



Gransing Securities Co., Limited

瑞城证券有限公司

Account Opening Form (Individual / Joint Account)

开户表(个人 / 联名账户)



瑞城證券有限公司

Gransing Securities Co., Limited

戶口號碼 Account No. :
營業代表編號 AE Code :
申請日期 Application Date :

为证券及期货事务监察委员会（“证监会”）注册为持牌法团（CE 编号 AER434）专营第 1、4、6 及 9 类受规管活动及香港联合交易所有限公司（“联交所”）的参与者。

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”).

香港中环德辅道中19号环球大厦802室
Unit 802, Worldwide House, 19 Des Voeux Road Central, Central, Hong Kong.
电 话 Tel : (852) 3162-6888 传 真 Fax : (852) 2544-8439
网站 Website: <http://www.gransing.com>

开 户 表 (个人/联名账户)

ACCOUNT OPENING FORM (INDIVIDUAL / JOINT ACCOUNT)

申请账户为 Application for		账户类别 Account Type(s)		落盘方式 Method of Placing Order	
<input type="checkbox"/> 个人账户 Individual Account <input type="checkbox"/> 联名账户 Joint Account		<input type="checkbox"/> 证券现金账户 Securities Cash Account <input type="checkbox"/> 证券保证金账户 Securities Margin Account		<input type="checkbox"/> 电话专人落盘 By Telephone <input type="checkbox"/> 电子落盘 By Electronics	
主要客户资料 PRIMARY CLIENT INFORMATION					
英文全名 English		中文全名 Chinese		性别 Gender	
香港身份证 / 护照号码 HKID Card / Passport No.		出生日期 (日/月/年) Date of Birth (dd/mm/yy)		国籍 Nationality	
住宅地址 Residential Address					
手机电话号码 Mobile Phone No.		住宅电话号码 Home Tel. No.		传真号码 Fax No.	
工作资料状况 EMPLOYMENT INFORMATION					
雇主名称 Employer Name				职位 Position	
公司地址 Office Address					
公司电话号码 Office Tel. No.		公司传真号码 Office Fax No.		电邮地址 Email Address	
Employment Status 就业情况		<input type="checkbox"/> Self-employed 自雇	<input type="checkbox"/> Full-time employed 全职	<input type="checkbox"/> Part-time employed 兼职	<input type="checkbox"/> Retired 退休 <input type="checkbox"/> Others (Please Specify) 其他 (请说明): _____
通讯地址 Correspondence Address		<input type="checkbox"/> 住宅地址 Residential Address <input type="checkbox"/> 办公地址 Office Address <input type="checkbox"/> 其他 Others (请填写其他地址)			
通讯方法 METHOD OF COMMUNICATION					
日结单/月结单/一般函件收取方式(只选择一项) Receive Daily Statements / Monthly Statements / General Correspondence Method (select one) <input type="checkbox"/> 电邮 E-mail <input type="checkbox"/> 邮寄方式 By Mail (会收取结单行政费 Statement Administration Fee will be charged)					
财政状况 FINANCIAL STATUS					
年薪 (港元) Annual Salary (HKD)		<input type="checkbox"/> <\$200,000 <input type="checkbox"/> \$200,000 ~ \$500,000 <input type="checkbox"/> \$500,001 ~ \$1,000,000 <input type="checkbox"/> >\$1,000,000			
资产总值(港元) Total Net Value (HKD)		<input type="checkbox"/> <\$500,000 <input type="checkbox"/> \$500,000 ~ \$1,000,000 <input type="checkbox"/> \$1,000,001 ~ \$5,000,000 <input type="checkbox"/> >\$5,000,000			
住宅业权 Ownership of Residence		<input type="checkbox"/> 自置 Owned <input type="checkbox"/> 租用 Rented <input type="checkbox"/> 与家人同住 Living with Family <input type="checkbox"/> 按揭 Mortgaged			
其他收入来源 Other Source of Income		<input type="checkbox"/> 利息收入 Interest Income <input type="checkbox"/> 投资收入 Investment Income <input type="checkbox"/> 无 Nil <input type="checkbox"/> 其他 Others			
Information in relation the Initial Source of Funds 首次资金来源信息: Origin (Tick more than one box, if appropriate) 来源 (如需要, 可勾选多个)		<input type="checkbox"/> Payroll/Commission/Pension 薪金/佣金/退休金 <input type="checkbox"/> Savings 储 蓄 <input type="checkbox"/> Investment Return 投资收益 <input type="checkbox"/> Individual Business 个人业务 <input type="checkbox"/> Inheritance/Gift 继承/赠予 <input type="checkbox"/> Sales Proceeds of Property/other assets 售出物业/其他资产所得			

	<input type="checkbox"/> Others (please specify) 其他（请注明）																								
Place of Source of Funds (Tick more than one box, if appropriate) 资金来源地（如需要，可勾选多个）	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> China 中国 <input type="checkbox"/> Other locations 其他地区																								
Recurring Source of Funds 持续资金来源	<input type="checkbox"/> Same as the Initial Source of Funds 与首次资金来源相同 <input type="checkbox"/> Others (please specify) 其他（请注明）																								
投资概况 INVESTMENT PROFILE																									
投资目的 Investment Objective <input type="checkbox"/> 资本增值 Capital Gain <input type="checkbox"/> 对冲 Hedging <input type="checkbox"/> 现金 / 存款 Cash / Deposit <input type="checkbox"/> 其他 Others: _____																									
曾买卖产品及投资经验 Investment Products and Investment Experience																									
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住宅地址 Residential Address																									
手机电话号码 Mobile Phone No.		住宅电话号码 Home Tel. No.		传真号码 Fax No.																					
工作资料状况 EMPLOYMENT INFORMATION																									
雇主名称 Employer Name				职位 Position																					
公司地址 Office Address																									
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曾买卖产品及投资经验 Investme nt Products and Investment Experience				
<input type="checkbox"/> 股票 Shares	<input type="checkbox"/> 少于一年<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"/> 多于十年>10 years
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客户对衍生产品的认识 KONWLEDGE OF DERIVATIVE PRODUCTS				
1. The Client underwent training or attended courses on derivative products; and/or 客户曾接受有关衍生产品的培训或修读相关课程; 及/或				
2. The Client has current or previous work experience related to derivative products; and/or 客户现时或过去拥有与衍生产品有关的工作经验; 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. 客户于过去 3 年曾执行 5 次或以上有关衍生产品的交易, 例如: 衍生权证、牛熊证、股票期权、期货及期权、商品、结构性产品及交易所买卖基金等。				
<input type="checkbox"/> I/We (the Client) have the above experience and/or knowledge on derivative product(s). 本人(等) (客户)有上述一个或以上的经验。				
<input type="checkbox"/> I/We (the Client) do not have the above experience and/or knowledge on derivative product(s), but I/we (the Client) confirm that I/we (the Client) fully read, agreed and understood the relevant risks of the derivative product(s). I/We (the Client) understand that I/we (the Client) have to acquire enough understanding on derivative product(s) before trading them and fully accept all relevant risks. 本人(等) (客户)没有上述经验, 但已细阅、同意及明白所有关于衍生产品的风险声明, 本人(等) (客户)明白于买卖有关衍生产品前必须先具备足够的认识, 并愿意接受一切有关的风险。 For clients who do not have any of the above-mentioned derivative products knowledge and experience, such clients will be considered as without knowledge of structured and / or derivatives product(s). Before trading in structured and/ or derivative product(s), the Client has read and understood the risks disclosure statements of Derivatives traded on Exchange included in the Client Agreement and agree to bear the risks involved. 如客户没有以上任何一项结构性及/或衍生工具产品的经验及认识, 客户将被视作没有结构性及/或衍生工具产品认识。在客户买卖结构性及/或衍生工具产品之前, 客户就此确认已阅读及理解包括于客户协议中有关在交易所买卖的衍生产品的风险披露声明, 并同意承担有关风险。				
身份声明 IDENTITY DECLARATION				
1. 客户是否联交所或期交所之交易所参与者或证监会之持牌人或注册人之董事、雇员或认可人士? Is the Client 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, 请说明 Yes, Please Specify _____				
2. 客户之任何董事、主要股东、最终实益持有人、最终主要实益持有人或获授权人士是否与瑞城证券任何雇员有亲属关系? Does any director, substantial shareholder, ultimate beneficiary, ultimate principal beneficial owner or Authorized Person of the Client are related to any employee in GRANSING Securities? <input type="checkbox"/> 否 No <input type="checkbox"/> 是, 雇员姓名为 Yes, such employee's name is _____				
3. 本人/吾等属税务目的下的美国居民, 亦为美国公民。I am/we are resident of the U.S. for tax purposes and that I am/we are a U.S. citizen <input type="checkbox"/> 否 No <input type="checkbox"/> 是, 请说明Yes, Please Specify_____				
4. 阁下, 此账户最终实益拥有人及/-或就此帐户进行交易的最负责发出指示人士, 或其配偶、伴侣、子女或父母, 或其子女的 配偶或伴侣, 或与其关系密切的人, 是否担任或曾担任重要公职的为政治人物, 包括国家元首、政府首长、资深从政者、高 级政府、司法或军事官员、国有企业高级行政人员、重要政党干事国际组织的高级管理层, 即董事会的董事、副董事及成员 或对等职位? Are you, 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, 请说明: _____				
5. 阁下、此账户最终实益拥有人及/或就此帐户进行交易的最负责发出指示人士的工作业务性质, 是否特别容易蒙受较高的洗黑钱风险(如金钱服务业、博彩业、武器/战争物资的生产或贸易等行业)? Are you, 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)? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify 是, 请说明: _____				
相关保证金融资账户 RELATED MARGIN FINANCING ACCOUNT(S) (只适用于保证金账户 FOR MARGIN ACCOUNT ONLY)				
1. 客户的配偶是否持有本公司任何相关保证金融资账户? Does spouse of the Client maintain any related margin financing account of the Company? <input type="checkbox"/> 否 No <input type="checkbox"/> 是, 请说明 Yes, Please Specify 账户持有人姓名 Name of Account Holder: _____ 账户号码 Account No: _____				
2. 客户及/或其配偶是否单独或共同控制本公司之其他保证金融资账户 35%或以上之表决权? Does the Client alone or jointly with his/her spouse control 35% or more of the voting rights of another financing margin account with the Company? <input type="checkbox"/> 否 No <input type="checkbox"/> 是, 请说明 Yes, Please Specify 账户持有人姓名 Name of Account Holder: _____ 账户号码 Account No: _____				
3. 客户是否有以客户旗下之公司开立保证金融资账户? Does the Client have a margin financing account opened by one of the companies of the Client? <input type="checkbox"/> 否 No <input type="checkbox"/> 是, 请说明 Yes, Please Specify 账户持有人姓名 Name of Account Holder: _____ 账户号码 Account No: _____				

银行户口资料 BANK ACCOUNT INFORMATION

银行名称
Bank Name

银行帐户货币/ 号码
Bank Account Currency / Number

☐ HKD 港元 A/C# 帐户号码

☐ CNY 人民币 A/C# 帐户号码

账户持有人名称
Bank Account Holder's Name

客户知悉及确认适用常设授权每年需延续一次。客户已授权瑞城证券有限公司每年延续适用常设授权，客户可提出反对。如瑞城证券有限公司未收到客户书面反对，则表示客户同意及接受延续适用常设授权并继续受其约束。
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.

签名指示(只适用于联名账户) SIGNING INSTRUCTIONS (FOR JOINT NAMES ACCOUNT ONLY)

户口可根据以下 *两式或以上 / 任何一式 签名式样指示下运作 (*删除不适用者)
The account can be operated on the instructions of any *two or more signatures / either one signatures. (*Delete as appropriate)

签名式样 SIGNATURES SPECIMEN

姓名
Name

签 名 Signature

香港身份证 / 护照号码
HKID Card / Passport No.

姓名
Name

签 名 Signature

香港身份证 / 护照号码
HKID Card / Passport No.

姓名
Name

签 名 Signature

香港身份证 / 护照号码
HKID Card / Passport No.

风险披露声明 RISK DISCLOSURE STATEMENTS

重要通知IMPORTANT NOTICE

此等风险披露声明不拟披露或讨论任何交易的所有风险及其他重要事项。因此，若你认为恰当便应该咨询你自己的法律、税务、财务及其他专业顾问，并且确保自己完全明白涉及的风险，与及满意自己于你进行任何某宗交易之前，你是愿意接受一切有关风险。重要的是你必须根据自己的投资经验、投资目标、财务状况及其他有关情况，去判断有关交易是否适合你。
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.

条款CLAUSE

“假如我们瑞城证券有限公司向阁下招揽销售或建议任何金融产品，该金融产品必须是我们经考虑阁下的财政状况、投资经验及投资目标后而认为合理地适合阁下的。本协议的其他条文或任何其他我们可能要求阁下签署的文件及我们可能要求阁下作出的声明概不会减损本条款的效力。”
“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.”

证券交易的风险 RISK OF SECURITIES TRADING

证券价格有时可能会非常波动。证券价格可升可跌，甚至变成毫无价值。买卖证券未必一定能够赚取利润，反而可能会招致损失。
The prices of securities fluctuate, sometimes dramatically. The price of a security may move up or down, and may become valueless. It is as likely that losses will be incurred rather than profit made as a result of buying and selling securities.

买卖创业板股份的风险 RISK OF TRADING GROWTH ENTERPRISE MARKET STOCKS

创业板股份涉及很高的投资风险。尤其是该等公司可在无需具备盈利佳绩及无需预测未来盈利的情況下在创业板上市。创业板股份可能非常波动及流通性很低。你只应在审慎及仔细考虑后，才作出有关的投资决定。创业板市场的较高风险性质及其他特点，意味着这个市场较适合专业及其他熟悉投资技巧的投资者。现时有关创业板股份的数据只可以在香港联合交易所有限公司所操作的互联网网站上找到。创业板上市公司一般毋须在宪报指定的报章刊登付费公告。假如你对本风险披露声明的内容或创业板市场的性质及在创业板买卖的股份所涉风险有不明白之处，应寻求独立的专业意见。
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.

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在香港以外地方收取或持有的客户资产的风险 RISK OF CLIENT ASSETS RECEIVED OR HELD OUTSIDE HONG KONG

持牌人或注册人在香港以外地方收取或持有的客户资产，是受到有关海外司法管辖区的适用法律及规例所监管的。这些法律及规例与《证券及期货条例》(第571章) 及根据该条例制订的规则可能有所不同。因此，有关客户资产将可能不会享有赋予在香港收取或持有的客户资产的相同保障。

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.

提供将你的证券抵押品等再质押的授权书的风险 RISK OF PROVIDING AN AUTHORITY TO REPLEDGE YOUR SECURITIES COLLATERAL

向持牌人或注册人提供授权书，容许其按照某份证券借贷协议书使用你的证券或证券抵押品、将你的证券抵押品再质押以取得财务融通，或将你的证券抵押品存放为用以履行及清偿其交收责任及债务的抵押品，存在一定风险。假如你的证券或证券抵押品是由持牌人或注册人在香港收取或持有的，则上述安排仅限于你已就此给予书面同意的情况下方有效。此外，除非你是专业投资者，你的授权书必须指明有效期，而该段有效期不得超过12个月。若你是专业投资者，则有关限制并不适用。此外，假如你的持牌人或注册人在有关授权的期限届满前最少14日向你发出有关授权将被视为已续期的提示，而你对于在有关授权的期限届满前以此方式将该授权延续不表示反对，则你的授权将会在没有你的书面同意下被视为已续期。现时并无任何法例规定你必须签署这些授权书。然而，持牌人或注册人可能需要授权书，以便例如向你提供保证金贷款或获准将你的证券或证券抵押品借出予第三方或作为抵押品存放于第三方。有关持牌人或注册人应向你阐释将为何种目的而用户许可证书。倘若你签署授权书，而你的证券或证券抵押品已借出予或存放于第三方，该等第三方将对你的证券或证券抵押品具有留置权或作出押记。虽然有关持牌人或注册人根据你的授权书而借出或存放属于你的证券或证券抵押品须对你负责，但上述持牌人或注册人的违规行为可能会导致你损失你的证券或证券抵押品。大多数持牌人或注册人均提供不涉及证券借贷的现金账户。假如你毋需使用保证金贷款，或不希望本身证券或证券抵押品被借出或遭抵押，则切勿签署上述的授权书，并要求开立该等现金账户。

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 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.

提供代存邮件或将邮件转交第三方的授权书的风险 RISK OF PROVIDING AN AUTHORITY TO HOLD MAIL OR TO DIRECT MAIL TO THIRD PARTIES

假如你向持牌人或注册人提供授权书，允许他代存邮件或将邮件转交予第三方，那么你便须尽速亲身收取所有关于你账户的成交单据及结单，并加以详细阅读，以确保可及时侦察到任何差异或错误。

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.

保证金买卖的风险 RISK OF MARGIN TRADING

藉存放抵押品而为交易取得融资的亏损风险可能极大。你所蒙受的亏蚀可能会超过你存放于有关持牌人或注册人作为抵押品的现金及任何其他资产。市场情况可能使备用交易指示，例如“止损”或“限价”指示无法执行。你可能会在短期内被要求存入额外的保证金数额或缴付利息。假如你未能在指定的时间内支付所需的保证金数额或利息，你的抵押品可能会在未经你的同意下或在没有预先通知你的情况下被出售。此外，你将要为你的账户内因此而出现的任何短欠数额及需缴付的利息负责。因此，你应根据本身的财政状况及投资目标，仔细考虑这种融资安排是否适合你。

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.

在香港联合交易所有限公司买卖纳斯达克 - 美国证券交易所证券的风险 RISK OF TRADING NASDAQ-AMEX SECURITIES AT THE STOCK EXCHANGE OF HONG KONG LIMITED

按照纳斯达克 - 美国证券交易所试验计划 (“试验计划”) 挂牌买卖的证券是为熟悉投资技巧的投资者而设的。你在买卖该项试验计划的证券之前，应先咨询有关持牌人或注册人的意见和熟悉该项试验计划。你应知悉，按照该项试验计划挂牌买卖的证券并非以香港联合交易所有限公司的主板或创业板作第一或第二上市的证券类别加以监管。

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

电子通讯相关的风险 RISK ASSOCIATED WITH ELECTRONIC COMMUNICATION

你明了基于互联网或其他电子通讯系统可能遇到未可预计的网络挤塞情况及其他原因，因此电子通讯系统可能并非是可靠的通讯途径，而这种不可靠性并非瑞城证券所能控制。这可能会导致下列情况，包括：在传送或收取你的指示或其他数据时有所延误、延误执行买卖盘或有关买卖盘以有别于你落盘时的市价执行、进行通讯时出现误解及错误等等。尽管瑞城证券将会采取一切可行的步骤去保障其系统、顾客数据、帐户及为客户利益而持有的资产，你接纳透过电子通讯系统进行交易所涉及的风险。

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.

进行场外交易的风险 RISKS OF ENTERING INTO OTC TRANSACTIONS

在某些司法管辖区，场外交易或会是容许或获批准的。就某宗场外交易而言，有可能很困难或甚至无法去平掉现有的仓位、进行估值、判断价格或评估须承受的风险。因此，场外交易或会涉及更高的风险。此等交易也可能受到较宽松的规管或受另一个监管制度所约束。于你进行此等交易之前，你应当熟悉适用的规则及

<p>有关的风险。</p> <p>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.</p> <p>关于场外衍生工具交易的额外风险披露场 ADDITIONAL RISK DISCLOSURE FOR OTC DERIVATIVE TRANSACTIONS</p> <p>场外衍生工具交易涉及多种不同的重大风险。某宗场外衍生工具交易所带来的风险，乃必然地视乎该宗交易本身的条款。一般而言，所有场外衍生工具交易涉及市场风险、信贷风险、融资风险及运作上的风险。基于某宗特定交易的条款，你应当考虑其他重大的风险。特别是极为度身订造的场外衍生工具交易，它们或会增加流通性风险及带来其他复杂性质的重大风险因素。高度杠杆的交易或会由于相关资产或工具的价格或水平或相关市场因素较小的变化，而带来重大的收益或亏损。在衡量某宗场外衍生工具交易所带来的风险及合约责任时，你应当同时考虑该宗交易的被修改或终止，可能须要立约人相互的同意及受限于个别地谈判的条款所达成的协议。因此，在有关合约约定的终止日前，你或会可以或不可以修改、终止或抵偿你的有关责任或你所须承受的风险。</p> <p>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.</p> <p>买卖衍生工具产品的风险 RISK OF TRADING DERIVATIVE PRODUCTS</p> <p>买卖追踪证券、债券、货币市场工具、利率、参考指数或其他指标的变动或水平变化的衍生工具产品(包括但不限于股票挂钩工具、信贷挂钩票据、衍生权证及可换股债券)将涉及风险。市况的转变可为这些产品的价值带来极大的变化。因此，你在衍生工具产品须承受的价格或市场风险，可能明显地较你熟悉的其他非衍生金融工具所涉及的有关风险为高。衍生工具产品可会是复杂的，它们并且可带来极大的亏损风险，所以此类产品可能并不适合你。你应当祇在小心评估相关资产、工具或其他有关指针的价格或水平的潜在将来变化的方向、时间及大幅度及其他有关因素之后，才考虑投资衍生工具产品，因为任何这种投资的回报可受此等变化的影响。但是，买卖衍生工具产品所涉及的风险并不是及不应被假设是可预期的。投资某种类衍生工具产品的可能结果是你须要以某预定的价格购入或交付某些相关的资产或工具。在这种情况下，无论相关资产或工具的市场价格或水平偏离预定的价格或水平多么远，你将须履行有关的责任，并且你结果将须承受的亏损可能会很大。</p> <p>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</p>
<p>个人资料之使用 USE OF PERSONAL INFORMATION</p> <p>个人资料之使用 Use of personal information</p> <p>本人/吾等(“客户”)同意瑞城证券有限公司(“瑞城证券”)及/或其合作伙伴拟使用客户之个人资料以直接促销：(i)金融服务和产品；(ii)相关优惠计划；(iii)金融与投资建议；或(iv)瑞城证券就前述产品及服务之业务推广和宣传活动。该等个人资料包括客户在本开户表格中向本公司提供的姓名、联络详情、财务背景及统计资料等个人资料。本人明白客户可以随时要求本公司停止在直接促销中使用本人的个人资料。如客户不同意，请在以下空格加上「√」号。</p> <p>I (“client”) hereby informed that Gransing Securities Co., Limited (“GRANSING Securities”) intends to use my 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. I (client) understand that I may, at any time, require Gransing Securities to cease to use my personal data for direct marketing. Please tick the following box if you do not agree.</p> <p><input type="checkbox"/> 本人不同意瑞城证券有限公司如上述情况使用本人之个人资料。</p> <p>I disagree to the aforesaid use of my personal data in GRANSING Securities.</p>
<p>客户之确认 CLIENT ACKNOWLEDGEMENT</p> <p>瑞城证券按本人/吾等的指示而进行的一切证券交易(「交易」)，须根据适用于瑞城证券的一切法例、规则和监管指示的规定而进行。这方面的规定包括香港联合交易所有限公司(「联交所」)及香港中央结算有限公司(「中央结算公司」)的规则。瑞城证券根据该等法例、规则及指示而采取的所有行动均对本人/吾等具有约束力。All transactions in securities which Gransing Securities effect on my/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 me/us.</p> <p>本人/吾等确认「开户数据表格」所载数据均属完整及正确。倘该等资料有任何变更，本人/吾等将会通知瑞城证券。本人/吾等特此授权瑞城证券对本人/吾等的信用进行查询，以核实上述表格所载数据。本人/吾等现声明本人/吾等是该账户之最终受益人及唯一拥有该账户之人士。I/We confirm that the information provided in the Account Opening Information Form is complete and accurate. I/We will inform Gransing Securities of any changes to that information. Gransing Securities are authorized to conduct credit enquiries on me/us to verify the information provided. I/We hereby declare that I/we am/are the ultimate beneficial owner(s) of the Account and no one other than me/us has any interest in the Account.</p> <p>本人/吾等不得撤回指示瑞城证券将本人/吾等在瑞城证券之账户内的任何证券、应收款项或其中持有之现金进行抵销及扣留，作为抵销本人/吾等在瑞城证券之账户一切实际或有负债，包括支付买入证券及向第三者支付的费用。I/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.</p> <p>本人/吾等会就所有交易支付瑞城证券通知本人/吾等的佣金和收费，缴付联交所及证监会征收的适用征费，并缴纳所有有关的印花税。瑞城证券可以从户口中扣除该等佣金、收费、征费及税项。On all Transactions, I/we will pay commission and charges to GRANSING Securities, as notified to me/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.</p>

<p>本人/吾等明白及同意瑞城证券可以监听或记录本人/吾等与瑞城证券之电话谈话内容以供瑞城证券核实本人/吾等或任何授权人之指示。I/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 me/us or my/our Authorized Person.</p> <p>本人/吾等确认及同意瑞城证券之董事、高级职员、雇员及代理人毋须对任何指示及落盘在传递及通讯上的延误、无效及错漏而产生之损失承担任何责任，此损失由本人/吾等承担。I/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 me/us as a result of any delay, failure or inaccuracy in the transmission or communication of instructions or orders.</p> <p>本人/吾等确认本人/吾等指示进行所有证券交易是根据本人/吾等自己的判断及决定作出，而并非基于瑞城证券之选择或建议而进行交易。I/We acknowledge that all Transactions effected by Gransing Securities pursuant to my/our instructions is a result of my/our judgement and decision and not result from selection or advice from GRANSING Securities.</p> <p>本人/吾等现申请开立上述类别的账户，并同意接受可不时被修改或补充的条款及细则所约束。I/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.</p> <p>风险披露声明内容已按照本人/吾等选择的语言提供，及已获邀阅读该风险披露声明、提出问题及征求独立的意见(如本人/ 吾等有此意愿)。I/We acknowledge and confirm that Gransing Securities has provided the Risk Disclosure Statements in a language of my/our choice (English or Chinese) and I/we have been invited to read the Risk Disclosure Statements, to ask questions and take independent advice if I/we wish.</p>			
<p>客户签署 Primary Client Signature</p>		<p>联名客户签署 Joint Client Signature</p>	
<p>客户姓名</p>	<p>日期 (日/月/年)</p>	<p>联名客户姓名</p>	<p>日期 (日/月/年)</p>
<p>Client Name</p>	<p>Date (dd/mm/yy)</p>	<p>Joint Client Name</p>	<p>Date (dd/mm/yy)</p>
<p>下述签署人士谨此认证上述客户 / 联名客户订立此文件及认证核实其有关的身分证明文件</p> <p>The undersigned person hereby certify the signing of this document by the above Client / Joint Clients and verification of related identity documents of such Client(s).</p>			
<p>见证人名称 Name of Witness</p>		<p>见证人签署Signature of Witness</p>	<p>日期 (日/月/年) Date (dd/mm/yy)</p>
<p>只供本行使用 FOR OFFICIAL USE ONLY</p>			
<p>介绍人 Introduced by</p>			
<p>文件查核 Documentation checked</p>		<p>客户主任姓名 Account Executive</p>	
<p>经由瑞城证券有限公司承认及接纳 APPROVED AND ACCEPTED BY GRANSING SECURITIES CO., LIMITED</p>			
<p>获授权代表姓名 Name of Authorized Staff</p>		<p>获授权代表签署 Authorized Signature</p>	<p>日期 (日/月/年) Date (dd/mm/yy)</p>
<p>Remarks:</p>			