



# 國泰證券(香港)有限公司

Cathay Securities (Hong Kong) Limited

## ACCOUNT OPENING FORM 開戶書

**Individual/Joint Account**  
個人/聯名帳戶

**Sample 樣本**

**Note 注意**

- Please complete all relevant sections in **Block Letters**  
請以**正楷**填寫本開戶書
- Please tick appropriate box, where applicable  
請在適用的方格內加上剔號
- Any amendment should be crossed out and initialed  
任何更改必須刪劃後在旁加簽
- The defined terms in the “Terms and Conditions of Securities Service” are adopted in this Account Opening Form unless the context otherwise requires.  
除非另有規定，本開戶書採納《證券服務條款及細則》的定義詞語。
- References in this Account Opening Form to “Cathay Securities (Hong Kong) Limited” shall be construed as references to “Cathay Securities (Hong Kong) Limited”.  
於本開戶書凡提及「國泰證券(香港)有限公司」，即指「國泰證券(香港)有限公司」。

**Sample 樣本**

請勾選合適的賬戶類型

Account Type 帳戶類型	
<input type="checkbox"/> Individual Account 個人帳戶	<input type="checkbox"/> Joint Account 聯名帳戶

請勾選合適的賬戶類別

Account Type 帳戶類別	
<input type="checkbox"/> Cash Account 現金買賣帳戶	<input type="checkbox"/> Margin Account* 保證金買賣帳戶*

請勾選是否要開通網上交易系統

Application for 申請網上交易系統	
<input type="checkbox"/> Yes 申請	<input type="checkbox"/> No 不申請

\*If you choose to open a Margin Account, your “Individual Client Investment Risk Preference Questionnaire” grading need to be Grade 3 (Medium High Risk) or above, and the standing authority form should be signed.  
如客戶選擇開立保證金買賣帳戶，客戶的“客戶投資風險取向分析問卷”所屬風險等級必須為等級3(均衡型/中高風險)或以上，並須簽回常設授權書。

請勾選相關類別並詳填開戶人基本資料

**Client Information 客戶資料**

Sole / Principal Client 個人 / 主要客戶		Joint Client 聯名客戶	
English Name 英文姓名 (Surname 姓) _____  (Forename 名) _____	請與身分證 /護照資料 一致	English Name 英文姓名 (Surname 姓) _____  (Forename 名) _____	
Chinese Name 中文姓名 (Surname 姓) _____ (Forename 名) _____		Chinese Name 中文姓名 (Surname 姓) _____ (Forename 名) _____	
Sex 性別 <input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女  <input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Ms. 女士 <input type="checkbox"/> Mrs. 太太		Sex 性別 <input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女  <input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Ms. 女士 <input type="checkbox"/> Mrs. 太太	
Place of Birth 出生地點 _____	Nationality 國籍 _____	Place of Birth 出生地點 _____	Nationality 國籍 _____
Identity / Passport No. ID Document No. <input type="checkbox"/> ID Card 身份證 _____  <input type="checkbox"/> Passport 護照 _____		Identity / Passport No. ID Document No. <input type="checkbox"/> ID Card 身份證 _____  <input type="checkbox"/> Passport 護照 _____	
Birthday 出生日期 _____ (dd 日) _____ (mm 月) _____ (yyyy 年)		Birthday 出生日期 _____ (dd 日) _____ (mm 月) _____ (yyyy 年)	
<b>※ Securities Account shall not established for resident / citizen of the United States of America ※</b> <b>※美國居民 / 公民不能開立證券帳戶※</b>			
Home Telephone No. 住宅電話號碼		Home Telephone No. 住宅電話號碼	
Mobile No. 手提電話號碼		Mobile No. 手提電話號碼	
Business Telephone No. 商業電話號碼		Business Telephone No. 商業電話號碼	
Fax No. 傳真號碼		Fax No. 傳真號碼	
E-mail Address 電郵地址		Email Address 電郵地址	
Residential Address 住宅地址		Residential Address 住宅地址	

此欄資料需與提供之地  
址證明文件一致

Client Information 客戶資料	
Correspondence Address (if not the same as Residential Address) 通訊地址(如與住宅地址不同)	<div style="border: 1px solid black; padding: 5px; color: red;">           如要郵寄結單的地址跟住宅地址不同，必須填寫此欄         </div>
<b>Correspondence 通訊</b> *If this is a joint account, Principal Client and Joint Client should choose the same method 如為聯名帳戶，兩者必須選取相同的通訊方式 If this is a joint Account, we will only mail to one address (except email), i.e. Sole/Principle client's residential address or correspondence address written above. 如為聯名帳戶，我們只會郵寄到一個地址(電郵地址除外)，即主要客戶的住宅地址 或 上述之通訊地址*  <b>Daily Statements / Monthly Statements / Contract Notes / General Correspondence to be sent to</b> 日結單 / 月結單 / 買賣單據 / 一般函件寄往 (Please check ONE only 請選擇其一)	
<input type="checkbox"/> E-mail Address 電郵地址 <input type="checkbox"/> Residential Address 住宅地址 <input type="checkbox"/> Correspondence Address 通訊地址	
<b>Bank Account Information 銀行戶口資料</b> Unless otherwise instructed by you, all monies payable to you are to be credited to the following bank account. 除經客戶另行指示外，須付予客戶的款項將會被轉入下列銀行帳戶。 (For Joint Account, only accept Joint Bank Account 聯名帳戶只接受聯名銀行戶口)	<div style="border: 1px solid black; padding: 5px; color: red;">           銀行帳戶之戶名需與本公司客戶帳戶之戶名一致(聯名戶也須遵守戶名一致)，顧客開立聯名戶前請確認銀行帳戶的戶名是否一致         </div>
<input type="checkbox"/> Local Bank 本地銀行 <input type="checkbox"/> Overseas Bank 海外銀行 (Country 國家 _____)	
Bank Name 銀行名稱 _____ Bank Account No. 帳戶號碼 _____	
Currency 幣別 _____	
Bank SWIFT Code 銀行電匯代碼 _____ (Must provide if choose overseas bank 如選海外銀行必須填寫)	
Are you, your spouse, partner, children, parents, spouse or partner of your children or a close associate with you, entrusted with a prominent public function in any place, including a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official? (if yes, please specify 若是，請註明) 客戶、客戶之配偶、伴侶、子女或父母、或客戶的子女的配偶或伴侶、或與客戶關係密切的人是否在任何地方擔任或曾擔任重要公職，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及重要政黨幹事？ <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 Name and Position of PEP 政治人物姓名及職位 _____ Country the PEP belongs 政治人物所屬國家 _____ PEP relationship with client 與客戶之關係 _____	Are you, your spouse, partner, children, parents, spouse or partner of your children or a close associate with you, entrusted with a prominent public function in any place, including a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official? (if yes, please specify 若是，請註明) 客戶、客戶之配偶、伴侶、子女或父母、或客戶的子女的配偶或伴侶、或與客戶關係密切的人是否在任何地方擔任或曾擔任重要公職，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及重要政黨幹事？ <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 Name and Position of PEP 政治人物姓名及職位 _____ Country the PEP belongs 政治人物所屬國家 _____ PEP relationship with client 與客戶之關係 _____

請勾選相關類別並詳填開戶人基本資料

此欄必須填寫完整資料

Client Information 客戶資料			
Sole / Principal Client 個人 / 主要客戶		Joint Client 聯名客戶	
<b>Education Level 教育程度</b>	<input type="checkbox"/> Primary or Below 小學或以下 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Undergraduate 大學 <input type="checkbox"/> Postgraduate 高等教育	<b>Education Level 教育程度</b>	<input type="checkbox"/> Primary or Below 小學或以下 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Undergraduate 大學 <input type="checkbox"/> Postgraduate 高等教育
<b>Occupation 職業</b>	<input type="checkbox"/> Full-time job 全職受僱 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Housewife 家庭主婦 <input type="checkbox"/> Student 學生 <input type="checkbox"/> Retired 退休人士 <input type="checkbox"/> Others, please specify 其他，請註明 _____	<b>Occupation 職業</b>	<input type="checkbox"/> Full-time job 全職受僱 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Housewife 家庭主婦 <input type="checkbox"/> Student 學生 <input type="checkbox"/> Retired 退休人士 <input type="checkbox"/> Others, please specify 其他，請註明 _____
Name of Employer 僱主名稱		Name of Employer 僱主名稱	
Nature of Business 業務性質	Position 職位	Nature of Business 業務性質	Position 職位
Office Address 辦事處地址		Office Address 辦事處地址	

請勾選相關類別並詳填開戶人基本資料

Client Information 客戶資料			
Sole / Principal Client 個人 / 主要客戶		Joint Client 聯名客戶	
<b>Source of Funds 資金來源</b>	<input type="checkbox"/> Payroll/Commission 薪金/佣金 <input type="checkbox"/> Sales of Property 售出物業 <input type="checkbox"/> Savings 積蓄 <input type="checkbox"/> Investment Return 投資收益 <input type="checkbox"/> Individual Business 個人業務 <input type="checkbox"/> Others, please specify 其他，請註明 _____	<b>Source of Funds 資金來源</b>	<input type="checkbox"/> Payroll/Commission 薪金/佣金 <input type="checkbox"/> Sales of Property 售出物業 <input type="checkbox"/> Savings 積蓄 <input type="checkbox"/> Investment Return 投資收益 <input type="checkbox"/> Individual Business 個人業務 <input type="checkbox"/> Others, please specify 其他，請註明 _____
<b>Origins of Fund Source 資金來源地</b>	(tick more than one box, if appropriate) (如適當，可選擇多於一項)  <input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> China 中國 <input type="checkbox"/> Taiwan 台灣 <input type="checkbox"/> Others, please specify 其他，請註明 _____	<b>Origins of Fund Source 資金來源地</b>	(tick more than one box, if appropriate) (如適當，可選擇多於一項)  <input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> China 中國 <input type="checkbox"/> Taiwan 台灣 <input type="checkbox"/> Others, please specify 其他，請註明 _____
<b>Estimated Net Worth (i.e. Total Asset less Total Liabilities) 估計資產淨值 (即：總資產減總負債)</b>		<b>Estimated Net Worth (i.e. Total Asset less Total Liabilities) 估計資產淨值 (即：總資產減總負債)</b>	
<input type="checkbox"/> Less than or equal to HKD500,000 少於或等於港幣 500,000 <input type="checkbox"/> HKD500,001 to HKD1,000,000 港幣 500,001 至 港幣 1,000,000 <input type="checkbox"/> HKD1,000,001 to HKD5,000,000 港幣 1,000,001 至 港幣 5,000,000 <input type="checkbox"/> HKD5,000,001 or above 港幣 5,000,001 或以上		<input type="checkbox"/> Less than or equal to HKD500,000 少於或等於港幣 500,000 <input type="checkbox"/> HKD500,001 to HKD1,000,000 港幣 500,001 至 港幣 1,000,000 <input type="checkbox"/> HKD1,000,001 to HKD5,000,000 港幣 1,000,001 至港幣 5,000,000 <input type="checkbox"/> HKD5,000,001 or above 港幣 5,000,001 或以上	
<b>Average Monthly Income 平均每月收入</b>		<b>Average Monthly Income 平均每月收入</b>	
<input type="checkbox"/> Less than or equal to HKD10,000 少於或等於港幣 10,000 <input type="checkbox"/> HKD10,001 - HKD30,000 港幣 10,001 至 港幣 30,000 <input type="checkbox"/> HKD30,001 - HKD50,000 港幣 30,001 至 港幣 50,000 <input type="checkbox"/> HKD50,001 - HKD100,000 港幣 50,001 至 港幣 100,000 <input type="checkbox"/> HKD100,001 - HKD150,000 港幣 100,001 至 港幣 150,000 <input type="checkbox"/> HKD150,001 or above 港幣 150,001 或以上		<input type="checkbox"/> Less than or equal to HKD10,000 少於或等於港幣 10,000 <input type="checkbox"/> HKD10,001 - HKD30,000 港幣 10,001 至 港幣 30,000 <input type="checkbox"/> HKD30,001 - HKD50,000 港幣 30,001 至 港幣 50,000 <input type="checkbox"/> HKD50,001 - HKD100,000 港幣 50,001 至 港幣 100,000 <input type="checkbox"/> HKD100,001 - HKD150,000 港幣 100,001 至 港幣 150,000 <input type="checkbox"/> HKD150,001 or above 港幣 150,001 或以上	

請勾選相關類別並詳填開戶人基本資料

Client Information 客戶資料					
Sole / Principal Client 個人 / 主要客戶			Joint Client 聯名客戶		
	是 Yes	否 No		是 Yes	否 No
<p><u>Are you employee / account executive / director OR If you are a relative of any employee / account executive / director of Cathay Securities (Hong Kong) Limited? (if yes, please specify)</u>                      您是否國泰證券(香港)有限公司之僱員 / 經紀 / 董事，或若是其任何僱員 / 經紀 / 董事的親屬？(請填寫下列資料)</p> <p><u>Name of Cathay Securities (Hong Kong) Limited staff / director(s)</u>                      國泰證券(香港)有限公司職員 / 董事姓名</p> <p>Relationship with the Client 與客戶關係：</p>	<input type="checkbox"/>	<input type="checkbox"/>	<p><u>Are you employee / account executive / director OR If you are a relative of any employee / account executive / director of Cathay Securities (Hong Kong) Limited? (if yes, please specify)</u>                      您是否國泰證券(香港)有限公司之僱員 / 經紀 / 董事，或若是其任何僱員 / 經紀 / 董事的親屬？(請填寫下列資料)</p> <p><u>Name of Cathay Securities (Hong Kong) Limited staff / director(s)</u>                      國泰證券(香港)有限公司職員 / 董事姓名</p> <p>Relationship with the Client 與客戶關係：</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p><u>Are you employee / account executive of Cathay Financial Holdings Co., Ltd or it's group companies (except Cathay Securities (Hong Kong) Limited)? (if yes, please specify)</u>                      您是否國泰金融控股公司或旗下任何子公司(除國泰證券(香港)有限公司外)之僱員 / 經紀 (若是，請註明)</p> <p><u>Name of Company: 公司名稱</u></p> <p>Staff Title 職員職位：</p>	<input type="checkbox"/>	<input type="checkbox"/>	<p><u>Are you employee / account executive of Cathay Financial Holdings Co., Ltd or it's group companies (except Cathay Securities (Hong Kong) Limited)? (if yes, please specify)</u>                      您是否國泰金融控股公司或旗下任何子公司(除國泰證券(香港)有限公司外)之僱員 / 經紀 (若是，請註明)</p> <p><u>Name of Company: 公司名稱</u></p> <p>Staff Title 職員職位：</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p><u>Do you have a joint account with your spouse in Cathay Securities (Hong Kong) Limited? (if yes, please specify)</u>                      您是否與配偶在國泰證券(香港)有限公司有聯名賬戶？(若是，請註明)</p> <p><u>Account No./ Name 賬戶號碼/名稱：</u></p>	<input type="checkbox"/>	<input type="checkbox"/>	<p><u>Do you have a joint account with your spouse in Cathay Securities (Hong Kong) Limited? (if yes, please specify)</u>                      您是否與配偶在國泰證券(香港)有限公司有聯名賬戶？(若是，請註明)</p> <p><u>Account No./ Name 賬戶號碼/名稱：</u></p>	<input type="checkbox"/>	<input type="checkbox"/>
<p><u>Is your spouse a client of Cathay Securities (Hong Kong) Limited? (if yes, please specify)</u>                      您配偶是否為國泰證券(香港)有限公司的客戶？(若是，請註明)</p> <p><u>Account No./ Name 賬戶號碼/名稱：</u></p>	<input type="checkbox"/>	<input type="checkbox"/>	<p><u>Is your spouse a client of Cathay Securities (Hong Kong) Limited? (if yes, please specify)</u>                      您配偶是否為國泰證券(香港)有限公司的客戶？(若是，請註明)</p> <p><u>Account No./ Name 賬戶號碼/名稱：</u></p>	<input type="checkbox"/>	<input type="checkbox"/>
<p><u>Are you a director or an employee of an entity licensed or registered with Hong Kong Securities and Futures Commission? (if yes, please specify)</u>                      您是否為香港證券及期貨事務監察委員會其他持牌人或註冊人之董事或僱員？(若是，請註明)</p> <p><u>Name of Entity Licensed/ Registered</u>                      持牌法團或註冊機構名稱：</p> <p><u>(Please provide consent letter from your employer)</u>                      (請提供閣下僱主之書面同意書)</p>	<input type="checkbox"/>	<input type="checkbox"/>	<p><u>Are you a director or an employee of an entity licensed or registered with Hong Kong Securities and Futures Commission? (if yes, please specify)</u>                      您是否為香港證券及期貨事務監察委員會其他持牌人或註冊人之董事或僱員？(若是，請註明)</p> <p><u>Name of Entity Licensed/ Registered</u>                      持牌法團或註冊機構名稱：</p> <p><u>(Please provide consent letter from your employer)</u>                      (請提供閣下僱主之書面同意書)</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p><u>Have you ever had any account opening application rejected by other financial institution? (if yes, please specify)</u>                      您是否曾於其他金融機構開立戶口時被拒絕？(若是，請註明)</p> <p><u>Name of Financial Institution 金融機構名稱：</u></p> <p>Reasons of Rejection 拒絕原因：</p>	<input type="checkbox"/>	<input type="checkbox"/>	<p><u>Have you ever had any account opening application rejected by other financial institution? (if yes, please specify)</u>                      您是否曾於其他金融機構開立戶口時被拒絕？(若是，請註明)</p> <p><u>Name of Financial Institution 金融機構名稱：</u></p> <p>Reasons of Rejection 拒絕原因：</p>	<input type="checkbox"/>	<input type="checkbox"/>

**Dealing Experience in Derivatives / Structured Products 衍生性 / 結構性產品投資經驗**  
**(for Sole/principle Client) (適用於個人/主要客戶)**

依據客戶聲明判斷客戶是否具備足夠之知識或經驗可交易衍生性 / 結構性產品，如客戶無相關經驗但仍希望投資衍生性 / 結構性產品，客戶必須填妥並簽署 “知悉就在交易所買賣的衍生產品所附帶的風險作出解釋聲明書”

Are you in general aware of the main risks and features relating to investing in derivatives / structured products?  
您們是否對衍生性 / 結構性產品的性質及風險擁有相關的知識？  
 Yes 是 (Please fill in (1) and / or (2) and / or (3) below 請填寫下列(1)及 / 或(2) 及/或 (3))  
 No 否 (if you still wish to invest in derivatives / structured products, please fill in and sign “Acknowledge and understand the risks of exchange – trade derivative products”. 如您/您們仍然投資衍生/結構性產品，請填妥並簽署解釋聲明書)

- (1) I/We had (over the past 3 years) executed 5 trades or more in relation to derivative / structure products (whether in the Exchange), e.g. warrant, CBBC, stock options, futures, commodities, structured products and exchange-traded funds.  
我/我們(於過去三年)曾執行五次或以上有關衍生性 / 結構性產品(不論是否在交易所買賣)的交易，例如：衍生權證、牛熊證、股票期權、期貨、商品、結構性產品及交易所買賣基金等。  
Financial Institution with which the derivatives / structured products was/were undertaken

承作衍生 / 結構性產品的金融機構：\_\_\_\_\_

Products Type 產品種類：\_\_\_\_\_

Trade Date 交易日期：\_\_\_\_\_ Year 年\_\_\_\_\_ Month 月 To 至 \_\_\_\_\_ Year 年\_\_\_\_\_ Month 月

- (2) I/We have or had working experience relating to derivative / structure products  
我/我們於現時或過去擁有與衍生性 / 結構性產品有關的工作經驗

Position 職位：\_\_\_\_\_ Working Term 工作年期：\_\_\_\_\_

Job Duties 工作職責：\_\_\_\_\_ Name of Employer 僱主名稱：\_\_\_\_\_

Name of Ultimate Controller 最終控制者之姓名：\_\_\_\_\_

Other Information 其他資訊：\_\_\_\_\_

- (3) I/We have you attended courses or seminars on derivatives/structured products  
我/我們曾經參與任何有關衍生工具/結構性產品的課程或研討班嗎？

Name of course or seminar 課程或研討班的名稱：\_\_\_\_\_

Duration of course or seminar 課程或研討班時數：\_\_\_\_\_ hour(s) 小時

I/We hereby acknowledge and confirm that I/We have read and fully understood the document entitled “Risk Disclosure Statement” provided by Cathay Securities (Hong Kong) Limited in a language of my/our choice (English or Chinese). I/We am/are willing to accept the risks associated with trading derivative products  
本人/我們確認已仔細閱讀及完全明白，由國泰證券(香港)有限公司提供，並以本人/我們所選擇之語言(英文或中文)的「風險披露聲明」。本人/我們並願意承擔交易相關衍生產品所帶來的潛在風險。

**Dealing Experience in Derivatives / Structured Products 衍生性 / 結構性產品投資經驗**  
**(for Joint Client) (適用於聯名客戶)**

依據客戶聲明判斷客戶是否具備足夠之知識或經驗可交易衍生性 / 結構性產品，如客戶無相關經驗但仍希望投資衍生性 / 結構性產品，客戶必須填妥並簽署 “知悉就在交易所買賣的衍生產品所附帶的風險作出解釋聲明書”

Are you in general aware of the main risks and features relating to investing in derivatives / structured products?  
您們是否對衍生性 / 結構性產品的性質及風險擁有相關的知識？  
 Yes 是 (Please fill in (1) and / or (2) and / or (3) below 請填寫下列(1)及 / 或(2) 及/或 (3))  
 No 否 (if you still wish to invest in derivatives / structured products, please fill in and sign “Acknowledge and understand the risks of exchange – trade derivative products”. 如您/您們仍然投資衍生/結構性產品，請填妥並簽署解釋聲明書)

- (1) I/We had (over the past 3 years) executed 5 trades or more in relation to derivative / structure products (whether in the Exchange), e.g. warrant, CBBC, stock options, futures, commodities, structured products and exchange-traded funds.  
我/我們(於過去三年)曾執行五次或以上有關衍生性 / 結構性產品(不論是否在交易所買賣)的交易，例如：衍生權證、牛熊證、股票期權、期貨、商品、結構性產品及交易所買賣基金等。

Financial Institution with which the derivatives / structured products was/were undertaken

承作衍生 / 結構性產品的金融機構：\_\_\_\_\_

Products Type 產品種類：\_\_\_\_\_

Trade Date 交易日期：\_\_\_\_\_ Year 年\_\_\_\_\_ Month 月 To 至 \_\_\_\_\_ Year 年\_\_\_\_\_ Month 月

- (2) I/We have or had working experience relating to derivative / structure products  
我/我們於現時或過去擁有與衍生性 / 結構性產品有關的工作經驗

Position 職位：\_\_\_\_\_ Working Term 工作年期：\_\_\_\_\_

Job Duties 工作職責：\_\_\_\_\_ Name of Employer 僱主名稱：\_\_\_\_\_

Name of Ultimate Controller 最終控制者之姓名：\_\_\_\_\_

Other Information 其他資訊：\_\_\_\_\_

- (3) I/We have you attended courses or seminars on derivatives/structured products  
我/我們曾經參與任何有關衍生工具/結構性產品的課程或研討班

Name of course or seminar 課程或研討班的名稱：\_\_\_\_\_

Duration of course or seminar 課程或研討班時數：\_\_\_\_\_ hour(s) 小時

I/We hereby acknowledge and confirm that I/We have read and fully understood the document entitled “Risk Disclosure Statement” provided by Cathay Securities (Hong Kong) Limited in a language of my/our choice (English or Chinese). I/We am/are willing to accept the risks associated with trading derivative products  
本人/我們確認已仔細閱讀及完全明白，由國泰證券(香港)有限公司提供，並以本人/我們所選擇之語言(英文或中文)的「風險披露聲明」。本人/我們並願意承擔交易相關衍生產品所帶來的潛在風險。

**STANDING AUTHORITY (applicable to Margin Account only) 常設授權書 (僅適用於保證金帳戶)**

To: Cathay Securities (Hong Kong) Limited  
致：國泰證券(香港)有限公司

**保證金帳戶必須填寫**

I/We hereby authorize Cathay Securities (Hong Kong) Limited and each associated entity (as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance) of yours for a period commencing from the date of your approval to this authority up to and including the last day of the eleventh (11th) month next after the date of such approval to deal with my/our securities and securities collateral from time to time received or held in Hong Kong by or on behalf of you or any associated entity of yours in one or more of the following ways without further notice to or consent from me/us:

我(們)同意並授權國泰證券(香港)有限公司及其有聯繫實體(按《證券及期貨條例》附表1第1部之有關定義)可於你們批准本授權書當天開始直至及包括隨後第十一個月份的最後一天的期間內,以下列一種或多於一種方式處理不時由國泰證券(香港)有限公司或其任何有聯繫實體代我(們)在香港收取或持有的證券及證券抵押品,毋須進一步通知我(們)或取得我(們)的同意:

- (1) to apply any of the securities or securities collateral pursuant to a securities borrowing and lending agreement;  
依據證券借貸協議運用任何我(們)的證券或證券抵押品;
- (2) to deposit any of the securities collateral with an authorized financial institution as collateral for financial accommodation provided to you;  
將任何有關證券抵押品存放於認可財務機構,作為提供予國泰證券(香港)有限公司的財務通融的抵押品;
- (3) to deposit any of the securities collateral with any clearing house recognized by the Hong Kong Securities and Futures Commission or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of your settlement obligations and liabilities; and  
將任何有關證券抵押品存放於獲香港證券及期貨事務監察委員會認可的結算所或另一獲發牌或獲註冊進行證券交易的中介人,作為解除國泰證券(香港)有限公司在交收上的義務和清償國泰證券(香港)有限公司在交收上的法律責任的抵押品;及
- (4) to treat and deal with the securities and securities collateral in such manner as you consider appropriate taking into account any applicable legal or regulatory requirement from time to time.  
於顧及任何適用的法律或監管要求的情況下,以國泰證券(香港)有限公司認為適當的方式對待及處理有關證券及證券抵押品。

I/We hereby acknowledge, and confirm having been informed by you, that you have the practice of re-pledging clients' securities and securities collateral.

我(們)獲悉及確認國泰證券(香港)有限公司有將客戶的證券及證券抵押品再質押的做法。

This authority may be renewed or shall be deemed to have been renewed in accordance with s.4(3) of the Securities and Futures (Client Securities) Rules but may be revoked by me/us by giving to you at least 5 business days' prior written notice of revocation.

本授權書可根據《證券及期貨(客戶證券)規則》第4(3)條的規定下予以續期或被當作已續期,惟我(們)可向國泰證券(香港)有限公司發出不少於5個工作天之事先書面通知以撤銷本授權書。

I/We understand that I am/we are not required by any law to sign this authority but it may be required by Cathay Securities (Hong Kong) Limited, for example, to facilitate margin lending to me/us or to allow my/our securities or securities collateral to be lent to or deposited as collateral with third parties. I/We also understand that if I/we sign this authority and my/our securities or securities collateral are lent to or deposited with third parties, those third parties will have a lien or charge on my/our securities or securities collateral. Although Cathay Securities (Hong Kong) Limited is responsible to me/us for securities or securities collateral lent or deposited under my/our authority, a default by Cathay Securities (Hong Kong) Limited could result in the loss of my/our securities or securities collateral. I/We agree and confirm that Cathay Securities (Hong Kong) Limited and your associated entities shall be entitled to receive and retain for your or their own benefit and not be accountable to me/us for any remuneration, income, rebates or other benefits resulting from any dealing with my/our securities or securities collateral.

我/我們明白現時並無任何法例規定我/我們必須簽署此授權書;然而,國泰證券(香港)有限公司可能需要此授權書,以便例如向我/我們提供保證金貸款或獲許將有關我/我們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。我/我們亦明白倘若我/我們簽署此授權書,而我/我們的證券或證券抵押品已借出予或存放於第三方,該等第三方將對我/我們的證券或證券抵押品具有留置權或作出押記。雖然國泰證券(香港)有限公司根據我/我們的授權而借出或存放屬於我/我們的證券或證券抵押品須對我/我們負責,但國泰證券(香港)有限公司的失責行為可能會導致我/我們損失我/我們的證券或證券抵押品。我/我們同意並確認國泰證券(香港)有限公司及其有聯繫實體有權收取及保留任何由於處理我/我們的證券或證券抵押品所產生的任何報酬、收入、回佣或其他利益而無須向我/我們負責。

**必須由申請人簽署**

**必須由聯名申請人簽署 (如有)**

Sole/Principal Client's Signature 個人/主要客戶簽署

Joint Client's Signature 聯名客戶簽署

Date 日期: \_\_\_\_\_

## Client Declarations 客戶聲明

1. I/We have read and fully understood the contents of this Account Opening Form including “Risk disclosure Statement”. I/We confirm that information and data in this Account Opening Form are true, accurate, update and complete. I/We further undertake to notify Cathay Securities (Hong Kong) Limited forthwith in the form prescribed by Cathay Securities (Hong Kong) Limited in case of any change of any such information and data.  
我(們)已細閱及完全明白本開戶書之內容包括“風險披露聲明”，我(們)確認本開戶書所載資料及資訊均屬真實、準確、最新及完整的資料。我(們)進一步承諾，如本開戶書所載之任何該等資料及資訊有任何更改，我(們)會即時以國泰證券(香港)有限公司規定之表格通知國泰證券(香港)有限公司。
  2. I/We acknowledge and declare that a copy of the following documents has been provided to I/we and I/we had carefully read and agreed to be bound by the same:-
    - 我(們)確認及聲明，下述文件副本已提供予我(們)，且我(們)已詳細閱讀其條文，並同意受其約束：-  
“Terms and Conditions of Securities Service”  
《證券服務條款及細則》
    - (applicable to Margin Account only) “Standing Authority”  
(僅適用於保證金帳戶)《常設授權書》
    -
  3. I/We acknowledge receipt of a copy of duly completed “Individual Client Investment Risk Preference Questionnaire” by me/us and agree to the risk profile stated herein.  
我(們)確認已收到由我(們)所完成的《客戶投資風險取向分析問卷》的副本及同意該問卷所列出的風險類型。
  4. I/We acknowledge that I/we am/are provided the Risk Disclosure Statement with my/our selected languages and have been invited to carefully read the Risk Disclosure Statement, ask questions and take independent professional advice on the my/our wish. I/We acknowledge and confirm that me/us have fully understood the risks listed out therein and am/are financially capable of absorbing the same.  
我(們)確認，已獲提供以我(們)選擇語言之風險披露聲明，並已被邀請詳細參閱風險披露聲明、提出問題及按其意願諮詢獨立意見。我(們)確認及承認，我(們)完全明白於風險披露聲明中列出的風險，且於財務上有能力吸納有關的風險。
  5. I/We have been invited to ask questions and seek independent and professional advice on the above documents and this Account Opening Form before signing this Account Opening Form and the incidental documents. I/We hereby confirm that the I/we have read and fully understood the contents of the abovementioned documents and this Account Opening Form.  
就上述文件及本開戶書，我(們)已被邀請提問及於簽署本開戶書及相關文件前尋求獨立及專業意見。我(們)謹此確認我(們)已細閱及完全明白上述文件及本開戶書之內容。
  6.  I/We do not wish to receive any direct marketing materials or messages from Cathay Securities (Hong Kong) Limited.  
我(們)不欲收取國泰證券(香港)有限公司的任何直銷推廣資料或訊息。  
 I/We wish to receive any direct marketing materials or messages from Cathay Securities (Hong Kong) Limited by way of the following channel(s):-  
我(們)欲收取國泰證券(香港)有限公司經以下途徑發出的任何直銷推廣資料或訊息：-
    - Mail 郵寄
    - E-mail 電郵
    - Phone 電話
    - All channels 所有途徑
- Please note that your above choice applies to the direct marketing of the classes of products, services and/or subjects as set out in Cathay Securities (Hong Kong) Limited “Policy of Cathay Securities (Hong Kong) Limited on Personal Data Privacy”. Please also refer to the Circular on the kinds of personal data which may be used in direct marketing and the classes of persons to which your personal data may be provided for them to use in direct marketing.*  
(請注意您以上的選擇適用於就國泰證券(香港)有限公司「國泰證券(香港)有限公司對於個人資料私隱的政策」中所列出的產品、服務及/或標的類別的直接促銷。您亦可參閱該通告以得知在直接促銷中可使用的個人資料的種類，以及您的個人資料可提供予什麼類別的人士以供該等人士在直接促銷中使用。)
7. I/We understand, acknowledge and agree that the personal data and information of me/us and the transaction record(s) may be disclosed to the competent authority of other jurisdictions including, without limitation, the competent authority of Taiwan and US where the circumstances require.  
我(們)明白、確認及同意，如有需要，我(們)之個人資料及資訊及交易紀錄或須披露予其他司法管轄區的主管當局，包括但不限於台灣及美國主管當局。
  8. The English version of this Account Opening Form shall prevail if there is any discrepancy between the English and Chinese versions.  
本開戶書之中英文版本如有歧異，應以英文版本為準。

**Signature of Client 客戶簽署****必須由申請人簽署****必須由聯名申請人簽署 (如有)**Sole / Principal Client's Signature  
個人 / 主要客戶簽署Joint Client's Signature  
聯名客戶簽署\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_  
Date 日期 (dd 日 / mm 月 / yyyy 年)\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_  
Date 日期 (dd 日 / mm 月 / yyyy 年)**If this document is NOT EXECUTED by the client(s) in front of Cathay Securities (Hong Kong) Limited's employee or submitted with an appropriate cheque\*, below should be signed by a suitable certifier# (if applicable)****若客戶/聯名客戶並非在國泰證券(香港)有限公司的僱員面前簽立此文件或連同適當的支票\*一併交回, 則以下應由適合的證明人#簽署(如適用)**

The undersigned person hereby certify the signing of this Account Opening Form by the above client and the verification of related identity documents of such client.

下述簽署人士謹此認證上述客戶簽立本開戶書及認證核實其有關的身分證明文件。

Signed and Certified by 簽署及驗證

Signature 簽署

Name 姓名

Profession / Title 所屬專業 / 職銜

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

Contact Information 聯絡資料 \_\_\_\_\_

**如本開戶書若是由國泰集團員工見簽, 則負責見簽者必須填寫此欄**

\* An appropriate cheque means 適當的支票是指

A crossed cheque bearing your name shown in your identity document and drawn on your account with a licensed bank in Hong Kong with your same signature(s) as shown on this Form in favour of "Cathay Securities (Hong Kong) Limited" for not less than HKD10,000 (or such other amount as may be advised by Cathay Securities (Hong Kong) Limited). Your approved new account will not be activated until the cheque is cleared.

