



聚富證券有限公司

Riches Depot Securities Co., Limited

開戶表格 – 現金帳戶 (個人/聯名帳戶)

Account Opening Form – Cash Account (Individual/Joint Account)

開戶表格 CLIENT INFORMATION FORM

客戶資料 — 個人 / 聯名戶口 CLIENT INFORMATION – INDIVIDUAL / JOINT ACCONT

申請開戶日期 Application Date _____

客戶主任編號 AE Code No. _____

第一客戶 Primary Client

帳戶名稱(中文) Client Name in Chinese 先生 / 女士 / 太太 / 小姐	帳戶名稱(英文) Client Name in English Mr. / Ms. / Mrs. / Miss
身份證 / 護照號碼 ID No. / Passport No.	國籍 Nationality & 出生日期 Date of Birth (日D/月M/年Y)
居住地址 Residential Address	郵編 Postal Code
通訊地址 Correspondence Address: (如與以上不同 If different with above)	郵編 Postal Code
居住電話 Residential Tel No. ()	手提電話 Mobile Tel No. ()
公司電話 Office Tel No. ()	傳真號碼 Facsimile No. ()
電郵地址 E-mail Address	
所有交易確認通知書、帳戶結單及信件送至 All trading confirmations, statements and correspondences to be sent to	
<input type="checkbox"/> 電郵地址 E-mail Address <input type="checkbox"/> 居住地址 Residential Address <input type="checkbox"/> 通訊地址 Correspondence Address	
職業 Occupation	任職年期 Year(s) with employer
僱主名稱/公司名稱 Name of Employer/Company	業務性質 Nature of Business
僱主地址/公司地址 Address of Employer/Company	郵編 Postal Code

投資經驗及目標 Investment Experience and Objective

投資經驗 Investment Experience			
股票 Securities	<input type="checkbox"/> 有, _____ 年經驗 YES, for _____ year(s)	<input type="checkbox"/> 否 NO	
期貨及期權 Futures & Options	<input type="checkbox"/> 有, _____ 年經驗 YES, for _____ year(s)	<input type="checkbox"/> 否 NO	
外匯及商品 Forex & Commodity	<input type="checkbox"/> 有, _____ 年經驗 YES, for _____ year(s)	<input type="checkbox"/> 否 NO	
沽空經驗 Short Sales Experience	<input type="checkbox"/> 有, _____ 年經驗 YES, for _____ year(s)	<input type="checkbox"/> 否 NO	
其他 Other _____			
投資目的 Investment Objective:			
<input type="checkbox"/> 資本增值 Capital growth	<input type="checkbox"/> 短線 Short-term	<input type="checkbox"/> 中長線 Mid to Long Term	<input type="checkbox"/> 投機 Speculation
<input type="checkbox"/> 對沖 Hedging	<input type="checkbox"/> 股息回報 Interest return	<input type="checkbox"/> 其它 Other 請註明 (please specify) _____	

衍生產品的認識 Knowledge of Derivatives

曾接受有關介紹一般衍生產品之性質及風險的培訓或課程(例如:由學術機構或金融機構所提供之網上課程或教室課程) 有Yes 沒有No
Had undergone training or attended course that provides general knowledge of the nature and risks of derivatives

曾經或現時從事與衍生產品有關之工作 有Yes 沒有No
Had been or is currently engaged in work related to derivatives products

過去三年內已進行多少宗結構性或衍生產品的交易(例如:衍生權證、牛熊證、股票期權、期貨、
商品、結構性產品及交易所買賣基金等)。 五次或以上
Number of transaction of structured or derivative products (e.g. Derivative Warrants, Callable Bull/ Bear Contracts, 五次以下
Stock Options, Futures, Commodities, Structured Products and ETFs, etc.) executed in the past three years. Less than five times

客戶財務資料 Client Financial Information

收入來源 Source of Income	<input type="checkbox"/> 薪金 Salary	<input type="checkbox"/> 佣金 Commission	<input type="checkbox"/> 租金 Rent	<input type="checkbox"/> 利息 Interest	<input type="checkbox"/> 退休金 Pension
	<input type="checkbox"/> 沒有 NO	<input type="checkbox"/> 其他 Other _____			
每年收入港幣 Net Annual Income (HK\$)					
<input type="checkbox"/> Below HK\$200,000以下		<input type="checkbox"/> HK\$200,000 - HK\$500,000		<input type="checkbox"/> HK\$500,000 - HK\$1,000,000	
<input type="checkbox"/> Over HK\$1,000,000以上					
估計個人總資產 Estimated Total Net Asset Worth (HK\$)					
<input type="checkbox"/> Below HK\$100,000以下		<input type="checkbox"/> HK\$100,000 - HK\$5,000,000		<input type="checkbox"/> HK\$5,000,000 - HK\$10,000,000	
<input type="checkbox"/> Over HK\$10,000,000以上					
住所 Residence					
<input type="checkbox"/> 租用物業 Rented <input type="checkbox"/> 自有物業 Self-owned <input type="checkbox"/> 按揭物業 Mortgage <input type="checkbox"/> 公司宿舍 Company Quarters					
<input type="checkbox"/> 與家人同住 Living with Family <input type="checkbox"/> 其它 Other _____					

第二客戶 Secondary Client (只適用於聯名戶口 For Joint Account Only)

帳戶名稱(中文) Client Name in Chinese 先生 / 女士 / 太太 / 小姐	帳戶名稱(英文) Client Name in English Mr. / Ms. / Mrs. / Miss
身份證 / 護照號碼 ID No. / Passport No.	國籍 Nationality & 出生日期 Date of Birth (日D/月M/年Y)
居住地址 Residential Address	郵編 Postal Code
通訊地址 Correspondence Address: (如與以上不同 If different with above)	郵編 Postal Code
居住電話 Residential Tel No. ()	手提電話 Mobile Tel No. ()
公司電話 Office Tel No. ()	傳真號碼 Facsimile No. ()
電郵地址 E-mail Address	
所有交易確認通知書、帳戶結單及信件送至第一客戶指定的地址 All trading confirmations, statements and correspondences to be sent to the address specified by Primary Client	
職業 Occupation	任職年期 Year(s) with employer
僱主名稱/公司名稱 Name of Employer/Company	業務性質 Nature of Business
僱主地址/公司地址 Address of Employer/Company	郵編 Postal Code

投資經驗及目標 Investment Experience and Objective

投資經驗 Investment Experience			
股票 Securities	<input type="checkbox"/> 有, _____ 年經驗	YES, for _____ year(s)	<input type="checkbox"/> 否 NO
期貨及期權 Futures & Options	<input type="checkbox"/> 有, _____ 年經驗	YES, for _____ year(s)	<input type="checkbox"/> 否 NO
外匯及商品 Forex & Commodity	<input type="checkbox"/> 有, _____ 年經驗	YES, for _____ year(s)	<input type="checkbox"/> 否 NO
沽空經驗 Short Sales Experience	<input type="checkbox"/> 有, _____ 年經驗	YES, for _____ year(s)	<input type="checkbox"/> 否 NO
其他 Other	_____		
投資目的 Investment Objective:			
<input type="checkbox"/> 資本增值 Capital growth	<input type="checkbox"/> 短線 Short-term	<input type="checkbox"/> 中長線 Mid to Long Term	<input type="checkbox"/> 投機 Speculation
<input type="checkbox"/> 對沖 Hedging	<input type="checkbox"/> 股息回報 Interest return <input type="checkbox"/> 其它 Other 請註明 (please specify) _____		
衍生產品的認識 Knowledge of Derivatives			
曾接受有關介紹一般衍生產品之性質及風險的培訓或課程(例如:由學術機構或金融機構所提供之網上課程或教室課程)			<input type="checkbox"/> 有Yes <input type="checkbox"/> 沒有No
Had undergone training or attended course that provides general knowledge of the nature and risks of derivatives			
曾經或現時從事與衍生產品有關之工作			<input type="checkbox"/> 有Yes <input type="checkbox"/> 沒有No
Had been or is currently engaged in work related to derivatives products			
過去三年內已進行多少宗結構性或衍生產品的交易(例如:衍生權證、牛熊證、股票期權、期貨、商品、結構性產品及交易所買賣基金等)。			<input type="checkbox"/> 五次或以上
Number of transaction of structured or derivative products (e.g. Derivative Warrants, Callable Bull/ Bear Contracts, Stock Options, Futures, Commodities, Structured Products and ETFs, etc.) executed in the past three years.			Five times or more
			<input type="checkbox"/> 五次以下
			Less than five times

客戶財務資料 Client Financial Information

收入來源 Source of Income	<input type="checkbox"/> 薪金 Salary	<input type="checkbox"/> 佣金 Commission	<input type="checkbox"/> 租金 Rent	<input type="checkbox"/> 利息 Interest	<input type="checkbox"/> 退休金 Pension
	<input type="checkbox"/> 沒有 NO	<input type="checkbox"/> 其他 Other _____			
每年收入港幣 Annual Income (HK\$)					
<input type="checkbox"/> Below HK\$200,000以下	<input type="checkbox"/> HK\$200,000 - HK\$500,000	<input type="checkbox"/> HK\$500,000 - HK\$1,000,000	<input type="checkbox"/> Over HK\$1,000,000以上		
估計個人總資產 Estimated Total Net Asset Worth (HK\$)					
<input type="checkbox"/> Below HK\$100,000以下	<input type="checkbox"/> HK\$100,000 - HK\$5,000,000	<input type="checkbox"/> HK\$5,000,000 - HK\$10,000,000	<input type="checkbox"/> Over HK\$10,000,000以上		
住所 Residence					
<input type="checkbox"/> 租用物業 Rented	<input type="checkbox"/> 自有物業 Self-owned	<input type="checkbox"/> 按揭物業 Mortgage	<input type="checkbox"/> 公司宿舍 Company Quarters		
<input type="checkbox"/> 與家人同住 Living with Family	<input type="checkbox"/> 其它 Other _____				

聯名戶口聲明 Declaration By Joint Account Clients

<p>若帳戶由兩個持有人組成,各持有人現聲明生存者享有聯名戶口之權利。</p> <p>Where the account consists of two individuals, each of the individuals hereby declares that the account is a joint account with right of survivorship</p> <p>吾等任何一人獲授權可操作帳戶,發出交易指示。</p> <p>The account will be traded by any one of us.</p>	
	第一位聯名人士簽署 Primary Applicant Signature 姓名 Name _____ 日期 Date _____
	
	第二位聯名人士簽署 Secondary Applicant Signature 姓名 Name _____ 日期 Date _____

相關披露 Disclosure

你是否香港聯合交易所參與者之僱員或任何根據證券及期貨條例的註冊人士？

Are you an employee of any Participant of The Stock Exchange of Hong Kong or a registered person under the SFC ?

否 NO 是 YES, Participant Name _____ 職位 Position: _____ 中央編號 CE No. _____

你是否與聚富證券有限公司或其關聯公司之董事或職員有關連？

Are you related to director(s) or employee(s) of Riches Depot Securities Co., Limited or any of its related company ?

否 NO 是 YES, 職員名稱 Staff Name _____ 關係 Relationship _____

香港銀行資料 – 供支帳時存款用 (Hong Kong) Bank Reference – For deposit of funds when withdraw from your securities account

1. 銀行名稱及分行 Bank Name and Branch _____ 戶口號碼 Account No. _____

2. 銀行名稱及分行 Bank Name and Branch _____ 戶口號碼 Account No. _____

你是否此帳戶的最終實益擁有人？（你是否為本身而非為第三者運作此帳戶？）

Are you the ultimate beneficial owner(s) in relation to the Account ? (i.e. Are you acting for your own account and not for a third party ?)

是 YES,

否 NO, 帳戶的最終實益擁有人是, the ultimate beneficial owner(s) is/are _____

客戶聲明 Declaration By Client

本開戶表的資料均屬真實及正確。聚富證券有限公司(“聚富”)完全可以依靠這些資料及陳述作適當用途(包括任何收到書面通知的更新客戶資料)。客戶授權聚富可在任何時間聯絡任何人，包括客戶的銀行、經紀等或任何信貸機構，藉以確定及查證本開戶表內的資料。

The information contained in this Account opening Form is true and accurate. Riches Depot Securities Limited (“Riches Depot”) is entitled to rely fully on such information and representations for applicable purposes(including any change hereof in writing as received by Riches Depot). Riches Depot is authorized at any time to contact anyone, including your banks, brokers or any credit agency, for the purpose of verifying the information provided on this Account Opening Form.

本公司，下述簽署客戶，明白使用任何聚富證券有限公司(“聚富”)之服務前，已透過電子郵件或已親身索取客戶綜合協議書並已閱讀及明白聚富最新版本的客戶協議書(“該協議書”)而本文件乃該協議書的一部份。本公司現申請開立上述類別的帳戶，並同意接受可不時被修改的該協議書包括其標準條款及細則及有關的附表所約束。本公司確認已獲提供按本公司選擇的語言(中文/英文)附於本表之風險披露聲明，並提出問題及徵求獨立的意見(如本公司有此意願)。

We, the undersigned Client(s), confirm that prior to usage any of Riches Depot service(s), have been through e-mail or in person obtaining Client Master Agreement of Riches Depot (“Agreement”), have read and understood the provisions of the current version of the Agreement of which this document forms a part. We hereby apply to open the above type of account(s) and agree to be bound by the Agreement including its Standard Terms and Conditions and relevant Schedule(s) as the same may be amended from time to time. We acknowledged and confirm that Riches Depot provided the Risk Disclosure Statements annexed hereto in a language of our choice (Chinese/English) and we have been invited to read the Risk Disclosure Statements, to ask questions and to take independent advice if we wish.

第一客戶簽署 Primary Client Signature

(如屬個人帳戶，帳戶持有人簽署)

(For Individual Account, the Account Holder's Signature)

(如屬聯名帳戶，第一位聯名客戶簽署)

(For Joint Account, the First Named Joint Account Holder's Signature)



姓名 Name

日期 Date

第二客戶簽署 Secondary Client Signature

(如屬聯名帳戶，第二位聯名客戶簽署)

(For Joint Account, the Second Named Joint Account Holder's Signature)



姓名 Name

日期 Date

見證人姓名

Witness Name _____

身份證/護照號碼

ID / Passport No. _____

日期 Date

見證人簽署 Witness Signature _____

職員聲明 Declaration By Staff

我已經按客戶明白的語言(中文/英文)向_____ (客戶姓名) 清楚解釋風險披露聲明書的內容，並已邀請客戶閱讀該風險披露聲明，提出問題及徵求獨立的意見(如客戶有此意願)。

I have fully explained the contents of the risk disclosure statement to _____ (Name of client) in a language (Chinese/English) which the client(s) fully understand(s) and have invited the client(s) to read the Risk Disclosure Statements, to ask questions and to take independent advice if the client(s) wish(es).

持牌代表全簽署名 Signed by Licensed Representative:

持牌代表全名 Full Name of Licensed Representative:

日期 Date

中央編號 CE No.

有關美國《海外帳戶稅收合規法案》

有關美國《海外帳戶稅收合規法案(Foreign Account Tax Compliance Act，簡稱 FATCA)》，香港政府已於 2014 年 5 月 9 日公佈與美國已完成就 FATCA 訂立版本二的《跨政府協議》的具體磋商。香港已被包括在已與美國達成實質上的《跨政府協議》的國家或地區名單上。在協議下，所有註冊金融機構需向美國國稅局(Internal Revenue Service)登記成為《外國金融機構(Foreign Financial Institution，簡稱 FFI)》，並有責任為所有與美國稅務居民相關的帳戶，包括個人、聯名及公司帳戶，向美國國稅局作出申報並代收預扣稅款，以及每年進行更新。

On 9 May 2014, Hong Kong's SAR government issued a press release that Hong Kong and the United States have concluded discussions on a Model 2 inter-governmental agreement (IGA) to assure compliance with the Foreign Account Tax Compliance Act (FATCA) of the United States. Under this agreement, all the registered financial institutions in Hong Kong are required to register as Foreign Financial Institution (FFI) with the US Internal Revenue Service (IRS) and disclose details of their US account holders including individual or joint accounts as well as corporate accounts. These financial institutions will be required to withhold tax for relevant US account-holders and update annually.

FATCA 將於 2014 年 7 月 1 日生效。有關 FATCA 條文內容，請瀏覽網頁 <http://www.irs.gov>；補充資料亦已刊載於香港交易所網站 <http://www.hkex.com.hk>。

FATCA has been in effect since 1 July 2014. For further information of FATCA, please refer to the website <http://www.irs.gov>; supplementary information has also been published on the HKEx website <http://www.hkex.com.hk>.

貴戶是否持有美國護照或於美國居住？

是 不是 ** 如『是』，請填寫以下表格。

W-8BEN 表格 (個人) 及 W-9 表格

Are you holding a US passport or residing in US ?

Yes No *If 『Yes』, please fill in the below Forms.

Form W-8BEN (Individuals) & Form W-9

倘若日後 貴戶的國民身份於開立帳戶後有所變更，成為美國稅務居民，請立刻通知本公司，如有需要，將與 貴戶進行商討及澄清，以履行作為 FFI 的責任。

如對 FATCA 有任何疑問，請與熟識美國稅法條例的專業人士商討。如有刻意瞞報，美國國稅局可向所有瞞報客戶追討客戶資產的 30%，作為懲罰性扣繳稅款，因此，請貴戶正視此法案。

If you change your national identity to a US taxpayer in the future, please inform us immediately. If necessary, we will discuss and clarify with you to fulfill our responsibility as a FFI.

If you are in doubt concerning FATCA, please seek advice from professionals who are familiar with U.S. tax regulations. Anyone who intentionally conceals shall be subject to a punitive 30% withholding tax imposed by US IRS on relevant US-sourced payments. Therefore, please pay attention to these requirements.

個人資料收集聲明

本聲明是根據香港《個人資料（私隱）條例》（「**條例**」）之要求而提供予本公司的個人客戶。本聲明中所提及的術語與現金客戶協議中的術語具有相同的含義。

1. 披露義務

除特別聲明外，客戶必須按開戶表格上的要求，將個人資料提供給 聚富證券有限公司。假如客戶不提供此等資料，本公司將沒有足夠資料來為客戶開設及管理帳戶。

2. 個人資料之使用

2.1 使用者

有關客戶的所有個人資料（不論是由客戶所提供，還是由其他人士所提供；及不論這些資料是在客戶收到現金客戶協議前，還是之後）將可被任何下列之公司或人士使用（各為「**使用者**」）：

- (i) 聚富證券有限公司和/或其任何聯營公司（「**集團**」）；
- (ii) 集團的任何董事、高級職員、僱員或代理人；
- (iii) 執行客戶指示和/或從事集團業務而由集團授權的任何人（例如律師、顧問、代名人、托管人）
- (iv) 集團持有與客戶相關的任何權利和義務的任何實際或建議的承讓人；及
- (v) 任何政府機構、監管機構或其他團體或機構（不論是法例或是任何集團成員適用的規例所要求）。

2.2 目的

客戶的所有個人資料可被任何使用者用於下列目的：

- (i) 執行新的或現有顧客的查核及信用調查程序，以及協助其他金融機構從事此類工作；
- (ii) 持續帳目管理、包括收取欠款，強制執行擔保、抵押或其他權利和利益；
- (iii) 設計提供予客戶之新產品和義務，或向客戶推廣集團的產品；
- (iv) 將此等資料轉移到香港以外的任何地方；
- (v) 為了下列目的而進行客戶個人資料比較（不論收集此等資料的目的及來源，及不論此等資料是向使用者或任何其他人士所收集）：
(A) 信用調查；(B) 資料核實；和或(C) 編製或核實資料，以便採取使用者或任何其他人士認為合適的行動（包括可能與客戶或任何其他人士的權利、義務或權益有關的行動）；
- (vi) 用於與客戶有關的任何其他協議和服務之條款所規定之目的；
- (vii) 有關遵守任何法律、規例、法院判決或其他任何監管機構之判決的任何目的；
- (viii) 任何有關於執行客戶指示或與集團業務或交易有關連的目的。

3. 查閱和修正的權利

根據條例之規定，客戶有權查閱和修正客戶的個人資料。一般來說（除某些豁免外）客戶有以下的權利：

- (i) 詢問聚富證券有限公司是否持有與客戶有關的個人資料；
- (ii) 在合理的時間內，客戶可查閱其個人資料；公司將以合理的方式及清楚易明的格式回覆客戶，但須收取合理的費用。
- (iii) 要求修正客戶的個人資料；及
- (iv) 如客戶要求查閱或修正個人資料被拒絕，客戶有權要求說明被拒絕的理由及反對任何該等拒絕。

4. 聯絡人

如客戶要求查閱和/或修正與客戶有關的個人資料，客戶可向本公司的負責人員遞交其申請。

PERSONAL INFORMATION COLLECTION STATEMENT

This Statement is provided to the Customer as an individual Customer of the Company in accordance with the requirement of the Hong Kong Personal Data (Privacy) Ordinance (the "**Ordinance**"). Terms defined in this statement have the same meaning as in the Cash Client Agreement.

1. Disclosure Obligation

Unless otherwise stated the Customer must supply the personal data requested on the enclosed Account Opening Form to Riches Depot Securities Co., Limited. If the Customer does not supply this data, it will not be possible for the Customer to open and administer the Account.

2. Use of Personal Data

2.1 Users

All personal data concerning the Customer (whether provided by the Customer or any other person, and whether provided before or after the date the Customer receives the Cash Client Agreement containing this information) may be used by any of the following companies or persons (each, a "**Users**"):

- (i) Riches Depot Securities Co., Limited and / or any of its Associates (the "**Group**");
- (ii) any director, officer or employee or agent of the Group;
- (iii) any person (such as lawyers, advisers, nominee, custodian etc.) authorized by the Group when carrying out the Customer's Instructions and / or the business of the Group;
- (iv) any actual or proposed assignee of any rights and obligations of the Group in relation to the Customer; and
- (v) any governmental, regulatory or other bodies or institutions, whether as required by law or regulations applicable to any member of the Group.

2.2 Purposes

All personal data concerning the Customer may be used by any User for the following purposes:

- (i) carrying out new or existing client verification and credit checking procedures and assisting other financial institutions to do so;
- (ii) ongoing Account administration, including the collection of amount due, enforcement of security, change or other rights and interest;
- (iii) designing further products and services or marketing a Group product to the Customer;
- (iv) transfer of such data to any place outside Hong Kong;
- (v) comparison with the Customer's personal (irrespective of the purposes and sources for which such data were collected, and whether collected by a User or any other person) for the purpose of : (A) credit checking; (B) data verification; and (C) otherwise producing or verifying data which may be used for the purpose of taking such action that a User or any other person may consider appropriate (including action that may relate to the rights, obligations or interest of the Customer or any other person.);
- (vi) providing on the terms of any other agreements and services relating to the Customer;
- (vii) any purpose relating to or in connection with compliance with any law, regulation, court order or order of any regulatory body; and
- (viii) any other purpose relating to the execution of the Customer's Instructions or in connection with the business or dealings of the Group.

3. Rights of Access and Correction

The Customer has the right to have access to and correction of the Customer's personal data as set out in the Ordinance. In general, and subject to certain exemptions, the Customer is entitled to :

- (i) enquire whether Riches Depot Securities Co., Limited holds personal data in relation to the Customer;
- (ii) request access to the Customer's personal data within a reasonable time, at a fee which is not excessive, in a reasonable manner and in a form that is intelligible;
- (iii) request the correction of the Customer's personal data; and
- (iv) be given reasons if a request for access or correction is refused, and object to any such refusal.

4. Contact Person

If the Customer wishes to request access to and/ or correction of personal data concerning the Customer, the Customer should address the Customer's request to the Responsible Officer at the Company.

日期: _____

致: 聚富證券有限公司

香港中環皇后大道中39號豐盛創建大廈1301室

關於電話、傳真及電傳指示之授權及賠償事宜

本人/吾等僅此授權(惟你們沒有責任採取有關行動)你們按本人/吾等「付款/轉帳指示」接受任何口頭或書面指示是以電話、傳真傳遞方式或電傳方式，並授權你們按照指示採取行動，將本人/吾等於你們公司帳戶之款項支付予或轉帳至本人/吾等於你們公司已登記之銀行帳戶(為以下定義)。

本人/吾等願意承擔(i) 在完成登記工作前向你們提供本人/吾等銀行帳戶資料之所需文件及資料; (ii) 如日後本人/吾等向你所提供之銀行帳戶資料有所變更，本人/吾等會以書面作出通知。本人/吾等確認本人/吾等為該帳戶持有人並明白你們可在沒有披露原因的情況下拒絕本人/吾等之登記要求。本人/吾等同意你們依照任何聲稱由本人/吾等或本人/吾等授權代表(們)以上述電話、傳真傳遞或電傳方式所作出之口頭或書面指示(合稱「付款/轉帳指示」)而完成之交易，不論是否已獲本人/吾等授權、知悉或同意，對本人/吾等均具約束力。本人/吾等於此承諾會應你們的要求，並按你們認為需要之該種方式及於指定時間內，簽署你們依照上述「付款/轉帳指示」完成任何交易後，而需要完成授權手續之該等文件。

茲因你們同意按照上述授權而行事，本人/吾等承諾於任何時間賠償你們直接或間接因你們、你們的董事、職員或職員會員等接受本人/吾等的「付款/轉帳指示」及按此行事而引起之訴訟、索償、損失、費用及支出。

(客戶簽署)

帳戶名稱:

Date: _____

Riches Depot Securities Co., Limited

Room 1301, Prosperity Tower, 39 Queen's Road Central, Central, Hong Kong

Dear Sirs,

Re: AUTHORIZATION AND INDEMNITY IN RESPECT OF TELEPHONE, FAX & TELEX INSTRUCTIONS

I/We hereby authorize you to accept and act on (but you are not obliged so to do) any instruction, oral or written, whether by telephone, facsimile transmission or telex regarding payment or transfer of funds from any of my/our account(s) with you to my/our bank account(s) ("Bank Accounts") which have been registered and approved by you upon my/our Payment/Transfer Instruction (as defined below).

I/We undertake to (i) provide you with the necessary documentation and information in relation to the Bank Accounts for your verification before the completion of your registration work; and (ii) notify you if there is any subsequent change to the number or account holder(s) or status of the Bank Accounts. I/We confirm that I/we am/are the account holder(s) of the Bank Accounts and understand you are entitled to decline my/our request for registration of any proposed bank accounts without disclosing any reasons. I/We agree that any transaction effected by you on the basis of instructions, oral or written, given or purported to be given by me/us or my/our Authorized Representative(s) by telephone, facsimile transmission or telex as aforesaid (collectively referred to as "Payment/Transfer Instructions") shall be binding upon me/us and you are entitled to treat all such Payment/Transfer Instructions are given by me/us or within my/our authority with no duty to verify the genuineness thereof. I/We understand and agree to accept all the risks relating to the aforesaid authority given to you. I/We hereby undertake to sign upon your request such documents as you may require to complete the authorization of any transaction completed in accordance with the above Payment/Transfer Instructions in such manner and with such time limit as you may in your discretion require.

In consideration of your agreeing to act in accordance with the above authorization, I/We undertake to keep you indemnified at all time against, and to save you harmless from, all actions, proceedings, claims, loss damage, costs and expenses which may be brought against you or suffered or incurred by you and which shall have arisen either directly or indirectly out of or in connection with your accepting my/our Payment/Transfer Instructions and acting thereon.

Yours faithfully,



Client's Signature(s)

Account Name:

聚富證券有限公司

Riches Depot Securities Co., Limited

網上證券交易服務申請表(新登錄名稱) Electronic Trading Services Subscription Form (New Login User I.D.)

客戶姓名 Account Name	帳戶號碼 Account No.
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本人願意接受聚富證券有限公司以**帳戶號碼**作為**登入名稱**。
I am willing to accept the Riches Depot Securities Co., Limited to issue the securities *Account No.* as the *Login name*.



客戶簽署 Client Signature

日期 Date

For Official Use Only 公司專用			
A.E.	Input	Check	Approval

網上證券交易聲明 定義

- 「聚富」 定義聚富證券有限公司
- 「電子媒介」 任何電子或電訊媒介，包括但不限於互聯網、互動電視系統、電話、無線應用系統規約，或聚富不時確定和指定的任何其他電子或電訊設備或系統；
- 「電子交易服務」 根據本協議聚富、其承辦商或其代理人不時已提供或將提供的任何設施及服務(包括但不限於交易服務、資訊服務、電子郵件服務，以及前者有關的軟件)，使客戶可透過任何電子媒介就有關帳戶的任何有關交易發出指示或獲取證券的報價或其他資訊；

客戶聲明

本人/吾等，下列簽署者現向聚富申請網上證券交易服務。

本人/吾等，明白使用任何聚富之服務前，當已閱讀及明白聚富最新版本的客戶綜合協議書(“該協議書”)而本文件乃該協議書的一部份。本人/吾等現申請開立電子交易服務，並同意接受可不時被修改的該協議書包括其一般條款及附表B - 電子交易服務之附加條款及所有相關的附表所約束。本人/吾等確認已獲提供按本人/吾等選擇的語言(中文/英文)附於本表之風險披露聲明，並提出問題及徵求獨立的意見(如本人/吾等有此意願)。

風險聲明 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。

電子交易 透過某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。如果你透過某個電子交易系統進行買賣，便須承受該系統帶來的風險，包括有關系統硬件或軟件 可能會失靈的風險。系統失靈可能會導致你的買賣盤不能根據指示執行，甚至完全不獲執行。請你尤其注意以下各項：

- (A) 互聯網本質上是一個不可靠的資料傳輸及通訊媒介，而且任何其他電子媒介亦可能如此。因此，在透過互聯網或任何其他電子媒介使用電子交易服務進行交易或其他通訊時存在風險；
- (B) 與聚富的網站或電子交易服務接達可能因為高峰期、市場波動、系統故障(包括硬件或軟件故障)、系統升級或維修或因其他原因而隨時及不時被限制、延誤或無法進行；
- (C) 透過互聯網或其他電子媒介發出的指示或進行的交易可能會由於(以適用者為準)無法預計的通訊量、所用媒介屬公開性質或其他原因而受到干擾、出現傳輸中斷，或導致傳輸延誤或發生不正確數據的傳輸；
- (D) 透過互聯網或其他電子媒介發出的指示可能不獲執行，或可能受到延誤，以致執行價格與指示發出時的通行價格不同；
- (E) 未經授權第三方可能獲得通訊及個人資料；
- (F) 透過互聯網或其他電子媒介發出的指示可能不經人手審閱而執行；及
- (G) 刊登在聚富的網站的任何認收通知、確認書或其他記錄，其反映的客戶的證券交易指示或買賣盤的進度或該等指示或買賣盤的執行，以及與投資者的帳戶有關投資者的現金狀況、商品狀況或其他資料，未必可以即時更新。上述認收通知、確認書或其他記錄未必反映並非透過聚富的網站進行的交易，如有疑問，投資者應聯絡聚富，以確定投資者的交易的進度或與投資者的帳戶有關的其他資料。

免責聲明

一切買賣指示須由客戶透過電子媒介的傳送而作出的，其風險概由客戶承擔。聚富有權根據其理由相信來自客戶的指示行事，並無責任查證發出指示的人士的身份。對於聚富因其不能控制的任何原因(包括但不限於傳送或電腦延誤、錯誤或遺漏、罷工及類似的工業行動或任何交易商、交易所或結算所沒有履行其義務)而沒有履行在其本協議下的義務，聚富無須負責。並且客戶特此確認並同意，其應就以客戶名義作出或訂立的一切允諾、債務及任何其他義務向聚富負責，不論該等允諾、債務及任何其他義務是以書面或口頭形式發出和以何種方式傳達及宣稱已按上述情況發出。倘若聚富收到互相抵觸的指示時，聚富可拒絕執行任何此等指示，直至接到明確的指示為止。本協議已經翻譯為中文文本，但如發生任何抵觸，應以英文文本為準。

Electronic Trading Declaration DEFINITIONS

- 「Riches Depot」 Riches Depot Securities Co., Limited
- 「Electronic Media」 any electronic or telecommunications media, including but not limited to the internet, interactive television systems, telephone, wireless application protocol or any other electronic or telecommunications devices or systems as Riches Depot may from time to time determine and prescribe;
- 「Electronic Trading Service」 any facility and service (including without limitation those relating to dealing services, information services, e-mail and the software comprised in any of the foregoing) provided or to be provided by Riches Depot or Riches Depot's contractor or agent or service provider from time to time under this Agreement which enables the Client to give instructions relating to any Transaction in the Account(s) or to obtain quotation on prices of securities or other information through any Electronic Media;

DECLARATION BY CLIENT

I/We, the undersigned, hereby request Riches Depot Securities Co., Limited to provide the Electronic Trading Service. I/We confirm that prior to usage of any of Riches Depot service(s), have read and understood the provisions of the current version of the Client Master Agreement of Riches Depot ("Agreement") of which this document forms a part. I/We hereby apply to open the Electronic Trading Service and agree to be bound by the Agreement including its General Terms and Conditions, Schedule B - Additional Terms for Electronic Trading Service and all other relevant Schedule(s) as the same may be amended from time to time. I/We acknowledge and confirm that Riches Depot has provided the Risk Disclosure Statement annexed hereto in a language of my/our choice (Chinese/English) and I/We have been invited to read the Risk Disclosure Statement, to ask questions and to take independent advice if I/We wish.

RISK OF SECURITIES TRADING

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

ELECTRONIC TRADING

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. In particular, your attention is drawn to the following:

- (A) the internet is, and any other Electronic Media may also be, an inherently unreliable medium of data transmission and communication and that, accordingly, there are risks in conducting Transactions in the Account through the Electronic Trading Service or otherwise communication through the internet or any other Electronic Media;
- (B) access to the website operated by the Riches Depot or the Electronic Trading Service may at any time and from time to time be limited, delayed or unavailable, including during periods of peak demand, market volatility, systemic failures (including hardware and software failures), systems upgrades or maintenance or for other reasons;
- (C) instructions given or transactions conducted through the internet or other Electronic Media may be subject to interruption, transmission blackout, delayed transmission or incorrect data transmission due to, where applicable, unpredictable traffic congestion, the public nature of the media used or other reasons;
- (D) instructions given through the internet or other Electronic Media may not be executed or may be delayed so that they are executed at prices different from those prevailing at the time the instructions were given;
- (E) communications and personal data may be accessed by unauthorized third parties;
- (F) instructions given through the internet or other Electronic Media may be executed without being subject to manual review; and
- (G) the status of your instructions or orders for Transactions in the Account or execution thereof and your cash position, securities position or other details relating to your Account as reflected in any acknowledgement, confirmation or other record posted on the Riches Depot's website may not be updated immediately. Such acknowledgement, confirmation or other record will only reflect Transactions in your Account conducted through the Electronic Trading Service and that, in the case of doubt, you should contact the Riches Depot to ascertain the status of your other Transactions in your Account or other details relating to your Account.

DISCLAIMERS

All orders shall be made by the Client through Electronic Media at the Client's risk. Riches Depot may act on such instructions which Riches Depot believes to come from the Client without any duty to verify the identity of the person giving the instruction. Riches Depot shall not be responsible for the non-performance of its obligations hereunder by reason of any cause beyond Riches Depot's control, including, without limitation, transmission or computer delays, errors or omissions, strikes and similar industrial action or the failure of any dealer, Exchange or Clearing House to perform its obligations. The Client hereby confirms and agrees that the Client shall be responsible to Riches Depot for all engagements, indebtedness and any other obligations made or entered into in the Client's name whether in writing or orally and howsoever communicated and purporting to be given as aforesaid. In addition, in the event of receipt of conflicting instructions, Riches Depot may refuse to act on any of such instructions until Riches Depot receives unequivocal instruction(s). This Agreement may be translated into Chinese language but in the event of any conflict arising the English version shall prevail.

風險披露聲明

1. 證券交易的風險

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。

2. 買賣創業板股份的風險

2.1 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。

2.2 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。

2.3 現時有關創業板股份的資料只可以在聯交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。

2.4 假如對本風險披露聲明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白之處,應尋求獨立的專業意見。

3. 在香港以外地方收取或持有的客戶資產的風險

經紀或其代理人在香港以外地方收取或持有你的資產,是受到有關海外司法管轄區的適用法律及規例所監管的。這些法律及規例與《證券及期貨條例》(第571章)及根據該條例制訂的規則可能有所不同。因此,有關你的之資產將可能不會享有賦予在香港收取或持有你的資產的相同保障。

4. 提供代存郵件或將郵件轉交第三方的授權書的風險

假如你向經紀提供授權書,允許其代存郵件或將郵件轉交予第三方,那麼你便須盡速親身收取所有關於你的有關帳戶的成交單據及結算,並加以詳細閱讀,以確保可及時偵察到任何差異或錯誤。

5. 在聯交所買賣納斯達克 — 美國證券交易所證券的風險

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。

6. 電子交易

透過某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。如果你透過電子交易系統進行買賣,便須承受該系統帶來的風險,包括有關系統硬件或軟件可能會失靈的風險。系統失靈可能導致你的買賣盤不能根據指示執行,甚至完全不獲執行。請你尤其注意以下各項:

(A) 互聯網本質上是一個不可靠的資料傳輸及通訊媒介,而且任何其他電子媒介亦可能如此。因此,在透過互聯網或任何其他電子媒介使用電子交易服務進行交易或其他通訊時存在風險;

(B) 與經紀的網站或電子交易服務接達可能因為高峰期、市場波動、系統故障(包括硬件或軟件故障)、系統升級或維修或因其他原因而隨時及不時被限制、延誤或無法進行;

(C) 透過互聯網或其他電子媒介發出的指示或進行的交易可能會由於(以適用者為準)無法預計的通訊量,所用媒介屬公開性質或其他原因而受到干擾、出現傳輸中斷,或導致傳輸延誤或發生不正確數據的傳輸;

(D) 透過互聯網或其他電子媒介交易而發出的指示可能不獲執行,或可能受到延誤,以致執行價格與指示發出時的通行價格不同;

(E) 未經授權第三方可能獲得通訊及個人資料;

(F) 透過互聯網或其他電子媒介發出的指示可能不經人手審閱而執行;及

(G) 刊登在經紀的網站的任何認收通知、確認書或其他記錄,其反映的客戶的證券交易指示或買賣盤的進度或該等指示或買賣盤的執行,以及與投資者的帳戶有關投資者的現金狀況、商品狀況或其他資料,未必可以即時更新。上述認收通知、確認書或其他記錄未必反映並非透過經紀的網站進行的交易,如有疑問,投資者應聯絡經紀,以確定投資者的交易的進度或與投資者的帳戶有關的其他資料。

附加風險披露聲明

買賣衍生權證的風險

1. 發行商失責風險

倘若衍生權證發行商破產而未能履行其所發行證券的責任，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權證發行商的財力及信用。

2. 非抵押產品風險

非抵押衍生權證並沒有資產擔保。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。

3. 槓桿風險

衍生權證是槓桿產品，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，衍生權證的價值可以跌至零，屆時當初投資的資金將會盡失。

4. 有效期的考慮

衍生權證設有到期日，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。

5. 特殊價格移動

衍生權證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。

6. 外匯風險

若投資者所買賣衍生權證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，連帶影響衍生權證的價格。

7. 流通量風險

香港聯合交易所有限公司規定所有衍生權證發行商要為每一隻個別產品委任一名流通提供者，流通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。

8. 時間損耗風險

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。

9. 波幅風險

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

買賣牛熊證的風險

1. 發行商失責風險

倘若牛熊證發行商破產而未能履行其所發行證券的責任，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，投資者須特別留意牛熊證發行商的財力及信用。

2. 非抵押產品風險

非抵押牛熊證並沒有資產擔保。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。

3. 槓桿風險

牛熊證是槓桿產品，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，牛熊證的價值可以跌至零，屆時當初投資的資金將會盡失。

4. 有效期的考慮

牛熊證設有到期日，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。

5. 特殊價格移動

牛熊證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。

6. 外匯風險

若投資者所買賣牛熊證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，連帶影響牛熊證的價格。

7. 流通量風險

香港聯合交易所有限公司規定所有牛熊證發行商要為每一隻個別產品委任一名流通提供者，流通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。

8. 強制收回風險

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，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）

9. 融資成本

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。若一天牛熊證被收回，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。

買賣交易所買賣基金的風險

1. 市場風險

交易所買賣基金主要為追蹤某些指數、行業/領域又或資產組別（如股票、債券或商品）的表現。交易所買賣基金經理可用不同策略達至目標，但

通常也不能在跌市中酌情採取防守策略。投資必須要有因為相關指數/資產的波動而蒙受損失的準備。

2. 追蹤誤差

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。(常見的複製策略包括完全複製/選具代表性樣本以及綜合複製,詳見下文。)

3. 以折讓或溢價交易

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,在市場大福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此情況。

4. 外匯風險

若投資者所買賣結構性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,連帶影響結構性產品的價格。

5. 流通量風險

證券莊家是負責提供流通量,方便買賣交易所買賣基金的交易所參與者。儘管交易所買賣基金有一個或以上的證券莊家,但若有證券莊家失責或停止履行職責,投資者或就不能進行買賣。

6. 賣交易所買賣基金的不同複製策略涉及對手風險

(a) 完全複製及選具代表性樣本策略

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。

(b) 綜合複製策略

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:

(i) 以掉期合約構成

- 總回報掉期 (total return swaps) 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。

(ii) 以衍生工具構成

- 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。

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。

買賣股票掛鈎票據的風險

- 1) 賠本可能 - 如正股價格變動與投資者事前看法不同,有可能要虧損部分甚至全部本金。
- 2) 承受股本市場風險 - 投資者需承受正股及股票市場價格波動的風險、派息及公司行動之影響及對手風險,並要有心理準備在票據到期時可能會收到股票或只收到比投資額為少的款項。
- 3) 價格調整 - 投資者應注意,正股因派息而出現除息定價或會影響正股價格,以致連帶影響股票掛鈎票據到期的償付情況。投資者亦應注意發行商可能會由正股的公司行動而對票據作出調整。
- 4) 準孳息計算 - 投資者應向經紀查詢買賣股票掛鈎票據及票據到期時因收到款項或正股而涉及的費用。香港交易所發布的準孳息數字並沒有將這些費用計算在內。
- 5) 利息 - 股票掛鈎票據的孳息大都較傳統債券及定期存款提供的利息為高,但投資回報只限於個別票據可得的孳息。

文義如有歧異,應以英文本為準

本人/吾等 確認已仔細閱讀及完全明白本風險聲明,並願意承擔因買賣相關產品所帶來的潛在風險,並簽署確認。

客戶確認

日期 _____ 帳戶號碼: _____

客戶姓名: _____

簽署及印章模式需與開戶文件一致。 Specimen(s) of signature(s) and company chop should be identical to Account Opening Documents

RISK DISCLOSURE STATEMENT

1. RISK of Securities Trading

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.

2. RISK of trading Growth Enterprise Market stocks

2.1 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.

2.2 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.

2.3 Current information on GEM stocks may only be found on the internet website operated by the SEHK. GEM companies are usually not required to issue paid announcements in gazetted newspapers.

2.4 You should seek independent professional advice if you are uncertain of or have not understood any aspect of this risk disclosure statement or the nature and risks involved in trading of GEM stocks.

3. RISK of client assets received or held outside Hong Kong

Client assets received or held by the Broker or its nominee(s) outside Hong Kong are subject to the applicable laws and regulations of the relevant overseas jurisdiction which may be different from the Securities and Futures Ordinance (Cap. 571) and the rules made thereunder. Consequently, such client assets may not enjoy the same protection as that conferred on client assets received or held in Hong Kong.

4. RISK of providing an authority to hold mail or to direct mail to third parties

If you provide the Broker with an authority to hold mail or to direct mail to third parties, it is important for you to promptly collect in person all contract notes and statements of the Accounts and review them in detail to ensure that any anomalies or mistakes can be detected in a timely fashion

5. RISK of trading Nasdaq-Amex securities on the SEHK

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

6. Electronic trading

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. In particular, your attention is drawn to the following:

(A) the internet is, and any other Electronic Media may also be, an inherently unreliable medium of data transmission and communication and that, accordingly, there are risks in conducting Transactions in the Account through the Electronic Trading Service or otherwise communication through the internet or any other Electronic Media;

(B) access to the website operated by the Broker or the Electronic Trading Service may at any time and from time to time be limited, delayed or unavailable, including during periods of peak demand, market volatility, systemic failures (including hardware and software failures), systems upgrades or maintenance or for other reasons;

(C) instructions given or transactions conducted through the internet or other Electronic Media may be subject to interruption, transmission blackout, delayed transmission or incorrect data transmission due to, where applicable, unpredictable traffic congestion, the public nature of the media used or other reasons;

(D) instructions given through the internet or other Electronic Media may not be executed or may be delayed so that they are executed at prices different from those prevailing at the time the instructions were given;

(E) communications and personal data may be accessed by unauthorized third parties;

(F) instructions given through the internet or other Electronic Media may be executed without being subject to manual review; and

(G) the status of your instructions or orders for Transactions in the Account or execution thereof and your cash position, securities position or other details relating to your Account as reflected in any acknowledgement, confirmation or other record posted on the Broker’s website may not be updated immediately. Such acknowledgement, confirmation or other record will only reflect Transactions in your Account conducted through the Electronic Trading Service and that, in the case of doubt, you should contact the Broker to ascertain the status of your other Transactions in your Account or other details relating to your Account.

ADDITIONAL RISK DISCLOSURE STATEMENT

Risk of Trading Derivative Warrants (“DWs”)

- 1. Issuer default risk**

In the event that a DW 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 DW issuers.
- 2. Uncollateralised product risk**

Uncollateralised DWs 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 uncollateralised.
- 3. Gearing risk**

DWs 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 DW may fall to zero resulting in a total loss of the initial investment.
- 4. Expiry considerations**

DWs 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. Extraordinary price movements**

The price of a DW 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. Foreign exchange risk**

Investors trading DWs 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 DW price.
- 7. Liquidity risk**

The Stock Exchange of Hong Kong Limited requires all DW 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 products until a new liquidity provider has been assigned.
- 8. Time decay risk**

All things being equal, the value of a DW will decay over time as it approaches its expiry date. DWs should therefore not be viewed as long term investments.
- 9. Volatility risk**

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

Risk of Trading Callable Bull / Bear Contracts (“CBBCs”)

- 1. Issuer default risk**

In the event that a CBBC 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 CBBC issuers.
- 2. Uncollateralised product risks**

Uncollateralised CBBCs 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 uncollateralised.
- 3. Gearing risk**

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 CBBC may fall to zero resulting in a total loss of the initial investment.
- 4. Expiry considerations**

CBBCs 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. Extraordinary price movements**

The price of a CBBC 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. Foreign exchange risk**

Investors trading CBBCs 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 CBBC price.
- 7. Liquidity risk**

The Stock Exchange of Hong Kong Limited requires all CBBC 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 products until a new liquidity provider has been assigned.
- 8. Mandatory call risk**

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.
- 9. Funding costs**

The issue price of a CBBC includes funding costs. Funding costs are gradually reduced over time as the CBBC moves towards expiry. The longer the 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.

Risk of Trading Exchange Trade Funds (“ETFs”)

- 1. Market risk**

ETFs are typically designed to track the performance of certain indices, market sectors, or groups of assets such as stocks, bonds, or commodities. ETF managers may use different strategies to achieve this goal, but in general they do not have the discretion to take defensive positions in declining markets. Investors must be prepared to bear the risk of loss and volatility associated with the underlying index/assets.
- 2. Tracking errors**

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. (The common replication strategies include full replication/representative sampling and synthetic replication which are discussed in more detail below.)
- 3. Trading at discount or premium**

An ETF may be traded at a discount or premium to its Net Assets 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.
- 4. Foreign exchange risk**

Investors trading ETFs 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 ETF price.

5. Liquidity risk

Securities Market Makers (“SMMs”) are Exchange Participants that provide liquidity to facilitate trading in ETFs. Although most ETFs are supported by one or more SMMs, there is no assurance that active trading will be maintained. In the event that the SMMs default or cease to fulfill their role, investors may not be able to buy or sell the product.

6. Counterparty risk involved in ETFs with different replication strategies

(a) Full replication and representative sampling strategies

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) Synthetic replication strategies

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) Swap-based ETFs

- 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) Derivative embedded ETFs

- ETF managers may also use order 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 honor their contractual commitments.

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.

Risks Involved in Trading Equity Linked Instruments (ELIs)

1. Possibilities of losing investment

Investors may lose part or all of their investment if the price of the underlying security moves against their investment view.

2. Exposure to equity market

Investors are exposed to price movements in the underlying security and the stock market, the impact of dividends and corporate actions and counterparty risks. Investors must also be prepared to accept the risk of receiving the underlying shares or a payment less than their original investment.

3. Price adjustment

Investors should note that any dividend payment on the underlying security may affect its price and the pay back of the ELI at expiry due to ex-dividend pricing. Investors should also note that issuers may make adjustments to the ELI due to corporate actions on the underlying security.

4. Potential yield

Investors should consult their brokers on fees and charges related to the purchase and sale of ELI and payment/delivery at expiry. The potential yields disseminated by the Hong Kong Stock Exchange have not taken fees and charges into consideration.

5. Interest rates

While most ELIs offer a yield that is potentially higher than the interest on fixed deposits and traditional bonds, there turn on investment is limited to the potential yield of individual ELIs.

In the event of any inconsistencies or discrepancies between the English and Chinese versions, the English version shall prevail.

I/We acknowledge that I/We have read and fully understood this Risk Disclosure Statement and I/We am/are willing to accept the risks associated with trading derivative products.

Acknowledged by

Date _____ **Account No.** _____

Account Name _____

簽署及印章模式需與開戶文件一致。 Specimen(s) of signature(s) and company chop should be identical to Account Opening Documents

聚富證券有限公司
Riches Depot Securities Co., Limited

Client Risk Profiling Questionnaire – Investment Products
投資產品 - 風險承受能力問卷
(for Individual/Joint Account 個人/聯名客戶適用)

Client's Name
客戶名稱: _____

Client Code
客戶編號: _____

This questionnaire serves to help you to assess your risk attitude based on your ability to take risk and your risk tolerance level.
這份問卷是根據閣下承受風險的能力及風險接受程度以評估閣下的風險態度。

Information provided will be kept confidential. 閣下提供的資料將絕對保密。

	Answer and Score 答案與分數
<p>Q1 What is your age? 您現時的歲數是?</p> <p>a. Age 18 - 35 , 18- 35 歲</p> <p>b. Age 36 - 50 , 36- 50 歲</p> <p>c. Age 51 - 65 , 51- 65 歲</p> <p>d. 65 or above , 65 歲或以上(Note)</p> <p>Note : The Overall Investment Appetite/Risk Profile of a client should be "Conservative" if your age is 65 or above 如客戶的年齡是 65 歲或以上，閣下的 整體投資取向 / 風險概況將定為“保守型”</p>	
<p>Q2 What is your highest education level? 您的教育程度是?</p> <p>a. Finance Degree or above / equivalent finance professional qualification 大學或以上 (財務學相關) / 同等財務學相關專業資格</p> <p>b. Non-finance related degree or above 大學或以上 (非財務學相關)</p> <p>c. Post-secondary 大專</p> <p>d. Secondary 中學</p> <p>e. Primary or below 小學或以下</p>	
<p>Q3 How many years of investment experience (exclude savings, fixed deposit and foreign currency deposit) do you have ? 您有多少年投資經驗 (不包括儲蓄、定期儲蓄及外幣儲蓄)?</p> <p>a. Over 10 years , 多于 10 年</p> <p>b. 7- 10 years , 7 - 10 年</p> <p>c. 4- 6 years , 4 - 6 年</p> <p>d. 1- 3 years , 1 - 3 年</p> <p>e. None or less than 1 year , 沒有或少于 1 年</p>	

<p>Q4 Which of the following products you have previously invested? 您曾否投資於以下產品? (you may select more than 1 option 您可選擇多於一項)</p> <p>a. Savings/Fixed Deposits/Foreign Currency Deposit 儲蓄/定期儲蓄/外幣儲蓄</p> <p>b. Bonds/Certificate of Deposits/Stocks/Mutual Funds , 債券/存款證/證券/基金</p> <p>c. Investment-Linked Insurance Plans , 投資相連保險計畫</p> <p>d. Derivatives/Structure Products/Linked Deposits/FX Trading (Margin/Leveraged), 衍生產品/結構性產品/掛鈎存款/外匯投資 (孖展/槓桿)</p> <p>e. None , 沒有</p>	
<p>Q5 What is your investment horizon? 您預期中的投資年期為多久?</p> <p>a. Over 10 years , 多於 10 年</p> <p>b. 7 - 10 years , 7 - 10 年</p> <p>c. 4- 6 years , 4 - 6 年</p> <p>d. 1- 3 years , 1 - 3 年</p> <p>e. None or less than 1 year , 沒有或少於 1 年</p>	
<p>Q6 What is your current objective for investment? 您現時之投資目標是?</p> <p>a. Maximize capital growth as soon as possible 以最短時間 · 爭取最高回報</p> <p>b. Gradual long-term capital growth 資本長期地逐漸增長</p> <p>c. Stable, balanced income and capital growth 穩定、平衡收入與資本增長</p> <p>d. Earn a return which is slightly above bank deposit 賺取略高於銀行存款的回報</p> <p>e. Capital preservation with a return similar to bank deposit rate 保本及賺取相約於銀行存款的回報</p>	
<p>Q7 Which of the following statement could best describe your attitude towards investment risk? 以下那一段句子最能反映您對風險的態度?</p> <p>a. I never consider risks, as I aim to maximize returns 我不會考慮風險 · 務求得到最高回報</p> <p>b. I am willing to accept more risks, as I aim for more returns 我願意承受較高的風險 · 以換取更高回報</p> <p>c. I am trying to strike a balance between risks and returns 我會平衡風險與回報</p> <p>d. I will try to avoid risks but minor ones are still acceptable 我會儘量回避風險 · 但仍可承受較低的波動</p> <p>e. I am risk averse and don't want to take any risks 我不願意承受任何風險</p>	

<p>Q8 Generally, the higher the expected return the higher price fluctuation may be involved. What level of annualized price fluctuation would you generally be comfortable with? 一般而言，預期較高回報，亦會涉及較高的價格波幅。您可以接受以下哪個年度價格波幅?</p> <p>a. Price fluctuates between -20% and +20%, 價格波幅介乎 -20% 至 +20%</p> <p>b. Price fluctuates between -15% and +15%, 價格波幅介乎 -15% 至 +15%</p> <p>c. Price fluctuates between -10% and +10%, 價格波幅介乎 -10 至 +10</p> <p>d. Price fluctuates between -5% and +5%, 價格波幅介乎 -5% 至 +5%</p> <p>e. No price fluctuation 沒有價格波幅</p>	
<p>Q9 What portion of your overall income is available for investment for each month? 您每月可用作投資的金額，占總收入多少個百分比?</p> <p>a. 50% or above, 50%或以上</p> <p>b. 30% – 49%</p> <p>c. 10% – 29%</p> <p>d. Less than 10%, 少於 10%</p>	
<p>Q10 How many months of your household expenses could be covered by your reserve to meet unforeseen events? 您現時的儲備足夠應付多少個月的日常家庭開支，以面對突如其來的情況?</p> <p>a. More than 12 months, 多於 12 個月</p> <p>b. 6- 12 months, 6 - 12 個月</p> <p>c. 3- 6 months, 3 - 6 個月</p> <p>d. Less than 3 months, 少於 3 個月</p> <p>e. None 沒有</p>	
<p>Q11 How do you expect your future monthly investable amount over the next five years? 您預計未來五年每月可投資之金額會怎樣?</p> <p>a. Expect the monthly investable amount will increase sharply 預計每月可投資之金額會急升</p> <p>b. b. Expect the monthly investable amount will increase gradually 預計每月可投資之金額會逐漸上升</p> <p>c. Expect the monthly investable amount will remain unchanged 預計每月可投資之金額會維持不變</p> <p>d. Expect the monthly investable amount will decrease 預計每月可投資之金額會減少</p>	

<p>Q12 Derivative Knowledge 衍生產品知識</p> <p>a. Have you undergone training or attended courses on structured or derivative product(s)? 您以往曾否接受有關結構性或衍生產品的培訓或修讀相關課程? (Yes 有, No 沒有)</p> <p>b. Do you have current or previous work experience related to structured or derivative products? 您現時或過去與結構性或衍生產品有關的工作經驗? (Yes 有, No 沒有)</p> <p>c. Do you have trading experience in structured or derivative product(s) (e.g. Callable Bull/Bear Notes/Stock Options/Derivative Warrants/Equity Linked Notes etc)? 您以往曾否有投資衍生產品的經驗(如牛熊證/股票期權/衍生認股證/股票掛鉤產品等) (Yes 有, No 沒有)</p> <p>d. Have you executed five or more transactions in structured or derivative products within the past three years? 您曾否在以往三年內執行過五宗或以上結構性或衍生產品交易? (Yes 有, No 沒有)</p>	
<p>Total Score 總分數</p>	

Overall Assessment Result 評估結果					
Total Score 總分數	≤ 19	20 – 29	30 – 39	40 – 49	≥ 50
Risk Tolerance Level 風險承受程度	Low 低	Low-to-Medium 低至中	Medium 中	Medium-to-high 中至高	High 高
Investor Characteristics 投資者特徵	<p>Conservative 保守型</p> <p>An investor who is risk-averse and to whom capital preservation is very important. 投資者對風險採取比較保守的態度及重視保存資本。</p>	<p>Stable 穩健型</p> <p>An investor who would like to have the capital gain potential, and he/she understands he/she needs to take a low to medium level of risk in respect of the capital invested. 投資者喜愛有資本增值的潛力的投資，同時亦明白到需要承擔低至中度風險。</p>	<p>Balance 平衡型</p> <p>An investor who is willing to accept a medium level of risk. 投資者願意承擔中等程度的風險。</p>	<p>Growth 增長型</p> <p>An investor who would like to have greater capital gain potential, and he/she understands that he/she needs to take a high level of risk. 投資者喜愛有較大資本增值潛力的投資，同時亦明白到需要承擔高程度的風險</p>	<p>Aggressive 進取型</p> <p>An investor who would like to have significant capital gain, and he/she understands that he/she needs to take a very high level of risk in respect of the capital invested. 投資者喜愛有可觀資本增值的投資，同時亦明白到要承擔相當高的風險。</p>

If you choose to deviate in any respect from the Risk Profile process, you must indicate your reason(s) in writing. Your Investment Appetite/Risk Profile is classified as "Conservative".

如閣下選擇不填報上述風險評估，閣下必須書面詳述有關原因。閣下的整體投資取向/風險概況將定為“保守型”

(Client must complete explanation in own handwriting in this box) ((客戶必須在此親筆填寫解釋)

If you are at or over 65 years old, in order to protect your interests, RDS will profile you as a conservative investor and as a consequence we will not accept your subscription instruction in high risk investment products.

如閣下已達 65 歲或以上，為保障閣下的利益，聚富證券將閣下定為保守型投資者。因此，聚富證券不會接受閣下認購高風險的投資產品。

However, if you consider that you should not be profiled as a conservative investor given your higher risk appetite and as such would be keen to deal in a wider range of investment products of a higher risk profile, by signing below, you confirmed that notwithstanding your age, you may want to deal in investment products of a higher risk profile and you understand that your investment in such products may involve higher risk (including the possibility of loss of the capital invested) than what you can take and therefore may not be in your best interest.

然而，閣下如認為可承受較高風險而不應被定為保守型投資者，並有意買賣較廣泛的投資產品（包括較高風險的產品），請在下方簽署。閣下確認儘管考慮年齡狀況，閣下仍有意買賣較高風險的投資產品，並明白於該等產品的投資涉及的風險可能較閣下可承受的為高（包括可能損失投資本金），未必屬於閣下的最佳利益。

Client's Signature 客戶簽署 _____

DISCLAIMER 免責聲明

This questionnaire and the result is only one of the factors you may take into account when investing. This should not be regarded as an investment advice, an offer to sell, or a solicitation to buy any financial products. You should consider carefully your investment objective and risk tolerance ability and seek for independent professional advice before making any investment decision. It is. RDS accepts no responsibility or liability as to the accuracy or completeness of the information provided by you in this questionnaire and/or the results.

Investors should note that investment involves risks, including the possibility of loss of the entire capital invested, price of investment products may go up as well as down and past performance information presented is not indicative of future performance. Investors should understand the nature and the risks associated with the product before making any investment decision.

You should always make your own investment decision having regard to your financial situation, investment experience, investment objectives, independent professional advice etc. Licensed person of RDS will assist in explaining whether a product is suitable for you according to the said factors but you should note that no representation or advice is made or implied by RDS.

本問卷和結果只是閣下考慮投資的其中一個因素。以上並不應被視為投資建議，要約出售，或徵求購買任何金融產品。閣下應該仔細考慮閣下的投資目標及承受風險能力，並尋求獨立專業意見，才作出任何投資決定。聚富證券對於本問卷由閣下提供的資料及/或結果的準確性或完整性不承擔任何責任。

投資者須注意投資涉及風險，包括可能損失全部投資本金，投資產品價格可升亦可跌，而所呈列的過往表現資料並不表示將來亦有類似表現。投資者作出任何投資決定前，應詳細瞭解該產品的性質和風險。

當閣下作出投資決策前，須考慮閣下的財務狀況，投資經驗，投資目標，獨立專業意見等因素。聚富證券的持牌人會根據上述因素，協助解釋產品是否適合閣下作出投資。但閣下要注意，這並非為，亦非被指為聚富證券的任何陳述或建議。

Personal Information Collection Statement 個人資料收集聲明

The personal information collected will be used for any of the purposes set out above. Depending on the actual business or operational needs, the personal information collected may be transferred to (i) the administrative, operating or information technology departments of any member of the RDS; (ii) any third party service provider to RDS who has a legitimate need to obtain the information in connection with the provision of the relevant service to RDS; (iii) any business partner or other financial product issuer having business relationship with RDS who has a legitimate need to obtain the information in connection with the provision of the relevant financial product to the client; and (iv) any governmental, judicial, statutory or self-regulatory authority having competent jurisdiction over any member of RDS. Subject to the aforesaid, the personal information held by us is kept confidential. This form will be destroyed not later than 1 year after it no longer serves any of the purposes set out herein. As part of the business records of RDS, this form may be retained for a substantial period of time due to the need to comply with applicable laws or regulatory requirements.

此表格所收集之個人資料將被使用於以下用途。基於實際的商業及營運需要，該等資料可能被 (i) 聚富證券任何成員之行政、運作及資訊科技部門；(ii) 任何向本公司提供服務之供應商，而該服務供應商就其提供有關服務是有合理需要知道相關資料的；(iii) 任何與本公司有業務關係的商業夥伴或其他金融產品發行人，而該夥伴或發行人就其提供有關金融產品予客戶是有合理需要知道相關資料的；及(iv) 任何對本公司任何成員具有適當管轄權之政府機關、司法機關、法定機關或業界自我監管機關。除用於上述目的外，閣下之個人資料將會保密。如此表格不再適用於以上所提及之任何用途，將於其後一年內被銷毀；但此表格可能會被保留一段相當時間，以符合有關法律及監管要求。

Client may access or make corrections to any personal information provided to or collected by the RDS, and such request can be made to RDS at Room 1301, Prosperity Tower, 39 Queen's Road Central, Central, Hong Kong

閣下有權查閱及要求更正本公司持有有關閣下的個人資料，並以書面向本公司(地址為香港中環皇后大道中39號豐盛創建大廈1301室)提出要求

Client's Declaration 客戶聲明

I hereby declare that the information I have provided in this form is in all respects true, accurate and complete and agree that my investment risk tolerance analysis is correctly stated above.

本人(等)謹此聲明：本人(等)為本問卷所提供資料均是真實、正確及全面，並同意上述的投資風險承受能力分析為正確。

I agree and accept the above assessment of my investment appetite / risk profile.
本人同意並接受上述評估結果及本人確認同意本問卷評估本人所屬的投資取向/風險概況。

I disagree with the above assessment and my investment appetite / risk profile should be :
本人不同意上述評估結果，且認為本人的投資取向/風險概況為：

Client's Signature 客戶簽署

Name 姓名： _____ Date 日期： _____

For Internal Use Only 只供內部使用	
Signature of Licensed Person of RDS 聚富證券持牌人簽署	Approved by Department Head or Responsible Officer 部門主管或負責人員批核
Declaration: I hereby declare and confirm that this questionnaire is duly completed by the client. 聲明: 本人謹此聲明及確認此問卷由客戶親自填寫	
Name 姓名： _____ Date 日期： _____ CE No. 中央編號：	Name 姓名： _____ Date 日期： _____ CE No. 中央編號：

Self-Certification Form (Individual) 個人自我證明表格

To: Riches Depot Securities Co., Limited

致: 聚富證券有限公司

Account Number 戶口號碼: _____

(If you are a Joint account holder, each joint account holder must submit a separate Self-Certification Form)

(如 貴戶為聯名戶口持有人, 每位聯名人士必須遞交個別自我證明表格)

Particulars of Account Holder 戶口持有人資料

Full Name in Chinese 中文全名: _____ I.D. Card / Passport No. 身份證/證件號碼: _____

Full Name in English 英文全名: _____

Date of Birth 出生日期: _____ Place of Birth 出生地點: _____

Current Residence Address 現時住址: _____

Mailing Address 通訊住址 (Complete if different to the current residence address 如與現時住址不同, 請填此欄): _____

Certification of Account Status (For Individual Account Holder only) 身份認證(只限個人戶口持有人)

- | | Yes 是 | No 否 |
|---|--------------------------|--------------------------|
| a) I certify that I am a citizen of the United States of America. 本人聲明及保證本人為美國公民。 | <input type="checkbox"/> | <input type="checkbox"/> |
| b) I certify that I am a resident of the United States of America for US federal income tax purposes. Resident of the United States of America includes without limitation any individual who (i) holds a US Permanent Resident Card (a green card) or (ii) meets a US "substantial presence" test under the US federal income tax law. | <input type="checkbox"/> | <input type="checkbox"/> |

本人聲明及保證本人為美國聯邦稅法定義下的美國居民。美國居民包括(i)美國永久居民卡(“綠卡”)持有者或(ii)通過美國聯邦稅法所規定“居住測試”的人士。

If yes in either a) or b), please provide the US Taxpayer Identification Number (i.e., US Social Security Number):

如您在問題 a)到 b)任何一處勾選“是”, 請在下方提供您的美國納稅人識別號碼(美國社會保險號碼):

			-			-				
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- c) I certify that I am a resident for tax purposes in the jurisdiction(s) as indicated in the table below and I hereby provide my Taxpayer Identification Number or the functional equivalent thereof ("TIN") for each jurisdiction indicated.

本人聲明及保證本人為下方列表列出居留司法管轄區之稅務居民並特此提供每個所列居留司法管轄區的稅務編號或具有等同功能的識別編號(“稅務編號”)。

Notes to completing the table below:

填寫下方列表時注意:

Please indicate **all** jurisdictions of residence for tax purposes (including the Hong Kong Special Administrative Region of the People's Republic of China ("Hong Kong") where applicable). The United States of America need not be listed in the table below. If space provided below is insufficient, continue on additional sheet(s).

請提供所有閣下作為稅務居民的居留司法管轄區(包括中華人民共和國香港特別行政區(“香港”)如適用)。美國無需在下方列表列出。如下方空位不夠應用, 可在額外的表格填寫。

If you are a resident of Hong Kong for tax purposes, the TIN for Hong Kong is the Hong Kong Identity Card Number (including the digit in brackets but without the brackets themselves).

如閣下為香港的稅務居民, 稅務編號是其香港身份證號碼(包括括號裡的數字但不包括括號)。

Please note that Hong Kong, the Macau Special Administrative Region of the People's Republic of China, the People's Republic of China and Taiwan are separate jurisdictions for the purposes of this Self-Certification Form.

請注意香港、中華人民共和國澳門特別行政區、中華人民共和國和台灣在此表格被視為不同的居留司法管轄區

If you have any questions about your jurisdiction(s) of residence for tax purposes or how to complete the table below, please contact your tax advisor.

如閣下有關於 貴作為稅務居民的居留司法管轄區, 或如何填寫下方列表的疑問, 請向 貴稅務顧問諮詢。

If a TIN is not provided, please select one of the reasons below:

Reason A – The jurisdiction does not issue TINs to its residents.

Reason B – You are unable to obtain a TIN. Please provide explanation in the table below.

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

如沒有提供稅務編號, 請選擇以下一個理由:

理由 A – 此居留司法管轄區並沒有向其居民發出稅務編號。

理由 B – 閣下不能取得稅務編號。請在下方列表提供解釋。

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

Jurisdiction(s) of Residence for Tax Purposes 稅務居民的居留司法管轄區	TIN 稅務編號	Enter Reason A, B, or C if no TIN is provided 如沒有提供稅務編號， 填寫理由 A、B 或 C	Explanation if Reason B is selected 如選取理由 B，解釋原因
(1)			
(2)			
(3)			
(4)			
(5)			

Residence Address for Tax Purposes: 稅務用途住址 (Please include address, city/town and country) (填寫時請包括地址，城市與國家)

SIGNATURE, DECLARATIONS AND CONSENT FOR DISCLOSURE 簽署，聲明及同意披露

I acknowledge and agree that the information on this Self-Certification Form is collected and may be kept by Riches Depot Securities Co., Limited for the purposes of Automatic Exchange of Financial Account Information ("AEOI"), including Section 50B(3) of the Inland Revenue Ordinance (Cap. 112 of the Laws of Hong Kong), and the US Foreign Account Tax Compliance Act ("FATCA"), and such information (including my personal data provided herein (the "Personal Information")) may be reported by Riches Depot Securities Co., Limited to (i) the Hong Kong Inland Revenue Department (the "IRD") for transfer to the governmental, regulatory or competent authority or taxing authority of one or more jurisdiction(s) (the "Relevant Authorities") in which I am a resident for tax purposes, and/or (ii) the US Internal Revenue Service (the "IRS") or otherwise in connection with FATCA.

本人知悉及同意，本表格所載資料由聚富證券有限公司收集並可備存作自動交換財務帳戶資料《AEOI》(包括香港法例第 112 章《稅務條例》第 50B(3)條)和美國海外帳戶稅收合規法案《FATCA》用途，及可被聚富證券有限公司把該等資料(包括本人在此提供的個人資料(“個人資料”)) (i)向香港稅務局(“稅務局”)申報，從而把資料轉交到本人作為稅務居民的一個或多個居留司法管轄區的政府、監管或主管當局或稅務機關(“相關當局”)，和/或(ii)向美國國稅局申報或其它 FATCA 相關的申報。

I hereby expressly give my consent to the disclosure, use and making available by Riches Depot Securities Co., Limited for information (including the Personal Information) on this Self-Certification Form as well as those relating to or derived from my account maintained with Riches Depot Securities Co., Limited in my capacity as an account holder, to the IRD, the Relevant Authorities and/or the IRS from time to time for the purposes of, or in connection with, AEOI, FATCA.

本人明確表示同意聚富證券有限公司因或有關 AEOI、FATCA 的其它課題不時向稅務局、相關當局和/或美國國稅局披露，使用和提供本表格所載資料(包括個人資料)和/或與本人以戶口持有身份持有的戶口有關或從中所獲得的資料。

I understand that my Personal Information will continue to be made available to the IRD, the Relevant Authorities and/or the IRS until such time as Riches Depot Securities Co., Limited have received my written notification of revocation of my consent. I further understand that following withdrawal of my consent any Personal Information that has already been disclosed prior to such withdrawal will remain accessible to the IRD, the Relevant Authorities and/or the IRS to which it was previously disclosed for the purposes of, or in connection with, AEOI, FATCA and/or any other Tax Information Exchange Framework matters.

本人明白本人的個人資料將可能被提供予稅務局、相關當局和/或美國國稅局，直至本人以書面形式通知聚富證券有限公司撤銷有關同意。本人進一步明白，在撤銷有關同意前已因或有關 AEOI、FATCA 和/或稅務資料交換框架內的其它課題而披露的個人資料將仍可讓稅務局、相關當局和/或美國國稅局繼續查閱。

I certify that I am the account holder (within the meaning of each of AEOI and FATCA) of the account(s) to which this Self-Certification Form relates.

本人聲明及保證，就與本表格所有相關的帳戶，本人是按 AEOI 和 FATCA 定義下的帳戶持有人。

I agree that I will advise Riches Depot Securities Co., Limited of any change in circumstances which (i) affects my jurisdiction(s) of residence for tax purposes and/or my US or non-US status or (ii) otherwise causes the information contained on this Self-Certification Form to become incorrect or incomplete, and I will submit a new Self-Certification Form to Riches Depot Securities Co., Limited within 30 days of such change in circumstances.

本人承諾，如情況有所改變，以致影響本表格的(i)本人作為稅務居民的居留司法管轄區和/或本人的美國或非美國身份，或(ii)引致本表格所載的資料不正確或不完整，本人會通知聚富證券有限公司，並會在情況發生改變後 30 日內，向聚富證券有限公司提交一份已適當更新的自我證明表格。

I declare that the information given and statements in this Self-Certification Form are, to the best of my knowledge and belief it is true, correct and complete.

本人在此聲明本人已閱讀明白此自我證明表格內所有之內容。同時聲明盡本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

Signature of Account Holder 戶口持有人簽署

Date 日期

Note it is an offence under section 80(2E) of the Inland Revenue Ordinance (Cap. 112 of the Laws of Hong Kong) if any person, in making a self-certification relating to AEOI, 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).

警告:根據香港法例第112章《稅務條例》第80(2E)條，如任何人在自我證明表格作出關於AEOI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。

This Self-Certification Form is written in English with a translation in Chinese. In case of inconsistency, the English version shall prevail.

此自我證明表格的中英文本內容如有歧異，當以英文本為準。