



## DL SECURITIES (HK) LIMITED

德林證券(香港)有限公司 (CE No. 中央編號: AZN279)

21/F DL Tower, 92 Wellington Street,

Central, Hong Kong

香港中環威靈頓街92號德林大廈21樓

Tel 電話 : (852) 3890-2923 Fax 傳真 : (852) 2152-0933

Website 網址: https://dl-holdings.com/en/our-services-dls

## 公司帳戶 CORPORATE ACCOUNT

## 帳戶開戶資料表格 Opening Information Form

選擇帳戶類別 Selection of Account Type :

網上交易服務 Internet Trading Services :

環球交易服務 Global Trading Services :

(請附上W-8BEN表格 Please attach W-8BEN Form)

申請成為專業投資者 Apply for being Professional Investor

(可用於基金或債券交易 For trading Mutual Fund or Bond)

(Please attach PI Assessment Form &amp; Client Investment Profile Questionnaire)

☐ 現金 Cash☐ 是 Yes☐ 是 Yes☐ 是 Yes☐ 保證金 Margin☐ 否 No☐ 否 No☐ 否 No

\*塗改處需本人加簽 Endorsement is required for any changes\*

## 公司帳戶資料 CORPORATE INFORMATION

公司名稱 Name of Company / Corporation

英文 English

中文 Chinese

註冊/成立地點 Place of Incorporation/Establishment:

註冊日期 Date of Establishment: (日 DD/月 MM/年 YYYY)

/ /

商業登記編號 Business Registration Number:

註冊編號 Certificate Number:

公司類別 Type of Company:

☐ 私人公司 Private Ltd Co.☐ 公眾有限公司 Public Ltd Co.☐ 上市公司 Listed Co.☐ 獨資經營 Sole Proprietorship☐ 合夥經營 Partnership☐ 組織/俱樂部/社團 Associate/Club/Society☐ 政府/法定組織 Government/ Statutory Board☐ 信託賬戶 Trust Account☐ 其他 Other \_\_\_\_\_

商業性質 Nature of Business (請選其中一項 Please tick one)

☐ 會計/法律服務 Accounting/Legal Services☐ 銀行/金融/保險 Banking/Finance/Insurance☐ 建築/基建/地產 Construction/Infrastructure/Real Estate☐ 顧問 Consulting☐ 客戶服務 Customer Service☐ 教育/培訓 Education/Training☐ 酒店/旅遊 Hotel/Tourism☐ 政府/公用事業/非牟利 Government/Utilities/Non-profit☐ 資訊科技 Information Technology☐ 物流 Logistics☐ 製造 Manufacturing☐ 銷售/市場推廣/廣告 Sales/Marketing/Advertising☐ 醫療/健康護理 Medical/Health Care☐ 傳媒/出版/娛樂 Media/Publishing/Entertainment☐ 研究及發展 Research & Development☐ 零售/批發 Retail/Wholesale☐ 其他 Others \_\_\_\_\_

註冊地址 Registered Office in Country of Incorporation/Establishment:

室/樓層/大廈/街道/地區

Room / Floor / Building/ Street / District

城市 City

省/州 Province / State

國家 Country

郵政編碼/郵遞區 Post Code/ZIP Code

辦事處地址 (如有別於註冊地址) Principal Place of Business (if different from Registered Office) (不接受郵政信箱 PO Box not allowed)

室/樓層/大廈/街道/地區

Room / Floor / Building/ Street/ District

城市 City

省/州 Province / State

國家 Country

郵政編碼/郵遞區 Post Code/ZIP Code

註: 請參閱本開戶表格末頁之開立帳戶所需文件核對表

Note: Please refer to the document checklist in the last page of this Form for account opening accordingly.

辦事處電話號碼 Office Tel No.:		辦事處傳真號碼 Office Fax No.:	
電子郵件地址 E-mail Address:			
成交單據正本(買賣確認)及對帳單會以電子郵件方式發送 Original Contract Notes (Trading Confirmations) and Statements to be sent by E-mails.			
聯絡人 Contact Person:		職位 Position:	
<b>董事資料 PARTICULARS OF DIRECTOR(S)</b>			
董事名稱 Director(s) Name	香港身份證 <sup>^</sup> /護照號碼及簽發國家 HKID <sup>^</sup> /Passport No. and Issuing Country	董事現時住址 / 現時地址 Director(s) Current Residential Address / Current Address	聯絡電話 Contact No
<sup>^</sup> 只適用於擁有香港居留權之香港永久性居民，其他居民請填寫護照號碼及簽發國家。 For residents with right of abode in Hong Kong only. Other residents please provide passport numbers and Issuing Country			
<b>股東資料(持有百份之十或以上股權) PARTICULARS OF SHAREHOLDER (S) (SHAREHOLDING 10% OR ABOVE)</b>			
股東名稱 Shareholder(s) Name	香港身份證 <sup>^</sup> /護照號碼及簽發國家 HKID <sup>^</sup> /Passport No. and Issuing Country	股東現時住址 / 現時地址 Shareholder(s) Current Residential Address / Current Address	聯絡電話 Contact No
<b>財務狀況 CLIENT FINANCIAL INFORMATION</b>			
法定股本 Authorized Share Capital:		已發行股本 Issued Share Capital:	繳足股本 Paid-up Capital:
每年收入 Annual Income: (以港元計算 in HKD)	淨資產值 Net Assets: (以港元計算 in HKD)		
資金來源Source of Funds <div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> 股東資金 Shareholders Fund  <input type="checkbox"/> 股東貸款 Shareholders Loan             </div> <div> <input type="checkbox"/> 業務收入 Revenue of business  <input type="checkbox"/> 其他 Others (請註明 please specify): _____             </div> </div>			
<b>客戶投資目的及經驗 CLIENT INVESTMENT OBJECTIVES &amp; EXPERIENCE</b>			
整體投資計劃，包括短期、中期及長期投資目標 Overall investment plan, including short, medium and long-term goals : <div style="display: flex; justify-content: space-between;"> <div>             投資計劃 Investment Plan :              可承受風險程度 Risk Tolerance Level :           </div> <div> <input type="checkbox"/> 短期 Short  <input type="checkbox"/> 低風險 Low           </div> <div> <input type="checkbox"/> 中期 Medium  <input type="checkbox"/> 中風險 Medium           </div> <div> <input type="checkbox"/> 長期 Long  <input type="checkbox"/> 高風險 High           </div> </div>			
投資目的 Investment Objective(s) : (可選擇下列一項或多項 Please tick one or more) <div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> 平穩增長 Stable Growth  <input type="checkbox"/> 對沖 Hedging           </div> <div> <input type="checkbox"/> 均衡增長 Balance Growth  <input type="checkbox"/> 投機 Speculation           </div> <div> <input type="checkbox"/> 高速增長 High Growth  <input type="checkbox"/> 其他 Others (請註明, please specify) _____           </div> </div>			
投資經驗 Investment Experiences : (可選擇下列一項或多項 Please tick one or more) 投資產品 Investment Products <div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> 上市證券 Listed Securities  <input type="checkbox"/> 牛熊證/窩輪 CBBC/ Warrants  <input type="checkbox"/> 期貨或期權 Futures or Options  <input type="checkbox"/> 債券/基金 Bonds/Funds  <input type="checkbox"/> 其他 Others: _____  <input type="checkbox"/> 沒有 None           </div> <div>             年數 Year(s) _____              年數 Year(s) _____              年數 Year(s) _____              年數 Year(s) _____              年數 Year(s) _____           </div> </div>			

**結構性及/或衍生工具產品的認識評估 ASSESSMENT ON KNOWLEDGE OF STRUCTURED AND/ OR DERIVATIVES PRODUCTS**

☐ 客戶曾接受有關結構性及/或衍生工具產品的培訓或相關課程  
The Client has attended trainings or courses in relation to structured and/or derivative product(s)

☐ 客戶現時或之前的工作經驗與結構性及/或衍生工具產品有關  
The Client's current or previous work experience is related to structured and/or derivative product(s)

☐ 客戶在過去 3 年內曾執行過 5 宗或以上有關結構性及/或衍生工具產品的交易  
The Client has executed 5 or more transactions relating to structured and/or derivative product(s) in past 3 years

如客戶沒有以上任何一項經驗及認識，客戶將被視作沒有結構性及/或衍生工具產品認識。在客戶買賣結構性及/或衍生工具產品之前，客戶需要留意衍生工具產品交易有關之風險（如風險披露聲明所述）

*For clients do not have any of the above-mentioned knowledge and experience, such clients will be considered as without knowledge of structured and/or derivatives product(s). Before trading in structured and/or derivative product(s), the attention of the Client is drawn to the risks associated with structured and/or derivative product(s) (as described in – Risk Disclosure Statement).*

結構性及/或衍生工具產品包括(但不限於) 牛熊證、衍生認股證、股票掛鈎產品、交易所買賣換股債券、交易所買賣基金、期貨及期權與及股票期權等。  
Structured and/or Derivative product(s) includes, but not limited to, Callable Bull/Bear Contracts, Derivative Warrants, Equity Linked Instruments/Notes, Exchange Traded Funds, Futures and Options and Stock Options, etc.

**有關結構性及/或衍生工具產品確認 ACKNOWLEDGEMENT RELATING TO STRUCTURED AND/ OR DERIVATIVES PRODUCT(S)**

本人確認已細心閱讀及完全明白在風險披露聲明的內容。如果本人決定買賣該等結構性及/或衍生工具產品時，本人同意承擔有關風險。本人確認，在買賣結構性及/或衍生工具產品前，本人將會進行自我風險評估或尋求獨立專業意見，並擁有足夠資本承擔有關風險及損失。本人明白，如客戶並沒有結構性及/或衍生工具產品的知識或經驗，德林證券(香港)有限公司(「德林證券」)並不鼓勵客戶進行結構性及/或衍生工具產品買賣。

☐ 本人明白相關風險並想開通買賣該等結構性及/或衍生工具產品。

*I acknowledge that I have carefully read and fully understand the content of Risk Disclosure Statement. If I decide to trade the Structured and/or Derivatives Product(s), I agree to bear the risks involved. I confirm that I shall make my/our own risk assessment, or seek independent professional advice before trading in Structured and/or Derivatives Product(s), and that I have sufficient net worth to be able to assume the risks and bear the potential losses for our trades in Structured and/or Derivatives Product(s). I understand that DL SECURITIES (HK) Limited ("DL Securities") does not encourage the clients to trade Structured and/or Derivative Product(s) if they do not have any knowledge or experience relating to the Structured and/or Derivative Product(s)*

☐ I understand the content of Risk Disclosure Statement of Structured and/or Derivatives Product(s) and would like to apply for Derivatives Trading Services

**其他資料披露 OTHER DISCLOSURES**

客戶之集團公司是否本公司客戶?

Are there companies within the client's group already a client of ours?

☐ 否 No ☐ 是 Yes 帳戶名稱及帳戶號碼 Account Name and Account No.: \_\_\_\_\_

控制客戶 35%或以上投票權的股東在本公司是否持有帳戶?

Does/ Do any shareholder(s) in control of 35% or more of the voting right of the client maintain account(s) with us?

☐ 否 No ☐ 是 Yes 帳戶名稱及帳戶號碼 Account Name and Account No.: \_\_\_\_\_

客戶的董事、大股東、獲授權人士、最終負責就本帳戶發出指示的人士或帳戶的最終實益擁有人是否有親屬在德林證券工作?

Does/Do the director(s), major shareholder(s), authorized person(s), the person ultimately responsible for originating instructions for the account(s) or the ultimate beneficial owner(s) of the client have any relatives working in DL Securities?

☐ 否 No ☐ 是，請提供僱員 / 代理人姓名 Yes, please provide employee/agent name: \_\_\_\_\_

關係 Relationship: \_\_\_\_\_

客戶的董事、大股東、獲授權人士、最終負責就本帳戶發出指示的人士或帳戶的最終實益擁有人是否香港證監會已註冊持牌法團或註冊機構的董事、僱員或代表?

Is/Are any director(s), major shareholder(s), authorized person(s), the person ultimately responsible for originating instructions for the account(s) or the ultimate beneficial owner(s) of the client, a director, an employee or representative of any Licensed Corporation or Registered Institution registered with Hong Kong Securities and Futures Commission?

☐ 否 No ☐ 是，請提供詳情 Yes, please provide details : \_\_\_\_\_ (僱主姓名及註冊編號 Employer Name and Reg. No.)

貴集團旗下之任何公司或相關公司是否德林證券之現有保證金客戶?

Are any of your group companies or related companies a margin client of DL Securities?

☐ 否 No ☐ 是 Yes 帳戶名稱及帳戶號碼 Account Name and Account No.: \_\_\_\_\_

客戶之集團公司或其董事是否曾經破產或受破產訴訟?





Has the company or any of the directors been subjected to bankruptcy or insolvency proceedings?

☐ 否 No ☐ 是 Yes

## 交易授權 TRADING AUTHORIZATION

下列人士均可對帳戶以書面或口頭形式發出交易指示

The following individuals are authorized to place the oral or written instructions for trades on behalf of client

授權人士姓名 Authorized Person's Name	香港身份證 <sup>^</sup> /護照號碼 及簽發國家 HKID <sup>^</sup> /Passport No. and Issuing Country	現時住址/現時地址 Current Residential Address/ Current Address	職業/職位 Occupation /Position	聯絡電話 Contact No.	簽名樣本 Specimen Signature
					
					
					
					





<sup>^</sup>只適用於擁有香港居留權之香港永久性居民，其他居民請填寫護照號碼及簽發國家。

For residents with right of abode in Hong Kong only. Other residents please provide passport numbers and Issuing Country

## 簽署安排 SIGNING ARRANGEMENT

以下任何\_\_\_\_\_位授權人士簽署均可代表公司對帳戶進行資金/股票存入或提取，發出結算指示和其他帳戶有關指示，而授權人士之真實簽名樣本已於其姓名旁邊註明

Any \_\_\_\_\_ of the undersigned individuals are authorized to deposit/withdraw fund/shares to/from the account, give settlement instructions and any other instructions on behalf of client and the specimen signatures appearing against their names are the true signatures of the authorized individuals

授權人士姓名 Authorized Person's Name	香港身份證 <sup>^</sup> /護照號碼 及簽發國家 HKID <sup>^</sup> /Passport No. and Issuing Country	現時住址/現時地址 Current Residential Address/ Current Address	職業/職位 Occupation /Position	聯絡電話 Contact No.	簽名樣本 Specimen Signature
					
					
					
					

**由公司客戶填寫 FOR CORPORATE CLIENTS**  
**美國身分聲明 DECLARATION ON US PERSON STATUS**

本部分允許您根據《外國賬戶稅務合規法案》（「FATCA」）申報您的身分。

This section allows you to declare your identity under the Foreign Account Tax Compliance Act ("FATCA") classification.

請選擇一項 Please Select One Only		須額外提交表格作開戶之用 Additional Form Required for Account Opening
A.	<input type="checkbox"/> 本法團是在美國或根據美國法律或美國任何州份（包括哥倫比亞特區）的法律註冊成立、創立或組成。 The entity is incorporated, created or organized in the United States of America or under the law of the United States of America or of any of the States of the United States of America, including the District of Columbia.	是 Yes (W-9 Form 表格)
B.	<input type="checkbox"/> 本法團是金融機構。 The entity is a financial Institution.	是 Yes (W-8 Form 表格)
C.	<input type="checkbox"/> 本法團有持有超過10%股權的重大權益股東為美國公民／美國稅務居民。 The entity has US citizen(s)/US tax resident(s) who is/are substantial shareholder(s) owning more than 10% of shareholding.	是 Yes (W-8 Form 表格)
D.	<input type="checkbox"/> 本法團成立為投資工具（如對沖基金），並有持有10%以上股權的重大權益股東為美國公民／美國稅務居民。 The entity is setup as an investment vehicle (e.g. hedge fund) having US citizen(s)/US tax resident(s) who is/are substantial shareholder(s) owning more than 10% of shareholding.	是 Yes (W-8 Form 表格)
E.	<input type="checkbox"/> 本法團成立為信託，並有信託受益人為美國公民／美國稅務居民。 The entity is setup as trust which has US citizen(s)/US tax resident(s) who is/are beneficiary(ies) of the trust.	是 Yes (W-8 Form 表格)
F.	<input type="checkbox"/> 其他法團，而該法團並非從事金融機構相關業務（例如零售、餐飲、進出口貿易、製造業、物業代理、電腦解決方案、市場營銷、教育、電訊等）及該法團的主要股東或最終實益擁有人並不屬於美國人士。 Other entity that is not conducting a financial institution related business (e.g. retail, catering, trading and importing/ exporting, manufacturing, property agent, IT solutions, marketing, education, telecommunications, etc.) and without any U.S. Person as its substantial shareholders or ultimate beneficial owners.	是 Yes (W-8 Form 表格)

**共同匯報標準的自我認證表格 Common Reporting Standard Self-certification form**

居留司法管轄區及稅務編號或具有等同功能的識別編號（以下簡稱「稅務編號」）

Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")

**實體類別 Entity Type** (在其中一個適當的方格內加上✓號，並提供有關資料。Tick one of the appropriate boxes and provide the relevant information.)

財務機構 Financial Institution	<input type="checkbox"/> 託管機構、存款機構或指明保險公司 Custodial Institution, Depository Institution or Specified Insurance Company
	<input type="checkbox"/> 投資實體，但不包括由另一財務機構管理(例如：擁有酌情權管理投資實體的資產)並位於非參與稅務管轄區的投資實體 Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction
主動非財務實體 Active NFE	<input type="checkbox"/> 該非財務實體的股票經常在 _____ (一個具規模證券市場)進行買賣 NFE the stock of which is regularly traded on _____, which is an established securities market.  <input type="checkbox"/> _____ 的有關連實體，該有關連實體的股票經常在 _____ (一個具規模證券市場)進行買賣 Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market  <input type="checkbox"/> 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體 NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities  <input type="checkbox"/> 除上述以外的主動非財務實體 (請說明 _____) Active NFE other than the above (Please specify _____)
被動非財務實體 Passive NFE	<input type="checkbox"/> 位於非參與稅務管轄區並由另一財務機構管理的投資實體 Investment entity that is managed by another financial institution and located in a non-participating jurisdiction  <input type="checkbox"/> 不屬主動非財務實體的非財務實體 NFE that is not an active NFE

被動非財務實體的帳戶持有人，須填寫所有控權人的個人資料。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。每名控權人須分別填寫自我證明 — 控權人部份。

Indicate the personal information of all controlling person(s) of the Passive NFE's account holder. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official. Complete the part of Self-Certification — Controlling Person for each controlling person.

控權人類別 Type of Controlling Person				
在適當方格內加上✓號，指出控權人就帳戶所屬的控權人類別。 Please✓ the appropriate box to indicate the type of controlling person for the account.	控權人編號 Controlling Person No.			
	1	2	3	4
	控權人姓名 Controlling Person Name	控權人姓名 Controlling Person Name	控權人姓名 Controlling Person Name	控權人姓名 Controlling Person Name
擁有控制股權的個人(即擁有不少於 25% 的已發行股本) Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
以其他途徑行使控制權或有權行使控制權的個人(即擁有不少於 25% 的表決權) Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
擔任該實體的高級管理人員/對該實體的管理行使最終控制權的個人 Individual who holds the position of senior managing official/ exercises ultimate control over the management of the entity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
財產授予人 Settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
受託人 Trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
保護人 Protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
受益人或某類別受益人的成員 Beneficiary or member of the class of beneficiaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
其他(例如：如財產授予人/受託人/保護人/受益人為另一實體，對該實體行使控制權的個人) Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
處於相等/相類於財產授予人位置的個人 Individual in a position equivalent/similar to settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
處於相等/相類於受託人位置的個人 Individual in a position equivalent/similar to trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
處於相等/相類於保護人位置的個人 Individual in a position equivalent/similar to protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
處於相等/相類於受益人或某類別受益人的成員位置的個人 Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
其他(例如：如處於相等/相類於財產授予人/受託人/保護人/受益人位置的人為另一實體，對該實體行使控制權的個人) Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/protector /beneficiary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

請提供以下資料，列明 (a) 帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區（香港包括在內）及 (b) 該居留司法管轄區發給帳戶持有人的稅務編號。請列出所有（不限於 5 個）居留司法管轄區。

Please complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's Taxpayer Identification Number ("TIN") for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence.

如帳戶持有人是香港稅務居民，稅務編號則是其香港身份證號碼。如果沒有提供稅務編號，則必須填寫合適的理由：

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:

理由 A – 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。  
Reason A – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

理由 B – 帳戶持有人不能取得稅務編號。如選取這一理由，請解釋帳戶持有人不能取得稅務編號的原因。  
Reason B – The account holder is unable to obtain a TIN. Please explain why the account holder is unable to obtain a TIN if you have selected this reason.

理由 C – 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。  
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.

	居留司法管轄區 Jurisdiction of Residence	稅務編號 TIN	如沒有提供稅務編號，請填寫理由 A、B 或 C Please enter Reason A, B or C if no TIN is available	如選取理由 B，請解釋帳戶持有人不能取得稅務編號的原因 Please explain why you are unable to obtain a TIN if you have selected Reason B
1.			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
2.			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
3.			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
4.			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	

洗黑錢及資助恐怖份子活動風險評估（請選“是”或“否”） Assessment for the risk in association with Money Laundering and Terrorists Financing (Please tick “Yes” or “No”)			
<b>在香港註冊的公司，請回答以下問題：</b> For company registered in Hong Kong, please answer the following questions:		<b>是</b> Yes	<b>否</b> No
貴公司是否與政界人士有關連？ Is your company connected to politically exposed persons? （“政界人士”指目前或以往曾經擔任重要公職的人士，例如國家或政府的首長、資深政客、政府屬下企業高級行政人員和主要政黨領導等） （“Politically exposed person” means individual who is or has been entrusted with prominent public function, e.g. head of state/government, senior politician, senior executive of government owned corporation, important political party official, etc.）		<input type="checkbox"/>	<input type="checkbox"/>
貴公司的業務性質是否有較高機會被利用作洗黑錢的風險？ （例如會接觸大量現金往來的找換業或博彩業） Is the nature of your company’s business particularly susceptible to money laundering risk? (e.g. money exchange or casino related business that often handles large amount of cash)		<input type="checkbox"/>	<input type="checkbox"/>
貴公司的資金有否被合理地懷疑過是從犯罪所得？ Is there any reasonable suspicion or risk that money from your company might be arising from or related to proceeds of crime?		<input type="checkbox"/>	<input type="checkbox"/>
<b>在香港以外註冊的公司，請回答以下問題：</b> For company registered outside Hong Kong, please answer the following questions:		<b>是</b> Yes	<b>否</b> No
貴公司的註冊國家是否財務行動特別組織(“FATF”)的成員？ Is the country in which your company registered a member of the Financial Action Task Force (“FATF”)? （FATF成員包括：阿根廷、澳大利亞、奧地利、比利時、巴西、加拿大、中國、丹麥、芬蘭、法國、德國、希臘、冰島、愛爾蘭、意大利、日本、盧森堡、墨西哥、荷蘭、紐西蘭、挪威、葡萄牙、俄羅斯聯邦、新加坡、南非、西班牙、瑞典、瑞士、土耳其、英國、美國、大韓民國、印度、歐洲委員會、海灣合作理事會、中國香港、以色列、馬來西亞及沙特阿拉伯） Is the client’s country of resident a member of the Financial Action Task Force ("FATF")? (FATF members include: Argentina, Australia, Austria, Belgium, Brazil, Canada, China, Denmark, Finland, France, Germany, Greece, Iceland, Ireland, Italy, Japan, Luxembourg, Mexico, Netherlands, New Zealand, Norway, Portugal, Russian Federation, Singapore, South Africa, Spain, Sweden, Switzerland, Turkey, United Kingdom, United States, Republic of Korea, India, European Commission, Gulf Cooperation Council, HKSAR, Israel, Malaysia and Saudi Arabia)		<input type="checkbox"/>	<input type="checkbox"/>
貴公司的註冊國家是否已就反洗黑錢立法？ Has the country in which your company registered established laws and regulations for anti-money laundering?		<input type="checkbox"/>	<input type="checkbox"/>
貴公司是否受反洗黑錢法例約束？ Is your company subject to the laws and regulations for anti-money laundering?		<input type="checkbox"/>	<input type="checkbox"/>
貴公司是否就反洗黑錢或反資助恐怖份子活動法例保持著“無定罪紀錄”？ （如否，請提供詳細的資料。） Has your company maintained a “no conviction record” for anti-money laundering or anti-terrorist financing legislation? (If no, please provide details on a separate sheet.)		<input type="checkbox"/>	<input type="checkbox"/>
<b>屬於金融機構，請回答以下問題：</b> For financial institutions, please answer the following questions:		<b>是</b> YES	<b>否</b> No
貴公司（包括在國外的分支機構及子公司）是否已制訂書面政策，並實施內部監管程序，以防止洗黑錢活動？ Has your company (including foreign branches and subsidiaries, if any) established written policies and implemented internal control procedures to prevent money laundering?		<input type="checkbox"/>	<input type="checkbox"/>
貴公司是否已確立程序向有關部門舉報可疑的活動和交易？ Does your company have documented procedures for reporting suspicious activities and transactions to the appropriate authorities?		<input type="checkbox"/>	<input type="checkbox"/>
貴公司是否已確立程序以獲取及核實客戶的最終受益人的資料和身份？ Has your company established procedures to obtain information and verify the identity of the ultimate beneficiaries of your customers?		<input type="checkbox"/>	<input type="checkbox"/>
貴公司有否按當地法規的要求，於指定時間內保留所有客戶的紀錄？ Are the records of your customers, both active and inactive, maintained for the period of time required by your local regulations?		<input type="checkbox"/>	<input type="checkbox"/>

**收款銀行戶口 RECEIVING BANK ACCOUNT**

在收到閣下的提款指示後，將款項轉到以下戶口

**Funds will be transferred to the following bank account after receiving the Client's fund withdrawal instruction:**

銀行名稱 Name of the Bank :	銀行帳戶貨幣/號碼 Bank Account Currency/Number
	<input type="checkbox"/> 港元 HKD                      帳戶號碼 A/C No.: _____ <input type="checkbox"/> 人民幣 RMB                    帳戶號碼 A/C No.: _____ <input type="checkbox"/> 美元 USD                        帳戶號碼 A/C No.: _____ <input type="checkbox"/> 其他貨幣 Other Currency      帳戶號碼 A/C No.: _____ 請註明 Please specify: _____

銀行帳戶持有人名稱 (須與客戶的銀行結單及此表格上的名稱相符)

Bank Account Holder's Name (name(s) shown on the Client's bank statements should match with the name of the applicant(s) in this Form)

**帳戶持有人的款項將會被存入本表格內所提供的指定銀行賬戶，除非另行通知。****All monies payable to the account holder will be credited to the designated bank account(s) nominated on this Form, unless otherwise instructed.**

若為香港以外銀行帳戶，請提供地區及 SWIFT 號碼 (如適用) \_\_\_\_\_

For bank accounts outside Hong Kong, please state location of the bank account and SWIFT code (if applicable)

**使用個人資料作直接促銷同意書 USE OF PERSONAL DATA IN DIRECT MARKETING CONSENT LETTER**

德林證券(香港)有限公司(「德林證券」)擬使用貴公司的資料作直接促銷，該等資料包括貴公司在本開戶資料表格中向德林證券提供的及德林證券不時獲得的姓名、聯絡詳情、財務背景、統計資料等的資料。為此須取得貴公司的同意。

DL SECURITIES (HK) Limited ("DL Securities") intends to use your company data in direct marketing. Such data includes the name, contact details, financial background and statistical data which are provided to DL Securities under this Account Opening Information Form or obtained by DL Securities from time to time. DL Securities proposes to obtain your company consent.

本公司同意德林證券向本人/吾等發放關於財務、保險、證券、投資的服務和產品的推廣資料。本公司亦同意德林證券及其集團公司分享本人公司的資料作促銷用途。本公司亦明白和接受德林證券及其集團公司可能不時聘請第三方代表德林證券及其集團公司提供直接促銷服務，除非本公司在下方表示反對：

We agree to receive promotional and direct marketing information from DL Securities in respect of financial, insurance, securities, investment services and products of DL Securities may offer. We also agree that DL Securities can share my/our personal data with its group companies for marketing and promotional purposes. We understand and accept that DL Securities and its group companies may, from time to time, engage third parties to provide direct marketing services unless our company indicate an objection herein below:

☐ 本公司反對德林證券使用或轉移，不論是否為得益，本人/吾等所有個人資料的種類，給予所有資料承轉人的類別以用作所有促銷產品/服務/設施的類別的直接促銷用途。

We object to the DL Securities use or transfer, whether for gain or not, of all kinds of our company's data to all classes of data transferees, for direct marketing of all classes of marketing subject.

如貴公司將來不希望德林證券使用或提供閣下的資料給他人作直接促銷，請致電 (852) 3890 2923 或電郵 [cs@dl-securities.com](mailto:cs@dl-securities.com) 通知我們。

In the future, if your company does not wish DL Securities to use or provide your company's data to other persons for the use in direct marketing, your company may exercise yours opt-out right by notifying DL Securities at (852) 3890 2923 or email to [cs@dl-securities.com](mailto:cs@dl-securities.com).

**風險披露聲明 RISK DISCLOSURE STATEMENT****證券交易的風險 Risk of Securities Trading**

證券價格有時可能會非常波動。證券價格可升可跌，甚至變成毫無價值。買賣證券未必一定能夠賺取利潤，反而可能會招致損失。

The prices of securities fluctuate, sometimes dramatically. The price of a security may move up or down, and may become valueless. It is as likely that losses will be incurred rather than profit made as a result of buying and selling securities.

**買賣創業板股份的風險 Risk of Trading Growth Enterprise Market Stocks**

創業板股份涉及很高的投資風險。尤其是該等公司可在無需具備盈利往績及無需預測未來盈利的情況下在創業板上市。創業板股份可能非常波動及流通性很低。你只應在審慎及仔細考慮後，才作出有關的投資決定。創業板市場的較高風險性質及其他特點，意味著這個市場較適合專業及其他熟悉投資技巧的投資者。

Growth Enterprise Market (GEM) stocks involve a high investment risk. In particular, companies may list on GEM with neither a track record of profitability nor any obligation to forecast future profitability. GEM stocks may be very volatile and illiquid. You should make the decision to invest only after due and careful consideration. The greater risk profile and other characteristics of GEM mean that it is a market more suited to professional and other sophisticated investors.

有關創業板股份的最新資料只可以在香港聯合交易所有限公司所操作的互聯網網站上找到。創業板上市公司一般毋須在憲報指定的報章刊登付費公告。假如你對本風險披露聲明書的內容或創業板市場的性質及在創業板買賣的股份所涉風險有不明之處，應尋求獨立的專業意見。

Current information on GEM stocks may only be found on the internet website operated by The Stock Exchange of Hong Kong Limited. GEM companies are usually not required to issue paid announcements in gazette newspapers. You should seek independent professional advice if you are uncertain of or do not understand any aspect of this risk disclosure statement or the nature and risks involved in trading of GEM stocks.

**在交易所買賣的衍生產品的性質 Nature of Exchange Traded Derivative Products****衍生權證 Derivative Warrant**

衍生權證是一種賦予投資者權利（而非責任）的投資工具，讓投資者可以在未來某個指定日期或之前，以指定價格買賣該衍生權證的相關資產。衍生權證可分為認購證和認沽證兩種。衍生權證可與單一或一籃子的股票、某股票指數、貨幣、商品或期貨合約掛鉤。衍生權證一般以現金交收。認購權證的持有人有權（但沒有責任）在某段時間以預定價格（稱為「行使價」）向發行商購入特定數量的相關資產。相反，認

註：請參閱本開戶表格末頁之開立帳戶所需文件核對表

Note: Please refer to the document checklist in the last page of this Form for account opening accordingly.

沽權證的持有人有權（但沒有責任）在某段時間以預定價格（稱為「行使價」）向發行商沽售特定數量的相關資產。衍生權證價格會隨時間而遞減，到期時如非價內權證，則完全沒有價值，投資者絕對不宜視衍生權證為長線投資工具。

Derivative warrants are an instrument which gives investors the right - but not the obligation - to buy or sell the underlying asset (e.g. a stock) at a pre-set price on or before a specified date. Derivative warrants are generally divided into two types: calls and puts. Derivative warrants can be linked with a single stock, a basket of stocks, an index, a currency, a commodity or a futures contract. Derivative warrants are usually settled in cash when they are exercised at expiry. Holder of call warrants have the right, but not obligation, to purchase from the issuer a given amount of the underlying asset at a predetermined price (also known as the "Exercise Price") within a certain time period. Conversely, holders of put warrant have the right, but not obligation, to sell to the issuer a given amount of the underlying asset at a predetermined price within a certain time period. Investor should be aware that other factors being equal the value of derivative warrant will decrease over time. Derivative warrants should never be viewed as products that are brought and held as long-term investments.

#### 牛熊證 Callable Bull/Bear Contracts

牛熊證類屬衍生產品，能追蹤相關資產的表現而毋須支付購入實際資產的全數金額。牛熊證有牛證和熊證之分，設有固定到期日，投資者可以看好或看淡相關資產而選擇購入牛證或熊證。牛熊證設有收回價及強制收回機制。在牛熊證有效期內，如相關資產價格觸及上市文件內指定的水平（稱為「收回價」），發行商會即時收回有關牛熊證。若相關資產價格是在牛熊證到期前觸及收回價，牛熊證將提早到期並即時終止買賣。當牛熊證被收回後，即使相關資產價格反彈，該隻牛熊證亦不會再次復牌在市場上買賣，因此投資者不會因價格反彈而獲利。

Callable Bull/Bear Contracts ("CBBC") are a type of derivative product that tracks the performance of an underlying asset without requiring investors to pay the full price required to own the actual asset. They are issued either as Bull or Bear contracts with a fixed expiry date, allowing investors to take bullish or bearish positions on the underlying asset. CBBC are issued with the condition that during their lifespan they will be called by the issuers when the price of the underlying asset reaches a level (known as the "Call Price") specified in the listing document. If the Call Price is reached before expiry, the CBBC will expire early and the trading of that CBBC will be terminated immediately. Once the CBBC is called, even though the underlying asset may bounce back in the right direction, the CBBC which has been called will not be revived and investors will not be able to profit from the bounce-back.

#### 交易所買賣基金 Exchange Traded Funds

交易所買賣基金是於香港交易及結算所有限公司（香港交易所）旗下的證券市場上買賣的被動型管理開放式基金。所有在香港交易所上市交易所買賣基金均為證券及期貨事務監察委員會（證監會）認可的集體投資計劃。交易所買賣基金大都追蹤一個資產組合，讓投資者分散投資特定的市場主題，但也有部分交易所買賣基金只追蹤單一相關資產。

Exchange Traded Funds ("ETFs") are passively-managed and open-ended funds, which are traded on the securities market of Hong Kong Exchanges and Clearing Limited (HKEx). All listed ETFs are authorized by the Securities and Futures Commission (SFC) as collective investment schemes. Most ETFs track a portfolio of assets to provide diversified exposure to selected market themes. However, ETFs may also track a single underlying asset.

交易所買賣基金可大致分為實物資產交易所買賣基金及合成交易所買賣基金。實物資產交易所買賣基金很多皆完全按照相關基準的同一組成及比重，直接買進複製相關基準所需的全部資產（譬如股票指數的成分股），但亦有一些只買入複製相關基準所需的部分資產，又或與相關基準有高度相關性但卻非其組成部分的資產。有些追蹤股票指數的實物資產交易所買賣基金或也部分投資於期貨及期權合約。此外，若干實物資產交易所買賣基金的策略會包括借出所持股票。而合成交易所買賣基金則不買相關基準的成分資產，一般都是透過金融衍生工具去「複製」相關基準的表現。合成交易所買賣基金需承受涉及衍生工具發行商的交易對手風險，若發行商失責或不能履行其合約承諾，合成交易所買賣基金或要蒙受損失。投資者應細閱發售章程，確保明白相關交易所買賣基金的運作。

ETFs can be broadly grouped into Physical ETFs and Synthetic ETFs. Many of Physical ETFs directly buy all the assets needed to replicate the composition and weighting of their benchmark (e.g. constituents of a stock index). However, some only buy a portion of the assets needed to replicate the benchmark or assets which have a high degree of correlation with the underlying benchmark but are not part of it. Some physical ETFs with underlying equity-based indices may also invest partially in futures and options contracts. Lending the shares, they own is another strategy used by some physical ETFs. On the other hand, Synthetic ETFs do not buy the assets in their benchmark. Instead, they typically invest in financial derivative instruments to replicate the benchmark's performance. Synthetic ETFs are subject to counterparty risk associated with the derivatives issuers and may suffer losses if the derivatives issuers default or fail to honour their contractual commitments. Investors should read the ETF prospectus carefully to ensure they understand how the fund operates.

#### 在交易所買賣的衍生產品所附帶的風險 Risks of Exchange Traded Derivative Products

##### 衍生產品的一些相關風險 Some Risks Associated with Derivative Products

##### 1. 發行商失責風險 Issuer default risk

倘若衍生產品發行商破產而未能履行其對所發行證券的責任，投資者只被視為無抵押債權人，對發行商任何資產均無優先索償權。因此，投資者須特別留意衍生產品發行商的財力及信用。

In the event that a derivative product issuer becomes insolvent and defaults on their listed securities, investors will be considered as unsecured creditors and will have no preferential claims to any assets held by the issuer. Investors should therefore pay close attention to the financial strength and credit worthiness of derivative product issuers.

##### 2. 非抵押產品風險 Uncollateralized product risk

非抵押衍生產品並沒有資產擔保。倘若發行商破產，投資者可以損失其全數投資。要確定產品是否非抵押，投資者須細閱上市文件。

Uncollateralized derivative products are not asset backed. In the event of issuer bankruptcy, investors can lose their entire investment. Investors should read the listing documents to determine if a product is uncollateralized.

##### 3. 槓桿風險 Gearing risk

衍生產品如衍生權證及牛熊證均是槓桿產品，其價值可按相對相關資產的槓桿比率而快速改變。投資者須留意，衍生產品的價值可以跌至零，屆時當初投資的資金將會盡失。

Derivative products such as derivative warrants and callable bull/bear contracts (CBBCs) are leveraged and can change in value rapidly according to the gearing ratio relative to the underlying assets. Investors should be aware that the value of a derivative product may fall to zero resulting in a total loss of the initial investment.

**4. 有效期的考慮 Expiry considerations**

衍生產品設有到期日，到期後的產品即一文不值。投資者須留意產品的到期時間，確保所選產品尚餘的有效期能配合其交易策略。

Derivative products have an expiry date after which the issue may become worthless. Investors should be aware of the expiry time horizon and choose a product with an appropriate lifespan for their trading strategy.

**5. 特殊價格移動 Extraordinary price movements**

衍生產品的價格或會因為外來因素(如市場供求)而有別於其理論價，因此實際成交價可以高過亦可以低過理論價。

The price of a derivative product may not match its theoretical price due to outside influences such as market supply and demand factors. As a result, actual traded prices can be higher or lower than the theoretical price.

**6. 外匯風險 Foreign exchange risk**

若投資者所買賣衍生產品的相關資產並非以港幣為單位，其尚要面對外匯風險。貨幣兌換率的波動可對相關資產的價值造成負面影響，連帶影響衍生產品的價格。

Investors trading derivative products with underlying assets not denominated in Hong Kong dollars are also exposed to exchange rate risk. Currency rate fluctuations can adversely affect the underlying asset value, also affecting the derivative product price.

**7. 流通量風險 Liquidity risk**

聯交所規定所有衍生產品發行商要為每一隻個別產品委任一名流通量提供者。流通量提供者的職責在為產品提供兩邊開盤方便買賣。若有流通量提供者失責或停止履行職責，有關產品的投資者或就不能進行買賣，直至有新的流通量提供者委任出來止。

The Exchange requires all derivative product issuers to appoint a liquidity provider for each individual issue. The role of liquidity providers is to provide two-way quotes to facilitate trading of their products. In the event that a liquidity provider defaults or ceases to fulfill its role, investors may not be able to buy or sell the product until a new liquidity provider has been assigned.

**8. 市場風險 Market Risk**

衍生產品或需承受產品所跟蹤的單一或一籃子的股票、某股票指數、貨幣、商品或期貨合約的相關行業或市場內出現的經濟、政治、貨幣、法律及其他風險。

Derivative Products may also be exposed to the economic, political, currency, legal and other risks of a specific sector or market related to the single stock, basket of stocks, index, currency, commodity or futures contract that it is tracking.

**買賣衍生權證的一些額外風險 Some Additional Risks Involved in Trading Derivative Warrants****1. 時間損耗風險 Time decay risk**

假若其他情況不變，衍生權證愈接近到期日，價值會愈低，因此不能視為長線投資。

All things being equal, the value of a derivative warrant will decay over time as it approaches its expiry date. Derivative warrants should therefore not be viewed as long term investments.

**2. 波幅風險 Volatility risk**

衍生權證的價格可隨相關資產價格的引申波幅而升跌，投資者須注意相關資產的波幅。

Prices of derivative warrants can increase or decrease in line with the implied volatility of underlying asset price. Investors should be aware of the underlying asset volatility.

**買賣牛熊證的一些額外風險 Some Additional Risks Involved in Trading CBBCs****1. 強制收回風險 Mandatory call risk**

投資者買賣牛熊證，須留意牛熊證可以即日「取消」或強制收回的特色。若牛熊證的相關資產值等同上市文件所述的強制收回價/水平，牛熊證即停止買賣。屆時，投資者只能收回已停止買賣的牛熊證由產品發行商按上市文件所述計算出來的剩餘價值(注意：剩餘價值可以是零)。

Investors trading CBBCs should be aware of their intraday "knockout" or mandatory call feature. A CBBC will cease trading when the underlying asset value equals the mandatory call price/level as stated in the listing documents. Investors will only be entitled to the residual value of the terminated CBBC as calculated by the product issuer in accordance with the listing documents. Investors should also note that the residual value can be zero.

**2. 融資成本 Funding costs**

牛熊證的發行價已包括融資成本。融資成本會隨牛熊證接近到期日而逐漸減少。牛熊證的年期愈長，總融資成本愈高。若牛熊證被收回，投資者即損失牛熊證整個有效期的融資成本。融資成本的計算程式載於牛熊證的上市文件。

The issue price of a CBBC includes funding costs. Funding costs are gradually reduced over time as the CBBC moves towards expiry. The longer duration of the CBBC, the higher the total funding costs. In the event that a CBBC is called, investors will lose the funding costs for the entire lifespan of the CBBC. The formula for calculating the funding costs are stated in the listing documents.

**交易所買賣基金的一些額外風險 Some Additional Risks Involved in Trading ETFs****1. 追蹤誤差 Tracking errors**

這是指交易所買賣基金的表現與相關指數/資產的表現脫節，原因可以來自交易所買賣基金的交易費及其他費用、相關指數/資產改變組合、交易所買賣基金經理的複製策略等等因素。

Tracking errors refer to the disparity in performance between an ETF and its underlying index/assets. Tracking errors can arise due to factors such as the impact of transaction fees and expenses incurred to the ETF, changes in composition of the underlying index/assets, and the ETF manager's replication strategy.

## 2. 以折讓或溢價交易 Trading at discount or premium

交易所買賣基金的價格可能會高於或低於其資產淨值，當中主要是供求因素的問題，在市場大幅波動兼變化不定期間尤其多見，專門追蹤一些對直接投資設限的市場/行業的交易所買賣基金亦可能有情況。

An ETF may be traded at a discount or premium to its Net Asset Value (NAV). This price discrepancy is caused by supply and demand factors, and may be particularly likely to emerge during periods of high market volatility and uncertainty. This phenomenon may also be observed for ETFs tracking specific markets or sectors that are subject to direct investment restrictions.

## 3. 交易所買賣基金的不同複製策略涉及對手風險 Counterparty risk involved in ETFs with different replication strategies

### (a) 完全複製及選具代表性樣本策略 Full replication and representative sampling strategies

採用完全複製策略的交易所買賣基金，通常是按基準的相同比重投資於所有的成份股/資產。採取選具代表性樣本策略的，則只投資於其中部分(而不是全部)的相關成份股/資產。直接投資相關資產而不經第三者所發行合成複製工具的交易所買賣基金，其交易對手風險通常不是太大問題。

An ETF using a full replication strategy generally aims to invest in all constituent stocks/assets in the same weightings as its benchmark. ETFs adopting a representative sampling strategy will invest in some, but not all of the relevant constituent stocks/assets. For ETFs that invest directly in the underlying assets rather than through synthetic instruments issued by third parties, counterparty risk tends to be less of concern.

### (b) 綜合複製策略 Synthetic replication strategies

採用綜合複製策略的交易所買賣基金，主要透過掉期或其他衍生工具去追蹤基準的表現。現時，採取綜合複製策略的交易所買賣基金可再分為兩種：

ETFs utilizing a synthetic replication strategy use swaps or other derivative instruments to gain exposure to a benchmark. Currently, synthetic replication ETFs can be further categorized into two forms:

#### i. 以掉期合約構成 Swap-based ETFs

總回報掉期讓交易所買賣基金經理可以複製基金基準的表現而不用購買其相關資產。以掉期合約構成的交易所買賣基金需承受源自掉期交易商的交易對手風險。若掉期交易商失責或不能履行其合約承諾，基金或要蒙受損失。

Total return swaps allow ETF managers to replicate the benchmark performance of ETFs without purchasing the underlying assets. Swap-based ETFs are exposed to counterparty risk of the swap dealers and may suffer losses if such dealers default or fail to honor their contractual commitments.

#### ii. 以衍生工具構成 Derivative embedded ETFs

交易所買賣基金經理也可以用其他衍生工具，綜合複製相關基準的經濟利益。有關衍生工具可由一個或多個發行商發行。以衍生工具構成的交易所買賣基金需承受源自發行商的交易對手風險。若發行商失責或不能履行其合約承諾，基金或要蒙受損失。

ETF managers may also use other derivative instruments to synthetically replicate the economic benefit of the relevant benchmark. The derivative instruments may be issued by one or multiple issuers. Derivative embedded ETFs are subject to counterparty risk of the derivative instruments' issuers and may suffer losses if such issuers default or fail to honour their contractual commitments.

交易所買賣基金即使取得抵押品，也需依靠抵押品提供者履行責任。此外，申索抵押品的權利一旦行使，抵押品的市值可以遠低於當初所得之數，令交易所買賣基金損失嚴重。

Even where collateral is obtained by an ETF, it is subject to the collateral provider fulfilling its obligations. There is a further risk that when the right against the collateral is exercised, the market value of the collateral could be substantially less than the amount secured resulting in significant loss to the ETF.

## 風險披露聲明人民幣產品 Risk Disclosure Statement Renminbi Products

投資人民幣產品時，投資者須考慮以下風險因素：

Investors shall consider the following Risk Factors when investing in renminbi products:

### 貨幣風險 Currency Risk

假如你將贖回或出售產品所得的人民幣轉換成其他貨幣，你須承受人民幣貶值的風險，因為人民幣是受到轉換限制及外匯管制的貨幣。

An investor is subject to the risk of renminbi depreciation if he/she intends to convert any renminbi-denominated redemption / sale proceeds into another currency, as renminbi is a restricted currency and subject to exchange controls.

### 貨幣換算 Currency Conversion

每當需要貨幣換算時，德林證券將全權決定有關貨幣之間的通行市場匯率。每當需將投資產品平倉或以其他方式拋售時，德林證券有限公司將以有關帳戶的貨幣單位扣除或記入德林證券全權決定之有關的通行市場匯率換算的款項。有關貨幣之間匯率波動所產生的風險、費用及匯兌盈虧，將全由客戶承擔。

In any event that currency conversion is required, DL Securities shall determine a rate of exchange to be the prevailing market rate of exchange between the relevant currencies. For any transactions closed out or otherwise liquidated,

DL Securities shall debit or credit the relevant accounts in the currency in which the relevant accounts are denominated at a rate of exchange determined by DL Securities to be the prevailing market rate of exchange between the relevant currencies. Any risks, costs, profits and/or losses arising as a result of fluctuations in the exchange rates between the relevant currencies shall be entirely binding on the Client.

### 流通風險 Liquidity Risk

由於人民幣產品是一項新產品，因此可能沒有一般的交易活動或活躍的二手市場。因此，你或不能即時出售有關產品，又或可能要以極低價出售。此外，你亦應了解該產品是否設有最短投資期，以及提早贖回或終止的罰款或收費。

Renminbi products are subject to liquidity risk as renminbi products are a new type of product and there may not be regular trading or an active secondary market. Therefore, you may not be able to sell your investment in the product on a timely basis, or you may have to sell the product at a deep discount to its value. In addition, you shall also find out whether the renminbi product is subject to any lock-up period or heavy penalty or charges for early surrender or termination of the product.

### 投資風險／市場風險 Investment/Market Risk

跟所有投資一樣，人民幣產品須面對投資風險，並且可能不保本。即產品內的投資或相關資產的價格可升可跌，而導致產品可能賺取收益或招致損失。

Like any investments, renminbi products are subject to investment risk and may not be principal protected i.e. the assets that the products invest in or referenced to may fall as well as rise, resulting in gains or losses to the product.

**發行人／交易對手信貸風險 Issuer / Counterparty Credit Risk**

人民幣產品須面對發行人的信貸風險及無力償債風險。你應該仔細考慮發行人的信用程度，再作出投資決定。由於人民幣產品亦可能投資於衍生工具，你亦須承受衍生工具發行人違約的風險。這些風險可能對產品的回報有負面影響，更可能構成重大損失。

Renminbi products are subject to the credit and insolvency risks of their issuers. You shall consider carefully the creditworthiness of the issuers before investing. Furthermore, as a renminbi product may invest in derivative instruments, counterparty risk may also arise as the default by the derivative issuers may adversely affect the performance of the renminbi products and result in substantial losses.

視乎該人民幣產品的性質及投資目標，你可能須承受其他風險。作出投資決定前，切記細讀銷售文件內的風險因素，如有需要，應諮詢獨立專業意見。

Depending on the nature of the renminbi product and its investment objective, there may be other risk factors specific to the product which you shall consider. Before making an investment decision, always read the risk factors as set out in the offering documents and seek independent professional advice where necessary.

**其他買賣風險 Additional Trading Risks****存放的現金及財產 Deposited cash and property**

如果你為在本地或海外進行的交易存放款項或其他財產，你應瞭解清楚該等款項或財產會獲得哪些保障，特別是在有關商號破產或無力償債時的保障。至於能追討多少款項或財產一事，可能須受限於具體法例規定或當地的規則。在某些司法管轄區，收回的款項或財產如有不足之數，則可認定屬於你的財產將會如現金般按比例分配予你。

You should familiarize yourself with the protections given to money or other property you deposit for domestic and foreign transactions, particularly in the event of a firm insolvency or bankruptcy. The extent to which you may recover your money or property may be governed by specific legislation or local rules. In some jurisdictions, property which had been specifically identifiable as your own will be pro-rated in the same manner as cash for purposes of distribution in the event of a shortfall.

**佣金及其他收費 Commission and other charges**

在開始交易之前，你先要清楚瞭解你必須繳付的所有佣金、費用或其他收費。這些費用將直接影響你可獲得的淨利潤(如有)或增加你的虧損。

Before you begin to trade, you should obtain a clear explanation of all commission, fees and other charges for which you may be liable. These charges will affect your net profit (if any) or increase your loss.

**買賣外國證券的風險 Risk of Trading Of Foreign Securities**

閣下必須先了解外國證券買賣的性質以及將面臨的風險，然後方可進行外國證券的買賣。特別是，外國證券的買賣並不受聯交所所管轄，並且不會受到投資者賠償基金所保障。閣下應根據本身的投資經驗、風險承受能力以及其他相關條件，小心衡量自己是否適合參與該等買賣及徵求獨立專業意見(如有疑問)。

You should only undertake trading of foreign securities if you understand the nature of foreign securities trading and the extent of your exposure to risks. In particular, foreign securities trading is not regulated by the SEHK and will not be covered by the Investor Compensation Fund. You should carefully consider whether such trading is appropriate for you in light of your experience, risk profile and other relevant circumstances and seek independent professional advice if you are in doubt.

**在其他司法管轄區進行交易 Transactions in other jurisdictions**

在其他司法管轄區的市場(包括與本地市場有正式連繫的市場)進行交易，或會涉及額外的風險。根據這些市場的規例，投資者享有的保障程度可能有所不同，甚或有所下降。在進行交易前，你應先行查明在那些司法管轄區有關你將進行的該項交易的所有規則。你本身所在地的監管機構，對於你已執行的交易所在地的所屬司法管轄區的監管機構或市場，將不能迫使它們執行有關的規則。有鑑於此，在進行交易之前，你應先查詢你本身地區所屬的司法管轄區及其他有關司法管轄區可提供哪種補救措施的詳情。

Transactions on markets in other jurisdictions, including markets formally linked to a domestic market, may expose you to additional risk. Such markets may be subject to regulations which may offer different or diminished investor protection. Before you trade, you should enquire about any rules relevant to your particular transactions in those jurisdictions. Your local regulatory authority will be unable to compel the enforcement of the rules of regulatory authorities or markets in other jurisdictions where your transactions have been affected. You should ask for details about the types of redress available in both your home jurisdiction and other relevant jurisdictions before you start to trade.

**貨幣風險 Currency risks**

以外幣計算的資產買賣所帶來的利潤或招致的虧損(不論交易是否在你本身所在的司法管轄區或其他地區進行)，均會在需要將資產的貨幣單位兌換成另一種貨幣時受到匯率波動的影響。

The profit or loss in transactions in foreign currency-denominated assets (whether they are traded in your own or another jurisdiction) will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the assets to another currency.

**交易設施 Trading Facilities**

電子交易的設施是以電腦組成系統來進行交易指示傳遞、執行、配對、登記或交易結算。然而，所有設施及系統均有可能會暫時中斷或失靈，而閣下就此所能獲得的賠償或會受制於系統供應商、市場、結算公司及／或交易所參與商號就其所承擔的責任所施加的限制。由於這些責任限制可以各有不同，閣下應向為閣下進行交易的商號查詢這方面的詳情。

Electronic trading facilities are supported by computer-based component systems for the order-routing, execution, matching, registration or clearing of trades. As with all facilities and systems, they are vulnerable to temporary disruption or failure. Your ability to recover certain losses may be subject to limits on liability imposed by the system provider, the market, the clearing house and/or Exchange Participant firms. Such limits may vary: you should ask the firm with which you deal for details in this respect.

**在聯交所買賣納斯達克—美國證券交易所證券的風險 Risk of Trading NASDAQ-AMEX Securities on the SEHK**

按照納斯達克—美國證券交易所試驗計劃(「試驗計劃」)掛牌買賣的證券是為熟悉投資技巧的投資者而設的。你在買賣該項試驗計劃的證券之前，應先諮詢經紀的意見和熟悉該項試驗計劃。你應知悉，按照該項試驗計劃掛牌買賣的證券並非以聯交所的主板或創業板作第一或第二上市的證券類別加以監管。

The securities under the Nasdaq-Amex Pilot Program ("PP") are aimed at sophisticated investors. You should consult the Broker and become familiarized with the PP before trading in the PP securities. You should be aware that the PP securities are not regulated as a primary or secondary listing on the Main Board or GEM of the SEHK.

**電子交易 Electronic trading**

透過一個電子交易系統進行買賣可能會與透過其他電子交易系統進行買賣有所不同。如你透過某個電子交易系統進行買賣，你須承受該系統帶來的風險，包括有關硬件或軟件可能會失靈的風險。系統失靈可能會導致持牌人或註冊人的買賣盤不能根據指示執行，或完全不獲執行。

Trading on an electronic trading system may differ from trading on other electronic trading systems. If you undertake transactions on an electronic trading system, you will be exposed to risks associated with the system including the failure of hardware and software. The result of any system failure may be that your order is either not executed according to your instructions or is not executed at all.

你確認並承擔因網路擠塞或其他原因而引致通過互聯網傳送的訊息有所延誤的風險。持牌人或註冊人不會就有關延誤所構成的後果(包括但不限於延誤向交易地點發出指示或命令，或因任何通訊設施故障而延遲向你發出執行報告，或其他不能合理地由持牌人或註冊人控制的延誤)負責。 You acknowledge and bear the risk that messages sending over the internet may be delayed due to internet traffic jam or other reasons. The licensed or registered person shall not be responsible for any consequences of these delays, including without limitation delays in the transmission of instructions/orders to the place of execution or the transmission of reports of execution to you due to any failure of communication facilities, or any other delays beyond the reasonable control of the licensed or registered person.

互聯網上的通訊可能暫時中斷、傳遞終止或截取，或因互聯網的公眾背景或其他持牌人或註冊人不能控制的理由引致資料傳送有失誤。透過互聯網發出的訊息無法保證完全安全。你應注意，任何經持牌人或註冊人系統發出或接收的訊息/指示均可能出現被延誤、遺失、轉換、更改、訛用或被病毒感染的風險，你須為有關風險負責。持牌人或註冊人不會就有關的損失及損害負上責任。

Communications over the internet may be subject to transmission blackout, interruption, interception, or incorrect data transmission due to the public nature of the internet or other reasons that are beyond the licensed or registered person's control. Messages sent over the internet cannot be guaranteed to be completely secure. You shall be aware of and bear the risk of any delay, loss, diversion, alteration, corruption or virus infection of any messages/instructions either sent to or received from the licensed or registered person's systems. The licensed or registered person shall not be responsible for any losses or damages incurred or suffered as a result thereof.

**客戶聲明 DECLARATIONS BY CLIENT**

本公司謹此承諾並確認：

We hereby acknowledge and confirm that:

1. 本開戶資料表格的資料均屬真實、準確及完整，除非德林證券(香港)有限公司(「德林證券」)收到我們的書面另行通知，德林證券將有權依據這些資料及陳述，作任何用途或目的。客戶授權德林證券可在任何時間聯絡任何人，包括客戶的銀行、經紀或任何信貸機構，藉以確定及查證本開戶資料表格內的資料；  
The information contained in this Account Opening Information Form is true, accurate and complete. DL SECURITIES (HK) LIMITED (“DL Securities”) is entitled to rely fully on such information and representations for all purposes, unless DL Securities receives written notice from us stating otherwise. DL Securities is authorized at any time to contact anyone, including the Client’s banks, brokers or any credit agency, for the purpose of verifying the information provided on this Account Opening Information Form;
2. 本公司已收到、閱讀及明白證券交易帳戶協議內之條款(包括其附表、附錄及附件(如有)) (「協議」)，而本公司接納並同意受該等條款束；  
We have received, read and understood the Terms and Conditions contained therein the Agreement for Securities Trading Account (and the schedules, appendices and annexes thereto, if any) (the “Agreement”), and we accept and agree to be bound by them;
3. 本公司已獲提供以本人/吾等選擇語言(英文或中文)所撰寫的風險披露聲明；  
the risk disclosure statements were provided to us in a language of my/our choice (English or Chinese);
4. 本公司已獲邀請參閱風險披露聲明，並提出問題及諮詢獨立意見(如有此意願)；  
We were invited to read the risk disclosure statements, and to ask questions and take independent advice if we so wished;
5. 本公司謹此聲明其並非《海外帳戶稅收合規法案》下所定義的美國人士，而且此帳戶下之相關的收入依《海外帳戶稅收合規法案》毋須扣繳稅款。本公司的美國居民/公民自我證明的狀況資料如有變更，本公司須於三十日內主動通知德林證券，否則本公司同意該資料會被當作續期。本公司亦同意悉數對德林證券因本公司違規或遺漏而蒙受的任何索償、損害、損失、費用及開支作出彌償並保證其利益不受損害。  
We hereby declare that we are not a United States resident for Foreign Account Tax Compliance Act (FATCA) purposes, and the income to which the said Account(s) related is not subjected to tax under FATCA. We undertake to notify DL Securities within 30 days for any change of circumstances stated in the SELF-CERTIFICATION OF U.S. RESIDENT / CITIZEN, without which we agree that the information stated in the SELF-CERTIFICATION OF U.S. RESIDENT / CITIZEN will be deemed renewed. We shall fully indemnify and hold harmless DL Securities from and against all claims, damages, losses, costs and expenses whatsoever incurred as a result of such non-compliance or omission;
6. 本公司承諾若本公司的共同匯報標準自我證明的狀況資料如有變更，會於三十日內主動通知德林證券。本公司亦同意悉數對德林證券因本公司違規或遺漏而蒙受的任何索償、損害、損失、費用及開支作出彌償並保證其利益不受損害。  
We agree to inform DL Securities within 30 days upon any changes in the information of the Self-Certification of Common Reporting Standard status supplied to DL Securities. We shall fully indemnify and hold harmless DL Securities from and against all claims, damages, losses, costs and expenses whatsoever incurred as a result of such non-compliance or omission;
7. 德林證券須本公司提供自我證明或其他文件以揭示本公司納稅所在地，以作自動交換財務帳戶資料用途。如本公司因任何情況而影響本人/吾等的納稅所在地，或令德林證券有理由相信本公司之自我證明有不正確或不可靠時，德林證券保留權利可要求本公司遞交新的自我證明及/或額外文件。作為德林證券的帳戶持有人，本公司承諾及同意向德林證券提供進一步的資料。德林證券為遵守香港《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文及/或指引，可能導致收集、儲存、使用及處理本公司的資料。本人/吾等的資料亦可向香港特別行政區政府稅務局披露，從而把資料轉交到本公司的居留司法管轄區的稅務當局。如果本公司未能提供任何所要求的資料，德林證券保留採取任何補救措施的權利，包括(但不限於)限制及終止帳戶的運作；  
DL Securities will request a self-certification and/or other relevant documentation in order to establish our tax residence for automatic exchange of financial account information purposes. If there is any change in circumstances that would affect my/our tax residence or there is reason for DL Securities to know that the self-certification is incorrect or unreliable, DL Securities reserves the right to request and I/we have the obligation to provide a new self-certification and/or additional documentation. As account holder(s) of DL Securities, I/we shall be deemed to acknowledge that further information may need to be provided to DL Securities.  
  
DL Securities’ compliance with the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112) and/or guidance may result in gathering, storing, using, and processing my/our information. My/Our information may also be disclosed to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region, which is further exchanged with tax authorities of another jurisdiction or jurisdictions in which I/we may be resident for tax purposes. Where I/we fail to provide any requested information (regardless of the consequences), DL Securities reserves the right to take any action and/or pursue all remedies at its disposal including, without limitation to restrict or terminate the operation of the account;
8. 本公司明白根據《稅務條例》第 80 (2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級 (即\$10,000) 罰款。  
We understand that 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).
9. 本公司已參閱德林證券給予客戶有關《個人資料(私隱)條例》的通知和《風險披露聲明》及《投資者識別碼聲明》(載於證券交易帳戶協議內)，並明白且同意其條款。  
We have read DL Securities’ Notice to Customers on the Personal Data (Privacy) Ordinance, Risk Disclosure Statement, and Investor Identification Regime (HKIDR) (as contained in the Agreement for Securities Trading Account), understand and agree to such terms.

客戶簽署並蓋章 (並作為簽署式樣)  
Client Authorized Signature(s) with Company Chop  
(also as Specimen Signature)

客戶簽署代表人的姓名及職銜  
Authorized Signatory’s name and title(s)

日期(日/月/年)  
Date (DD/MM/YYYY)

註：請參閱本開戶表格末頁之開立帳戶所需文件核對表

Note: Please refer to the document checklist in the last page of this Form for account opening accordingly.

**常設授權書 (適用於證券保證金帳戶) STANDING AUTHORITY (APPLICABLE TO SECURITIES MARGIN ACCOUNT ONLY)**

根據《證券及期貨(客戶證券)規則》所設立的常設授權

**Authority under Securities and Futures (Client Securities) Rules**

本授權書是有關處置本公司之證券或證券抵押品，詳列如下：

This letter of authority is in respect of the treatment of my/our securities or securities collateral as set out below.

除非另有說明，本授權書之名稱與證券及期貨條例及證券及期貨(客戶證券)規則不時修訂之定義具有相同意思。

Unless otherwise defined, the definitions used in this letter of authority shall have the same meaning as in the Securities and Futures Ordinance and the Securities and Futures (Client Securities) Rules as amended from time to time.

本授權書授權德林證券(香港)有限公司(「德林證券」)：

This letter of authority authorizes DL Securities (HK) Limited ("DL Securities") to:

1. 依據證券借貸協議運用任何本公司的證券或證券抵押品；  
Make use of any of our securities or securities collateral pursuant to securities borrowing and lending agreement;
2. 將任何本公司的證券抵押品存放於認可財務機構，作為該機構向德林證券提供財務通融之抵押品；  
deposit any of our securities collateral with an authorized financial institution as collateral for financial accommodation provided to DL Securities;
3. 將任何本公司的證券抵押品存於香港中央結算有限公司(「中央結算」)，作為解除德林證券在交收上的義務和清償德林證券在交收上的法律責任的抵押品。本公司明白中央結算因應德林證券的責任和義務而對本公司的證券設定第一固定押記；  
deposit any of our securities collateral with Hong Kong Securities Clearing Company Limited ("HKSCC") as collateral for the discharge and satisfaction of DL Securities' settlement obligations and liabilities. We understand that HKSCC will have a first fixed charge over our securities to the extent of DL Securities' settlement obligations and liabilities;
4. 將任何本公司的證券抵押品存於任何其他認可結算所或任何其他獲發牌或獲註冊進行證券交易的中介人，作為解除德林證券在交收上的責任和義務和清償德林證券在交收上的法律責任的抵押品；及  
deposit any of our securities collateral with any other recognized clearing house, or another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of DL Securities' settlement obligations and liabilities; and
5. 如德林證券在進行證券交易及德林證券獲發牌或獲註冊進行的任何其他受規管活動的過程中向本公司提供財務通融，即可按照上述第(1)、第(2)、第(3)及/或第(4)段所述運用或存放任何本公司的證券抵押品。  
apply or deposit any of our securities collateral in accordance with paragraphs (1), (2), (3) and/or (4) above if DL Securities provide financial accommodation to us in the course of dealing in securities and also provide financial accommodation to me/us in the course of any other regulated activity for which DL Securities is licensed or registered.

德林證券可不向本公司發出事前通知而採取上述行動。本公司確認本授權書不影響德林證券為解除由本公司或代本公司等對德林證券、德林證券之有聯繫實體或第三者所負的法律責任，而處置或促使德林證券之有聯繫實體處置本公司之證券或證券抵押品的權利。

DL Securities may do any of these abovementioned actions without giving me/us prior notice. We acknowledge that this letter of authority shall not affect DL Securities right to dispose or initiate a disposal by DL Securities' associated entity of our securities or securities collateral in settlement of any liability owed by or on behalf of us to DL Securities, the associated entity or a third party.

此賦予德林證券之授權書乃鑑於德林證券同意繼續維持本公司之證券保證金帳戶。本公司明白本公司的證券可能受制於第三者之權利，德林證券須全數抵償該等權利後，方可將本公司的證券退回本公司。

This letter of authority is given to DL Securities in consideration of DL Securities agreeing to continue to maintain the securities margin account(s) for us. We understand that a third party may have rights to our securities, which DL Securities must satisfy before our securities can be returned to us.

本公司同意就德林證券，因執行上述授權而可能產生、蒙受及／或承受一切虧損、損失、利息、費用、開支、法律訴訟、付款要求索償等向德林證券作出賠償，並保障德林證券免受損害。本授權被撤銷後仍繼續生效。

We agree to indemnify, and to keep indemnified, DL Securities from and against all losses, damages, interests, costs, expenses, actions, demands, claims or proceedings of whatsoever nature which they (or any of them) may incur, suffer and/or sustain as a consequence of any transaction undertaken in pursuance of this Authority. This indemnity shall survive the revocation of this Authority.

本授權書的有效期限為十二個月，自本授權書之日起計有效。

This Standing Authority is valid for a period of 12 months from the date of this letter.

本公司可以向德林證券客戶服務部發出書面通知，撤回本授權書。該等通知之生效日期為德林證券真正收到該等通知後之14日起計。

This Standing Authority may be revoked by giving DL Securities written notice addressed to DL Securities' Customer Service Department. Such notice shall take effect upon the expiry of 14 days from the date of DL Securities' actual receipt of such notice.

本公司明白德林證券若在本授權書的有效期限屆滿前14日之前，向本公司發出書面通知，提醒本公司本授權書即將屆滿，而本公司沒有在此授權屆滿前反對此授權續期，本授權書應當作在不需要本公司的書面同意下按持續的基準已被續期。

I/We understand that this letter of authority may be deemed to be renewed on a continuing basis without our written consent if DL Securities issues us a written reminder at least 14 days prior to the expiry date of this authority, and we do not object to such deemed renewal before such expiry date.

倘若本授權書的中文本與英文本在解釋或意義方面有任何歧義，本公司同意應以英文本為準。

In the event of any difference in interpretation or meaning between the Chinese and English version of this letter of authority, we agree that the English version shall prevail.

本公司就本授權書的內容已獲得解釋，並且本公司明白及同意本授權書的內容。

This letter of authority has been explained to me/us and we understand and agree with the contents of this letter of authority.



客戶簽署並蓋章 (並作為簽署式樣)  
Client Authorized Signature(s) with Company Chop  
(also as Specimen Signature)

客戶簽署代表人的姓名及職銜  
Authorized Signatory's name and title(s)

日期(日/月/年)  
Date (DD/MM/YYYY)

**核證 CERTIFICATION**

(如本表格並非在德林證券職員面前簽署，須填寫此欄)  
(must be completed where this Form is not signed before a staff member of DL Securities)

由香港證監會發牌或註冊之人士或其聯繫人士、德林證券的聯繫人士，專業人士（例如銀行分行經理、執業會計師、律師或公證人）核證。  
To be certified by a person licensed or registered with Hong Kong SFC or his affiliate, an affiliate of DL Securities, professional person  
(such as a branch manager of a bank, certified public accountant, lawyer or notary public).

本人(姓名見下)核證已經與本表格簽署人會晤及核對其身份證或護照正本，他(們)並在本人面前簽署本表格。  
I, named below, certify that I have met and identified each of the person(s) who executed this Form before me, and reviewed the original of his/their ID card(s) or passport(s).

簽署 Signature: \_\_\_\_\_

姓名 Name: \_\_\_\_\_

職業 Profession: \_\_\_\_\_

日期 Date: \_\_\_\_\_

**德林證券(香港)有限公司職員聲明 DECLARATION BY DL SECURITIES (HK) LIMITED STAFF**

本人(姓名見下)，為德林證券之職員，謹此聲明，本人：

已向客戶提供以客戶選擇語言(英文或中文)所撰寫的風險披露聲明（載於協議內）；及已邀請客戶參閱風險披露聲明，並按客戶的意願提出問題及諮詢獨立意見。

I, named below, a staff member of DL Securities, hereby declare that I have:

- (i) provided to the above-named Client the risk disclosure statements (as contained in the Agreement) in a language of the Client's choice (English or Chinese); and
- (ii) invited the Client to read the risk disclosure statement, ask questions and take independent advice if the Client wishes.

職員簽署 Signature of Staff \_\_\_\_\_

職員姓名 Staff Name: \_\_\_\_\_

職員職銜 Staff Designation: \_\_\_\_\_

職員CE 編號 Staff CE Number: \_\_\_\_\_

日期 Date: \_\_\_\_\_

## 開立帳戶之文件核對表 DOCUMENTATION CHECK LIST FOR ACCOUNT OPENING

**重要事項：**所有提交的文件如非正本，必須經認可人士或德林證券員工認證後，方為有效

**Important note:** All documents submitted must either be an original or a copy certified by a recognized person or staff members of DL Securities

	在香港註冊的公司 Incorporated in Hong Kong	在香港以外註冊的公司 Incorporated outside Hong Kong
1. 董事局決議及授權書 Board Resolutions and Authorization	✓	✓
2. 擔保書 Guarantee	✓	✓
3. 公司股東/董事/獲簽署人/授權人/最終實益擁有人/擔保人的身份證/護照/公司註冊證書核證副本 Certified True Copies of the Identity Card/ Passport / Certificate of Incorporation of shareholders / directors/authorized signatories/authorized persons /ultimate beneficial owners/guarantor of the Company	✓	✓
4. 公司章程 Memorandum and Article of Association	✓	✓
5. 公司註冊證書 Certificate of Incorporation	✓	✓
6. 商業登記證 Business Registration Certificate	✓	
7. 最近週年申報表 Latest Annual Return	✓	
8. 董事名單 Register of Directors		✓
9. 股東名單 Register of Members		✓
10. 存續證明或良好聲譽證明書 Certificate of Incumbency or Certificate of Good Standing		✓
11. 最近經審核財務報表 (如適用) Latest Audited Financial Statements (if applicable)	✓	✓
12. 共同匯報標準的自我認證表格 Common Reporting Standard Self-certification form	✓	✓
13. 銀行戶口證明 (如：銀行結單/銀行卡等) Proof of Bank Account Details (e.g. Bank Statement/Debit Card, etc.)	✓	✓
14. 最近三個月內的通訊地址證明 (如適用) Proof of Correspondence Address which issued within the last 3 months (if applicable)	✓	✓
15. 股東、擔保人及最終實益擁有人最近三個月的住址證明 Proof of residential address for Shareholder(s), Guarantor(s) and Ultimate Beneficial Owner(s) within the last 3 months	✓	✓
16. 公司的擁有權及控制權結構詳情(例如：擁有公司董事就描述中介層而作出聲明的架構圖表) Details of the ownership and structure control of the Company (i.e. organization chart incorporating a declaration from the Company's director describing the intermediate layers of the Company)	✓	✓
17. Certificate of Status of Beneficial Owner for US Tax (W-8 Form)	✓	✓
18. 德林證券合理情況下需要的其他文件或資料 Other document and/or information as DL Securities may reasonably requires	✓	✓

### 在香港註冊的公司 Incorporated in Hong Kong

上述(4)至(7),(11)的文件，須由香港公司註冊處或專業第三者核證(例如：執業律師/會計師)。而(7) & (11)的文件須在最近12個月內簽發。

The aforesaid Documents listed in (4) – (7) & (11) should be certified by the Hong Kong Company Registry or professional third party (e.g. practicing Solicitor / Accountant) and Documents listed in (7) & (11) should have been issued within the last 12 months.

### 在香港以外註冊的公司 Incorporated outside Hong Kong

上述(4),(5) 及(8)至(11)的文件，須由公司註冊地的註冊處或專業第三者核證(例如：執業律師/會計師)。而(10)的文件須在最近 6 個月內簽發。

The aforesaid Documents listed in (4), (5) and (8) – (11) should be certified by a company registry in the place of incorporation or professional third party (e.g. practicing Solicitor / Accountant) and Documents listed in (10) should have been issued within the last 6 months.

註：請參閱本開戶表格末頁之開立帳戶所需文件核對表

Note: Please refer to the document checklist in the last page of this Form for account opening accordingly.

**本公司專用 FOR OFFICE USE ONLY**

Name of Account Executive:				CE No.	
<b>Document Check List</b>					
1. Board Resolutions and Authorization				<input type="checkbox"/> Yes	
2. Guarantee				<input type="checkbox"/> Yes	
3. Certified True Copies of the Identity Card/ Passport / Certificate of Incorporation of shareholders / directors/authorized signatories/authorized persons/ ultimate beneficial owners/guarantor of the Company				<input type="checkbox"/> Yes	
4. Certificate of Incorporation				<input type="checkbox"/> Yes	
5. Memorandum and Article of Association				<input type="checkbox"/> Yes	
6. Business Registration Certificate				<input type="checkbox"/> Yes	
7. Latest Annual Return				<input type="checkbox"/> Yes	
8. Proof of residential address for Shareholder(s), Guarantor(s) and Ultimate Beneficial Owner(s) within the last 3 months				<input type="checkbox"/> Yes	
9. Latest Audited Financial Statements (if applicable)				<input type="checkbox"/> Yes	<input type="checkbox"/> N/A
10. Employer Consent Letter (if applicable)				<input type="checkbox"/> Yes	<input type="checkbox"/> N/A
11. W8/W9 Form (if applicable)				<input type="checkbox"/> Yes	<input type="checkbox"/> N/A
<b>AML Record Checking</b>					
1. Is the Client a PEP?				<input type="checkbox"/> Yes	<input type="checkbox"/> No
2. Is the Client a terrorist suspect?				<input type="checkbox"/> Yes	<input type="checkbox"/> No
3. AML Risk Category				<input type="checkbox"/> Low	<input type="checkbox"/> Medium <input type="checkbox"/> High
<b>AML &amp; KYC Approved by</b>					
Name of Staff		Signature of Staff		Date	
<b>Commission Rate</b>					
Account Type	Commission by Phone		Commission by Internet		
Cash	Brokerage (%)	Min\$	Brokerage (%)	Min\$	
Margin	Brokerage (%)	Min\$	Brokerage (%)	Min\$	
Foreign Stock_____	Brokerage (%)	Min\$	Brokerage (%)	Min\$	
Credit/ Margin Limit					
<b>Document reviewed by</b>					
Name of Staff		Signature of Staff		Date	
<b>Account Opening Approved by</b>					
Name of Staff		Signature of Staff		Date	
Remarks					