



**Gransing Securities Co., Limited**

**國投證券有限公司**

**Account Opening Form (Corporate Account)**

**開戶表(公司帳戶)**

為證券及期貨事務監察委員會（“證監會”）註冊為持牌法團（CE 編號 AER434）專營第 1、4、6 及 9 類受規管活動及香港聯合交易所有限公司（“聯交所”）的參與者。

Registered with the Securities and Futures Commission (“SFC”) as a licensed corporation (CE Number AER434) for Type 1, Type 4, Type 6 and Type 9 regulated activities and an exchange participant of The Stock Exchange of Hong Kong Limited (“SEHK”).

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### 開戶表 (公司帳戶)

#### ACCOUNT OPENING FORM (CORPORATE ACCOUNT)

帳戶類別 Account Type(s)		落盤方式 Method of Placing Order	
<input type="checkbox"/> 證券現金帳戶 Securities Cash Account <input type="checkbox"/> 證券保證金帳戶 Securities Margin Account		<input type="checkbox"/> 電話專人落盤 By Telephone <input type="checkbox"/> 電子落盤 By Electronics	
Type of Client 客戶類別	<input type="checkbox"/> Sole Proprietorship 獨資經營商號 <input type="checkbox"/> Limited company 有限公司 <input type="checkbox"/> Listed Company 上市公司 Country of Listing (Stock Code) 上市國家 (股票代號) _____	<input type="checkbox"/> Non-listed Company 非上市公司 Small and Medium Enterprises 中小企業 <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 <input type="checkbox"/> Partnership 合夥組織 <input type="checkbox"/> Trustee 受託人 <input type="checkbox"/> Others (Please specify) 其他 (請註明)	
公司資料 CORPORATE INFORMATION			
商號名稱 Business Name 英文 English			
商號名稱 Business Name 中文 Chinese		業務類別 Business Nature	<input type="checkbox"/> Others 其他 _____ <input type="checkbox"/> Securities dealers 證券交易商
登記地址 Registered Address			
業務地址 Business Address			
註冊成立國家 Country of Establishment		註冊成立日期 Establishment Date	
註冊編號 (中央編號,如有) Incorporation No. (CE No. if any)		商業登記編號 HK Business Registration No.	
公司電話號碼 Office Tel. No.	公司傳真號碼 Office Fax No.	電郵地址 Email Address	
通訊地址 Correspondence Address		<input type="checkbox"/> 登記地址 Registered Address <input type="checkbox"/> 業務地址 Business Address <input type="checkbox"/> 其他 Others (請填寫其他地址)	
通訊方法 METHOD OF COMMUNICATION			
日結單/ 月結單 / 一般函件收取方式(只選擇一項) Receive Daily Statements / Monthly Statements / General Correspondence Method (select one)			
<input type="checkbox"/> 電郵 E-mail <input type="checkbox"/> 郵寄方式 By Mail (會收取結單行政費 Statement Administrative Fee will be charged)			
董事 DIRECTORSHIP			
董事姓名 Name of Director	ID Card / Passport No 身份證 / 護照號碼	住址 Residential Address	電話 Telephone No.:
持有百分之十或以上公司最終擁有權(上市公司除外) Ultimate Ownership with shareholding 10% or above (not applicable to Listed Company)			
股東姓名 Name of Shareholder	ID Card / Passport No 身份證 / 護照號碼	住址 Residential Address	所持股份 % of shareholding

<b>財政狀況 FINANCIAL STATUS</b>			
已繳股本 Paid Up Capital		流動資產 Liquid Assets	
資產淨值 Asset Net Worth		最新年度溢利 The Latest Annual Profit	
Information in relation to the Initial Source of Funds 首次資金來源信息： Origin (Tick more than one box, if appropriate) 來源（如需要，可勾選多個）	<input type="checkbox"/> Business Owner 東主 <input type="checkbox"/> Business Income 營業收入 <input type="checkbox"/> Investment Return 投資回報 <input type="checkbox"/> Others (please specify) 其他（請註明） _____	Place of Source of Funds (Tick more than one box, if appropriate) 資金來源地（如需要，可勾選多個）	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> China 中國 <input type="checkbox"/> Other locations 其他地區 （請註明）_____
Recurring Source of Funds 持續資金來源	<input type="checkbox"/> Same as the Initial Source of Funds 與首次資金來源相同 <input type="checkbox"/> Others (please specify) 其他（請註明）_____		
<b>投資目的 Investment Objective</b>			
<input type="checkbox"/> 資本增值 Capital Gain <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 現金/存款 Cash / Deposit <input type="checkbox"/> 其他 Others : _____ 曾買賣產品及投資經驗 Investment Products and Investment Experience <input type="checkbox"/> 股票 Shares <input type="checkbox"/> 少於一年<1 year <input type="checkbox"/> 一至五年 1-5 years <input type="checkbox"/> 六至十年 6-10 years <input type="checkbox"/> 多於十年>10 years <input type="checkbox"/> 外匯/黃金 Forex / Bullion <input type="checkbox"/> 少於一年<1 year <input type="checkbox"/> 一至五年 1-5 years <input type="checkbox"/> 六至十年 6-10 years <input type="checkbox"/> 多於十年>10 years <input type="checkbox"/> 債券/基金 Bonds / Funds <input type="checkbox"/> 少於一年<1 year <input type="checkbox"/> 一至五年 1-5 years <input type="checkbox"/> 六至十年 6-10 years <input type="checkbox"/> 多於十年>10 years <input type="checkbox"/> 其他 Others : _____ <input type="checkbox"/> 少於一年<1 year <input type="checkbox"/> 一至五年 1-5 years <input type="checkbox"/> 六至十年 6-10 years <input type="checkbox"/> 多於十年>10 years			
<b>客戶對衍生產品的認識 KNOWLEDGE OF DERIVATIVE PRODUCTS</b>			
1. The Client underwent training or attended courses on derivative products; and/or 客戶曾接受有關衍生產品的培訓或修讀相關課程；及/或 2. The Client has current or previous work experience related to derivative products; and/or 客戶現時或過去擁有與衍生產品有關的工作經驗；及/或 3. The Client has executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, Commodities, Structured Products, and Exchange Traded Funds, etc. 客戶於過去3年曾執行5次或以上有關衍生產品的交易，例如：衍生權證、牛熊證、股票期權、期貨及期權、商品、結構性產品及交易所買賣基金等。  <input type="checkbox"/> Our Company (the Client) has the above experience and/or knowledge on derivative product(s). 本公司(客戶)有上述一個或以上的經驗。  <input type="checkbox"/> Our Company (the Client) does not have the above experience and/or knowledge on derivative product(s), but our Company (the Client) confirm that our Company (the Client) fully read, agreed and understood the relevant risks of the derivative product(s). Our Company (the Client) understand that our Company (the Client) have to acquire enough understanding on derivative product(s) before trading them and fully accept all relevant risks. 本公司(客戶)沒有上述經驗，但已細閱、同意及明白所有關於衍生產品的風險聲明，本公司(客戶)明白於買賣有關衍生產品前必須先具備足夠的認識，並願意接受一切有關的風險。  Gransing Securities Co., Limited have accessed the Client based on the information provided above, and have notified the Client that it is compulsory to understand the derivative products before trading them. Gransing Securities Co., Limited have also warned the Client about the nature and risk of the derivative products. 國投證券有限公司已根據以上的資料對客戶進行評估，並已通知客戶買賣有關衍生產品前必須先具備足夠的認識，及提示客戶有關衍生產品之性質及風險。			
<b>身份聲明 IDENTITY DECLARATION</b>			
1. 賬戶之任何董事、主要股東或最終受益擁有人是否聯交所或期交所之交易所參與者或證監會之持牌人或註冊人之董事、僱員或認可人士? Is any director, substantial shareholder or the ultimate beneficial owner of the Account, a director or employee or accredited person of an exchange participant of the Stock Exchange or Futures Exchange, or a licensed or registered person of the Securities and Futures Commission ("SFC")? <input type="checkbox"/> 否 No <input type="checkbox"/> 是，請說明 Yes, Please Specify _____			
2. 賬戶之任何董事、主要股東、最終實益持有人、最終主要實益持有人或獲授權人士是否與國投證券任何僱員有親屬關係? Does any director, substantial shareholder, ultimate beneficiary, ultimate principal beneficial owner or Authorized Person of the Account are related to any employee in Gransing Securities? <input type="checkbox"/> 否 No <input type="checkbox"/> 是，僱員姓名為 Yes, such employee's name is _____			
3. 本公司已註冊成為FATCA之海外金融機構。 We have already registered for FATCA. 註冊編號為 Global Intermediary Identification Number (GIIN) is _____ <input type="checkbox"/> 否，本公司並非FATCA 規例下之海外金融機構 No, We are not a FFI under FATCA.			
4. 賬戶之任何董事、主要股東或最終受益擁有人及/或就此帳戶進行交易的最終負責發出指示人士，或其配偶、伴侶、子女或父母，或其子女的 配偶或伴侶，或與其關係密切的人，是否擔任或曾擔任重要公職的為政治人物，包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員、重要政黨幹事國際組織的高級管理層，即董事會的董事、副董事及成員 或對等職位? Does any director, substantial shareholder, the ultimate beneficial owner(s) of the Account(s) and/or the person ultimately responsible for giving instructions for the Account(s), or his spouse, partner, child, parent, spouse or partner of his child, or a close associate with him a political exposed person, entrusted or has been entrusted with a prominent public function, which includes a head of state, head of government, judicial or military official, senior executive of a state-owned corporation, an important political party official and senior management of an international organization, i.e. directors, deputy directors and members of the board or equivalent functions? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify 是，請說明：_____			

5. 賬戶之任何董事、主要股東此賬戶最終實益擁有人及/或就此賬戶進行交易的最終負責發出指示人士的工作業務性質，是否特別容易蒙受較高的洗黑錢風險(如金錢服務業、博彩業、武器/戰爭物資的生產或貿易等行業)? Does any director, substantial shareholder, the ultimate beneficial owner(s) of the Account(s) and/or the person ultimately responsible for giving instructions for the Account(s), the nature of business particularly susceptible to money laundering risk (e.g. money service, gambling business, the production of or trade in arms / war material)?
- No 否  Yes, please specify 是，請說明：\_\_\_\_\_

#### 授權簽名 AUTHORISED SIGNATURES

姓名 Name		簽名式樣 Signature specimen
香港身份證 / 護照號碼 HKID Card / Passport No.		
姓名 Name		簽名式樣 Signature specimen
香港身份證 / 護照號碼 HKID Card / Passport No.		
姓名 Name		簽名式樣 Signature specimen
香港身份證 / 護照號碼 HKID Card / Passport No.		

#### 簽名指示 SIGNING INSTRUCTIONS

公司印章 COMPANY CHOP

所有指示以客戶的會議紀錄為準。  
All instructions will follow the Board Minutes provided by the client.

戶口可根據其中 \_\_\_\_\_ 簽名式樣指示下運作。  
The account can be operated on the instructions of \_\_\_\_\_ signatures.

所有指示以客戶的公司決議(如客戶為公司)或授權書(如客戶為獨資經營商號/合夥組織)為準。  
All instructions will follow the Client's Resolution (if Client is a company); Mandate (if Client is Sole Proprietorship/Partnership).  
備註：請提交一份公司決議或授權書的證明書，註明獲授權簽署人名單(身份信息及職銜)，簽署安排及獲授權簽署人的簽字式樣。  
Note: Please provide a certification of the Resolution or Mandate with list of Authorized Persons (identity information and title), signing instructions and the signature specimen of the Authorized Person(s).

#### 相關保證金融資賬戶 RELATED MARGIN FINANCING ACCOUNT(S) (只適用於保證金賬戶 FOR MARGIN ACCOUNT ONLY)

- 客戶的一個或多個旗下之公司是獨自或共同控制於本公司開立的保證金融資賬戶之其他公司的 35%或以上之表決權? Does one or more of the group companies of the Client alone or jointly control 35% or more of the voting rights of another corporate financing margin account with the Company?  
 否 No  是，請說明 Yes, Please Specify 賬戶持有人姓名 Name of Account Holder : \_\_\_\_\_  
賬戶號碼 Account No : \_\_\_\_\_
- 客戶是否有以客戶旗下之公司開立保證金融資賬戶? Does the Client have a margin financing account opened by one of the group companies of the Client?  
 否 No  是，請說明 Yes, Please Specify 賬戶持有人姓名 Name of Account Holder : \_\_\_\_\_  
賬戶號碼 Account No : \_\_\_\_\_
- 客戶的董事、主要股東、最終受益人、最終主要實益擁有人或授權人是否於本公司持有任何相關保證金融資賬戶? Does any director, substantial shareholder, ultimate beneficiary, ultimate principal beneficial owner or Authorized Person of the Client maintain any related margin financing account of the Company?  
 否 No  是，請說明 Yes, Please Specify 賬戶持有人姓名 Name of Account Holder : \_\_\_\_\_  
賬戶號碼 Account No : \_\_\_\_\_
- 客戶或客戶的董事、主要股東、最終受益人、最終主要實益擁有人或授權人是否獨自或與一個或多個旗下之公司控制於本公司開立的保證金融資賬戶之其他公司的 35%或以上之表決權? Does the Client or any director, substantial shareholder, ultimate beneficiary, ultimate principal beneficial owner or Authorized Person of the Client alone or jointly control 35% or more of the voting rights of another corporate financing margin account with the Company?  
 否 No  是，請說明 Yes, Please Specify 賬戶持有人姓名 Name of Account Holder : \_\_\_\_\_  
賬戶號碼 Account No : \_\_\_\_\_

銀行戶口資料 BANK ACCOUNT INFORMATION	
銀行名稱 Bank Name	
銀行帳戶貨幣/ 號碼 Bank Account Currency / Number	<input type="checkbox"/> HKD 港元 A/C# 帳戶號碼 _____ <input type="checkbox"/> CNY 人民幣 A/C# 帳戶號碼 _____
帳戶持有人名稱 Bank Account Holder's Name	
<p>客戶知悉及確認適用常設授權每年需延續一次。客戶已授權國投證券有限公司每年延續適用常設授權，客戶可提出反對。如國投證券有限公司未收到客戶書面反對，則表示客戶同意及接受延續適用常設授權並繼續受其約束。</p> <p>The Client acknowledges and confirms the Relevant Standing Authority is required to be renewed annually. The Client has authorized Gransing Securities Co., Limited to renew the Relevant Standing Authority annually and the Client has the choice to reject the renewal. If no written objection is received by mail from the Client, it means the Client agrees and accepts the extension and to be bound by the renewed Relevant Standing Authority.</p>	
RISK DISCLOSURE STATEMENTS 風險披露聲明	
<p><b>重要通知IMPORTANT NOTICE</b></p> <p>此等風險披露聲明不擬披露或討論任何交易的所有風險及其他重要事項。因此，若你認為恰當便應該諮詢你自己的法律、稅務、財務及其他專業顧問，並且確保自己完全明白涉及的風險，與及滿意自己於你進行任何某宗交易之前，你是願意接受一切有關風險。重要的是你必須根據自己的投資經驗、投資目標、財務狀況及其他有關情況，去判斷有關交易是否適合你。</p> <p>These risk disclosure statements do not purport to disclose or discuss all of the risks and other significant aspects of any transaction. You should therefore consult with your own legal, tax, financial and other professional advisers as you deem appropriate and ensure that you fully understand the risks involved and satisfy yourself that you are willing to accept such risks before entering into any particular transaction. It is important for you to determine whether any transaction is suitable for you in the light of your own investment experience, investment objectives, financial situation and other relevant circumstances.</p> <p><b>條款CLAUSE</b></p> <p>“假如我們國投證券有限公司向閣下招攬銷售或建議任何金融產品，該金融產品必須是我們經考慮閣下的財政狀況、投資經驗及投資目標後而認為合理地適合閣下的。本協議的其他條文或任何其他我們可能要求閣下簽署的文件及我們可能要求閣下作出的聲明概不會減損本條款的效力。”</p> <p>“If we Gransing Securities Co., Limited solicit the sale of or recommend any financial product to you [the client], the financial product must be reasonably suitable for you having regard to your financial situation, investment experience and investment objectives. No other provision of this agreement or any other document we may ask you to sign and no statement we may ask you to make derogates from this clause.”</p> <p><b>證券交易的風險 RISK OF SECURITIES TRADING</b></p> <p>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。</p> <p>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.</p> <p><b>買賣創業板股份的風險 RISK OF TRADING GROWTH ENTERPRISE MARKET STOCKS</b></p> <p>創業板股份涉及很高的投資風險。尤其是該等公司可在無需具備盈利往績及無需預測未來盈利的情況下在創業板上市。創業板股份可能非常波動及流通性很低。你只應在審慎及仔細考慮後，才作出有關的投資決定。創業板市場的較高風險性質及其他特點，意味著這個市場較適合專業及其他熟悉投資技巧的投資者。現時有關創業板股份的資料只可以在香港聯合交易所有限公司所操作的互聯網網站上找到。創業板上市公司一般毋須在憲報指定的報章刊登付費公告。假如你對本風險披露聲明的內容或創業板市場的性質及在創業板買賣的股份所涉風險有不明之處，應尋求獨立的專業意見。</p> <p>Growth Enterprise Market (GEM) stocks involve a high investment risk. In particular, companies may list on GEM with neither a track record of profitability nor any obligation to forecast future profitability. GEM stocks may be very volatile and illiquid. You should make the decision to invest only after due and careful consideration. The greater risk profile and other characteristics of GEM mean that it is a market more suited to professional and other sophisticated investors. Current information on GEM stocks may only be found on the internet website operated by The Stock Exchange of Hong Kong Limited. GEM Companies are usually not required to issue paid announcements in gazetted newspapers. 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.</p> <p><b>在香港以外地方收取或持有的客戶資產的風險RISK OF CLIENT ASSETS RECEIVED OR HELD OUTSIDE HONG KONG</b></p> <p>持牌人或註冊人在香港以外地方收取或持有的客戶資產，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，有關客戶資產將可能不會享有賦予在香港收取或持有的客戶資產的相同保障。</p> <p>Client assets received or held by the licensed or registered person 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.</p> <p><b>提供將你的證券抵押品等再質押的授權書的風險 RISK OF PROVIDING AN AUTHORITY TO REPLEDGE YOUR SECURITIES COLLATERAL</b></p> <p>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。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行有效。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。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限期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。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。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。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。</p> <p>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. 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. 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. 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</p>	

authorities is to be used. 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. 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.

#### **提供代存郵件或將郵件轉交第三方的授權書的風險 RISK OF PROVIDING AN AUTHORITY TO HOLD MAIL OR TO DIRECT MAIL TO THIRD PARTIES**

假如你向持牌人或註冊人提供授權書，允許他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帳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。

If you provide the licensed or registered person 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 your account and review them in detail to ensure that any anomalies or mistakes can be detected in a timely fashion.

#### **保證金買賣的風險 RISK OF MARGIN TRADING**

藉存放抵押品而為交易取得融資的虧損風險可能極大。你所承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或在沒有預先通知你的情況下被出售。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。

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 or prior notification to you. 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.

#### **在香港聯合交易所有限公司買賣納斯達克 - 美國證券交易所證券的風險 RISK OF TRADING NASDAQ-AMEX SECURITIES AT THE STOCK EXCHANGE OF HONG KONG LIMITED**

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，應先諮詢有關持牌人或註冊人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香港聯合交易所有限公司的主板或創業板作第一或第二上市的證券類別加以監管。

The securities under the Nasdaq-Amex Pilot Program (“PP”) are aimed at sophisticated investors. You should consult the licensed or registered person and become familiarised 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 the Growth Enterprise Market of The Stock Exchange of Hong Kong Limited.

#### **電子通訊相關的風險 RISK ASSOCIATED WITH ELECTRONIC COMMUNICATION**

你明瞭基於互聯網或其他電子通訊系統可能遇到未可預計的交通擠塞情況及其他原因，因此電子通訊系統可能並非是可靠的通訊途徑，而這種不可靠性並非國投證券所能控制。這可能會導致下列情況，包括：在傳送或收取你的指示或其他資料時有所延誤、延誤執行買賣盤或有關買賣盤以有別於你落盤時的市價執行、進行通訊時出現誤解及錯誤等等。儘管國投證券將會採取一切可行的步驟去保障其系統、顧客資料、帳戶及為客戶利益而持有的資產，你接納透過電子通訊系統進行交易所涉及的風險。You understand that the Internet or other electronic communication system, due to unpredictable traffic congestion and other reasons, may not be a reliable medium of communication and that such unreliability is beyond the control of Gransing Securities. This may give rise to situations including delays in transmission and receipt of your instructions or other information, delays in execution or execution of your instructions at prices different from those prevailing at the time your instructions were given, misunderstanding and errors in any communication between you and Gransing Securities and so on. Whilst Gransing Securities will take every possible step to safeguard its systems, client information, accounts and assets held for the benefit of its clients, you accept the risk of conducting transactions via electronic communication systems.

#### **進行場外交易的風險 RISKS OF ENTERING INTO OTC TRANSACTIONS**

在某些司法管轄區，場外交易或會是容許或獲批准的。就某宗場外交易而言，有可能很困難或甚至無法去平掉現有的倉位、進行估值、判斷價格或評估須承受的風險。因此，場外交易或會涉及更高的風險。此等交易也可能受到較寬鬆的規管或受另一個監管制度所約束。於你進行此等交易之前，你應當熟習適用的規則及有關的風險。

Over-the-counter or off-exchange transactions (“OTC Transactions”) may be allowed or permitted in some jurisdictions. With regard to an OTC Transaction, it may be difficult or impossible to liquidate an existing position, to assess the value, to determine a fair price or to assess the exposure to risk. For these reasons, OTC Transactions may involve increased risks. OTC Transactions may be less regulated or subject to a separate regulatory regime. Before you undertake such transactions, you should familiarize yourself with applicable rules and attendant risks.

#### **關於場外衍生工具交易的額外風險披露 ADDITIONAL RISK DISCLOSURE FOR OTC DERIVATIVE TRANSACTIONS**

場外衍生工具交易涉及多種不同的重大風險。某宗場外衍生工具交易所帶來的風險，乃必然地視乎該宗交易本身的條款。一般而言，所有場外衍生工具交易涉及市場風險、信貸風險、融資風險及運作上的風險。基於某宗特定交易的條款，你應當考慮其他重大的風險。特別是極為度身訂造的場外衍生工具交易，它們或會增加流通性風險及帶來其他複雜性質的重大風險因素。高度槓桿的交易或會由於相關資產或工具的價格或水平或相關市場因素較小的變化，而帶來重大的收益或虧損。在衡量某宗場外衍生工具交易所帶來的風險及合約責任時，你應當同時考慮該宗交易的被修改或終止，可能須要立約人相互的同意及受限於個別地談判的條款所達成的協定。因此，在有關係約約定的終止日前，你或會可以或不可以修改、終止或抵償你的有關責任或你所須承受的風險。

Over-the-counter or off-exchange derivative transactions (“OTC Derivative Transactions”) involve a variety of significant risks. The specific risks presented by a particular OTC Derivative Transaction will necessarily depend upon the terms of the transaction. In general, all OTC Derivative Transactions involve some combination of market risk, credit risk, funding risk and operational risk. There may be other significant risks that you should consider based on the terms of a specific transaction. Highly customized OTC Derivative Transactions in particular may increase liquidity risk and introduce other significant risk factors of a complex character. Highly leveraged transactions may experience substantial gains or losses in value as a result of relatively small changes in the price or level of underlying asset or instrument or related market factors. In evaluating the risks and contractual obligations associated with a particular OTC Derivative Transaction, you should also consider that an OTC Derivative Transaction may be modified or terminated only by mutual consent of the parties and subject to agreement on individually negotiated terms. Accordingly, it may or may not be possible for you to modify, terminate or offset your obligations or your exposure to the risks associated with a transaction prior to its scheduled termination date.

#### **買賣衍生工具產品的風險 RISK OF TRADING DERIVATIVE PRODUCTS**

買賣追蹤證券、債券、貨幣市場工具、利率、參考指數或其他指標的變動或水平變化的衍生工具產品(包括但不限於股票掛勾工具、信貸掛勾票據、衍生權證及可換股價券)將涉及風險。市況的轉變可為這些產品的價值帶來極大的變化。因此，你在衍生工具產品須承受的價格或市場風險，可能明顯地較你熟悉的其他非衍生金融工具所涉及的有關風險為高。衍生工具產品可會是複雜的，它們並且可帶來極大的虧損風險，所以此類產品可能並不適合你。你應當只在小心評估相關資產、工具或其他有關指標的價格或水平的潛在將來變化的方向、時間及大小幅度及其他有關因素之後，才考慮投資衍生工具產品，因為任何這種投資的回報可受此等變化的影響。但是，買賣衍生工具產品所涉及的風險並不是及不應被假設是可預期的。投資某種類衍生工具產品的可能結果是你須要以某預定的價格購入或交付某些相關的資產或工具。在這種情況下，無論相關資產或工具的市場價格或水平偏離預定的價格或水平多麼遠，你將須履行有關的責任，並且你結果將須承受的虧損可能會很大。

Trading in derivative products (including but not limited to equity-linked instruments, credit-linked notes, derivative warrants and convertible securities) tracking fluctuations in the price or level of securities, bonds, money market instruments, interest rates, reference indices or other benchmark involves risks. Changes in market conditions may cause great changes in the value of such products. As a consequence, your related exposure to price or market risk may be significantly higher in connection with a derivative product than with other non-derivative financial instruments with which you may be familiar. Derivative products may not be suitable for you as they can be complex and carry with them substantial risk of loss. You should make investment in derivative products only after carefully assessing among other things the direction, timing, and magnitude of the potential future changes in the price or level of the underlying asset or instrument or other benchmark, as the return of any such investment may be dependent upon such changes. However, risks associated with trading in derivative products are not and should not be presumed to be predictable. Investing in certain types of derivative products may result in your having to take or make delivery of certain

underlying asset or instrument at a pre-determined price. In such circumstances, you will need to perform such obligation however far the market price or level of the underlying asset or instrument has moved away from the pre-determined price or level and the resulting losses to you can be substantial

#### 個人資料之使用 USE OF PERSONAL INFORMATION

個人資料之使用 Use of personal information

本公司(“客戶”)同意國投證券有限公司(“國投證券”)及/或其合作伙伴擬使用客戶之個人資料以直接促銷：(i)金融服務和產品；(ii)相關優惠計劃；(iii)金融與投資建議；或(iv)國投證券就前述產品及服務之業務推廣和宣傳活動。該等個人資料包括客戶在本開戶表格中向國投證券提供的姓名、聯絡詳情、財務背景及統計資料等個人資料。本公司明白客戶可以隨時要求國投證券停止在直接促銷中使用本人的個人資料。如客戶不同意，請在以下空格加上「√」號。

We (“client”) hereby informed that Gransing Securities Co., Limited (“Gransing Securities”) intends to use our personal data for the direct marketing of: (i) Financial services and investment products; (ii) Related promotional schemes; (iii) Financial and investment advices; or (iv) Promotional and marketing events of Gransing Securities for the aforesaid services or products. Such personal data includes the name, contact details, financial background and statistical data which are provided to Gransing Securities under this Account Opening Form or obtained by Gransing Securities from time to time. We (client) understand that we may, at any time, require Gransing Securities to cease to use our personal data for direct marketing. Please tick the following box if you do not agree.

本公司不同意國投證券有限公司如上述情況使用本公司之個人資料。We disagree to the aforesaid use of our personal data in Gransing Securities.

#### 客戶之確認 CLIENT ACKNOWLEDGEMENT

國投證券按本公司的指示而進行的一切證券交易(“交易”)，須根據適用於國投證券的一切法例、規則和監管指示的規定而進行。這方面的規定包括香港聯合交易所有限公司(“聯交所”)及香港中央結算有限公司(“中央結算公司”)的規則。國投證券根據該等法例、規則及指示而採取的所有行動均對本公司具有約束力。

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

本公司確認「開戶資料表格」所載資料均屬完整及正確。倘該等資料有任何變更，本公司將會通知國投證券。本公司特此授權國投證券對本公司的信用進行查詢，以核實上述表格所載資料。本公司現聲明本公司是該帳戶之最終受益人及唯一擁有該帳戶之人士。

We confirm that the information provided in the Account Opening Information Form is complete and accurate. We will inform Gransing Securities of any changes to that information. Gransing Securities are authorized to conduct credit enquiries on us to verify the information provided. We hereby declare that we are the ultimate beneficial owner(s) of the Account and no one other than us has any interest in the Account.

本公司不得撤回指示國投證券將本公司在國投證券之帳戶內之任何證券、應收款項或其中持有之現金進行抵銷及扣留，作為抵銷本公司在國投證券之帳戶一切實際或有負債，包括支付買入證券及向第三者支付的費用。

We hereby irrevocably direct Gransing Securities to set-off and withhold from and apply any securities, receivable and monies held in or for the Account against all actual or contingent liability incurred by Gransing Securities including any liability to pay the purchased securities and other expense to any third party.

本公司會就所有交易支付國投證券通知本公司的佣金和收費，繳付聯交所及證監會徵收的通用徵費，並繳納所有有關的印花稅。國投證券可以從戶口中扣除該等佣金、收費、徵費及稅項。

On all Transactions, we will pay commission and charges to Gransing Securities, as notified to us, as well as applicable levies imposed by the Exchange and the SFC, and all applicable stamp duties. Gransing Securities may deduct such commissions, charges, levies and duties from the Account.

本公司明白及同意國投證券可以監聽或記錄本公司與國投證券之電話談話內容以供國投證券核實本公司或任何授權人之指示。

We understand and agree that Gransing Securities may monitor or record any of my/our telephone conversations in order to verify the instructions given by us or our Authorized Person. 本公司確認及同意國投證券之董事、高級職員、僱員及代理人毋須對任何指示及落盤在傳遞及通訊上的延誤、無效及錯漏而產生之損失承擔任何責任，此損失由本公司承擔。

We acknowledge and agree that Gransing Securities and the directors, officers, employees and agents of Gransing Securities shall not responsible or liable for any loss suffered or which may be suffered by us as a result of any delay, failure or inaccuracy in the transmission or communication of instructions or orders.

本公司確認本公司指示進行所有證券交易是根據本公司自己的判斷及決定作出，而非基於國投證券之選擇或建議而進行交易。

We acknowledge that all Transactions effected by Gransing Securities pursuant to our instructions is a result of our judgement and decision and not result from selection or advice from Gransing Securities.

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或補充的條款及細則所約束。

We hereby apply to open the above type(s) of account and agree to be bound by the Terms and Conditions as the same may be amended or supplemented from time to time.

風險披露聲明內容已按照本公司選擇的語言提供，及已獲邀閱讀該風險披露聲明、提出問題及徵求獨立的意見(如本公司有此意願)。

We acknowledge and confirm that Gransing Securities has provided the Risk Disclosure Statements in a language of our choice (English or Chinese) and we have been invited to read the Risk Disclosure Statements, to ask questions and take independent advice if we wish.

客戶簽署並蓋章 Client Signature with Company Chop

客戶簽署代表人姓名及職銜

日期(日/月/年)

Name and title of Authorized signatory

Date (dd/mm/yy)

Note: This Declaration should be signed by the Sole Proprietor if the Client is a sole-proprietorship, all Partners if the Client is a partnership, or the Authorized Person(s) if the Client is a limited company.

備註：如申請機構為獨資經營商號，由東主簽署；如申請機構為合夥組織，由所有合夥人簽署；如申請機構為有限公司，由獲授權簽署人士簽署本聲明。

下述簽署人士謹此認證上述客戶簽立此文件及認證核實其有關的身分證明文件

The undersigned person hereby certify the signing of this document by the above Client and verification of related identity documents of such Client(s).

\_\_\_\_\_  
見證人名稱 Name of Witness

\_\_\_\_\_  
見證人簽署 Signature of Witness

\_\_\_\_\_  
日期 (日/月/年) Date (dd/mm/yy)

**只供本行使用 FOR OFFICIAL USE ONLY**

介紹人

Introduced by

文件查核

Documentation checked by

客戶主任姓名

Name of Account Executive

經由國投證券有限公司承認及接納 APPROVED AND ACCEPTED BY GRANSING SECURITIES CO., LIMITED

\_\_\_\_\_  
獲授權代表姓名 Name of Authorized Staff

\_\_\_\_\_  
獲授權代表簽署 Authorized Signature

\_\_\_\_\_  
日期 (日/月/年) Date (dd/mm/yy)

Remarks: