

現金客戶協議書
CASH CLIENT'S AGREEMENT

ACCOUNT OPENING CHECKLIST
開戶文件核對表

<input type="checkbox"/> Basic Documents 基本文件	Cash Client's Agreement 現金客戶協議書 Signature Cards 簽名印鑑咭 HKID Card / Passport Copy 香港身份證 / 護照副本 Proof of Address (within 3 months) 地址證明 (三個月內)	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
<input type="checkbox"/> For Corporate 公司客戶	Certified Extract of Board Resolution for Open A/C 經認證之董事決議 Certified Copy of Valid B/R Certificate 經認證之商業登記證 Certified Copy of Certificate of Incorporation 經認證公司註冊證書 Certified Copy of the Memorandum & Articles of Association of the Company 本公司組織大綱及章程之認證副本 Certified Copy of Authorized Person HKID / Passport 經認證之授權人仕香港身份證 / 護照副本	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
<input type="checkbox"/> Remarks 附加	Online Trading Agreement 網上交易協議書 Email Statement 電郵結單 Third Party Authorization 第三者授權操作	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

Account Name: 客戶名稱	Account No.: 客戶號碼	Trading Limit: 交易限額
Brokerage: 佣金	Account Officer : 客戶主任	Documentation Checked by: 文件查核
Client known to Account Officer: 與客戶主任相識年期	Introduced by: 介紹人	Approved by: 核准

This is an important document. You are advised to seek legal and professional advices on its legal effect and consequences before signing.

這是重要的文件。請客戶在未簽署前諮詢法律及專業意見瞭解其法律作用及後果。

淺白語言現金客戶協議書

CASH CLIENT'S AGREEMENT IN PLAIN LANGUAGE

致 To: **GLS Securities Ltd.**
Room 1001, Hong Kong House
17-19 Wellington Street
Central, Hong Kong

佳隆證券有限公司
香港中環威靈頓街 17-19 號
香港工商大廈 1001 室

佳隆證券有限公司，為證監會註冊的證券交易商CE編號(AFB 614)以及香港聯合交易所有限公司參與者。

GLS SECURITIES COMPANY LIMITED is duly registered with the Securities and Futures Commission of Hong Kong ("SFC") as a securities dealer CE Number: (AFB 614) and an Exchange Participant of the Stock Exchange of Hong Kong Limited.

基於佳隆證券同意應本人 / 吾等的要求，根據其絕對的情權向本人 / 吾等提供證券及有關的服務，本人 / 吾等現同意及接納下列條款及條件：-

In consideration of GLS Securities Limited agreeing at its absolute discretion to render securities and related services to me/us at my / our request, I / we hereby agree and accept the terms and conditions as follows:-

本人/吾等(請填寫姓名/名稱)_____ 茲要求閣下根據下列條款及條件為本人/吾等運作一個現金證券買賣戶口(戶口)：

I/We _____ request you to operate a cash securities trading account (the Account)

for me/us on the following terms and conditions: -

1 戶口 The Account

1.1 本人/吾等確認「開戶資料」所載資料均屬完整及正確。倘該等資料有任何變更，本人/吾等將會通知閣下。本人/吾等特此授權 閣下對本人/吾等的信用進行查詢，以核實上述表格所載資料。

I/We confirm that the information provided in the Account Opening Information is complete and accurate. I/We will inform you of any changes to that information. You are authorized to conduct credit enquiries on me/us to verify the information provided.

1.2 閣下將會對本人/吾等戶口的有關資料予以保密，但 閣下可以根據聯交所及證監會的規定或應其要求，將該等資料提供予聯交所及證監會。You will keep information relating to my/our Account confidential, but may provide any such information to the Exchange and the SFC to comply with their requirements or requests for information.

2 法例及規則 Laws and rules

閣下按本人/吾等的指示在聯交所進行的一切證券交易(交易)，須根據適用於閣下的一切法例、規則和監管指示的規定而進行。這方面的規定包括聯交所及香港中央結算有限公司(中央結算公司)的規則。閣下根據該等法例、規則及指示而採取的所有行動均對本人/吾等具有約束力。

All transactions in securities which you effect on my/our instructions (Transactions) shall be effected in accordance with all laws, rules and regulatory directions applying to you. This includes the rules of the Exchange and of the Hong Kong Securities Clearing Company Limited (the Clearing House). All actions taken by you in accordance with such laws, rules and directions shall be binding on me/us.

3 交易 Transactions

3.1 除閣下(在有關交易的成交單或其他合約單據內)註明以自己本身名義進行交易外，閣下將以本人/吾等的代理人身份進行交易。

You will act as my/our agent in effecting Transactions unless you indicate (in the contract note for the relevant Transaction or otherwise) that you are acting as principal.

3.2 倘沽盤是有關非由本人/吾等擁有的證券，即涉及賣空交易，本人/吾等將會預先通知閣下。

I/We will notify you beforehand when a sale order relates to securities which I/we do not own i.e. involves short selling.

3.3 本人/吾等會就所有交易支付閣下通知本人/吾等的佣金和收費，繳付聯交所徵收的適用徵費，並繳納所有有關的印花稅。閣下可以從戶口中扣除該等佣金、收費、徵費及稅項。

On all Transactions, I/we will pay your commissions and charges, as notified to me/us, as well as applicable levies imposed by the Exchange, and all applicable stamp duties. You may deduct such commissions, charges, levies and duties from the Account.

3.4 就每一宗交易，除另有協議外或除非閣下已代本人/吾等持有現金或證券供交易交收之用，否則本人/吾等將會在閣下就該項交易通知本人/吾等的期限之前

- 向閣下交付可即時動用的資金或可以交付的證券，或
- 以其他方式確保閣下收到此等資金或證券。

倘本人/吾等未能這樣做，閣下可以

- (如屬買入交易)出售買入的證券；及
- (如屬賣出交易)借入及/或買入證券以進行交易的交收。

Unless otherwise agreed, in respect of each Transaction, unless you are already holding cash or securities on my/our behalf to settle the Transaction, I/we will

- pay you cleared funds or deliver to you securities in deliverable form or
- otherwise ensure that you have received such funds or securities by such time as you have notified me/us in relation to that Transaction.

If I/we fail to do so, you may

- in the case of a purchase Transaction, sell the purchased securities and
- in the case of a sale Transaction, borrow and/or purchase securities in order to settle the Transaction.

- 3.5 本人/吾等將會負擔閣下因本人/吾等未能進行交收而引起的任何損失及開支。
I/We will be responsible to you for any losses and expenses resulting from my/our settlement failures.
- 3.6 本人/吾等同意就所有逾期未付款項(包括對本人/吾等裁定的欠付債務所引起的利息)，按(於裁定前後)下列利率(以較高者為準)加8.0%支付利息：(i) 香港上海滙豐銀行有限公司所公佈於該日的優惠貸款利率和(ii) 閣下於該日就逾期未付款項的貸款成本利率，以及按閣下不時通知本人/吾等其絕對酌情決定的利率及其他條款支付利息，該等利息應以日息計算和於每一公曆月最後一日或應 閣下要求支付。
I/We agree to pay interest on all overdue balances (including interest arising after a judgment debt is obtained against me/us) at a rate of (before and after judgment) 8.0 per cent per annum above the higher of : (i) the prime rate of lending quoted by the Hongkong and Shanghai Banking Corporation Limited on the relevant date and (ii) the rate that corresponds to your cost of funding on such overdue balances on the relevant date, and on such other terms determined by you in your absolute discretion as you have notified me/us from time to time. Such interest shall be calculated on a daily basis and payable on the last day of each calendar month or on your demand.
- 3.7 就買入交易而言，倘賣方經紀未能於交收日內交付證券，導致 閣下須買入證券進行交收，本人/吾等毋須為買入該等證券的費用向閣下負責。
In the case of a purchase Transaction, if the selling broker fails to deliver on the settlement date and you have to purchase securities to settle the Transaction, I/we shall not be responsible to you for the costs of such purchase.

4 證券的保管 Safekeeping of securities

- 4.1 由閣下寄存妥為保管的任何證券，閣下可以酌情決定：
- (如屬可註冊證券)以本人/吾等的名義或以閣下的代理人名義註冊；或
 - 存放於閣下的往來銀行或提供文件保管設施的任何其他機構妥為保管。如屬香港的證券，該機構應為證監會認可的提供保管服務機構。
- Any securities which are held by you for safekeeping may, at your discretion
- (in the case of registrable securities) be registered in my/our name or in the name of your nominee; or
 - be deposited in safe custody in a designated account with your bankers or with any other institution which provides facilities for the safe custody of documents. In the case of securities in Hong Kong, such institution shall be acceptable to the SFC as a provider of safe custody services.
- 4.2 倘證券未以本人/吾等的名義註冊，閣下於收到該等證券所獲派的任何股息或其他利益時，須按本人/吾等與閣下的協議記入本人/吾等的戶口或支付予或轉賬予本人/吾等。倘該等證券屬於 閣下代客戶持有較大數量的同一證券的一部份，本人/吾等有權按本人/吾等所佔的比例獲得該等證券的利益。
Where securities are not registered in my/our name, any dividends or other benefits arising in respect of such securities shall, when received by you, be credited to my/our Account or paid or transferred to me/us, as agreed with you. Where the securities form part of a larger holding of identical securities held for your clients, I/we shall be entitled to the same share of the benefits arising on the holding as my/our share of the total holding.
- 4.3 本人/吾等並無根據《證券條例》第81(3)條以書面授權閣下：
- 將本人/吾等的任何證券存放在銀行業機構，作為閣下所獲墊支或貸款的抵押品，或者存放在中央結算公司，作為履行閣下在結算系統下之責任的抵押品
 - 借貸本人/吾等的任何證券
 - 基於任何目的以其他方式放棄本人/吾等的任何證券之持有權(交由本人/吾等持有或按本人/吾等的指示放棄持有權除外)。
- You do not have my/our written authority under section 81(3) of the Securities Ordinance to:-
- deposit any of my/our securities with a banking institution as collateral for an advance or loan made to you, or with the Clearing House as collateral for the discharge of your obligations under the clearing system
 - borrow or lend any of my/our securities
 - otherwise part with possession (except to me/us or on my/our instructions) of any of my/our securities for any purpose.

5 代本人/吾等保管的現金 Cash held for me/us

代本人/吾等保管的現金須依照適用法律不時的規定，存放於一家持牌銀行所開立的一個客戶信託賬戶內(此等現金不包括閣下就交易取得，而且須為交收而轉付或轉付予本人/吾等的現金)。

Any cash held for me/us, other than cash received by you in respect of Transactions and which is on-paid for settlement purposes or to me/us, shall be credited to a client trust account maintained with a licensed bank as required by applicable laws from time to time.

6 一般規定 General

- 6.1 佳隆證券有權將本人 / 吾等之賬戶內所有證券作一項持續性保證，作為本人 / 吾等就任何交易所產生之付款及/或責任得到履行之擔保。佳隆證券亦有權出售全部或部份證券或賬戶下持有之資產以清還任何債務。
GLS Securities Limited has the right to hold all Securities in my/our cash account as a continuing security for the payment and/or discharge of the obligations of me / us arising from any transaction. GLS Securities Limited has further right to dispose of all or part of Securities or asset held under the cash account for the settlement of any of the obligations.
- 6.2 倘佳隆證券沒有依照本協議書的規定履行對本人 / 吾等的責任，本人 / 吾等有權向根據《證券及期貨條例》成立的賠償基金索償，惟須受賠償基金不時的條款制約。
If GLS Securities Limited fails to meet your obligations to me/us pursuant to this Agreement, I / we shall have right to claim under the Compensation Fund established under the Securities and Futures Ordinance, subject to the terms of the Compensation Fund from time to time.
- 6.3 倘佳隆證券的業務有重大變更，並且可能影響佳隆證券為本人 / 吾等提供的服務，佳隆證券將會通知本人 / 吾等。
GLS Securities Limited will notify me / us of material changes in respect of GLS Securities Limited's business, which may affect the services GLS Securities Limited provides to me / us.

- 6.4 本協議書受香港特別行政區法律管轄，並且可以根據香港特別行政區法律執行。
This Agreement is governed by, and may be enforced in accordance with, the laws of the Special Administrative Region of Hong Kong.

