

客戶資料聲明 CLIENT INFORMATION STATEMENT

現金帳戶 CASH ACCOUNT

客戶資料 - 個人 / 聯名戶口 客戶 PRIMARY CLIENT		CLIENT INFORMATION FORM - INDIVIDUAL / JOINT ACCOUNT	
		(請以正楷填寫 PLEASE PRINT IN BLOCK LETTERS)	
客戶名稱 Client Name : Mr. / Ms. / Mrs. / Miss 先生 / 女士 / 太太 / 小姐 英文 English :	客戶名稱 Client Name : 中文 Chinese :		
身份證 / 護照號碼 ID No. / Passport No. :	出生日期 Date of Birth : (日 D/月 M/年 Y)		
居住地址 Residential Address :	郵政編碼 Postal Code :		
通訊地址 Correspondence Address : (如與以上不同 If different with above)		郵政編碼 Postal Code :	
居住電話 Residential Telephone No.	辦公室電話 Office Telephone No. :		
手提電話 Mobile Telephone No. :	傳真號碼 Facsimile No. :		
電郵地址 E-mail address :			
職業 Occupation :	任職年期 Years with employer :		
僱主名稱 / 公司名稱 Name of Employer / Company :			
僱主地址 / 公司地址 Address of Employer / Company :		郵政編碼 Postal Code :	
所有交易確認通知書、帳戶結單送至 All trading confirmations' statement and correspondences to be sent to <input type="checkbox"/> 電郵 E-Mail <input type="checkbox"/> *居住地址 Registered Address <input type="checkbox"/> *通訊地址 Correspondence Address *若客戶選擇以住宅地址或通訊地址接收帳戶結單和交易通知，將收取每月港幣二十元服務費。（只適用於香港境外客戶。） HK\$20 per month will be charged if you choose the Registered Address or Correspondence Address for receiving the Account Statements and trading confirmations. (Applicable for the non-local client(s) only)			
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"/> 自僱 Self-employed <input type="checkbox"/> 沒有 No <input type="checkbox"/> 其它 Other : _____			
每年收入 Annual Income : <input type="checkbox"/> Below HK\$200,000 以下 <input type="checkbox"/> HK\$200,000-HK\$500,000 <input type="checkbox"/> HK\$500,001-HK1,000,000 <input type="checkbox"/> Over HK\$1,000,000 以上			
估計個人總資產淨值 Estimated Total Net Asset Worth : <input type="checkbox"/> Below HK\$1,000,000 以下 <input type="checkbox"/> HK\$1,000,000-HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001-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 : _____			
投資目標及經驗 Investment Objective and Experience			
投資目的 Investment Objective : <input type="checkbox"/> 資本增值 Capital Growth <input type="checkbox"/> 股息回報 Interest Return <input type="checkbox"/> 對沖 Hedging <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"/> 其它 Other (請註明 please specify: _____)			
投資經驗 Investment Experience : 股票 Stocks <input type="checkbox"/> 有, _____ 年經驗 Yes, for _____ year(s) <input type="checkbox"/> 沒有 No 衍生工具 Derivatives : 認股權證 Warrants <input type="checkbox"/> 有, _____ 年經驗 Yes, for _____ year(s) <input type="checkbox"/> 沒有 No 牛熊證 CBBC <input type="checkbox"/> 有, _____ 年經驗 Yes, for _____ year(s) <input type="checkbox"/> 沒有 No 期貨及期權 Futures & Options : <input type="checkbox"/> 有, _____ 年經驗 Yes, for _____ year(s) <input type="checkbox"/> 沒有 No 其它 Other : _____			
風險承受水平 Level of Risk Taking <input type="checkbox"/> 高 High <input type="checkbox"/> 中 Medium <input type="checkbox"/> 低 Low <input type="checkbox"/> 非常低 Very Low *若閣下可受風險水平為非常低，閣下則未必適合買賣認股權證、期權或其他衍生工具及列為高風險的金融產品。若閣下曾經買賣此類產品，則閣下會被視為可承受高風險。 If your attitude towards risk taking is very low, it may not be appropriate for you to trade in warrants, options or other derivative products and other financial products of a high-risk nature. If you have placed orders dealing in the above products, you will be deemed to have adopted a high level of risk-taking.			

第二客戶 SECONDARY CLIENT (只適用於聯名戶口 FOR JOINT ACCOUNT ONLY)	
客戶名稱 Client Name : Mr. / Ms. / Mrs. / Miss 先生 / 女士 / 太太 / 小姐 英文 English :	客戶名稱 Client Name : 中文 Chinese :
身份證/護照號碼 ID No. / Passport No. :	出生日期 Date of Birth : (日 D/月 M /年 Y)
居住地址 Residential Address :	郵政編碼 Postal Code :
居住電話 Residential Telephone No. :	辦公室電話 Office Telephone No. :
手提電話 Mobile Telephone No. :	傳真號碼 Facsimile No. :
電郵地址 E-mail address :	
職業 Occupation :	任職年期 Year(s) with employer :
僱主名稱/公司名稱 Name of Employer/Company :	
僱主地址/公司地址 Address of Employer/Company :	郵政編碼 Postal Code:
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"/> 自僱 Self-employed <input type="checkbox"/> 沒有 No <input type="checkbox"/> 其它 Other : _____	
每年收入 Annual Income : <input type="checkbox"/> Below HK\$200,000 以下 <input type="checkbox"/> HK\$200,000-HK\$500,000 <input type="checkbox"/> HK\$500,001-HK1,000,000 <input type="checkbox"/> Over HK\$1,000,000 以上	
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投資目標及經驗 Investment Objective and Experience	
投資目的 Investment Objective : <input type="checkbox"/> 資本增值 Capital Growth <input type="checkbox"/> 股息回報 Interest Return <input type="checkbox"/> 對沖 Hedging <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"/> 其它 Other (請註明 please specify: _____)	
投資經驗 Investment Experience : 股票 Stocks <input type="checkbox"/> 有, _____年經驗 Yes, for _____year(s) <input type="checkbox"/> 沒有 No 衍生工具 Derivatives : 認股權證 Warrants <input type="checkbox"/> 有, _____年經驗 Yes, for _____year(s) <input type="checkbox"/> 沒有 No 牛熊證 CBBC <input type="checkbox"/> 有, _____年經驗 Yes, for _____year(s) <input type="checkbox"/> 沒有 No 期貨及期權 Futures & Options : <input type="checkbox"/> 有, _____年經驗 Yes, for _____year(s) <input type="checkbox"/> 沒有 No 其它 Other : _____	
風險承受水平 Level of Risk Taking <input type="checkbox"/> 高 High <input type="checkbox"/> 中 Medium <input type="checkbox"/> 低 Low <input type="checkbox"/> 非常低 Very Low <small>*若閣下可受風險水平為非常低, 閣下則未必適合買賣認股權證、期權或其他衍生工具及列為高風險的金融產品。若閣下曾經買賣此類產品, 則閣下會被視為可承受高風險。 If your attitude towards risk taking is very low, it may not be appropriate for you to trade in warrants, options or other derivative products and other financial products of a high-risk nature. If you have placed orders dealing in the above products, you will be deemed to have adopted a high level of risk-taking.</small>	
聯名客戶資料 Joint Account(只適用於聯名戶口 FOR JOINT ACCOUNT ONLY)	
<p>吾等, 即下述所有簽署人, 茲要求並授權 貴公司 : - We, the undersigned, hereby request and authorize you: -</p> <p>(i) 開立一聯名現金/保證金*證券買賣戶口(該“戶口”)。該戶口將以吾等聯名名義持續擁有及依據此聯名戶口授權書及現金/保證金*客戶協議書章程執行所有證券買賣及其他交易。 To open a cash/margin* securities trading account (“Account”) in our joint names. The Account shall be maintained at any time in our joint names and all purchases, sales and/or other dealing in securities shall be effected subject to and in accordance with the provisions of this Joint Account Mandate and the Cash/Margin* Client’s Agreement.</p> <p>(ii) 遵從任何___人/所有人*給予之口頭及/或書面指示以執行該戶口之證券買賣及其他交易。 To comply with any oral and/or written instructions given by any ___ of us/all of us* to effect purchases, sales and/or other dealings in securities of the Account.</p> <p>(iii) 遵從吾等任何委託及指示以執行該戶口內之資金及證券之提取及調撥, 而該等委託及指示須以書面給予, 並由任何___人/所有人*簽署。 To comply with any of our orders and instructions to effect withdrawal and/or transfer of funds and/or securities in relation to the Account provided that such orders and instructions are given in writing and signed by and signed by any ___ of us/all of us*.</p>	
 第一位聯名人士簽署 Primary Applicant Signature	 第二位聯名人士簽署 Secondary Applicant Signature

相關披露 DISCLOSURE

閣下是否香港聯合交易所參與者或根據證券及期貨條例的註冊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 registered under the Securities and Futures Ordinance, or a registered person under the Securities and Futures Ordinance?

 否 No 是 Yes, 參與者/註冊機構名稱 Participant / Registered Name: _____ 中央編號 CE No. is _____
 註冊人任中央編號 Registered Person CE No. _____

*若“是”，就有關確定僱主已同意本人/吾等在安裕開立戶口及操作帳戶之事宜，本人/吾等同意向安裕提供有關本人/吾等我僱主所發出的同意書。本人/吾等同意提供該同意書，完全是本人/吾等之責任。
 If “YES”, I/We hereby agree to submit my/our employer’s consent letter to Prime Courage to confirm the employer’s consent of opening the account(s) and trading in Prime Courage. I/We agree that I/We fully undertake the sole responsibility to submit the said consent letter.

閣下是否與安裕證券投資有限公司或其關聯公司之董事或職員有關連?

Do you have any relationship with director(s) or employee(s) of **Prime Courage Securities Company 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 you withdraw from your securities account

銀行名稱及分行 Bank Name and Branch: _____ 戶口號碼 Account _____

客戶聲明 DECLARATION BY CLIENT

本開戶表的資料均屬真實及正確。本人/吾等為帳戶之最終權益擁有人。安裕證券投資有限公司(“安裕”)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)。客戶授權安裕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. I/We hereby declared that I/we am/are the ultimate beneficial owner(s) of the account. **Prime Courage Securities Company Limited** (“**Prime Courage**”) is entitled to rely fully on such information and representations for applicable purposes (including any change hereof in writing as received by **Prime Courage**). **Prime Courage** is authorized at any time to contact anyone, including your banks, brokers or any credit agency, for the purpose of verifying the information provide on this Account Opening Form.

本人/吾等，下述簽署客戶/聯名客戶，明白使用任何安裕證券投資有限公司(“安裕”)之服務前，當已閱讀及明白安裕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一般條款及附表 A – 現金帳戶之附加條款及有關的附表所約束。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)。

I/We the undersigned Client(s), confirm that prior to usage any of **Prime Courage** service(s), have read and understood the provisions of the current version of the Client Master Agreement of **Prime Courage** (“**Agreement**”) of which this document forms a part. I/We hereby apply to open the above type of account(s) and agree to be bound by the Agreement including its General Terms and Conditions and Schedule A – Additional Terms for Cash Account and all other relevant Schedule(s) as the same may be amended from time to time. I/We acknowledged and confirm that **Prime Courage** has provided the Risk Disclosure Statements annexed hereto in a language of my/our choice (Chinese/English) and I/we have been invited to read the Risk Disclosure Statements, to ask questions and take independent advice if I/we wish.

客戶簽署 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，第一位聯名人簽署)
 (For Joint Account, the first named Joint Account Holder's signature)




日期 Date:

客戶簽署 Client Signature

(如屬聯名帳戶，第二位聯名人簽署)
 (For Joint Account, the second named Joint Account Holder's signature)



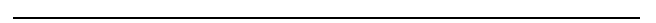
日期 Date:

見證人簽署 Witness Signature


日期 Date:

見證人姓名 Witness Name:

身份證護照號碼 ID No. / Passport No.:


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, ask(s) questions and take independent advice if required

持牌代表簽署 Signed by licensed representative:

日期 Date:

持牌人之全名 Full name of Licensed Person
(以正楷填寫 in block letters):

中央編號 CE No.

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。你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. 保證金買賣的風險

藉存放抵押品而為交易取得融資的虧損風險可能極大。你所蒙受的虧蝕可能會超過你存放於有關持牌人或註冊人作為抵押品的現金及任何其他資產。市場情況可能使備用交易指示，例如“止蝕”或“限價”指示無法執行。你可能會在短時間內被要求存入額外的保證金款額或繳付利息。假如你未能在指定的時間內支付所需的保證金款額或利息，你的抵押品可能會在未經你的同意下被出售。此外，你將要為你的帳戶內因此而出現的任何短欠數額及需繳付的利息負責。因此，你應根據本身的財政狀況及投資目標，仔細考慮這種融資安排是否適合你。

4. 提供將你的證券抵押品等再質押的授權書的風險

- 4.1 向持牌人或註冊人提供授權書，容許其按照某份證券借貸協議書使用你的證券或證券抵押品，將你的證券抵押品再質押以取得財務通融，或將你的證券抵押品存放為用以履行及清償其交收責任及債務的抵押品，存在一定風險。
- 4.2 假如你的證券或證券抵押品是由持牌人或註冊人在香港收取或持有的，則上述安排僅限於你已就此給予書面同意的情况下方有效。此外，除非你是專業投資者，你的授權書必須指明有效期，而該段有效期不得超過 12 個月。若你是專業投資者，則有關限制並不適用。
- 4.3 此外，假如你的持牌人或註冊人在有關授權的期限屆滿前最少 14 日向你發出有關授權將被視為已續期的提示，而你對於在有關授權的期限屆滿前以此方式將該授權延續不表示反對，則你的授權將會在沒有你的書面同意下被視為已續期。
- 4.4 現時並無任何法例規定你必須簽署這些授權書。然而，持牌人或註冊人可能需要授權書，以便例如向你提供保證金貸款或獲准將你的證券或證券抵押品借出予第三方或作為抵押品存放於第三方。有關持牌人或註冊人應向你闡釋將為何種目的而使用授權書。
- 4.5 倘若你簽署授權書，而你的證券或證券抵押品已借出予或存放於第三方，該等第三方將對你的證券或證券抵押品具有留置權或作出押記。雖然有關持牌人或註冊人根據你的授權書而借出或存放屬於你的證券或證券抵押品須對你負責，但上述持牌人或註冊人的違責行為可能會導致你損失你的證券或證券抵押品。
- 4.6 大多數持牌人或註冊人均提供不涉及證券借貸的現金帳戶。假如你毋需使用保證金貸款，或不希望本身證券或證券抵押品被借出或遭抵押，則切勿簽署上述的授權書，並應要求開立該等現金帳戶。

5. 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。

6. 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。

7. 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。

8. 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連可能因為高峯期、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。

9. 人民幣計值證券的風險

人民幣證券受匯率波動影響，而匯率波動可能產生機會或風險。閣下如將人民幣兌換為港幣或其他外幣時，可能受人民幣匯率波動影響而招致損失。目前人民幣並非完全可自由兌換，而通過銀行進行人民幣兌換亦受每日限額限制及不時適用的其他限制。閣下務須留意不時適用的有關兌換的限制及其變動。如閣下需兌換人民幣金額超過每日限額，須預留時間以備兌換。結單及成交單據所示任何與人民幣證券交易有關的人民幣兌換乃基於交易所在有關交易日上午十一時正或交易所不時規定的其他時間就該貨幣所提供的現行匯率而進行。但是，實際於交收或者其他兌換日進行的人民幣兌換將由本公司以主事人的身份按市場當時通行匯率而決定之匯率進行。

人民幣證券將以人民幣交易及交收。如閣下提供用於交收之款額為人民幣以外之貨幣，本公司將以主事人的身份按市場當時通行匯率以其所決定之匯率將交收之款額兌換為人民幣。閣下如希望透過銀行收取人民幣款項（例如售賣收益及股息），應開立人民幣銀行戶口作交收之用。所有交易相關費用（包括印花稅，證監會交易徵費及交易所交易費）均會由本公司代表閣下以港幣支付予稅務局，證監會及交易所（視情況而定。）在人民幣交收款額中，本公司會將相當於交易相關費用的款額兌換成港元以作交收之用。就交易相關費用的外匯兌換所產生的任何收益或虧損應由本公司（而非客戶）負責。閣下無權就上述貨幣兌換產生的任何收益作出任何索償。

10. 提供將你的證券抵押品等再質押的授權書的風險

10.1 發行商失責風險

倘若衍生權證發行商破產而未能履行其對所發行證券的責任，投資者只能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。

10.2 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。

10.3 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。

10.4 有效期的考慮

衍生權證設有到期日，到期日的產品即一文不值。投資者須留意產品的到期時間，確保所選產品尚餘的有效時間能配合其交易策略。

10.5 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）而有別於理論價，因此實際成交價可以高過亦可以低過理論價。

10.6 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。

10.7 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量提供者。流通量提供者的職責在為產品提供兩邊開盤方便買賣。若有流通量提供者失責或停止履行職責，有關產品的投資者或就不能進行買賣，直至有新的流通量提供者委任出來為止。

10.8 時間耗損風險

假若其他情況不變，衍生權證越接近到期日，價值會越低，因此不能視為長線投資。

10.9 波幅風險

衍生權證的價格可隨相關價格的引伸波幅而升跌，投資者須注意相關資產的波幅。

11. 提供將你的證券抵押品等再質押的授權書的風險

11.1 發行商失責風險

假若其他情況不變，衍生權證越接近到期日，價值會越低，因此不能視為長線投資。

11.2 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

11.3 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盡失。

11.4 有效期的考慮

牛熊證設有到期日，到期日的產品即一文不值。投資者須留意產品的到期時間，確保所選產品尚餘的有效時間能配合其交易策略。

11.5 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）而有別於理論價，因此實際成交價可以高過亦可以低過理論價。

11.6 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。

11.7 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量提供者。流通量提供者的職責在為產品提供兩邊開盤方便買賣。若有流通量提供者失責或停止履行職責，有關產品的投資者或就不能進行買賣，直至有新的流通量提供者委任出來為止。

11.8 強制收回風

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價值等同上市文件所述的強制收回價／水平，牛熊證即停止買賣。屆時，投資者只能收回已停止買賣的牛熊證由產品發行商按上市文件所述計算出來的剩餘價值（注意：剩餘價格可以是零）。

11.9 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逐漸減少。牛熊證的年期越長，總融資成本越高。若一天牛熊證被回收，投資者即損失牛熊證整個由有效期的融資成本。融資成本的計算程式載於牛熊證的上市文件。

12. 買賣交易所買賣基金的風險

12.1 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的波動而蒙受損失的準備。

12.2 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。）

12.3 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，在市場大幅波動兼變化不定期間尤其多見，專門追蹤一些對直接投資設限的市場／行業的交易所買賣基金亦可能有此情況。

12.4 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。

12.5 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多有一個或以上的證券參與者，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。

12.6 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，則只有投資於其中部份（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分為兩種：

i. 以掉期合約構成

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

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。由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，申索抵押品的權利一旦行使，抵押品的市值可以遠低於當初所得之數，令交易所買賣基金損失嚴重。

13. 權證交易的風險

權證的價格可升可跌，而權證持有人或會損失所有投資。權證的價值可能隨時間而減少。因此，權證不應視作長期投資產品。或會出現可能影響指數價值的事件。若干事件（包括但不限於相關公司之供股發行、發行紅股或現金分派、股份拆細或合併及相關公司的重組事項）後調整條件。然而，我們須就影響相關股份的每項事件調整條件。任何調整或任何不調整的決定均可能對權證的價值有不利影響。

雖然權證的價格相當於相關股份價格的一部分，但權證的價值與相關指數水平的變動未必完全掛鈎，且或會受到認股證屆滿前剩餘時間的影響。有別於股票，權證的投資期有限，將於期滿日期。在最壞的情況下，權證或會於期滿時變得毫無價值。倘若相關股份在聯交所暫停買賣，權證亦將同期暫停買賣。倘若相關公司清盤，權證將提早終止。因此，權證只適合有經驗而看好相關股份於權證期內表現，並願意承擔損失所有投資風險的投資者。

如閣下購買權證，閣下即依賴發行人的信譽，而權證並無賦予權利針對組成任何相關指數的公司。閣下須注意，評級機構一般向獲評級之公司收取費用。於評估公司之信譽時，閣下不應完全依賴公司之信貸評級，因為：(i) 信貸評級並非購買，出售或持有認股證的建議；(ii) 公司評級可能涉及市場競爭、新產品及市場成功與否及管理能力的等難以量化的因素；(iii) 高信貸評級不一定代表低風險。各項風險因素相加後對認股證價值的影響無法估計。流通量提供者可能是權證的唯一市場參與者。權證未必會有第二市場或第二市場可能有限的時候，閣下便越難於期滿前變現權證的價值。

14. 供股權益的風險

若投資者要行使及買賣供股權益，應留意有關的期限。未被行使的供股權益在到期時將沒有任何價值。但若投資者決定不行使供股權益，除非投資者打算在市場上轉讓這項權利，否則無需採取任何行動。如要轉售供股權益，應留意認購期內設有指定的買賣期，在此之後供股權益將會變得毫無價值。若投資者決定放棄供股權益，其持股比例將會因公司增發新股而被攤薄。

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 will 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 MARGIN TRADING

The risk of loss in financing a transaction by deposit of collateral is significant. You may sustain losses in excess of your cash and any other assets deposited as collateral with the licensed or registered person. Market conditions may make it impossible to execute contingent orders, such as "stop-loss" or "stop-limit" orders. You may be called upon at short notice to make additional margin deposits or interest payments. If the required margin deposits or interest payments are not made within the prescribed time, your collateral may be liquidated without your consent. Moreover, you will remain liable for any resulting deficit in your account and interest charged on your account. You should therefore carefully consider whether such a financing arrangement is suitable in light of your own financial position and investment objectives.

4.RISK OF PROVIDING AN AUTHORITY TO REPLEDGE YOUR SECURITIES COLLATERAL ETC

4.1 There is risk if you provide the licensed or registered person with an authority that allows it to apply your securities or securities collateral pursuant to a securities borrowing and lending agreement, repledge your securities collateral for financial accommodation or deposit your securities collateral as collateral for the discharge and satisfaction of its settlement obligations and liabilities.

4.2 If your securities or securities collateral are received or held by the licensed or registered person in Hong Kong, the above arrangement is allowed only if you consent in writing. Moreover, unless you are a professional investor, your authority must specify the period for which it is current and be limited to not more than 12 months. If you are a professional investor, these restrictions do not apply.

4.3 Additionally, your authority may be deemed to be renewed (i.e. without your written consent) if the licensed or registered person issues you a reminder at least 14 days prior to the expiry of the authority, and you do not object to such deemed renewal before the expiry date of your then existing authority.

4.4 You are not required by any law to sign these authorities. But an authority may be required by licensed or registered persons, for example, to facilitate margin lending to you or to allow your securities or securities collateral to be lent to or deposited as collateral with third parties. The licensed or registered person should explain to you the purposes for which one of these authorities is to be used.

4.5 If you sign one of these authorities and your securities or securities collateral are lent to or deposited with third parties, those third parties will have a lien or charge on your securities or securities collateral. Although the licensed or registered person is responsible to you for securities or securities collateral lent or deposited under your authority, a default by it could result in the loss of your securities or securities collateral.

4.6 A cash account not involving securities borrowing and lending is available from most licensed or registered persons. If you do not require margin facilities or do not wish your securities or securities collateral to be lent or pledged, do not sign the above authorities and ask to open this type of cash account.

5.RISKS 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.

6.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.

7.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.

8.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 human 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.

9. RISK RELATING TO SECURITIES DENOMINATED IN RENMINBI (RMB)

RMB securities are subject to exchange rate fluctuations that may provide both opportunities and risks. The fluctuation in the exchange rate of RMB may result in losses in the event that you convert RMB into Hong Kong dollars ("HKD") or other foreign currencies. RMB is not fully and freely convertible and conversion of RMB through banks is subject to a daily limit and other limitations as applicable from time to time. You should take note of the limitations and changes thereof as applicable from time to time and allow sufficient time for exchange of RMB from/to another currency if the RMB amount exceeds the daily limit. Any RMB conversion in relation to a RMB securities transaction shown in statements and contract notes is based on the prevailing exchange rate provided by the Exchange at 11:00am or other time as stipulated by the Exchange on the relevant trade day from time to time. However, actual RMB conversion upon settlement or on any other conversion day will be based on an exchange rate determined by the Company as a principal according to the prevailing exchange rate. RMB securities will be traded and settled in RMB. If you provide a settlement sum in a currency other than RMB, the Company will convert the settlement sum to RMB at the exchange rate determined by the Company as a principal according to the prevailing exchange rate. You should open RMB bank accounts for money settlement purpose if you wish to receive payments (such as sales proceeds and dividends) in RMB via banks.

All trading related fees (including stamp duty, SFC transaction levy and exchange trading fees) shall be payable to Inland Revenue Department, SFC and Exchange, as the case may be, by the Company on behalf of the Customer in HKD. Of the settlement sum in RMB, the Company shall convert an amount equivalent to the trading related fees into HKD to settle the trading related fees. Any gain or loss arising from the currency exchange regarding the trading related fees shall be for the account of the Company instead of you. You shall not have any rights to claim any gain arising from such currency conversion.

10. RISK OF TRADING DERIVATIVE WARRANTS (“DWs”)

10.1 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.

10.2 Uncollateralized product risk

Uncollateralized 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 uncollateralized.

10.3 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.

10.4 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.

10.5 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.

10.6 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.

10.7 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 product until a new liquidity provider has been assigned.

10.8 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.

10.9 Volatility risk

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

11. RISK OF TRADING CALLABLE BULL/BEAR CONTRACTS (CBBCs)

11.1 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.

11.2 Uncollateralized product risk

Uncollateralized 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 uncollateralized.

11.3 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.

11.4 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.

11.5 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.

11.6 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.

A. 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 product until a new liquidity provider has been assigned.

B. 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.

C. 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 is the total funding cost. 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.

12. Risk of Trading Exchange Traded Funds (ETFs)

12.1 Market risk

ETFs are typically designed to track the performance of certain indices, market sectors, or groups of assets such as stock, 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 this risk of loss volatility associated with the underlying index/assets.

12.2 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.)

12.3 Trading at discount or premium

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

12.4 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.

12.5 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.

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

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.

13. RISK OF TRADING WARRANTS

Prices of warrants may fall in value as rapidly as it may rise and holders may sustain total loss of their investment. The value of a warrant is likely to decrease over time. Therefore, it should not be viewed as products for long-term investments. Events may occur which may affect the value of the index. Certain events (including, without limitation, a right issue, bonus issue or cash distribution by the issuer, a subdivision or consolidation of the underlying shares and a restructuring event of the issuer) may entitle the issuer to adjust the terms and conditions of the warrant. Any adjustment or decision not to make any adjustment may adversely affect the value of the warrants.

Although the cost of a warrant may cost a fraction of the value of the underlying shares, the value of the warrants may not correlate with the movements of the underlying index level and may be affected by the time remaining to expiry. Unlike stocks, the warrants have a limited life and will expire at the expiry date. In the worst case, the warrants may expire with no value. If trading in the underlying shares is suspended on the stock exchange, trading in the warrants will be suspended for a similar period. Warrants will terminate early in the event of liquidation of the companies. Therefore, warrants are only suitable for experienced investors who have a positive view on the performance of the underlying shares during the term of the warrants and are willing to accept the risk that they may lose all their investment.

If you purchase the warrants, you rely on creditworthiness and have no rights under the warrants against companies comprising any underlying indices. You should note that rating agencies usually receive a fee from the companies that they rate. When evaluating creditworthiness, you should not solely rely on the issuer or companies' credit ratings because: (i) a credit rating is not a recommendation to buy, sell or hold the warrants; (ii) ratings of companies may involve difficult-to-quantify factors such as market competition, the success or failure of new products and markets and managerial competence; and (iii) a high credit rating is not necessarily indicative of low risk. The effect on the value of the warrants by any combination of risk factors cannot be predicted. The liquidity provider may be the only market participants for the warrants. There may not be a secondary market or the secondary market is limited and you may be difficult for you to realize the value in the warrants prior to expiry.

14. RISK RELATING TO RIGHTS ISSUE

For exercising and trading of the right issue, investors have to pay attention to the deadline and other timelines. Rights issues that are not exercised will have no value upon expiry. But if investors decide to let the rights lapse, then investors will not need to take any action unless investors want to sell the rights in the market. In that case, the rights must be sold during the specified trading period within the subscription period, after which they will become worthless. If investors pass up the rights, the shareholding in the expanded capital of the company will be diluted.

Approval Form (For Office Use Only)

Date opened / Review on: _____

Name of Account: _____	Account Number: _____										
Introduced By: _____	Related Account: _____										
Name of Account Executive : _____	AE Code: _____										
The Client has been known to the Account Executive for : _____ years											
Bank and Credit reference obtained: Yes / No											
<table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <tr> <td style="width: 50%; padding: 2px;">Commission Rate:</td> <td style="width: 50%; padding: 2px;">(Internet Comm. Rate : _____)</td> </tr> <tr> <td style="padding: 2px;">Minimum Charge:</td> <td style="padding: 2px;">(Internet Mini. Charge : _____)</td> </tr> <tr> <td style="padding: 2px;">Trading Limit:</td> <td style="padding: 2px;">(Internet Trading Limit: _____)</td> </tr> <tr> <td style="padding: 2px;">Loan Limit:</td> <td style="padding: 2px;">Credit Line: _____</td> </tr> <tr> <td style="padding: 2px;"></td> <td style="padding: 2px;">Margin Ratio: _____</td> </tr> </table>		Commission Rate:	(Internet Comm. Rate : _____)	Minimum Charge:	(Internet Mini. Charge : _____)	Trading Limit:	(Internet Trading Limit: _____)	Loan Limit:	Credit Line: _____		Margin Ratio: _____
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Minimum Charge:	(Internet Mini. Charge : _____)										
Trading Limit:	(Internet Trading Limit: _____)										
Loan Limit:	Credit Line: _____										
	Margin Ratio: _____										
Remark: _____											

Proposal written by (Print Name): _____	Signature: _____
Approval By: _____	Date: _____

Document Check by: _____	Input By: _____	Check By: _____
Date: _____	Date: _____	Date: _____