

INDIVIDUAL SECURITIES ACCOUNT OPENING FORM 個人證券開戶表格

ACCOUNT TYPE (S) 賬戶類別:		CASH SECURITIES ACCOUNT 現金證券賬戶	
A. Client Information 客戶資料			
Client Name 客戶名稱 English 英文 Mr. / Ms. *(Please delete if not applicable)		HKID Card / Passport No. 香港身份證/護照號碼	
Chinese 中文 先生 / 女士 *(請刪去不適用者)		Date of birth 出生日期	
		Place of birth 出生地點	Nationality 國籍
E-mail 電郵	Mobile 手提	Home Tel. 住宅電話	Fax 傳真
Residential Address 住宅地址			
Room/Flat 室/單位	Floor 層數	Block 座數	
Building 大廈	No. & Name of Street 街號及街名	Estate/Court 屋村/屋苑	
District 地區	City 城市	Country 國家	
Corresponding Address 通訊地址 <input type="checkbox"/> Same as above 同上 <input type="checkbox"/> Others (please specify below) 其他 (請於下方註明)			
Communication Method (For issuance of Daily/Monthly Statement) 通訊方式 (用作發送日/月結單) <input type="checkbox"/> Post 郵寄 (Administration Fee of \$50 per statement 每份結單行政費為港幣 50 元正) <input type="checkbox"/> E-mail 電郵			
Statement Language 結單語言 <input type="checkbox"/> 繁體 <input type="checkbox"/> 简体 <input type="checkbox"/> English			
Settlement Account Information 結算賬戶資料 The Client hereby instructs and authorizes Chuenman Securities Limited to deposit all payments payable to the Client into the following bank account. Chuenman Securities Limited will in complying with the requirements of the "Terms and Conditions for Trading Account" and to the extent as soon as reasonably practicable, deposit the payments into the following Settlement Account for the Client as soon as possible. Chuenman Securities Limited shall not be held liable for any loss, expenses or damages suffered by the Client as a result of any delay in depositing such payments caused by any reason whatsoever. 客戶謹此指示及授權川文證券有限公司將所有應付客戶之款項存入下列之銀行賬戶。川文證券有限公司將在符合<交易賬戶條款及條件>之規定及於合理可行的情況下，盡快為客戶存入款項到以下之結算賬戶。川文證券有限公司不會對基於任何原因而延遲存入款項令客戶蒙受的任何虧失、開支或損害承擔任何法律責任。			
Currency 貨幣	Name of Account Holder 賬戶持有人名稱	Name of Bank 銀行名稱	Account No. 賬戶號碼
HKD 港幣			
USD 美元			
CNY 人民幣			

Do you and/or your spouse, partner, child, parent, spouse or partner of your child, or your close associate entrust and has ever entrusted with a prominent public function, which includes a head of state, head of government, judicial or military official, and an important political party official? 你或/及你的配偶、伴侶、子女、父母、子女的配偶或伴侶或與你關係密切的人，是否擔任及曾擔任重要公職，包括國家元首、政府首長、及重要政黨幹事?

No 否

Yes 是, Name of relevant person 相關人士名稱: _____

Position entrust or has entrusted 擔任及曾擔任之公職: _____

C3. Investment Experience & Derivative Products Knowledge 投資經驗及對衍生產品之認識

Investment Objective & Strategy 投資目的及策劃 :

Hedging 對沖 Speculative 投機 Short-term Investment 短期投資 Long-term Investment 長期投資

Client Investment Interest 客戶投資意向 :

Main Board 主板 GEM 創業板 Derivative Warrants / CBBC 衍生權證(窩輪) / 牛熊證

ETF / Trust 交易所買賣基金 / 信託基金 Grey Market 暗盤市場 (請參閱首次公開招股股票(「新股」)暗盤下單條款同意書)

Investment Experience 投資經驗 :

Nil 沒有 < 1 Year 年 1 - 5 Years 年 6 - 10 Years 年 > 10 Years 年

Risk Tolerance 可承受風險 (只可填選 項 one item only)

Very Aggressive 極高 Aggressive 高 **Moderate 中 **Conservative 低

**承受風險為中或低的客戶不可買賣衍生工具產品. **Derivative product trading is prohibited for client with Moderate or Conservative risk tolerance

C4. Derivative Products Knowledge 對衍生產品之認識

My knowledge of derivative products are as followed: 對衍生產品的認識如下:

I understand the nature and risks of derivative products by: 本人經以下途徑了解衍生產品的性質和風險:

I have undergone training or attended courses on derivative products (Please provide certificate or related supporting documents)

本人已接受有關介紹 般衍生產品之性質及風險的培訓或課程 (請提供證書或相關之證明文件)

Name of Courses / Seminars 課程 / 研討會名稱: _____

Organizer 主辦機構: _____ Year of Participation 參與年份: _____

I have current or previous work experience related to derivative products (Please provide job proof: reference letter or name card etc.)

本人現時擁有或過去曾擁有與衍生產品有關之工作經驗 (請提供工作證明文件, 如推薦信, 卡片等)

Name of employer 公司名稱: _____ Position 職位: _____

I have executed five or more transactions in derivative products within the past three years

本人曾於過去三年內曾執行過五次或以上有關衍生產品之交易:

Product(s) invested 曾交易產品: CBBC 牛熊證 Derivative Warrants 衍生權證(窩輪) ETF 交易所買賣基金 Others 其他:

I do NOT have any knowledge of derivative products. 本人對衍生產品沒有認識。

D. Declaration by Customer 客戶聲明

Are you the ultimate beneficial owner(s) in relation to the account? (I.e. Are you acting for your own account and not for a third party?) If no, details of the ultimate beneficial owner(s) is/are:

你是否此賬戶的最終實益擁有人? (即你是否為自身而非第三者運作此賬戶?)

Yes 是 No 否; 請填寫最終實益擁有人資料

Name ID / Passport No.

名稱 身份證/護照號碼

Address

地址

D2. Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)

最終受益人(個人)外籍身分之美國稅款扣繳及申報聲明書

Are you (and/or the Secondary Joint Account Holder) citizens or residents of the USA for tax purposes? {Note: Due to US tax reporting requirements, US person's accounts require special approval.} 你是否美國公民或就稅務目的而言的居民?(注意由於美國稅收申報要求, 美國人戶口需要特別審批.

No 否 Yes 是 Others 其他 : _____ (please list the country 請列出該國)

FATCA Self-Certification (Individual) 海外賬戶稅收合規法案聲明書 (個人)

CERTIFICATION 聲明

I hereby consent for Chuenman Securities Limited to disclose, report or share my relevant information with local and overseas regulators or tax authorities where necessary to establish my tax liability in any jurisdiction. I declare that I have examined the information on this self-certification and to the best of my knowledge and belief, it is true, correct and complete. I will inform your company within 30 days if any information herein becomes incorrect.

本人同意川文證券有限公司可向本地及海外監管機構或稅務機構披露、呈交或提供本人的資料以確立本人於任何司法管轄區的稅務責任。

本人在此聲明本人已查閱此聲明之內容, 並盡本人所知及確信, 聲明內容均屬真實、正確及完整。本人同意如以上聲明有變更, 將於 30 日內通知貴公司。

D3. Automatic Exchange of Financial Account Information 自動交換財務賬戶資料 (“AEOI”)

Automatic Exchange of Financial Account Information 自動交換財務賬戶資料: Please indicating the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and the account holder’s Taxpayer Identification Number (“TIN”) for each jurisdiction indicated. 請於下表列明賬戶持有人的居留司法管轄區 (即稅務管轄區(香港包括在內))及該居留司法管轄區發給賬戶持有人的稅務編號。Please indicate all (not restricted to three) jurisdictions of residence in the following table. 請列出所有(不限於 3 個)居留司法管轄區。*If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. If a TIN is unavailable, provide the appropriate reason. *如賬戶持有人是香港稅務居民, 稅務編號是其香港身份證號碼。如沒有提供稅務編號, 必須填寫合適的理由。

Jurisdiction of Residence 居留司法管轄區	TIN* 稅務編號*	No TIN Reason 沒有稅務編號理由	Explanation of Reason B Selected 選取理由 B 的原因及解釋
		(1) Reason 理由: <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
		(2) Reason 理由: <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
		(3) Reason 理由: <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	

Reason A 理由 A	The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents. 賬戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。
Reason B 理由 B	The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason. 賬戶持有人不能取得稅務編號。如選取這一理由, 解釋賬戶持有人不能取得稅務編號的原因。
Reason C 理由 C	TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed. 賬戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要賬戶持有人披露稅務編號。

IMPORTANT NOTES 重要提示

- This is a self-certification form provided by an account holder to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction. 這是由賬戶持有人向申報財務機構提供的自我證明表格, 以作自動交換財務 賬戶資料用途。申報財務機構可把收集所得的資料交給稅務局, 稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- An account holder should report all changes in his/her tax residency status to the reporting financial institution. 如賬戶持有人的稅務居民身分有所改變, 應盡快將所有變更通知申報財務機構。
- If space provided is insufficient, continue on additional sheet(s). Client’s personal information including but not limited to the name, city and country of residence, date of birth, jurisdiction of residence and taxpayer identification number or its functional equivalent (“TIN”) are required to be reported by the reporting financial institution to the Inland Revenue Department. 如這份表格上的空位不夠應用, 可另紙填寫。客戶的個人資料包括但不限於: 姓名、現居城市及國家、出生日期、居留司法管轄區及稅務編號或具有等同功能的識辨編號(「稅務編號」)均為申報財務機構須向稅務局申報的資料。

DECLARATIONS 聲明

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112). 本人知悉及同意，財務機構可根據《稅務條例》(第 112 章)有關交換財務賬戶資料的法律條文，(a)收集本表格所載資料並可備存作自動交換財務賬戶資料用途及(b)把該等資料和關於賬戶持有人及任何須申報賬戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到賬戶持有人的居留司法管轄區的稅務當局。

Of all the account(s) to which this form relates, I certify that 本人證明，就與本表格所有相關的賬戶：

I am the account holder 本人是賬戶持有人 OR 或

I am authorized to sign for the account holder. 本人獲賬戶持有人授權簽署本表格。(Capacity 身分: _____)
 (Please attach a certified copy of the power of attorney. 請附上授權書的核證副本。)

I undertake to advise Chuenman Securities Limited of any change in circumstances which affects the tax residency status of myself or causes the information contained herein to become incorrect, and to provide Chuenman Securities Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

本人承諾，如情況有所改變，以致影響本人的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知川文證券有限公司，並會在情況發生改變後 30 日內，向川文證券有限公司提交一份已適當更新的自我證明表格。

I declare that the information given and statements made are, to the best of my knowledge and belief, true, correct and complete.

本人聲明就本人所知所信，所填報的所有資料和聲明均屬真實、正確和完備。

WARNING 警告: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).

根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級 (即\$10,000) 罰款。

E. Anti-Money Laundering And Anti-Terrorist Financing Questionnaire 防止洗黑錢及防止恐怖份子籌資活動問卷

1. Are you a citizen of a place which is a member of the Financial Action Task Force ("FATF")? (Members of FATF include: Argentina, Australia, Austria, Belgium, Brazil, Canada, China, Denmark, Finland, France, Germany, Greece, Hong Kong, Iceland, India, Ireland, Italy, Japan, South Korea, Luxembourg, Malaysia, Mexico, Netherlands, New Zealand, Norway, Portugal, Russian Federation, Singapore, South Africa, Spain, Sweden, Switzerland, Turkey, United Kingdom, USA, European Commission, and the Gulf Cooperation Council) 你是否財務行動特別組織的成員的公民? (財務行動特別組織成員包括：阿根廷、澳洲、奧地利、比利時、巴西、加拿大、中國、丹麥、芬蘭、法國、德國、希臘、香港、冰島、印度、愛爾蘭、意大利、日本、南韓、盧森堡、馬來西亞、墨西哥、荷蘭、紐西蘭、挪威、葡萄牙、俄羅斯聯邦、新加坡、南非、西班牙、瑞典、瑞士、土耳其、英國、美國、歐洲委員會及海灣合作理事會)

Updated List for the Members of FATF 最新財務行動特別組織成員名單：<http://www.fatf-gafi.org/countries/#FATF>

Yes 是 No, please elaborate below 否 請詳述：_____

2. Do you live in a place with established laws / regulations designed to prevent money laundering?

你是否居住在一個已有現行法律或條例立以制止洗黑錢的活動的地方?

Yes 是 No, please elaborate below 否, 請詳述: _____

3. Are you free from links with politically exposed persons? (Politically exposed person : individual who is or has been entrusted with prominent public function, e.g. head of state/government, senior politician, senior executive of government-owned corporation, important political party official, etc.)

你與政界人士並沒有聯繫? (政界人士: 指目前或以往曾經擔任重要公職的人士, 如國家或政府的首長、資深政客、政府屬下企業高級官員和重要政黨官員等)

Yes 是 No, please elaborate below 否, 請詳述: _____

4. Is the nature of your job not particularly susceptible to money laundering risk? (For example: not money changer or casino business that handles large amount of cash etc.)

你的工作性質並不是特別容易蒙受洗黑錢的風險? (舉例: 不是會接觸大量現金往來的找換業或博彩業等)

Yes 是 No, please elaborate below 否, 請於詳述: _____

5. Have you maintained a "no conviction record" for anti-money laundering or anti-terrorist financing legislation?

你是否就反洗黑錢條例或反恐怖分子籌資活動條例維持著“無罪紀錄”?

Yes 是 No, please elaborate below 否, 請於下方詳述: _____

For client who works in a company with business involving the handling of third party assets (e.g. fund manager, stockbrokers), please answer the following questions.

如閣下工作的公司業務涉及處理第三者的資產 (如基金經理, 股票經紀), 請回答以下的問題。

1. Has the company you work for (including foreign branches and subsidiaries, if any) established written policies and implemented internal procedures and controls to combat money laundering? 你工作的公司 (包括外國的分行及子公司) 是否已制訂書面政策, 並執行內部程序和管理, 以打擊洗黑錢的行動?

Yes 是 No, please elaborate below 否, 請於下方詳述: _____

2. In the company you work for, are there documented procedures for reporting suspicious activities and transactions to the appropriate authorities?

你工作的公司就舉報可疑的活動和交易是否已確立程序向適當的監控組織報告?

Yes 是 No, please elaborate below 否, 請於下方詳述: _____

3. In the company you work for, are there established policies and procedures to ensure that reasonable measures are taken to obtain information about the true identity of your customers, and are these records retained for a specified period of time?

你工作的公司是否已制訂政策與程序, 確保已採用合理方法去取得客戶真正身份的資料, 並將有關資料於指定時限內予以保留?

Yes 是 No, please elaborate below 否, 請於下方詳述: _____

Client Signature 客戶簽署

Print Name 正楷姓名

Date (DD / MM / YYYY) 日期 (日 / 月 / 年)

F. Authorization Letter for Client Securities 客戶證券授權書

Standing Authority under the Securities and Futures (Client Securities) Rules 根據《證券及期貨(客戶證券)規則》作出的常設授權

This letter of authority covers the securities or securities collateral received or held by you on my behalf. Unless otherwise defined, all the terms used in this Authorization Letter shall have the same meanings as defined in the Securities and Futures Ordinance and the Securities and Futures (Client Securities) Rules as amended from time to time. 本授權書是關於貴公司代表本人接收或持有的證券或證券抵押品。除另有說明外，在本授權書內的所有用語應具有經不時修訂的《證券及期貨條例》及《證券及期貨(客戶證券)規則》所定義的相同意思。

I authorize you, Chuenman Securities Limited, to: 本人授權川文證券有限公司(下稱「貴公司」):

1. deposit any of my securities collateral with: 將本人的任何證券抵押品存放於:

(i) a recognized clearing house; or 一家認可的結算所; 或

(ii) another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of your settlement obligations and liabilities. 獲發牌或獲註冊進行證券交易的另一中介人, 作為貴公司履行交收義務與責任的抵押品。

You may execute any of the above actions without giving me notice. 貴公司可毋須通知本人而進行上述各項。

Those securities and securities collateral shall be dealt with according to the laws and regulations of the relevant jurisdiction where they are received or held. 該等證券及證券抵押品將根據在其收取或持有之有關海外地區的法律及規則處理。

The authority given in this Authorization Letter does not cover any consideration which I may pay or be paid for the lending or borrowing of securities by you. Such consideration shall be set by a separate agreement between us. 本授權書不涉及就貴公司借貸予本人之任何證券或證券抵押品而須支付或收取的任何代價。該等代價均須由本人與貴公司另行協議訂明。

I understand that a third party may have a lien or charge on my securities or securities collateral, which you must satisfy before my securities or securities collateral can be returned to me. 本人明白, 本人的證券或證券抵押品可能受制於第三者之留置權或押記, 貴公司必須先行了結有關留置權或押記, 方可將本人的證券或證券抵押品歸還本人。

I am aware that there is risk if I provide you with an authority that allows you to apply my securities or securities collateral pursuant to a securities borrowing and lending agreement, repledge my securities collateral for financial accommodation or deposit my securities collateral as collateral for the discharge and satisfaction of your settlement obligations and liabilities. 本人知悉, 本人若授權貴公司, 准許貴公司依據證券借貸協議運用本人的任何證券或證券抵押品, 或准許貴公司再質押本人的證券抵押品以取得財務通融, 或准許貴公司存放本人的證券抵押品作為貴公司履行交收義務與責任的抵押品, 如此授權是帶有風險的。

I acknowledge and agree that the authority shall be valid for maximum of 12 months and will expire at the end of 12 months from the date of this Authorization Letter or 31st December of each year, whichever is earlier. I understand that the authority shall be deemed to be renewed for subsequent periods of 12 months on a continuing basis without my written consent if you give me a written reminder at least 14 days prior to the expiry date and I do not object to such deemed renewal before the expiry date. I understand that I may revoke this authority by giving you at least five trading days' prior written notice. However, you may, in your absolute discretion, treat the revocation notice as having immediate effect upon your receipt. 本人確認並同意, 此授權有效期最長為 12 個月, 將於本授權書簽訂之日後 12 個月結束時或每西歷年 12 月 31 日止屆滿, 以較早者為準。本人明白, 若貴公司在屆滿日之前至少 14 日給予本人續期通知書而本人在屆滿日之前沒有表示反對續期, 則此授權將視為毋須本人書面同意而接續地續期, 每次續期期間為 12 個月。本人明白, 本人可給予貴公司至少五個交易日的預先書面通知, 以撤銷此授權。但是, 貴公司有絕對酌情決定權將撤銷授權通知書視為於貴公司收訖時隨即生效。

In the event of any discrepancy between the English and Chinese version of this Authorization Letter, I agree that the English version shall prevail. 若本授權書的英文文本及中文文本在內容上有任何歧異, 本人同意以英文文本為準。

I confirm that I have read and understood the contents of the above Authorization Letter and agreed to be bound by its terms.
本人確認已閱讀及明白以上授權書的內容, 並同意受本授權書的內容約束。

G. Client's Declaration, Confirmation and Agreement 客戶聲明, 確認及協議

(1) The Account 賬戶

- (a) I/We confirm that the information provided in this Account Opening Information Form is complete and accurate. I/We will inform you of any changes to that information. You are authorized to conduct credit enquiries on me/us to verify the information provided. 本人/吾等確認本「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 本人/吾等將會通知閣下人/吾等特此授權閣下對本人/吾等的信用進行查詢,以核實上述表格所載資料。
- (b) You will keep Information relating to my/our Account confidential, but may provide any such information to the Exchange and the SFC to comply with their requirements or requests for information. 閣下將會對本人/吾等戶口的有關資料予以保密但閣下可以根據聯交所及證監會的規定或應其要求,將該等資料提供予聯交所及證監會。

(2) Laws and rules 法例及規則

All transaction in securities which you effect on my/our instructions ('Transactions') shall be effected in accordance with all laws, rules and regulatory directions applying to you. This includes the rules of the Exchange and of the Hong Kong Securities Clearing Company limited (the 'Clearing House'). All actions taken by you in accordance with such laws, rules and directions shall be binding on me/us. 閣下接本人/吾等的指示而進行的一切證券交易(交易),須根據用於閣下的一切法例,則和監管指示的規定而進行。進方面的規定包括聯交所及香港中央結算有限公司(「中央結算公司」)的規則,閣下根據該等法例、規則及指示而採取的所有行動均對本人/吾等具有約束力。

(3) Transaction 交易

- (a) You will act as my/our agent in effecting Transactions unless you indicate {in the contract note for the relevant Transaction or otherwise) that you are acting as principal 除閣下(在有關交易的成交單或其他合約單據內)註明以自身名義進行交易外閣下將以本人/吾等的代理人身份進行交易。
- (b) I/We will notify you when a sale order relates to securities which I/we do not own i.e. involves short selling. 倘沽盤是有關非由本人/吾等擁有的證券,即涉及賣空交易本人/吾等將會通知閣下。
- (c) On all Transactions, I/we will pay your commission and charges, as notified to me/us, as well as applicable levies imposed by the Exchange, and all applicable stamp duties. You may deduct such commissions, charges, levies and duties from the Account 本人/吾等會就所有交易支付閣下通知本人/吾等的佣金和收費,繳付聯交所徵收的適用徵費,並繳納所有適用的印花稅,閣下可以從戶口中扣除該等佣金、收費、徵費及稅項。
- (d) Unless otherwise agreed, In respect of each Transaction, unless you are already holding cash or securities on my/our behalf to settle the Transactions, I/we will pay your cleared funds or deliver to your securities in deliverable form or otherwise ensure that you have received such funds or securities 就每宗交易,除另有協議外或除非閣下已代本人/吾等持有現金或證券供交易交收之用,否則本人/吾等將會在閣下就該交易通知本人/吾等的期限之前向閣下交付可即時動用的資金或可以交付的證券,或以其他方式確保閣下收到此等資金或證券。
- (e) By such time as you have notified me/us in relation to that Transaction. If I/we fail to do so, you may 倘本人/吾等未能這樣做閣下可以
- (i) in the case of a purchase Transaction, sell the purchased securities and (如屬買入交易)出售買入的證券;及
 - (ii) in the case of a sale Transaction, borrow and/or purchase securities in order to settle the Transaction. (如屬賣出交易)借入及/或買入證券以進行交易的交收。
- (f) I/We will be responsible to you for any losses and expenses resulting from my/our settlement failures. 本人/吾等將會負責閣下因本人/吾等未能進行交收而引起的任何損失及開支。

- (g) I/We agree to pay interest on all overdue balances (including interest arising after a judgement debt is obtained against me/us) at such rates and on such other terms as you have notified me/us from time to time 本人/吾等同意就所有逾期未付款項(包括對本人/吾等裁定的欠付債務所引起的利息)按閣下不時通知本人/吾等的利率及其他條款支付利息。
- (h) In the case of a purchase Transaction, If the selling broker falls to deliver on the settlement date and you have to purchase securities to settle the Transaction, I/we shall not be responsible to you for the costs of such purchase 就買入交易而言倘賣方經紀未能於交收日內支付證券導致閣下須買入證券進行交收本人/吾等毋須為買入該等證券的費用向閣下負責。

(4) Safekeeping of securities 證券的保管

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

(5) Cash held for me/us 代本人/吾等保管的現金

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

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

(6) General 一般規定

- (a) All securities held for my/our Account shall be subject to a general lien in your favor, for the performance of my/our obligations to you arising in respect of dealing in securities for me/ us 所有本人／吾等戶口內的證券均受制於閣下的全面留置權，以確保本人／吾等履行對閣下代本人／吾等買賣證券而產生的責任。
- (b) If you fail to meet your obligations to me/us pursuant to this Agreement. I/we shall have a right to claim under the Compensation Fund established under the Securities Ordinance, subject to the terms of the Compensation Fund from time to time. 倘閣下沒有依照本協議書的規定履行對本人／吾等的責任，本人／吾等有權向根據《證券及期貨條例》成立的賠償基金索償，惟須受賠償基金不時的條款制約。
- (c) You will notify me/us of material changes in respect of your business which may affect the service you provide to me/us. 倘閣下的業務有重大變更，並且可能影響閣下為本人／吾等提供的服務，閣下將會通知本人／吾等。
- (d) I/We confirm that I/we read and agree to the terms of this Agreement, which have been explained to me/us in a language that I/we understand 本人／吾等確認本人／吾等已詳閱並同意本協議書的條款，而且該等條款已經以本人／吾等明白的語言向本人解釋。
- (e) If you solicit the sale of or recommend any financial product to me/us, the financial product must be reasonably suitable for me/us having regard to my/our financial situation, investment experience and investment objectives. No other provision of this Agreement or any other document you may ask me/us to sign and no statement you may ask me/us to make derogates from this clause." 假如閣下向本人／吾等招攬銷售或建議任何金融產品，該金融產品必須是閣下經考慮本人／吾等的財政狀況、投資經驗及投資目標後而認為合理地適合本人／吾等的。本協議的其他條文或任何其他閣下可能要求本人／吾等簽署的文件及閣下可能要求本人／吾等作出的聲明概不會減損本條款的效力。
- (f) This Agreement is governed by, and may be enforced in accordance with the laws of the Hong Kong Special Administrative Region. 本協議書受香港特別行政區法院管轄並且可以根據香港特別行政區法律執行。

(7) Declaration of No Short Selling 所有賣盤均為非賣空盤之確認聲明

I confirm that, until such time as you receive further written notice from me to the contrary, every sell order I (whether as principal or agent) ask you to execute on the Stock Exchange of Hong Kong Limited will be a "long" sales, meaning that I will never give you a sell order unless, at the time of the order, I either (i) own the shares that are the subject of the sell order, or (ii) have already exercised an ADR, TraHK unit, physically-settled share call option or other similar instrument convertible into the shares to be delivered to the purchasers. I understand that until such time as you receive this declaration, and if at any time I give you written notice that this declaration is no longer to have any effect, you are obliged under Section 171 of the Securities and Futures Ordinance (Cap, 571) of Hong Kong to seek my WRITTEN confirmation that any short sales are covered and that, to the extent that any cover is a stock borrowing arrangement with a stock lender, the stock lender has the shares available to lend or deliver to me.

本人現在確認本人（無論作為委託人或代理人）將來向貴公司發出的所有在香港聯合交易所有限公司執行的賣盤指示均屬長倉沽盤，直至本人另行以書面通知貴公司為止。上述確認意指每當本人向貴公司發出沽盤指示時，本人（一）已擁有該沽盤指示之有關股票；或（二）將可交予買方已行使的美國預託證券、盈富基金實物交收股票認購期權或任何其它類似的可以轉換成該有關股票之工具。本人明白在貴公司收到此聲明之前“或在本人以書面通知貴公司此聲明中之確認已不再生效之後。貴公司根據香港《證券及期貨條例》（第 571 章）第 171 條有責任向本人索取口頭及書面確認，以確認吾等發出之沽盤指示已經備兌（借貸）以及若此備兌為借用股票安排時，借出人確實擁有該有關股票以借予本人。

(8) Personal Information Collection Statement 個人資料收集聲明

Personal data supplied by Client will be used by the Company for the following purposes: 本公司將對閣下所提供的個人資料用作執行以下用途

- (a) Opening of Client Account for Securities Trading 開設證券買賣客戶戶口
- (b) Performing Daily Securities Trading 日常證券買賣運作
- (c) Personal Data Privacy Policy (個人資料私隱政策)

I/We have carefully read, fully understand and agreed to accept and be bound by the notice and statement relating to the Personal Data (Privacy) Ordinance (Cap. 486 of the Laws of Hong Kong) as set out in the Data Privacy Policy of the Company. Unless I/We have indicated my/our objection by ticking the boxes below, I/We hereby consent to the use of my/our personal data for direct marketing purpose.

本人/吾等已仔細閱讀、完全理解並同意接受及遵守本公司之個人資料私隱政策所載有關個人資料(私隱)條例(香港法例第486章)的通知及聲明。除非本人/吾等在下方方格內另有指示,本人/吾等同意將本人/吾等的個人資料用作直接促銷用途。

- I/ We object to the proposed use of my/our personal data by any third parties in direct marketing.
 本人/吾等反對將本人/吾等的個人資料提供予任何第三者作直接促銷用途。

Client's Declaration, Confirmation and Agreement 客戶聲明、確認及協議

- I/We hereby confirm that I/we have read and agree to the Company's Account Opening Form, Signature Page for Company /Partnership Account Use Only (if applicable), and the Risk Disclosure Statements set out in Appendix I, and confirm that the data filled out in the completed Client Information Statement are correct, completed the Client Information Statement and have read and agree to the Terms and Conditions, all of which form the agreement made between the Company and me/us in relation to the Account(s).

本人/吾等茲確認已經閱讀並同意貴公司的賬戶開立表格、僅供公司/合夥公司賬戶使用簽字頁(如適用)、以及所載於附錄I的各項風險披露聲明書,並確認已填妥客戶資料表所載之資料準確無誤,已經閱讀並同意條款和條件。所有上述文件構成貴公司與本人/吾等就賬戶達成之協議。

ACCOUNT HOLDER SIGNATURE 賬戶持有人簽署

Name of Client 客戶姓名:

Date 日期:

Account Holder's Signature 賬戶持有人簽署:

WITNESS INFORMATION 見證人資料

Name of Witness 見證人名稱:

ID/ Passport No. of Witness 見證人身份證/護照號碼:

Profession & Title 所屬專業及職銜:

CE No. 中央編號:

Signature of Witness 見證人簽署:

川文證券有限公司 Chuenman Securities Limited (證監會牌照號碼 SFC License No : BGP488)

地址 : 香港灣仔告士打道 227-228 號生和大廈10樓A室

Address : Flat A, 10/F, Sang Woo Building, 227-228 Gloucester Road, Wan Chai, Hong Kong

電話Tel : 3579 4444

傳真 Fax : 3576 3399

電郵Email : cs@chuenman.com.hk 網站 Web : www.chuenman.com.hk

DECLARATION BY LICENSED PERSON 持牌人聲明

I have provided the risk Disclosure Statements to the Client in a language of his/her choice (English or Chinese) and have invited him/her to read the Risk Disclosure statement carefully, ask questions and take independent advice if he/she wishes. 本人已按照客戶所選擇的語言 (英文或中文) 提供客戶風險披露聲明及已邀請客戶細閱該風險披露聲明 提出問題及徵求獨立意見(如客戶有此意願)

ACKNOWLEDGEMENT BY CHUENMAN SECURITIES LIMITED 川文證券有限公司確認書

We acknowledge and agreement to the above 吾等確認並同意以上內容

Name of Licensed Person 持牌人姓名 :

CE No. 中央編號 :

Date 日期 :

Duly authorized for and on behalf of CHUENMAN SECURITIES LIMITED

正式獲授權代表川文證券有限公司

Signature of Licensed Person 持牌人簽署:

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FOR OFFICIAL USE ONLY 此欄由本公司職員填寫

Document Checklist: I.D. Card / Passport Copy **Residential Address Proof Bank Card Copy (if any)

Cheque (if any) Employer Consent (if any) ** Copy of bank statement or utility bill in the latest 3 months (P.O. Boxes are not accepted)

<p>Input By:</p> <p>Name:</p> <p>Date:</p>	<p>Document Checked By:</p> <p>Name:</p> <p>Date:</p>	<p>Approved By:</p> <p>Name:</p> <p>Date:</p>
Commission:	Credit Limit:	Minimum Charges: