cash account. The Standing Authority (Client Money) is applicable to the Clients with multiple accounts while it is not applicable to clients holding one account only.

客户谨此知悉及确认，已根据《业务条款及细则》内之适用部分(「适用常设授权」)，授权艾德证券期货处置客户款项、证券、抵押品及保证金。客户知悉及确认适用常设授权的内容及作用已获清楚解释，而客户亦完全明白(i)适用常设授权的内容及作用；及(ii)客户谨此授权艾德证券期货有绝对的酌情权延续有关授权。常设授权(客户证券)适用于证券保证金账户的客户，并不适用于只持有证券现金户口的客户。常设授权(客户款项)适用于持有多于一个户口的客户，并不适用于只持有单一户口的客户。

3. The Client acknowledges and confirms Standing Authority is required to be renewed annually. The Client has authorized ESFL to automatically renew the aforesaid for the Client annually. The Client has the choice to reject the renewal. If no written objection is received by mail from the Client, it means the Client accepts the extension and to be bound by the renewed Standing Authority agreement.

客户知悉及确认常设授权每年需续约一次。客户已授权艾德证券期货每年替客户自动延续上述授权，客户可提出反对。如没有收到客户书面反对，则表示客户同意及接受延长常设授权并继续受其约束。

4. The Client hereby instructs and authorizes ESFL to accept moneys or funds paid and/or cheques drawn from any bank account(s) solely held by the Client and/or jointly held by the Client and any person(s) and to accept the Client's securities and/or the collateral (either in its sole name or in the joint name with any person(s)). The Client shall be responsible to ensure that the holder of bank account, cheque issuer, owner of securities and/or the owner of relevant collateral of deposit of funds are consistent with the name of the Client's account and declares that the Client is the owner of the said cash, securities and/or relevant collateral. ESFL shall not be responsible for making any verification. ESFL shall have an absolute discretion to determine whether or not to accept the deposit of such moneys, funds, cheques drawn from such bank account(s), Internet Depositing Money, securities, collateral and/or relevant instructions, and under any circumstances ESFL shall not be held liable for any loss, damages, expenses, loss of profit whatsoever suffered and/or incurred by the Client arising out (directly or indirectly) of or in connection with ESFL's accepting or not accepting such deposit of moneys, funds, cheques drawn from such bank account(s), Internet Depositing Money, securities, collateral and/or relevant instructions.

客户特此指示及授权艾德证券期货接受客户由其单独持有及/或由客户与其他人士共同持有之银行账户所支付之金钱或资金及/或发出的支票存款及接受客户之证券及/或抵押品(以其个人名义或与其他人士共同名义)。客户须确保存入之款项之银行账户名称、支票发出人、证券持有人及/或相关抵押品拥有与客户之账户名称相符，并声明客户拥有该款项及证券及/或相关抵押品之所有权，艾德证券期货无需另行查证。艾德证券期货有绝对酌情权决定是否接纳由该银行账户存入之该等金钱、资金、发出的支票存款、网上存款、证券、抵押品及/或有关指示，并在任何情况下艾德证券期货无须因为其接纳或不接纳由该银行账户存入之该等金钱、资金、发出的支票存款、网上存款、证券、抵押品及/或有关指示而(直接或间接)引致客户所蒙受的任何损失、损害赔偿、开支或失去任何利润而承担责任。

5. The Joint Clients have authorized ESFL to accept the instructions of any one or all of the Joint Clients ("Such Person") to ESFL (including but not limited to verbal instructions and written instructions). Such Person shall have the authority to handle the operation of the Account and exercise all rights, powers and discretion pursuant to All Those Terms on behalf of any of the Joint Client. ESFL may follow the Instructions given by Such Person and shall not be required to give notice to, or obtain authorization from, any one or all of the Joint Clients in respect of such Instructions. ESFL shall have an absolute discretion to determine whether or not to accept the relevant Instructions and ESFL shall not be liable as such for any loss whatsoever incurred as a result of accepting or not accepting the instructions. Any act, conduct, Instructions, directions, decisions and/or authorizations of any of the Joint Clients shall be jointly and severally binding on the other Joint Clients.

联名客户已授权艾德证券期货可接受联名客户的其中一位人士(「该人士」)个别向艾德证券期货发出任何指示(包括但不限于口头指示及书面指示)。该人士有权处理账户内的运作及代表其他联名客户行使该等条款下的所有权利、权力及酌情权。艾德证券期货可根据该人士发出的指示行事,而不需向其他联名客户或所有联名客户发出有关指示的通知,或取得有关指示的授权书。艾德证券期货有绝对酌情权决定是否接纳有关指示,以及有关接纳与否而导致之后果,艾德证券期货亦无须就此而负上任何责任。任何联名客户的任何行动、行为、指示、方向、决定及/或授权,对其他联名客户均构成个别及共同的约束力。

6. The Client or its Authorized Person must use the designated telephone number provided by ESFL from time to time (the "Designated Telephone") for any instructions. For the avoidance of doubt, if (i) any Instructions given by telephone other than the Designated Telephone, or (ii) or any Instructions given by other telephone numbers of ESFL or any Instructions given by messages left at the voicemails of other telephone numbers of ESFL or any personal mobile phone numbers of the employees or agents of ESFL (collectively referred to as "Non-designated Telephone Number Instructions") shall not be accepted by ESFL. Notwithstanding the above restrictions, ESFL has an absolute discretion to determine whether or not to accept the Non-designated Telephone Number Instructions and ESFL shall not be liable as such for any loss whatsoever incurred as a result of accepting such instructions.

客户或其获授权人士必须使用艾德证券期货不时提供的指定电话号码("指定电话号码")进行任何指示。为清楚起见,如客户(i)透过电话但并非使用指定电话号码给予的任何指示;或(ii)透过艾德证券期货的其他电话号码给予的任何指示或艾德证券期货的其他电话号码的留言信箱留下口讯所给予的任何指示或透过艾德证券期货的雇员或代理人的个人手提电话号码给予的任何指示(统称「非指定电话号码指示」),艾德证券期货均不接受。即使有以上之规限,艾德证券期货有绝对酌情权决定是否接纳非指定电话号码指示,以及有关接纳与否而导致之任何损失,艾德证券期货亦无须就此而负上任何责任。

7. ESFL may post the specifications and information relating to the relevant securities (including but not limited to the margin requirement to open any transaction) on [www.eddid.com.hk](http://www.eddid.com.hk) from time to time and the same shall be binding on the Client. ESFL shall not be held liable for any error, loss, expenses, damages or loss of profit suffered by the Client as a result of any omission of such specifications and information or delay in notifying such specifications and information. The Client hereby confirms that the Client has read and fully understood such specifications and information in a language of the Client's choice. The Client also confirms that the Client has been invited to ask questions in writing and take independent advice.

艾德证券期货不时于[www.eddid.com.hk](http://www.eddid.com.hk)内刊载有关证券期货之规格及资料(包括但不限于任何交易的保证金要求),该等规格及资料对客户有约束力。艾德证券期货不须对该等规格及资料的遗漏或延误通知令客户蒙受的任何错误、损失、开支、赔偿或失去任何利润而负上任何责任。客户现确认客户已详细阅读按照客户选择的语言而提供之该等规格及资料。客户亦确认已获邀请透过书面途径提出问题及寻求独立意见。

8. The Client declares and confirms that all the information provided in this Account Opening Form is true, complete and correct and authorizes ESFL to confirm this from any source and the Client shall immediately inform ESFL of any change of the aforesaid information.

客户声明及确认所有填写于本开户表的资料均属真实,完全及正确,并授权艾德证券期货可向任何方面查证。客户承诺,如上述资料有任何变更,客户必须立刻通知艾德证券期货。

9. The Client acknowledges and confirms that the following Licensed Person has already explained the Form herewith including but not limited to the Risk Disclosure Statement as set out in the "Trading Agreement" in a language of the Client's choice. The Client hereby fully understood and accepted all the aforesaid contents and provisions and has also already sought independent legal advice.

客户知悉及确认艾德证券期货已根据客户所选择的语言向其解释此表格包括但不限于《业务条款及细则》内的风险披露声明。客户已完全明白及接受所有内容和细则,并已寻求独立法律意见。

10. The Client authorizes ESFL on behalf of the Client to take any necessary action to open any account(s) with any relevant financial company(ies)/institution(s) at the absolute discretion of ESFL.

客户已授权艾德证券期货全权代表客户并有绝对酌情权在相关金融机构开设任何账户及办理相关手续。

11. The Client authorizes ESFL to pass the order on behalf of the Client to any relevant financial company(ies)/institution(s) and

the Client is aware and confirms ESFL does NOT involve in any Client's order. The Client acknowledges and accepts the risks in the event that the relevant financial company(ies)/institution(s) defaults or fails to fulfill their roles; or the relevant financial company(ies)/institution(s) bankrupts or ceases business, the Client may not be able to complete the transaction or lose money or holdings. In any condition, ESFL will NOT be responsible for any losses or damages incurred or suffered as a result thereof.

客户已授权艾德证券期货把客户的交易指示转递予任何相关金融公司/机构，并知悉及确认艾德证券期货没有参与任何客户的交易指示。客户知悉及同意承担因相关公司/金融机构违约或停止履行其责任，或因相关金融公司/机构破产或停业，而导致客户无法完成交易或损失金钱或所持有的风险。在任何情况下，艾德证券期货均不须对上述所引致的损失或损害承担任何责任。

12. The Client agrees and accepts ESFL to set-off on a cash rolling balance basis, any amount receivable from, and payable to, the account where such amount arise from the purchase and sale of securities by the Client on a cash-against-delivery basis, the Client now authorizes ESFL to set-off such amounts against each other in such account; and dispose of securities held for the Client for the purpose of settling any of the amounts payable by the Client to ESFL.

客户同意及接受艾德证券期货以现金结余滚存方式就账户内将应从账户收取的款项与应向该账户支付的款项互相抵销，而该等款项是因该账户以货银两讫形式买卖证券所产生的，现客户授权艾德证券期货就该账户内该等款项互相抵销；及为清偿客户应支付予艾德证券期货的款项而处置为客户持有的证券。

13. Regarding the Account Type in the Section A2 herein, the Client understands and confirms any additional account type can be activated through the telephone or other electronic means with ESFL; the Client agrees and accepts to be bounded by All Those Terms.

有关于上述 A2 章节中的账户类别，客户明白及确认日后可透过电话或电子途径通知艾德证券期货加开任何其他类别账户。客户亦须同意及接受账户开启后的《该等条款》。

14. The Client agrees that margin requirement to open any transaction is prescribed by ESFL from time to time and the Client should pay attention to the announcement/notice promulgated on [www.eddid.com.hk](http://www.eddid.com.hk) from time to time.

客户同意进行任何交易的保证金要求将会由艾德证券期货不时订立，客户应不时留意于 [www.eddid.com.hk](http://www.eddid.com.hk) 刊载的有关公告/通知。

15. The Client agrees that if the deposit/withdraw currency is other than the account denominated currency, the deposit/withdraw will be converted into the account denominated currency according to the applicable exchange rate available at ESFL.

客户同意如客户以账户基准货币以外的货币存款/提款，艾德证券期货会以当时适用的汇率将存入/提取的外币兑换成该账户之基准货币。

16. The Client agrees that according to the FATCA ("Foreign Account Tax Compliance Act"), ESFL 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.

客户同意根据「海外账户税收遵从法」("FATCA")，艾德证券期货必须识别出美国账户持有人及由美国控制的实体(即持有实体重大拥有权益的美国人士)，然后向税务局(IRS)提供其于该财政年度内的资产、收入款项及交易流资料。

17. The Client agrees that according to the Inland Revenue Ordinance (Cap. 112) ("IRO") of Hong Kong, ESFL 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.

客户同意根据香港《税务条例》(第 112 章)，艾德证券期货作为《税务条例》定义下的财务机构是被要求及授权收集及/或汇报若干关于账户持有人的纳税居住地和账户资料作自动交换财务账户资料之用。此表格要求及收集的资料旨在与香港法例要求的一致。

18. The Chinese version of All Those Terms shall prevail over other translated versions which is for reference only.

该等条款以中文版本为准，如有任何对该等条款的翻译文本仅作为参考目的使用。

19. I (the Client) hereby declare that after signing in the signature column herein below by myself (the Client), indicated that I (the Client) have already fully read, confirmed, agreed, accepted and understood All Those Terms (including all the relevant contents and provisions of this Account Opening Form, the Risk Disclosure Statements, "Terms and Conditions for "Trading Account"), I (the Client) have already sought independent legal advice and have also understood all the contents and provisions and have no questions to ask.

本人(客户)兹声明，当本人(客户)于下列签署栏内签署后，即表示本人(客户)已完全细阅、确认、同意、接受及明白该等条款(包括本开户表格内所有内容、《风险披露声明》及《业务条款及细则》内的所有条款)。关于上述所有内容和细则，本人(客户)已寻求独立法律意见，并明白所有内容和细则及没有任何疑问。

<b>Primary Account Holder</b> 主要账户持有人	<b>Joint Account Holder</b> 联名账户持有人
<b>Signature</b> 签署 _____	<b>Signature</b> 签署 _____
<b>Name</b> 姓名 _____	<b>Name</b> 姓名 _____
<b>Sign Date</b> 签署日期 _____	<b>Sign Date</b> 签署日期 _____

**WITNESS 见证 (NOT applicable for MOBILE APP IDENTITY VERIFICATION OR Electronic Signature 不适用于手机应用程序式身份验证或电子签名)**

I, the undersign, have verified the identity and witnessed the signature(s) of the applicant(s) on this Account Opening Form. 本人, 下签署人, 特此确认本人已核证本开户表申请人的身份及见证其签署。

<b>Name of Witness</b> 见证人名称 _____	<b>Signature of Witness</b> 见证人签署 _____
<b>Qualification and Registration No.</b> 专业资格及注册号码 _____	<b>Sign Date</b> 签署日期 _____

**RISK DISCLOSURE 风险声明**  
 (to be Completed by ESFL Staff/ Duly authorized representative 此栏由艾德证券期货职员/正式授权代表填写)

I, the undersign, have confirmed that I have 本人, 下签署人, 特此确认本人已:

- provided the Supplemental Documents (including the Risk Disclosure Statement and the Personal Information Collection Statement where applicable) and clearly explained the Risk Disclosure Statements in a language of the Client's choice; and 提供补充文件 (包括风险披露声明及个人资料收集声明, 如适用) 及根据客户所选择的语言向其解释风险披露声明; 及
- invited and suggested the Client to read and ask questions and to seek independent legal advice if the Client wishes; 邀请及建议客户细阅风险披露声明, 及就其内容和细则提出问题及寻求独立法律意见(如客户有此意愿);

(If the client submits this account opening form through the MOBILE APP IDENTITY VERIFICATION OR ELECTRONIC SIGNATURE, Risk Disclosure has been completed through the APP. 如客户透过手机应用程序式身份验证或电子签名提交此开户表, 风险声明已于手机应用程序式内提供。)

<b>Staff/ Duly authorized representative</b> 职员/正式授权代表	<b>Staff/ Duly authorized representative</b> 职员/正式授权代表
<b>Name</b> 名称 _____	<b>Signature</b> 签署 _____
<b>Position and CE No.</b> 职位及中央编号 _____	<b>Sign Date</b> 签署日期 _____