7. 風險披露聲明書 Risk Disclosure Statement

- 7.1 本人 / 吾等知道證券價格可能及必定波動，任何個別證券的價格皆可上升或下跌，甚至可能變成毫無價值。買賣證券不一定獲利，而且存在著可能損失的風險。本人 / 吾等也知道將證券交佳隆證券給保管可能存在風險。例如當佳隆證券持有本人 / 吾等的證券而佳隆證券無力償債時，本人 / 吾等取回證券的時間可能會受到嚴重阻延。本人 / 吾等願意承擔此等風險。
I / We acknowledge that the price of securities can and does fluctuate, and any individual security may experience upwards or downwards movements, and may even become valueless. There is inherent risk that losses may be incurred rather than profit made as a result of buying and selling securities. I / We also acknowledge that there may be risks in leaving securities in GLS Securities Limited's safekeeping. For example, if GLS Securities Limited is holding my/our securities and GLS Securities Limited become insolvent, I / we may experience significant delay in recovering the securities. These are risks that I / we am/are prepared to accept.
- 7.2 本人 / 吾等明白按照試驗計劃掛牌買賣的證券是為熟悉投資者而設的。在買賣該項試驗計劃的證券之前，應先諮詢交易商的意見和熟悉該項試驗計劃。本人 / 吾等應知悉，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。
I / We acknowledge that the Securities under the Nasdaq-Amex Pilot Program are aimed at sophisticated investors. I / We should consult its dealer and become familiarized with the Pilot Program before trading in the Securities under the Pilot Program. I / We should be aware that the Securities under the Pilot Program are not regulated as a primary or secondary listing on the main board of the stock Exchange or the GEM.
- 7.3 本人 / 吾等知道創業板證券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。創業板證券可能非常波動及流通性很低。而且，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。現時有關創業板證券的資料只可以在聯交所操作的互聯網網站上找到。創業板上上市公司一般毋須在憲報指定的報章刊登付費公告。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證券所涉風險有不明白之處，應尋求獨立的專業意見。
I / We am/are aware that GEM Securities 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 Securities may be very volatile and illiquid. Moreover, I / We 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. Current information on GEM Securities may only be found on the Internet website operated by the Stock Exchange. Companies listed on GEM are usually not required to issue paid announcements in gazetted newspapers. I / we should seek independent professional advice if it is uncertain of or has not understood any aspect of this risk disclosure statement or the nature and risk involved in trading of GEM Securities..
- 7.4 本人 / 吾等明白認股證及 / 或牛熊證為涉及衍生工具的結構性產品，除非本人 / 吾等完全了解及願意承擔所涉風險，否則切勿投資此產品。
I / we understand that the Warrants and / or Callable Bull / Bear Contracts(CBBCs) are structured products which involve derivatives. I / We fully understand and I am / we are willing to assume the risks associated with them.
- 7.5 本人 / 吾等明白人民幣計價產品所支付的人民幣付款兌換為本地貨幣，可能須承受匯率波動的風險。人民幣現時不可自由兌換並受到外匯兌換限制。人民幣兌換設有每日人民幣20,000元的兌換上限。投資者需留意倘若兌換金額超過每日的兌換上限，則需要較長的兌換時間。投資於人民幣產品，投資者須承受利率波動風險，這可能影響人民幣產品的回報及表現。
I / We understand that there may be exchange rate risks if you choose to convert RMB payments made on the RMB denominated products to your home currency. RMB is currently not freely convertible and is subject to certain conversion restrictions. Conversion of RMB is subject to a daily limit of RMB20,000 and time should be allowed if the conversion amount exceeds daily limit. RMB debt instruments are subject to interest rate fluctuations, which may adversely affect the return and performance of the RMB products.
- 7.6 本人 / 吾等明白債券 / 存款證乃投資產品。投資決定是由本人 / 吾等自行作出的。除非中介人於銷售該產品時已向本人 / 吾等解釋清楚，及考慮本人 / 吾等的財務情況、投資經驗及目標後，該產品是適合本人 / 吾等的，否則不應投資在債券 / 存款證。債券 / 存款證並不相等於定期存款。存款證並非保本存款，不受香港存款保障計劃保護。存款證的償付不受香港特別行政區外匯基金擔保。債券 / 存款證主要提供長期的投資，並不是短線投機的工具。應準備於整段投資期內將資金投資於有關債券 / 存款證上；若選擇在到期日之前提早出售債券 / 存款證，可能會損失部份或全部的投資本金。本人 / 吾等明白債券 / 存款證的利息和本金是由發行者償還，債券 / 存款證持有人須承擔發行者的信貸風險。如果發行者不履行契約，債券 / 存款證持有人可能無法取回債券 / 存款證的利息和本金。在此情況下，債券 / 存款證持有人不能向佳隆證券追討任何賠償。倘若選擇將債券 / 存款證所支付的付款兌換為本地貨幣，可能須承受匯率波動的風險。
I / We understand that bonds / Certificate of Deposits(CDs) are investment products. The investment decision is / are made by myself / ourselves. I / we should not invest in bonds / CDs unless the intermediary has explained to me / us clearly at the product is suitable for me / us having regard to your financial situation, investment experience and investment objectives. Bonds / CDs are NOT equivalent to a time deposit. CDs are not a protected deposit and is not protected by the Deposit Protection Scheme in Hong Kong. I / We understand that bonds / CDs are mainly for medium to long term investment, not for short term speculation. You should be prepared to invest your funds in bonds / CDs for the full investment tenor, you could lose part or all of your investment if you choose to sell you bonds / CDs prior to maturity. I / We understand that it is the issuer to pay interest and repay principal of bonds / CDs. If the issuer defaults, the holder of bonds / CDs may not be able to receive back the interest and principal. The holder of bonds / CDs bears the credit risk of the issuer and has no recourse to GLS Securities Limited. I / We understand that there may be exchange rate risks if I / we choose to convert payments made on the bonds / CDs to your home currency.
- 7.7 本人 / 吾等明白使用電子方式提供的服務可能會出現無法預見的通訊阻塞及其他原因，電子傳送未必是可靠的通訊媒介。通過電子方式傳送的資料或進行的交易，可能在傳送和收到客戶的指示或其他資料時出現延誤，在執行指示時出現延誤，或以不同於客戶發出指示時，以市價執行客戶的指示，亦會出現傳送中斷或丟失。通訊過程中還會有出現誤解或錯誤的風險。此外，在作出指示後亦通常不可以取消指示。
I / We understand that unpredictable traffic congestion and other reasons may appear by using electronic means, electronic transmission may not be a reliable medium of communications. Information transmitted or transactions conducted via electronic means are subject to delays in transmission and receipt of the Client's instructions or other information, delays in execution or execution of the Client's instructions at prices different from those prevailing at the time the Client's instructions were given, transmission interruption or blackout. There are

risks of misunderstanding or errors in communication. It is also usually not possible to cancel an instruction after it has been given.

- 7.8 本人 / 吾等明白向閣下提供授權書，允許佳隆證券代存郵件或將郵件轉交予第三方，那麼本人 / 吾等便須盡速親身收取所有關於其賬戶的成交單據及結單，並加以詳細閱讀，以確保可及時偵察到任何差異或錯誤。

I / We understand that provides GLS Securities Limited with an authority to hold mail or to direct mail to third parties, it is important for I / we to promptly collect in person all contract notes and statements of its account and review them in detail to ensure that any anomalies or mistakes can be detected in a timely fashion.

8. 聲明 Declaration

- 8.1 本人 / 吾等已經細閱，明白及接受由佳隆證券所提供的所有有關上述戶口的章則條款(請參閱淺白語言統一現金客戶協議書)，並已收到有關條款乙份。

I / We have read, understood and agree to be bound by all the relevant terms and conditions (please refer to UNIFORM CASH CLIENT'S AGREEMENT IN PLAIN LANGUAGE) issued by GLS Securities Limited governing the above account(s) and acknowledge receipt of a copy.

- 8.2 本人 / 吾等証實上述資料乃屬正確及完整，並授權佳隆證券向任何方面証實。本人 / 吾等亦同意上述資料有任何改變，會立即通知貴行。

I / We hereby confirm that the information above given is correct and complete and authorize GLS Securities Limited to verify the same from any source it may deem fit. I / We also undertake to notify GLS Securities Limited immediately of any changes to the above information.

- 8.3 本人 / 吾等已按照本人 / 吾等選擇的語言(英文或中文)，獲提供風險披露聲明，提出問題及徵求獨立意見【如本人 / 吾等有此意願】。

I / We hereby confirm that the Risk Disclosure Statements have been provided in the language of my / our choice (English or Chinese); and I / We have been invited to read the Risk Disclosure Statements, to ask questions and to take independent advice if I / we wish.

- 8.4 本人 / 吾等以書面方式發出以下指示：

I / We give the following order(s) by written notices:

- (a) 本人 / 吾等要求佳隆證券更改資料。(包括聯絡資料)。

I / We request to change relevant information. (Including correspondence information).

- (b) 本人 / 吾等要求毋須向本人 / 吾等寄發郵件(包括綜合成交單據及帳戶日結單 / 或戶口月結單)。(有效期為十二個月)

I / We request GLS Securities Limited to hold mail (including combined daily statement and contract notes and / or monthly statements) with an effective period of 12 months.

- (c) 本人 / 吾等要求指派第三者【唯不包括佳隆證券之僱員及客戶主任，及風險由本人 / 吾等自行承擔】前來收取綜合成交單據及戶口日結單 / 或戶口月結單(隨附授權人之身份證副本並簽署)。(有效期為十二個月)

I / We request third parties to collect combined daily statement and contracts notes and / or monthly statements with an effective period of 12 months (I / We shall bear my/our own risk). I / We understand that the authorized third parties cannot be employees and / or account executives of GLS Securities Limited.

- (d) 本人 / 吾等要求佳隆證券取消本人 / 吾等之證券買賣戶口。

I / We request GLS Securities Limited to terminate my / our securities trading account.

- 8.5 本人 / 吾等明白本人 / 吾等不能以第三者支票交收。

I am / We are aware that I / We shall not settle any transaction with third-party cheques.

- 8.6 本人 / 吾等將一份已簽署的實物客戶協議連同本人 / 吾等的身份證明文件(本人 / 吾等的香港身份證或其護照的有關部份)地址證明及簽名證明交給佳隆證券，以核實本人 / 吾等的簽名及身份。

I / We shall sign this cash client agreement and provide GLS Securities Limited my / our H.K.I.D. or PASSPORT, evidence of address and verification of signature(s) to verify my / our signature(s) and identity.

- 8.7 本人 / 吾等同時將本人 / 吾等在香港的持牌銀行開立的帳戶所簽發的支票及同意佳隆證券將有關支票兌現(該支票的數額不得少於港元，並載有本人 / 吾等在身份證明文件上所顯示的姓名)。

I / We shall provide GLS Securities Limited a cheque issued by a Hong Kong authorized bank and agree GLS Securities Limited to clear the cheque (the cheque should have the same name(s) printed on my / our H.K.I.D. / PASSPORT and the amount should not less than Hong Kong Dollar).

- 8.8 本人 / 吾等確認本人 / 吾等非註冊人的僱員或認可機構涉及買賣證券員工，並承諾如有任何改變，會立即通知佳隆證券。

I / We confirm that I am / We are not employee of a Registered Person or a Securities Dealing Staff of an Authorized Institution and undertake to notify GLS Securities Limited in case there is any change in status immediately.

- 8.9 本人 / 吾等確認風險披露聲明：

I / We acknowledge Risk Disclosure Statements:

- (a) 買賣創業板的風險披露聲明，

Risk Disclosure Statement for Trading on GEM,

- (b) 認股證及 / 或牛熊證為涉及衍生工具的結構性產品的風險披露聲明，

Risk Disclosure Statement for The Warrants and / or Callable Bull / Bear Contracts (CBBCs),

- (c) 買賣人民幣產品的人民幣兌換限制及匯率波動的風險披露聲明，

Risk Disclosure Statement for Conversion Restriction and Exchange Rate Risk on RMB for Purchase and Sale Transaction of RMB Products,

- (d) 買賣債券 / 存款證風險披露聲明，

Risk Disclosure Statement for Purchase and Sale on Bonds / Certificate of Deposits (CDs),

- (e) 電子方式提供服務的風險披露聲明，

Risk Disclosure Statement for Providing Services through Electronic Means,

- (f) 代存郵件或將郵件轉交第三方的授權書之風險披露聲明。

Risk Disclosure Statement for Providing an Authority to Hold Mail or to Direct Mail to Third Parties.

以上風險披露聲明書已由下列簽署之註冊人仕向本人/吾等全部解釋清楚，而本人/吾等亦明白其內容。本人/吾等明白根據交易所規則，閣下必須為本人/吾等提供此份由本人/吾等簽署及填上日期，並載有由下列簽署之註冊人仕的風險披露聲明書之副本。

The above Risk Disclosure Statements have been fully explained to me/us by the undersigned registered person and fully understand the contents hereof. I/We understand that you are required under the Rules of the Exchange to ensure that I/We are provided with a copy of these Risk Disclosure Statements signed and dated by me/us and contains the declaration by the name of the undersigned registered person.

客戶 / 授權董事名稱

1 . **Name of the Client/Authorized Director :** _____

客戶 / 授權董事簽署

Client's / Authorized Director's Signature : _____

客戶 / 授權董事名稱

2 . **Name of the Client/Authorized Director :** _____

客戶 / 授權董事簽署

Client's / Authorized Director's Signature : _____

日期

Date : _____

註冊人仕聲明

Declaration by registered person

聲明我(名稱)

Declaration by I (Name) _____, **CE號碼** _____, **職位** _____, **CE Number** _____, **Position** _____,

已經以客戶明白的語言方式向

have fully explained the contents of these Risk Disclosure Statements, to (Client's Name) _____ (客戶)

於 (地址)

at (address) _____

全部清楚解釋此風險披露聲明書的內容。

in manner of a language which the Client(s) understand(s).

註冊人簽署

Signature of the registered person: _____

日期:

Date : _____

注意：註冊人的僱員或認可機構涉及買賣證券的員工必須在取得其僱主的書面同意後，方可於本行開立及使用這證券買賣戶口。

Note: Employees of a Registered Person or a Securities Dealing Staff of an Authorized Institution are requested to obtain their employer's written consent for the opening and operation of this securities trading account.

個人帳戶 / 聯名帳戶 / 公司帳戶
Individual Account / Joint Account / Corporate Account

帳戶類別 Classification of Account	現金帳戶 <input type="checkbox"/> Cash Account	人民幣現金帳戶 <input type="checkbox"/> RMB Cash Account	滾存帳戶 <input type="checkbox"/> Rolling Balance Account
客戶個人資料 Client's Personal Information			
戶口持有人 1) Account Holder		戶口持有人 2) Account Holder	
戶名 Client Name	先生 / 女士 / 太太 / 小姐 Mr. / Ms. / Mrs. / Miss	戶名 Client Name	先生 / 女士 / 太太 / 小姐 Mr. / Ms. / Mrs. / Miss
中文 Chinese		中文 Chinese	
英文 English		英文 English	
香港身份證 / 護照號碼 H.K.I.D. / Passport No. :		香港身份證 / 護照號碼 H.K.I.D. / Passport No. :	
出生日期 Date of Birth :		出生日期 Date of Birth :	
國籍 Nationality :		國籍 Nationality :	
住址 Home Address :		住址 Home Address :	
通訊地址 Correspondent Address :		通訊地址 Correspondent Address :	
手提電話 Mobile Phone :	住宅電話 Home Phone :	手提電話 Mobile Phone :	住宅電話 Home Phone :
其他電話 Other Phone :	傳真號碼 Fax No. :	其他電話 Other Phone :	傳真號碼 Fax No. :
電郵地址 E-mail Address :		電郵地址 E-mail Address :	
銀行名稱 (港幣) Name of Bank(HKD) :		銀行名稱 (港幣) Name of Bank(HKD) :	
銀行戶口號碼 (港幣) Bank A/C No.(HKD) :		銀行戶口號碼 (港幣) Bank A/C No.(HKD) : .	
銀行名稱 (人民幣) Name of Bank(RMB) :		銀行名稱 (人民幣) Name of Bank(RMB) :	
銀行戶口號碼 (人民幣) Bank A/C No.(RMB) :		銀行戶口號碼 (人民幣) Bank A/C No.(RMB) :	
職業 Occupation :	任職年期 Length of Employment :	職業 Occupation :	任職年期 Length of Employment :
退休前職業 Occupation before Retirement :		退休前職業 Occupation before Retirement :	
僱主名稱 Name of Employer :		僱主名稱 Name of Employer :	
工作地址 Office Address :		工作地址 Office Address :	
工作電話 Office Phone :	傳真號碼 Fax No. :	工作電話 Office Phone :	傳真號碼 Fax No. :
教育背景 Background of Education		教育背景 Background of Education	
<input type="checkbox"/> 小學 Primary <input type="checkbox"/> 中學 Secondary <input type="checkbox"/> 高中 College		<input type="checkbox"/> 小學 Primary <input type="checkbox"/> 中學 Secondary <input type="checkbox"/> 高中 College	
<input type="checkbox"/> 大學 University <input type="checkbox"/> 大學以上 Post-Graduate		<input type="checkbox"/> 大學 University <input type="checkbox"/> 大學以上 Post-Graduate	
關係 Relationship :		關係 Relationship :	

關於「海外帳戶稅收合規法案」

Foreign Account Tax Compliance Act (FATCA)

您是否附合由美國稅局(“IRS”)規管，定義所指明的美國人士(包括美國公民 / 美國居民 / 美國永久性居民 / 美國綠咭持有人 / 僑居美國的外籍人士?)

Are you a US Person (including U.S Citizen / U.S. Resident / U.S. Permanent Resident / U.S. Green Card Holder / U.S. Resident Alien) within the meaning specified in the (“FATCA”) governed by the Internal Revenue Services (“IRS”) of United State of America?

- 否 No (如適合請填寫國稅局發出之W8BEN表格 where suitable, please complete Form W8BEN of IRS)
- 是 Yes (如適合，請填寫國稅局發出之W9表格 where suitable, please complete Form W9 of IRS)

(請查閱您是否附合以下IRS不時對美籍人士的條件 Please check if you meet any of the following indices set out by IRS from time to time)

- 美國公民或居民(綠咭持有人)US citizen or resident (Green Card holder)
- 於美國境內出生US place of birth
- 於美國境內居住或以美國地址為郵寄地址US resident or mailing address
- 以美國電話號碼為聯絡號碼US telephone number
- 設有常設授權以劃撥資金予美籍人士Standing instructions to transfer funds to a US based account
- 設有帳戶操作/簽署授權予美籍人士 Power of attorney or signatory authority granted to person with US address; or
- 以美國地址以託收信件 In care-of or hold mail address that is sole address of account holder

請注意如有您需要就任何影響FATCA狀況識別的個人資料更改，例如公民身份/國籍、地址、電話等，適時並於指定時間內通知IRS及我們有關更改

Please be reminded that you are responsible for notifying promptly and within the prescribed timeline IRS and us in the case of Change in Circumstances that may affect your FATCA status, such as citizenship/nationality, address, phone number, etc.

客戶投資經驗及目標調查

Client Investment Experience and Objectives Survey

投資經驗 Investment History : 沒有 Nil 少於 1 年 Less than a year 1 - 5 年 year(s)
 6 - 10 年 years 10 年以上 More than 10 years

曾投資的產品 Products Experienced : 證券 Stocks 人民幣產品 RMB Products
 認股證 / 牛熊證 Warrants / CBBCs 其他 Others :

投資目標 Investment Objectives : 短線投資 Short Term 中線投資 Medium Term 長線投資 Long Term
 股息回報 Dividend Yield 投資增值 Capital Appreciation 投機賺取收入 Speculation 其他 Others :

估計投資金額 Estimated Investment Amount : 低於 Less than HK\$100,000 HK\$100,000 – HK\$500,000
 HK\$500,000 – HK\$1,000,000 高於 Over HK\$1,000,000

收入來源 Source of Income : 儲蓄 Savings 薪金 Salary 佣金 Commission
 租金 Rent 股息 Dividend 利息 Interest 業務溢利 Business Profit 其他 Others :

每年收入 Annual Income : 低於 Below HK\$250,000 HK\$250,000 – HK\$500,000
 HK\$500,001 – HK\$1,000,000 高於 Over HK\$1,000,000

住屋 Residence : 無按揭物業 Self-owned 按揭物業 Mortgage 租用物業 Rented
 公司宿舍 Company Quarters 與家人同住 Living with Family

估計個人資產淨值 Estimated Net Asset Worth : 低於 Below HK\$500,000 HK\$500,001 – HK\$1,000,000
 HK\$1,000,001 – HK\$5,000,000 HK\$5,000,001 – HK\$10,000,000 高於 Over HK\$10,000,000

客戶聲明

Declaration by Client

1. 你是否此戶口的最終權益擁有人? Are you the ultimate beneficial owner(s) in relation to the Account?

是 Yes

否, 戶口的最終權益擁有人是 No. Details of the ultimate beneficial owner(s) is / are

姓名 Name : _____ 香港身份證 / 護照號碼 H.K.I.D. Passport No. : _____

地址 Address : _____

電話號碼 Phone No. : _____

2. 閣下與本公司職員是否有直屬關係? Are you the direct relative of any of our staffs?

是 Yes, 職員姓名 Name of Employee : _____ 關係 Relationship : _____

否 No

3. 閣下是否在其他經紀行擁有戶口? Do you have account(s) with other brokerage firm(s)?

是 Yes, 經紀名稱 Name of Broker : _____

戶口類別 Type of Account : 現金 Cash 滾存 Rolling Balance 網上交易 Internet

否 No

4. 你是否此戶口的最終交易指示發出者? Are you the ultimate originator(s) of transaction?

是 Yes

否 No, 戶口的最終交易指示發者是 Details of the ultimate originator(s) of transaction is / are

姓名 Name : _____ 香港身份證 / 護照號碼 H.K.I.D. Passport No. : _____

地址 Address : _____

電話號碼 Phone No. : _____

5. 閣下是否其他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註冊之人士?

Are you an employee of any participant of The Stock Exchange of Hong Kong or a registered person under the Securities and Futures Ordinance?

是 Yes, 參與者名稱 Name of Participant : _____

職位 Position : _____ 中央編號 CE No. : _____

是否已取所屬持牌法團之授權信? Have you obtained written approval from your accredited licensed corporation?

是 Yes 否 No

否 No

現金帳戶交易協議由客戶同意及接納 **SECURITIES TRADING AGREEMENT AGREED & ACCEPTED BY CASH CLIENT**

客戶明白條款及條件以及交易政策所載的條文，並接受及同意受該等文件約束。

The Client understands that all provisions set out in the Terms & Conditions and the Trading Policy and accepts and agrees to be bound thereby.

客戶確認及簽署

Acknowledgement and Execution by Client(s)

個人帳戶持有人

Individual Account Holder(s)

客戶簽署
Client's Signature

客戶簽署
Client's Signature

(1) 客戶姓名 Name of Client _____

(2) 客戶姓名 Name of Client _____

見證人簽署
Witness' Signature

見證人簽署
Witness' Signature

見證人姓名 見證人姓名 _____
Name of Witness

見證人姓名 見證人姓名 _____
Name of Witness

公司帳戶持有人

Corporate Account Holder(s)

客戶授權簽署 / 公司蓋印
Authorized Signature(s) / Business Chop

客戶授權簽署 / 公司蓋印
Authorized Signature(s) / Business Chop

簽署人姓名/職銜
Signed by & Title _____

簽署人姓名/職銜
Signed by & Title _____

客戶授權簽署 / 公司蓋印
Authorized Signature(s) / Business Chop

客戶授權簽署 / 公司蓋印
Authorized Signature(s) / Business Chop

簽署人姓名/職銜
Signed by & Title _____

簽署人姓名/職銜
Signed by & Title _____

*** 只供本行使用 For Official Use Only ***

Acknowledged and accepted by GLS Securities Limited

Name of Dealing Director : _____ Signature of Dealing Director : _____

Date for Signing : _____