客戶在香港的持牌銀行開立的帳戶並由客戶所簽發(該簽名須與此開戶表上的客戶簽名相符)並載有客戶在其身份證明文件上所顯示的姓名的劃線支票, 而該支票抬頭人須為“國泰證券(香港)有限公司”及其數額不得少於 10,000 港元(或國泰證券(香港)有限公司通知客戶的其他數額)。客戶被批核的新帳戶必須待支票兌現後才可使用。

# A suitable certifier means 適合的證明人是指:

- (1) A licensed staff of Cathay Financial Holdings;  
持牌之國泰金控集團員工;
- (2) A solicitor, CPA or current HKICS member practicing or a registered trust company carrying on business in Hong Kong;  
在香港執業的律師、會計師或香港特許秘書公會的現行會員或在香港經營的註冊信託公司;
- (3) An authorized institution, licensed corporation, authorized insurer, appointed insurance agent or authorized insurance broker;  
認可機構、持牌法團、獲授權保險人、獲委任保險代理人或獲授權保險經紀;
- (4) A lawyer, notary public, auditor, professional accountant, trust or company service provider or tax advisor practising in an equivalent jurisdiction, or an institution that carries on in an equivalent jurisdiction a business similar to that carried on by a financial institution mentioned in (2) above;  
在對等司法管轄區執業的律師、公證人、核數師、專業會計師、信託或公司服務提供者或稅務顧問、或在對等司法管轄區經營信託業務的信託公司, 或在對等司法管轄區經營與以上第(2)項所述的金融機構所經營的業務相類似的業務的機構;
- (5) A member of the judiciary in an equivalent jurisdiction;  
在對等司法管轄區的司法人員;
- (6) An officer of an embassy, consulate or high commission of the country of issue of documentary verification of identity; or  
發出身分核實文件的國家的大使館、領事館或高級專員公署的人員; 或
- (7) A Justice of the Peace.  
太平紳士。

**For Office Use Only 以下由僅供內部使用****Declaration by Account Executive / Responsible Office 帳戶主任 / 負責人員之聲明**

I have provided the Risk Disclosure Statement to the Client and have invited him/her to carefully read the Risk Disclosure Statement, ask questions and take independent professional advice if he/she wishes before signing this Account Opening Form.

本人已向客戶提供風險披露聲明及邀請客戶在簽署本開戶書前仔細閱讀風險披露聲明, 提出問題及徵求獨立的專業意見。

I have already explained to the Client that if he/she is currently employed by any registered or licensed person to carry out regulated activities under the Ordinance, the Client is required to provide to the Company a written consent if his/her employer is in support of this application.

本人已向客戶解釋, 如客戶現時受僱於任何持牌法團或註冊機構從事證券及期貨條例界定的受規管活動; 客戶須向本公司提供其僱主所發出的同意書以支持客戶的申請方可以於本公司開立帳戶。

^The above Client's / Joint Clients' signature(s) was / were appended in my presence.

^以上客戶 / 聯名客戶簽署乃於本人面前簽立。

\_\_\_\_\_  
Signature of Cathay Securities (Hong Kong)  
Limited Staff  
國泰證券(香港)有限公司職員簽署\_\_\_\_\_  
Name and CE No. of Cathay Securities (Hong Kong)  
Limited Staff  
國泰證券(香港)有限公司職員姓名及中央編號\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_  
Date 日期 (dd 日 / mm 月 / yyyy 年)

^This sentence must be deleted if not applicable 若不適用者, 此句必須被刪去。

For Office Use Only 以下由僅供內部使用

APPROVED AND ACCEPTED BY公司批核及接納

Name of Cathay Securities (Hong Kong) Limited

Approving Responsible Officer

國泰證券(香港)有限公司

負責人員姓名:

CE No.

中央編號:

Date

日期:

Application Date:

\_\_\_\_/\_\_\_\_/\_\_\_\_  
(dd / mm / yyyy)

Account Number:

Document Sign and Collected:

Yes

No

Risk Level of Client:

Low  Medium  High

PIA

**Signature Card 印鑑卡**

Account Name 賬戶名稱：\_\_\_\_\_ Account No.賬戶號碼：\_\_\_\_\_

留兩種以上印鑑,註明使用明方法  
 例:兩位中任何一位簽署生效 ANY ONE OF

**簽署安排:  
 Signing Arrangement**

Any \_\_\_ of \_\_\_\_\_ 任何 \_\_\_ 個  All 全部  Other 其他 \_\_\_\_\_

**簽字式樣 Specimen Signature**

**Sole/Principal Client個人/主要客戶**

**Joint Account Holder聯名客戶**

**Signature 簽字式樣 1**

**Signature 簽字式樣 1**

必須由主要客戶簽署

必須由聯名客戶簽署(如有)

**Signature 簽字式樣 2**

**Signature 簽字式樣 2**

如有多於一個簽名樣式, 必須由主要客戶簽署

如有多於一個簽名樣式, 必須由聯名客戶簽署(如有)

**FOR OFFICE USE ONLY 公司專用**

Effective Date 生效日期

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_  
 (dd 日 / mm月 / yyyy年)

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 Compliance officer

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 Settlement Staff

**Risk Disclosure Statement 風險披露聲明**

Cathay Securities (Hong Kong) Limited Representative(s) primarily responsible for your account(s)  
主要負責你的帳戶的國泰證券(香港)有限公司註冊職員

Name 名稱

CE No. 中央編號

This risk disclosure statement is not intended to disclose an exhaustive list of all of the risks in respect of securities trading and other trading particularized hereinafter. You should not enter into the relevant trading contract unless you understand the nature and the extent of risk thereof. Trading in derivative product may not be suitable for many members of the investing public. You should carefully consider whether trading to be entered into is appropriate for you in light of your experience, objectives, financial resources and all other circumstances.

本風險披露聲明不旨在披露涉及證券及下列其他交易的所有風險。您(們)不應進行有關交易，除非您(們)已瞭解有關的交易之性質及風險。衍生產品交易對相當部份的投資大眾而言並不適合。您(們)應根據您(們)的經驗、目標、財務資源及其他情況，小心考慮您(們)要進行的交易對您(們)而言是否合適。

**RISK OF SECURITIES TRADING 證券交易的風險**

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.

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。

**RISK OF TRADING GROWTH ENTERPRISE MARKET STOCKS 買賣創業板股份的風險**

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.

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。您(們)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。假如您(們)對本風險披露聲明的內容或創業板市場的性質及在創業板買賣的股份所涉風險有不明白之處，應尋求獨立的專業意見。

**RISK OF CLIENT ASSETS RECEIVED OR HELD OUTSIDE HONG KONG 在香港以外地方收取或持有的客戶資產的風險**

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.

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。

**RISK OF PROVIDING AN AUTHORITY TO REPLEDGE YOUR SECURITIES COLLATERAL ETC.****提供將您(們)的證券抵押品等再質押的授權書的風險**

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.

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您(們)的證券或證券抵押品、將您(們)的證券抵押品再質押以取得財務通融，或將您(們)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。假如您(們)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，則上述安排僅限於您(們)已就此給予書面同意的情況下方行有效。此外，除非您(們)是專業投資者，您(們)的授權書必須指明有效期，而該段有效期不得超逾 12 個月。若您(們)是專業投資者，則有關限制並不適用。此外，假如您(們)的持牌人或註冊人在有關授權的期限屆滿前最少 14 日向您(們)發出有關授權將被視為已續期的提示，而您(們)對於在有關授權的期限屆滿前以此方式將該授權延續不表示反對，則您(們)的授權將會在沒有您(們)的書面同意下被視為已續期。現時並無任何法例規定您(們)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，以便例如向您(們)提供保證金貸款或獲准將您(們)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您(們)闡釋為何種目的而使用授權書。倘若您(們)簽署授權書，而您(們)的證券或證券抵押品已借出予或存放於第三方，該等第三方將對您(們)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您(們)的授權書而借出或存放屬於您(們)的證券或證券抵押品須對您(們)負責，但上述持牌人或註冊人的違責行為可能會導致您(們)損失您(們)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。假如您(們)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。

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

## Risk Disclosure Statement 風險披露聲明

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.

假如您(們)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，那麼您(們)便須盡速親身收取所有關於您(們)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。

### RISK OF MARGIN TRADING 保證金買賣的風險

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

藉存放抵押品而為交易取得融資的虧損風險可能極大。您(們)所蒙受的虧蝕可能會超過您(們)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。您(們)可能會在短時間內被要求存入額外的保證金款額或繳付利息。假如您(們)未能在指定的時間內支付所需的保證金款額或利息，您(們)的抵押品可能會在未經您(們)的同意下被出售。此外，您(們)將要為您(們)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，您(們)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您(們)。

### RISK OF TRADING NASDAQ-AMEX SECURITIES AT THE STOCK EXCHANGE OF HONG KONG LIMITED

在香港聯合交易所有限公司買賣納斯達克-美國泰證券(香港)有限公司券交易所證券的風險

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.

按照納斯達克-美國泰證券(香港)有限公司券交易所試驗計劃(“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。您(們)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。您(們)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。

### RISK OF PRODUCT DENOMINATED IN RENMINBI (RMB) 人民幣計價產品的風險

#### 1. Exchange Control Risk 外匯管制風險

RMB is not fully and freely convertible and conversion of RMB is subject to a daily limit or other prescribed limits. You should allow sufficient time for exchange of RMB to or from another currency if the RMB amount exceeds the daily limit or prescribed limit. For RMB products with a significant portion of non-RMB denominated underlying investments, you should pay attention to the possibility that you may not receive the full amount in RMB upon redemption. This may be the case if the issuer is not able to obtain sufficient amount of RMB in a timely manner due to the exchange controls and restrictions applicable to the currency.

目前人民幣並非完全可自由兌換，而人民幣兌換亦受每日限額或其他規定限額。如您(們)需兌換人民幣金額超過每日限額或其他規定限額，須預留足夠時間以備兌換。就人民幣產品中有相當部份非以人民幣計價的基礎投資而言，您(們)應注意贖回時並非全數收取人民幣的可能性。這種情況會發生在當人民幣的外匯管制及限制導致發行人不能及時取得足夠的人民幣。

#### 2. Liquidity Risk 流動性風險

You should pay attention to the liquidity risk associated with the RMB products. In particular, if such products do not have an active secondary market and their prices have large bid/offer spreads.

您(們)應注意與人民幣產品相關的流動性風險。特別是，如果該等產品沒有交投暢旺的次級市場及他們的價格存在大幅的買賣差價。

#### 3. Devaluation Risk 貶值風險

There is no assurance that RMB will not be subject to devaluation. You must subscribe for the product and will receive realisation proceeds in RMB. If you convert your investment moneys in Hong Kong Dollars or other currencies into RMB in order to invest in the product, you will suffer losses in case of RMB devaluation, if you convert realisation proceeds back into Hong Kong Dollars or other currencies.

概不保證人民幣不會貶值。您(們)以人民幣認購人民幣計價的產品及收取變現款項。您(們)如以投資於港幣之投資的款項或其他貨幣兌換成人民幣認購人民幣計價的產品，當您(們)將變現款項兌換回港幣或其他貨幣時，可能會因人民幣貶值而招致虧損。

### RISK OF EXCHANGE-TRADED DERIVATIVE PRODUCTS 交易所買賣衍生產品的風險

#### (A) General Risk 一般風險

##### 1. Issuer default risk 發行人違約風險

In the event that an exchange-traded derivative product issuer becomes insolvent and defaults on their issued products, you will be considered as unsecured creditors and will have no preferential claims to any assets held by the issuer. You should therefore pay close attention to the financial strength and credit worthiness of exchange-traded derivative product issuers.

倘若交易所買賣衍生產品發行人破產而未能履行其對所發行產品的責任，您(們)只被視為無抵押債權人，對發行人任何資產均無優先索償權。因此，您(們)須特別留意交易所買賣衍生產品發行人的財力及信用。

##### 2. Uncollateralized product risk 非抵押產品風險

Since exchange-traded derivative products are not asset backed, in the event of issuer bankruptcy, you can lose your entire investment.

由於交易所買賣衍生產品並沒有資產擔保，若發行人破產，您(們)便可能會損失其全部投資。

##### 3. Gearing risk 槓桿風險

## Risk Disclosure Statement 風險披露聲明

Exchange-traded derivative products such as warrants and callable bull/bear contracts are leveraged and can change in value rapidly according to the gearing ratio relative to the underlying assets. You should be aware that the value of an exchange-traded derivative product may fall to zero resulting in a total loss of the initial investment.

交易所買賣衍生產品如權證及牛熊證均為槓桿產品，其價值可按其相對於基礎資產的槓桿比率而快速改變。您(們)須留意，交易所買賣衍生產品的價值可以跌至零，令當初的投資資金盡失。

### 4. Limited Life 有效期限

Most of the exchange-traded derivative product issuer has an expiry date after which the products may become worthless. You should be aware of the expiry time horizon and choose a product with an appropriate lifespan for your trading strategy.

大部分交易所買賣衍生產品均設有到期日，到期後產品將會變得毫無價值。您(們)須留意產品的到期時間，確保所選產品尚餘的有效期能配合其交易策略。

### 5. Extraordinary price movements 異常價格變動

The price of an exchange-traded derivative product may not match its theoretical price due to outside factors such as market supply and demand. As a result, actual traded prices can be higher or lower than the theoretical price.

交易所買賣衍生產品的價格或會因為外來因素(如市場供求)而有別於其理論價，因此實際成交價可以高於亦可低於其理論價。

## (B) ADDITIONAL RISK OF TRADING WARRANT 權證交易的額外風險

1. The value of a warrant is likely to decrease over time. In the worst case, the warrants may expire with no value. Therefore, it should not be viewed as long-term investments.

權證的價值很可能隨時間而減少，在最壞的情況下，權證或會於到期時變得毫無價值。因此權證不應視作長期投資產品。

2. Certain events (including, without limitation, a right issue, bonus issue or cash distribution by the issuer, a subdivision or consolidation of the underlying shares and a restructuring event of the issuer) may entitle the issuer to adjust the terms and conditions of the warrant.

若干事件(包括但不限於相關公司之供股發行、發行紅股或現金分派、股份拆細或合併及相關公司的重組事項)發生後發行商可能有權調整權證的條款與細則。

3. The value of the warrants may not correlate with the movements of the underlying index level and is affected by implied volatility of underlying asset price, the time remaining to expiry, interest rates, and the expected dividend on the underlying assets.

權證的價值與相關指數水平的變動未必完全掛鈎，係受到相關資產的引伸波幅、剩餘到期時間、利率及預期股息等的影響。

4. The liquidity provider may be the only market participant for the warrants. There may not be a secondary market or the secondary market is limited and it may be difficult for you to realize the value in the warrants prior to expiry.

流通量提供者可能是權證的唯一市場參與者。權證未必會有第二市場或第二市場可能有限的時候，您(們)便難於到期前變現權證的價值。

## (C) ADDITIONAL RISK OF CALLABLE BULL/BEAR CONTRACTS("CBBC") 可贖回牛/熊證(「牛熊證」)交易的額外風險

1. CBBC has a fixed expiry date and closely track the performance of an underlying asset (for example, a share, index, commodity or currency). Your trading CBBCs should be aware of their intraday "knockout" or mandatory call feature. A CBBC will cease trading when the underlying asset value equals the mandatory call price/level as stated in the listing documents. You will only be entitled to the residual value of the terminated CBBC as calculated by the product issuer in accordance with the listing documents. You should also note that the residual value can be zero.

牛熊證設有固定到期日，並緊貼相關資產(例如股票、指數、商品及貨幣)的表現。您(們)買賣牛熊證，須留意牛熊證可以即日「取消」或強制收回的特色。若牛熊證的相關資產價值等同上市文件所述的強制收回價/水平，牛熊證即停止買賣。屆時，您(們)只能收回已停止買賣的牛熊證由產品發行商按上市文件所述計算出來的剩餘價值(注意：剩餘價值可以是零)。

2. When the underlying asset is trading close to the call price, the price of a CBBC may be more volatile with wider spreads and uncertain liquidity. CBBC may be called at any time and trading will terminate as a result. Once it is called, the contract cannot be revived and the Customer will not benefit even if the underlying asset bounces back to a favorable position. Any trades executed after this mandatory call event will not be recognized and will be cancelled.

相關資產價格接近收回價時，牛熊證的價格可能會變得更加波動，買賣差價可能會轉闊，流通量亦可能減低。牛熊證隨時會被收回而交易終止。當牛熊證被收回後，該牛熊證不可再次復牌，即使相關資產價格及後反彈至有利水平，您(們)亦不會因此獲利。任何在此強制提前贖回事宜後始執行的交易將不被承認並會被取消。

3. You should be aware that CBBC is a complex leveraged investment which may not be suitable for all people. With its gearing feature, it may magnify potential returns and potential losses as well. In the worst-scenario, you may lose all of your investments.

您(們)應注意牛熊證是複雜及具槓桿效應的投資，亦未必適合所有人。牛熊證的槓桿作用可擴大潛在回報及潛在虧損。在最差的情況下，您(們)可能會損失全部投資本金。

4. Although CBBC has liquidity providers, there is no assurance that you will be able to buy or sell CBBC at your target prices any time they wish. 即使牛熊證設有流通量提供者，您(們)不獲保證可以隨時按其意願以其目標價買入或沽出牛熊證。

## (D) ADDITIONAL RISK OF EQUITY-LINKED NOTES (ELNs) 股票掛鈎票據的額外風險

ELNs combine notes/deposits with options and its return component is based on the performance of the underlying asset. Their maximum return is capped but the potential loss can be significant. You may lose all your investment capital if the price of the underlying asset moves substantially against your view. You shall take the credit risk of the issuer and your investment return depends primarily on the future price movement of the underlying assets. It is important for you to read all the relevant offer documents to fully understand the features and risks of ELNs before deciding to invest.

股票掛鈎票據是由票據/存款與期權結合而成，其回報是基於相關資產的價格表現而釐定。其最大回報是有上限的，但其潛在損失可能很重大。如相關資產的價格走勢與客戶的預期出現重大程度的相反，您(們)可能損失全部投資本金。您(們)需承受發行商的信貸風險，而其回報主要視乎相關資產價格的未來走勢。您(們)在決定投資前閱讀所有有關銷售文件，以了解股票掛鈎票據的特性及風險，尤為重要。

## RISK OF TRADING EXCHANGE TRADED FUNDS (ETFs) 交易所買賣基金("ETFs")的風險

**1. Tracking Error Risk 追蹤誤差風險**

ETFs are typically designed to track the performance of certain indices, market sectors, or groups of assets such as stocks, bonds, or commodities. You are exposed to the political, economic, currency and other risks related to the ETFs' underlying index/assets it is tracking. There may be tracking errors (i.e. disparity in the performance between an ETF and its underlying index/assets), due to, for instance, failure of the tracking strategy, currency differences, fees and expenses. You must be prepared to bear the risk of loss and volatility associated with the underlying index/assets.

ETF主要為追蹤某些指數，市場領域或資產組別（如股票，債券或商品）的表現。您(們)須承受與ETF相關指數／資產有關的政治、經濟、貨幣及其他風險。ETF可能有追蹤誤差（即ETF之表現與相關指數／資產的表現脫節），原因可能是模擬策略失效、匯率、收費及支出等因素。您(們)必須要有因為相關指數／資產的波動而蒙受損失的準備。

**2. Counterparties Risk 交易對手風險**

Where an ETF invests in derivatives (i.e. synthetic ETF) to replicate the underlying index/assets performance, you are exposed to the credit risk of the counterparties who issued the derivatives, in addition to the risks associated with the underlying index/assets. Further, potential contagion and concentration risks of the derivative issuers should be taken into account (e.g. since derivative issuers are predominantly international financial institutions, the failure of one derivative counterparty of a synthetic ETF may have a "knock-on" effect on other derivative counterparties of the synthetic ETF). Some synthetic ETFs have collateral to reduce the counterparty risk, but there may be a risk that the market value of the collateral has fallen substantially when the synthetic ETF seeks to realize the collateral.

若ETF透過買入衍生工具(即合成ETF)去複製相關指數／資產的表現，您(們)除了要承擔相關指數／資產的風險外，也要承擔發行有關衍生工具的交易對手本身的信貸風險。此外，您(們)亦應該考慮有關衍生工具發行人的潛在連鎖影響及集中風險(例如由於衍生工具發行人主要是國際金融機構，因此，若合成交易所買賣基金的其中一個衍生工具交易對手倒閉，便可能對該合成交易所買賣基金的其他衍生工具交易對手產生「連鎖」影響)。有些合成交易所買賣基金備有抵押品以減低交易對手風險，但仍要面對當合成交易所買賣基金的抵押品被變現時，抵押品的市值可能已大幅下跌的風險。

**3. Discount or Premium Risk 折讓或溢價風險**

Where the index/assets that the ETF tracks is subject to restricted access, the efficiency in unit creation or redemption to keep the price of the ETF in line with its net asset value (NAV) may be disrupted, causing the ETF to trade at a higher premium or discount to its NAV. If you would buy an ETF at a premium or sells when the market price is at a discount to NAV, you may sustain losses.

若ETF所追蹤的指數／資產就您(們)的參與設有限制，則為使ETF的價格與其資產值一致的增設或贖回單位機制的效能可能會受到影響，令ETF的價格相對其資產淨值出現溢價或折讓，ETF的交易價格可能會高於或低於其資產淨值。您(們)若以溢價買入ETF，或於市價較資產淨值折讓之時出售ETF，您(們)可能會蒙受損失。

**4. Liquidity Risk 流通性風險**

Trading in ETFs is also subject to liquidity risk. Although an ETF is traded in an exchange there is no assurance that there is liquid market exists for an ETF. A higher liquidity risk is involved if a synthetic ETF involves derivatives that do not have an active secondary market. Wider bid-offer spreads in the price of the derivatives may result in losses.

買賣ETF須承擔流通性風險。儘管交易所買賣基金在相關交易所上市買賣，但這並不保證該基金必定有流通的市場。若合成交易所買賣基金涉及的衍生工具沒有活躍的第二市場，流動性的風險會較高；而衍生工具的買賣差價較大，亦會引致虧損。

**5. Exchange Rate Risk 匯率風險**

You trading ETFs with underlying assets not denominated in Hong Kong dollars are also exposed to exchange rate risk. Currency rate fluctuations can adversely affect the underlying asset value, also affecting the ETF price.

您(們)應注意 ETF 的相關資產非以港幣計價的匯率風險。匯率變動可為相關資產或 ETF 價格帶來不利影響。

**RISK OF OVER-THE-COUNTER DERIVATIVE PRODUCT 非交易所買賣衍生產品風險**

Most risks of exchange traded derivative product will also apply to OTC derivative product. In addition, the following additional risks of OTC derivative product should be noted.

大部份交易所買賣的衍生產品涉及的風險亦適用於非交易所買賣衍生產品。此外，您(們)應注意下列額外的非交易所買賣衍生產品風險。

**1. Market Risk 市場風險**

Option embedded in OTC derivative product carries high risk. Upon maturity, loss may incur as a result of market price or interest rate movement. You should understand that in case of equity-linked product, you may lose principal in the worst scenario. In the event of principal-protected product, you may lose the non-principal-protected portion. We give no guarantee as to the return on the product upon maturity. You should carefully assess the investment prior to your entering into the transaction and pay attention to the impact on option resulting from the movement of the underlying assets.

非交易所買賣衍生產品所含之選擇權具高度風險，於成交至結算日間可能因市場價格或利率波動產生損失。您(們)應瞭解於到期時股權連結產品於最壞情況下可能會損失本金。保本型產品最大可能損失為非約定保本部分之交易價金。本公司不保證產品之到期報酬。您(們)於進行交易前應詳細評估投資標的，注意基礎資產價格波動對選擇權的影響。

**2. Credit Risk 信用風險**

Attention should be paid to issuers' credit rating that is formulated in accordance with the issuers' scale, gearing ratio, liquidity, and profit and loss. You should review the issuers' credit risk and its risk tolerance. Where credit risk of the issuer is materialized, you may lose your principal.

您(們)應注意發行人之信用評等，信用評等乃根據發行人之規模、負債比率、流動資金及盈餘表現等因素而定。您(們)於交易前應詳細評估發行人之信用風險及可承受風險程度，如遇發行人發生信用風險，您(們)可能遭受本金之損失。

**3. Early Termination Risk 提前解約風險**

In case of early termination, the terms regulating profit and loss upon maturity set out in the trading contract will no longer apply. You may be personally liable to penalty up to certain extent. Issuer and/or we will not warrant that you will receive the principal in whole upon termination.

若於契約未到期前您(們)提出解約申請，則交易契約中所訂定的各項到期損益計算條款均無法適用，且需自行承擔一定程度之違約金，發行人及/或本公司不保證提前解約原始投資金額之無損。

## 4. Liquidity Risk 流動性風險

If the product is less liquid, there exists significant difference between the actual transaction price and the unit price of the contract. Where you terminate the contract early, you may suffer loss in principal. It requires you to take the product until maturity, if the market becomes entirely illiquid. 產品如不具備充分之市場流動性，契約之實際交易價格可能會與契約本身之單位資產價值產生顯著的價差，您(們)若於產品到期前提前解約，可能損及原始投資金額，甚至一旦市場完全喪失流動性後，您(們)需持有該產品至到期日。

## 5. Exchange Rate Risk 匯兌風險

If you make investment in the product with currency other than that denominated, you should pay attention to the risk that upon return of the investment principal, you will receive the amount less than that you paid when making investment if the invested principal is converted into another currency. We will not forecast the trend of foreign exchange rate.

若您(們)於投資之初係以非以產品計價幣別之其他幣別資金承作產品者，需留意產品計價幣別之原始投資本金返還時，轉換回其他幣別資產時將可能產生低於投資本金之匯兌風險。本公司不對未來匯率走勢作任何臆測。

## 6. Interest Rate Risk 利率風險

You should be aware that should the product make investment in fixed income product with the fund you invested, the price is subject to the interest rate trend. When interest rate rises, the market value of the fixed income product will go down and it may result in loss. In the event of interest rate going down, the market value of fixed income product will go up and you may earn extra return.

您(們)應瞭解，承作產品取得之交易價金若投資於固定收益產品時，其價格將受到利率走勢影響。當利率上升，固定收益產品之市場價格將會下跌，而可能產生損失；若利率下降，固定收益產品之市場價格將會上漲，則有可能獲得額外收益。

RISKS OF SHANGHAI-HONG KONG STOCK CONNECT 滬港通的風險

The risks associated with the Northbound trading in respect of Shanghai-Hong Kong Stock Connect (the "Northbound Trading") including, without limitation, the followings:-

滬港通的北向交易(下稱「北向交易」)的風險包括但不限於：-

- all transactions (whether buy or sell) under the Northbound Trading are executed subject to the Applicable Laws and, in particular, all laws, rules, regulations, directions and directives applicable to the Northbound Trading (the "Northbound Trading Applicable Law");  
所有北向交易項下進行的交易(不論買進或賣出)均受適用法律及，特別是，適用於北向交易的法律、規則、規例、指示及指令(下稱「北向交易適用法律」)所規管；
- Investors should note that any northbound or southbound trading under Shanghai-Hong Kong Stock Connect will not be covered by Hong Kong's Investor Compensation Fund. Hong Kong's Investor Compensation Fund is established to pay compensation to investors of any nationality who suffer pecuniary losses as a result of default of a licensed intermediary or authorized financial institution in relation to exchange-traded products in Hong Kong.  
As far as southbound trading is concerned, since Mainland China securities brokers are neither licensees nor registered institutions with the Securities and Futures Commission in Hong Kong (SFC) and they are not regulated by the SFC, the Investor Compensation Fund will not cover southbound trading via Shanghai-Hong Kong Stock Connect.  
As for northbound trading, according to the Securities and Futures Ordinance, the Investor Compensation Fund will only cover products traded in Hong Kong's recognized securities market (The Stock Exchange of Hong Kong Limited, SEHK) and recognized futures market (Hong Kong Futures Exchange Limited, HKFE). Since default matters in northbound trading via Shanghai-Hong Kong Stock Connect do not involve products listed or traded in SEHK or HKFE, so similar to the case of investors trading overseas securities, they will not be covered by the Investor Compensation Fund.  
On the other hand, according to the Measures for the Administration of Securities Investor Protection Fund, the functions of China Securities Investor Protection Fund (CSIPF) include "indemnifying creditors as required by China's relevant policies in case a securities company is subjected to compulsory regulatory measures including dissolution, closure, bankruptcy and administrative takeover by China Securities Regulatory Commission (CSRC) and custodian operation" or "other functions approved by the State Council".  
As far as Hong Kong investors participating in northbound trading are concerned, since they are carrying out northbound trading through securities brokers in Hong Kong and these brokers are not Mainland China brokers, therefore they are not protected by CSIPF on the Mainland China.  
投資者須注意，香港的投資者賠償基金並不涵蓋滬港通下的任何北向交易和南向交易。香港的投資者賠償基金主要保障任何因持牌中介人或認可財務機構因為違責事項，而導致任何國籍的投資者因涉及香港交易所上市或買賣的產品而蒙受的金錢損失。  
就港股通南向交易而言，由於中國內地的證券商並非香港證監會的持牌人或注冊機構，亦不受到證監會的規管，因此投資者賠償基金將不涵蓋港股通南向交易。  
就滬股通北向交易而言，根據《證券及期貨條例》，投資者賠償基金僅涵蓋在認可股票市場香港聯合交易所有限公司（聯交所）及認可期貨市場香港期貨交易所有限公司（期交所）上買賣的產品。由於滬股通北向交易違責事項並不涉及聯交所和期交所上市或買賣的產品，因此一如買賣海外證券的投資者，投資者賠償基金亦不涵蓋滬股通北向交易。  
另一方面，根據《證券投資者保護基金管理辦法》，中國投資者保護基金的用途為“證券公司被撤銷、關閉和破產或被證監會實施行政接管、托管經營等強制性監管措施時，按照國家有關政策規定對債權人予以「償付」或「國務院批准的其他用途」。對於參與北向交易的香港投資者而言，由於他們是通過香港本地券商進行北向交易，該券商並非內地證券公司，因此中國內地投資者保護基金亦不涵蓋滬股通北向交易。
- when the respective aggregate quota balance for the Northbound Trading and the Southbound trading falls below the daily quota, the corresponding buy orders will be suspended on the immediately following trading day whereas sell orders will still be accepted unless and until the aggregate quota balance returns to the daily quota level. Once the daily quota is used up, the corresponding buy orders will not be accepted and will also be suspended forthwith, and in the meantime, no further buy orders will be accepted for the remainder of the trading day. Notwithstanding the above, sell orders will continue to be accepted and the accepted buy orders will not be affected by the using up of the daily quota. Whether buying services will be resumed on the following trading day depends on the aggregate quota balance position;  
當北向交易和南向交易分別的總額度餘額下跌至少於每日額度時，相應買盤會於下一個緊接的交易日暫停，但賣盤訂單不受影響，除非及直至總額度餘額重回每日額度水平。當每日額度用盡時，會暫停接納相關買盤訂單及即時暫停交易。同時，當日餘下的時間亦不會接納買盤訂單。但是，已接納的買盤訂單將不會因為額度用盡而受影響。此外，仍可繼續接受賣盤訂單。於下一個交易日是否恢復買盤交易，則取決於總額度之餘額狀況；

4. in so far as the Northbound Trading is concerned, you are prohibited from naked short selling in A-shares. You selling A-shares via the Northbound Trading are not permitted to participate in any securities lending in China;  
就北向交易而言，您(們)不可就 A 股進行無備兌賣空活動。您(們)通過滬股通投資 A 股時，不得參與內地的融券計劃；
5. the trading days in Hong Kong and China are not the same by virtue of differences in holidays. Further, the differences in trading day will be triggered by bad weather conditions respectively in Hong Kong and China. Thus, the trading days and trading hours in the two markets are different. The Northbound Trading and the Southbound trading will only be operated upon the days when both markets are open for trading and banks in both markets are open to process settlements on the respective days. In the said premises, it is possible that there exist occasions where Hong Kong investors cannot trade any A-share on the trading day of China market. You are advised to carefully take note of the days and the hours which Shanghai-Hong Kong Stock Connect is open for business. In addition, you should determine whether or not to take on the risk of price fluctuations in A-shares during the time when Shanghai-Hong Kong Stock Connect is not trading in accordance with your own risk tolerance level;  
由於假期差異的關係，香港及內地的交易日並不一致。再者，交易日的不一致亦可能由於香港及內地的惡性天氣情況而導致。因此，兩地市場的交易日及交易時段並不一致。北向交易及南向交易僅會於兩地市場均可進行交易及兩地銀行均可於相關日子處理交收時始可運作。基於上述原因，有可能出現下述情況，即香港投資者無法於內地市場的交易日買賣任何 A 股。請您(們)特別注意，滬港通的交易日及交易時段。此外，應根據您(們)的風險承受能力決定是否承擔滬港通無法交易而產生的 A 股價格波動之風險；
6. an eligible stock will turn to be non-eligible stock for trading via Shanghai-Hong Kong Stock Connect for a number of reasons. In that event, that stock can only be sold but prohibited from being bought. This may jeopardize your investment portfolio or strategies. Please remain alert as to the list of eligible stocks as provided and renewed from time to time by Shanghai Stock Exchange (“SSE”) and SEHK;  
由於各種原因，原本為滬港通合資格股票可能變得不再屬於合資格股票。當出現這情況時，該等股票將只能被賣出而不能被買入。這對您的投資組合或策略可能會有所危害。您(們)需要密切關注上海交易所(下稱「上交所」)及聯交所提供及不時更新的合資格股票名單；
7. you will only be permitted to sell A-share but is prohibited from further buying in the event that: (a) the A-share subsequently ceases to be a constituent stock of the relevant indices; (b) the A-share is subsequently subject to “risk alert”; and/or (c) the corresponding H share of the A-share subsequently ceases to be traded on SEHK. You should also note that price fluctuation limit would be applicable to A-shares;  
您(們)將在以下幾種情況下被暫停買入(但允許賣出)：(a)該等滬股不再屬於有關指數成份股；(b)該等滬股被實施風險警示；及/或(c)該等滬股相應的 H 股不再在聯交所掛牌買賣。您亦需要關注 A 股交易有可能受漲跌停板幅度限制；
8. A-shares listed companies and trading of A-share are all subject to applicable rules and disclosure requirements of the A-share market. Any changes in laws, regulations and policies of the A-share market or rules in relation to Shanghai-Hong Kong Stock Connect may have impact on the share prices (whether adverse or not). Further, foreign shareholding disclosure requirements applicable to A-share should be noted;  
滬港通相關的所有 A 股上市公司及交易須遵守所有 A 股的市場法規及披露責任。任何相關法例或法規的改動均有可能對股價有影響(不論是正面或負面影響)。此外，您(們)亦應留意 A 股的外資持股比例及披露責任；
9. you will be subject to restrictions on trading (including, without limitation, restriction on retention of proceeds) in A-shares as a result of your interest in the A-shares. Also, you are solely liable to compliance with all notifications, reports and applicable requirements in connection with your rights and interests of and in A-shares;  
因應您(們) A 股所擁有利益及持股量，您(們)的交易及收益保留可能受限制。此外，您(們)需自行負責所有相關申報、通知、權利及利益披露之合規要求；
10. under the prevailing rules in China, once you hold up to 5% of the shares of a listed company traded on the SSE, you are required to disclose your interest within three working days and during which you cannot trade the shares of that listed company. You are reminded that you are required to disclose any change in your shareholding and comply with the applicable trading restrictions in accordance with the rules promulgated in China from time to time;  
根據現行中國法律，當您(們)持有上交所上市公司的股權達 5% 時，須於三個工作日內披露您(們)的權益，您(們)亦不得於該三日內買賣該公司股份。您(們)亦需就其持股量的變化按內地不時頒布的法律進行披露並遵守相關的買賣限制；
11. it is the prevailing market practice in China that you as beneficial owners of A-shares are prohibited from appointing proxies to attend shareholders’ meetings on your behalf; and  
根據現行中國市場實務，您(們)作為實益擁有人，不得委任代表您(們)親身出席股東大會；及
12. in addition to trading fees and stamp duties in connection with A-share trading, you carrying out the Northbound Trading should also take note that any new fees, tax and levy which is imposed or determined by the competent authorities.  
除關於 A 股交易收費及印花稅外，您(們)進行北向交易時需注意主管當局頒布或頒令的新費用、稅項及徵費。
13. For investors who usually keep their securities outside of their brokers, if they want to sell certain securities they hold, they must transfer those securities to the respective accounts of their brokers before the market opens on the day of selling (T day). If they fail to meet this deadline, they will not be able to sell those securities on T day.  
對於那些一般將證券存放於券商以外的投資者而言，如果需要沽出所持有的某些證券，必須在不晚於沽出當天(T 日)開市前成功把該證券轉至券商帳戶中。如果投資者錯過了此期限，他/她將不能於 T 日沽出該證券。
14. Hong Kong and overseas investor who holds a local currency other than RMB will be exposed to currency risk if he/she invests in a RMB product due to the need for the conversion of the local currency into RMB. During the conversion, he/she will also incur currency conversion costs. Even if the price of the RMB asset remains the same when he/she purchases it and when he/she redeems/sells it, he/she will still incur a loss when he/she converts the redemption/sale proceeds into local currency if RMB has depreciated.  
香港及海外的投資者若以人民幣以外的本地貨幣投資人民幣資產，由於要將本地貨幣轉換為人民幣，便需承受匯率風險。在匯兌過程中，將會牽涉轉換貨幣的成本。即使該人民幣資產的價格不變，於轉換貨幣的過程中，如果人民幣貶值，亦會有所損失。

**Individual Client Investment Risk Preference Questionnaire**

**客戶投資風險取向分析問卷**

This Client Investment Risk Preference Questionnaire (hereinafter defined as "the Questionnaire") should be completed by the Client himself/herself. Before completion of the Questionnaire, the Client should consider his or her own circumstances. If the information provided herein is untrue or inaccurate, the Client has to bear all responsibilities and consequences. The purpose of the Questionnaire is to understand the Client's investment risk preference, which would assist the Client to choose a compatible class of investment products. However, the risk tolerance level is different from person to person and it may affect the investment return (if any) of an investor. The Client is requested to answer all of the following questions. The analysis result is based on the sum of scores for each answer. However, our Company reserves the right of final determination of the risk level of the Client when investment service is provided. If the Client does not accept the risk level as finally determined by our Company, our Company reserves the right of refusing to provide any investment service to the Client.

本客戶投資風險取向分析問卷(「本問卷」)應由客戶親自填寫。填寫前,客戶應慎重考慮自身的情況。如本問卷所提供的資料不真實或不正確,客戶須承擔所有責任與後果。本問卷旨在瞭解客戶的投資風險取向,藉此協助客戶選擇相配合的投資產品類別。惟風險承受能力因人而異,它可能會影響投資人的投資回報率(如有)。請客戶回答下列所有問題,分析結果將按所有答案的總評分計算。惟本公司在提供投資服務時,將保留最終決定客戶風險等級的權利。如客戶不接受本公司所最終決定之客戶風險等級,本公司將保留拒絕為該客戶提供任何投資服務的權利。

**Important Notice:**

1. The accuracy of the analysis result of the Questionnaire is subject to the answers submitted by the Client. Such result is for reference only and should not replace any suitable and independent professional advice. If there is any doubt, the Client should conduct independent assessment on the suitability of a financial product. 2. If the Client has any change of investment risk preference and/or financial situation, please notify our Company soonest so that our Company may use such updated information/investment risk preference as reference for provision of service.

**重要通知:**

1. 本問卷分析結果的準確性視乎客戶所填寫的答案而定。該分析結果僅供參考之用,並不代替任何合適及獨立的專業意見。如有任何疑問,客戶應該對投資產品是否合適進行獨立評估。2. 客戶自身的投資風險取向及/或財務狀況如有變更,請儘快通知本公司,本公司將以客戶提供最新的資料/投資風險取向作為提供服務的參考依據。

**For each applicable question, please choose one of the answers that best describes you: 就每條適用的問題,請選擇最合適描述您的一項:**

**I. Basic Information 基本資料**

Sole / Principal Client 個人 / 主要客戶	Joint Client 聯名客戶
1. How old are you? 您的年齡: <input type="checkbox"/> A.65 above/ 65 歲以上 <input type="checkbox"/> B.Below 25/ 25 歲以下 <input type="checkbox"/> C.25-35/ 25-35 歲 <input type="checkbox"/> D.51-65/ 51-65 歲 <input type="checkbox"/> E.36-50/ 36-50 歲	1. How old are you? 您的年齡: <input type="checkbox"/> A.65 above/ 65 歲以上 <input type="checkbox"/> B.Below 25/ 25 歲以下 <input type="checkbox"/> C.25-35/ 25-35 歲 <input type="checkbox"/> D.51-65/ 51-65 歲 <input type="checkbox"/> E.36-50/ 36-50 歲
2. What is your educational level? 您的教育程度 <input type="checkbox"/> A.Primary/ 小學或以下 <input type="checkbox"/> B.Junior high school/ 中學程度 <input type="checkbox"/> C.High school equivalency education/ 高中程度 <input type="checkbox"/> D.College/ 大專程度 <input type="checkbox"/> E.University / Post-graduate/ 大學或以上程度	2. What is your educational level? 您的教育程度 <input type="checkbox"/> A.Primary/ 小學或以下 <input type="checkbox"/> B.Junior high school/ 中學程度 <input type="checkbox"/> C.High school equivalency education/ 高中程度 <input type="checkbox"/> D.College/ 大專程度 <input type="checkbox"/> E.University / Post-graduate/ 大學或以上程度
3. Your annual income (HK\$) is? 您的每年收入 (港元) <input type="checkbox"/> A.Less than \$100,000/ 少於 \$100,000 <input type="checkbox"/> B.\$100,000 to \$300,000/ \$100,000 至 \$300,000 <input type="checkbox"/> C.\$300,001 to \$500,000/ \$300,001 至 \$500,000 <input type="checkbox"/> D.\$500,001 to \$1,000,000/ \$500,001 至 \$1,000,000 <input type="checkbox"/> E.Over \$1,000,000/ 多於 \$1,000,000	3. Your annual income (HK\$) is? 您的每年收入 (港元) <input type="checkbox"/> A.Less than \$100,000/ 少於 \$100,000 <input type="checkbox"/> B.\$100,000 to \$300,000/ \$100,000 至 \$300,000 <input type="checkbox"/> C.\$300,001 to \$500,000/ \$300,001 至 \$500,000 <input type="checkbox"/> D.\$500,001 to \$1,000,000/ \$500,001 至 \$1,000,000 <input type="checkbox"/> E.Over \$1,000,000/ 多於 \$1,000,000
4. Your liquid assets (HK\$) (excluding the value of self-occupied properties) is? 您的流動資產(港元) (不包括自住物業) <input type="checkbox"/> A.Less than \$500,000/ 少於 \$500,000 <input type="checkbox"/> B.\$500,000 to \$2,000,000/ \$500,000 至 \$2,000,000 <input type="checkbox"/> C.\$2,000,001 to \$5,000,000/ \$2,000,001 至 \$5,000,000 <input type="checkbox"/> D.\$5,000,001 to \$10,000,000/ \$5,000,001 至 \$10,000,000 <input type="checkbox"/> E.Over \$10,000,000/ 多於 \$10,000,000	4. Your liquid assets (HK\$) (excluding the value of self-occupied properties) is? 您的流動資產(港元) (不包括自住物業) <input type="checkbox"/> A.Less than \$500,000/ 少於 \$500,000 <input type="checkbox"/> B.\$500,000 to \$2,000,000/ \$500,000 至 \$2,000,000 <input type="checkbox"/> C.\$2,000,001 to \$5,000,000/ \$2,000,001 至 \$5,000,000 <input type="checkbox"/> D.\$5,000,001 to \$10,000,000/ \$5,000,001 至 \$10,000,000 <input type="checkbox"/> E.Over \$10,000,000/ 多於 \$10,000,000
5. With reference to your above answer, percentage of liquid assets will be allocated to make investments 承上題您的答案,您計劃動用多少百分比的流動資產作投資: <input type="checkbox"/> A. Below 10%/ 10% 以下 <input type="checkbox"/> B. 10% to 25%/ 10% 至 25% <input type="checkbox"/> C. 26% to 50%/ 26% 至 50% <input type="checkbox"/> D. 51% to 60%/ 51% 至 60% <input type="checkbox"/> E. Above 60%/ 60% 以上	5. With reference to your above answer, percentage of liquid assets will be allocated to make investments 承上題您的答案,您計劃動用多少百分比的流動資產作投資: <input type="checkbox"/> A. Below 10%/ 10% 以下 <input type="checkbox"/> B. 10% to 25%/ 10% 至 25% <input type="checkbox"/> C. 26% to 50%/ 26% 至 50% <input type="checkbox"/> D. 51% to 60%/ 51% 至 60% <input type="checkbox"/> E. Above 60%/ 60% 以上
6. Your expectation towards liquidity of the products 您對產品的流動性要求為: <input type="checkbox"/> A. Daily /Weekly/ 日或週交易 <input type="checkbox"/> B. Monthly/ 月交易 <input type="checkbox"/> C. Quarterly/ 季交易 <input type="checkbox"/> D. Annually/ 年交易 <input type="checkbox"/> E. Over one year/ 超過一年以上	6. Your expectation towards liquidity of the products 您對產品的流動性要求為: <input type="checkbox"/> A. Daily /Weekly/ 日或週交易 <input type="checkbox"/> B. Monthly/ 月交易 <input type="checkbox"/> C. Quarterly/ 季交易 <input type="checkbox"/> D. Annually/ 年交易 <input type="checkbox"/> E. Over one year/ 超過一年以上

**II. General Investment Goal 一般投資目的**

7. What is your general investment goal? 您的一般投資目的: <input type="checkbox"/> A. For a higher return than time deposit/ 獲取高於定存的報酬 <input type="checkbox"/> B. For a higher return than inflation rate/ 獲取高於通貨膨脹的報酬 <input type="checkbox"/> C. For a stable growth of assets/ 資產穩健增長 <input type="checkbox"/> D. For an accelerated growth of assets/ 資產快速增長 <input type="checkbox"/> E. For a quick profit from investment capital in a short period/ 迅速	7. What is your general investment goal? 您的一般投資目的: <input type="checkbox"/> A. For a higher return than time deposit/ 獲取高於定存的報酬 <input type="checkbox"/> B. For a higher return than inflation rate/ 獲取高於通貨膨脹的報酬 <input type="checkbox"/> C. For a stable growth of assets/ 資產穩健增長 <input type="checkbox"/> D. For an accelerated growth of assets/ 資產快速增長 <input type="checkbox"/> E. For a quick profit from investment capital in a short period/ 迅速
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請勾選相關類別並以便我們了解閣下之投資取向

**Individual Client Investment Risk Preference Questionnaire**

**客戶投資風險取向分析問卷**

獲得短期資本利得

獲得短期資本利得

8. Which of the below investment portfolios with particular risk and return do you prefer?  
閣下偏向以下哪類風險及回報的投資組合?
- A. No idea/ 沒有概念
- B. Absolute low risk investment strategy + secure principal protection  
絕對低度風險投資組合 + 穩健保本
- C. Low risk investment strategy + low return  
低度風險投資組合 + 低度回報
- D. Medium risk investment strategy + medium return  
中度風險投資組合 + 中度回報
- E. High risk investment strategy + high return  
高度風險投資組合 + 高回報

8. Which of the below investment portfolios with particular risk and return do you prefer?  
閣下偏向以下哪類風險及回報的投資組合?
- A. No idea/ 沒有概念
- B. Absolute low risk investment strategy + secure principal protection  
絕對低度風險投資組合 + 穩健保本
- C. Low risk investment strategy + low return  
低度風險投資組合 + 低度回報
- D. Medium risk investment strategy + medium return  
中度風險投資組合 + 中度回報
- E. High risk investment strategy + high return  
高度風險投資組合 + 高回報

**III. Investment Knowledge and Experience 投資知識與經驗**

9. Base on your past experience in education and career. Please choose the descriptions below which meet your experience. (multiple choice)  
(1)  Have working experience in accounting/finance/insurance/law industry related jobs  
(2)  Have obtained finance related certification/qualification  
(3)  Have attended financial derivative product related course/seminar  
(4)  Have degree in business/finance related background  
Total number of choice :  
針對下列學、經歷之敘述，您所符合之項目計有幾項？(請同時勾選符合項目)
- (1)  曾擔任財務/會計/金融/保險/律師等相關職務  
(2)  曾經取得金融相關證照/資格  
(3)  曾經參加過衍生性金融商品相關課程/講座  
(4)  具備商學/財經科系學歷背景
- A. 0 Item (項)  
 B. 1 Item (項)  
 C. 2 Item (項)  
 D. 3 Item (項)  
 E. 4 Item (項)

9. Base on your past experience in education and career. Please choose the descriptions below which meet your experience. (multiple choice)  
(1)  Have working experience in accounting/finance/insurance/law industry related jobs  
(2)  Have obtained finance related certification/qualification  
(3)  Have attended financial derivative product related course/seminar  
(4)  Have degree in business/finance related background  
Total number of choice :  
針對下列學、經歷之敘述，您所符合之項目計有幾項？(請同時勾選符合項目)
- (5)  曾擔任財務/會計/金融/保險/律師等相關職務  
(6)  曾經取得金融相關證照/資格  
(7)  曾經參加過衍生性金融商品相關課程/講座  
(8)  具備商學/財經科系學歷背景
- A. 0 Item (項)  
 B. 1 Item (項)  
 C. 2 Item (項)  
 D. 3 Item (項)  
 E. 4 Item (項)

10. Have you had any experience of investing in product involved derivative instruments e.g.: warrant, options, futures or ETF (including traded in Cathay HK and other financial institutions)?  
您是否有投資與衍生性工具相關的產品如：權證，選擇權，期貨或交易所買賣基金 (包括在國泰香港及其它金融機構)交易的經驗?
- A. No experience / 沒有經驗  
 B. 1-2 times within the past 1 year/ 過去 1 年有 1-2 次投資經驗  
 C. 3-4 times within the past 2 years/ 過去 2 年有 3-4 次投資經驗  
 D. 5-6 times or more within the past 3 years/  
過去 3 年有 5-6 次投資經驗  
 E. 6 times or more within the past 4 years  
過去 4 年有 6 次或以上次投資經驗

10. Have you had any experience of investing in product involved derivative instruments e.g.: warrant, options, futures or ETF (including traded in Cathay HK and other financial institutions)?  
您是否有投資與衍生性工具相關的產品如：權證，選擇權，期貨或交易所買賣基金 (包括在國泰香港及其它金融機構)交易的經驗?
- A. No experience / 沒有經驗  
 B. 1-2 times within the past 1 year/ 過去 1 年有 1-2 次投資經驗  
 C. 3-4 times within the past 2 years/ 過去 2 年有 3-4 次投資經驗  
 D. 5-6 times or more within the past 3 years/  
過去 3 年有 5-6 次投資經驗  
 E. 6 times or more within the past 4 years  
過去 4 年有 6 次或以上次投資經驗

11. Have you had any experience of investing in mutual funds? 您是否有互惠基金相關投資經驗?
- A. No experience / Below 1 year / 沒有經驗 / 1 年以下  
 B. Have experience of bond funds or balanced funds/  
曾投資過債券型或平衡型基金  
 C. Have experience of equity funds / 曾投資過股票型基金  
 D. Apart from public funds, have experience of hedge funds, private equity funds/除公開募集基金外，曾投資過對沖基金、私募基金  
 E. Have invested in all the products as above-mentioned/  
曾投資以上所有產品

12.  Have you had any experience of investing in mutual funds? 您是否有互惠基金相關投資經驗?
- A. No experience / Below 1 year / 沒有經驗 / 1 年以下  
 B. Have experience of bond funds or balanced funds/  
曾投資過債券型或平衡型基金  
 C. Have experience of equity funds / 曾投資過股票型基金  
 D. Apart from public funds, have experience of hedge funds, private equity funds/除公開募集基金外，曾投資過對沖基金、私募基金  
 E. Have invested in all the products as above-mentioned/  
曾投資以上所有產品

12. Have you had any experience of investing in bonds? 您是否有債券相關投資經驗?
- A. No experience / Below 1 year / 沒有經驗 / 1 年以下  
 B. Have experience of investment grade bonds (including government and/or corporate bonds)/ 曾投資過投資級別債券 (含政府公債及/或公司債)  
 C. Have experience of high yield bonds / 曾投資過高收益債券  
 D. Have experience of perpetual bonds, convertible bonds and/or 15 years above bonds /曾投資過永續債、可換股債券及/或 15 年期以上債券  
 E. Have invested in all the products as above-mentioned /  
曾投資以上所有產品

12. Have you had any experience of investing in bonds? 您是否有債券相關投資經驗?
- A. No experience / Below 1 year / 沒有經驗 / 1 年以下  
 B. Have experience of investment grade bonds (including government and/or corporate bonds)/ 曾投資過投資級別債券 (含政府公債及/或公司債)  
 C. Have experience of high yield bonds / 曾投資過高收益債券  
 D. Have experience of perpetual bonds, convertible bonds and/or 15 years above bonds /曾投資過永續債、可換股債券及/或 15 年期以上債券  
 E. Have invested in all the products as above-mentioned /  
曾投資以上所有產品

請勾選相關類別並以便我們了解閣下之投資取向

**Individual Client Investment Risk Preference Questionnaire**

**客戶投資風險取向分析問卷**

請勾選相關類別並以便我們了解閣下之投資取向

<p>13. Have you had any experience of investing in structured products ? 您是否有結構型產品相關投資經驗？</p> <p><input type="checkbox"/> A. No experience / Below 1 year / 沒有經驗 / 1 年以下</p> <p><input type="checkbox"/> B. Have experience of capital guaranteed structured products / 曾投資過保本型結構性產品</p> <p><input type="checkbox"/> C. Have experience of non-capital guaranteed structured products / 曾投資過不保本的結構性產品</p> <p><input type="checkbox"/> D. Have experience of structured products with tenor of 15 years and above / 曾投資過 15 年期以上的結構性產品</p> <p><input type="checkbox"/> E. Have invested in all the products as above-mentioned / 曾投資以上所有產品</p>	<p>13. Have you had any experience of investing in structured products ? 您是否有結構型產品相關投資經驗？</p> <p><input type="checkbox"/> A. No experience / Below 1 year / 沒有經驗 / 1 年以下</p> <p><input type="checkbox"/> B. Have experience of capital guaranteed structured products / 曾投資過保本型結構性產品</p> <p><input type="checkbox"/> C. Have experience of non-capital guaranteed structured products / 曾投資過不保本的結構性產品</p> <p><input type="checkbox"/> D. Have experience of structured products with tenor of 15 years and above / 曾投資過 15 年期以上的結構性產品</p> <p><input type="checkbox"/> E. Have invested in all the products as above-mentioned / 曾投資以上所有產品</p>
<p>14. Have you had any experience of investing in securities ? 您是否有股票相關投資經驗？</p> <p><input type="checkbox"/> A. No experience/ 沒有經驗</p> <p><input type="checkbox"/> B. 0 to 1 year/ 0 至 1 年</p> <p><input type="checkbox"/> C. 2 to 5 years/ 2 至 5 年</p> <p><input type="checkbox"/> D. 6 to 10 years/ 6 至 10 年</p> <p><input type="checkbox"/> E. More than 10 years/ 10 年以上</p>	<p>14. Have you had any experience of investing in securities ? 您是否有股票相關投資經驗？</p> <p><input type="checkbox"/> A. No experience/ 沒有經驗</p> <p><input type="checkbox"/> B. 0 to 1 year/ 0 至 1 年</p> <p><input type="checkbox"/> C. 2 to 5 years/ 2 至 5 年</p> <p><input type="checkbox"/> D. 6 to 10 years/ 6 至 10 年</p> <p><input type="checkbox"/> E. More than 10 years/ 10 年以上</p>
<p>15. Have you ever used margin facilities to invest in stocks and foreign exchange ? 您是否有使用孖展(融資)買賣股票、外匯？</p> <p><input type="checkbox"/> A. No experience/ 沒有經驗</p> <p><input type="checkbox"/> B. 0 to 1 year/ 0 至 1 年</p> <p><input type="checkbox"/> C. 1 to 2 years/ 1 至 2 年</p> <p><input type="checkbox"/> D. 3 to 5 years/ 3 至 5 年</p> <p><input type="checkbox"/> E. More than 5 years/ 5 年以上</p>	<p>15. Have you ever used margin facilities to invest in stocks and foreign exchange ? 您是否有使用孖展(融資)買賣股票、外匯？</p> <p><input type="checkbox"/> A. No experience/ 沒有經驗</p> <p><input type="checkbox"/> B. 0 to 1 year/ 0 至 1 年</p> <p><input type="checkbox"/> C. 1 to 2 years/ 1 至 2 年</p> <p><input type="checkbox"/> D. 3 to 5 years/ 3 至 5 年</p> <p><input type="checkbox"/> E. More than 5 years/ 5 年以上</p>

**IV. Result of Investment Risk Preference Analysis 投資風險取向**

勾第 A 選項得 1 分	勾第 B 選項得 2 分	勾第 C 選項得 3 分	勾第 D 選項得 4 分	勾第 E 選項得 5 分
共 題(1 分)	共 題(2 分)	共 題(3 分)	共 題(4 分)	共 題(5 分)
小計 分	小計 分	小計 分	小計 分	小計 分

合計分數：\_\_\_\_\_

- Result 分析結果**
- Low Risk 保守型/低風險
- Medium Risk 審慎型/中風險
- Medium High Risk 均衡型/中高風險
- High Risk 進取型/高風險
- Extremely High Risk 積極型/極高風險

計算分數, 得知投資屬性等級

Score 評分	Equal or Less than 20 少於等於 20 分	21 to 35 21 分至 35 分	36 to 50 36 分至 50 分	51 to 65 51 分至 65 分	Equal or More than 66 大於等於 66 分
Profile Grading 所屬風險等級	Grade 1 等級 1	Grade 2 等級 2	Grade 3 等級 3	Grade 4 等級 4	Grade 5 等級 5
Illustration 說明	Low Risk 保守型/低風險	Medium Risk 審慎型/中風險	Medium High Risk 均衡型/中高風險	High Risk 進取型/高風險	Extremely High Risk 積極型/極高風險

## Definition of Profile Grading

<p><b>Grade 1/等級 1</b>  <b>Low Risk: Conservative and defensive</b>  <b>保守型/低風險：保守防禦型的投資者</b></p> <p>As a conservative and defensive investor you are seeking for stable investment opportunity. However, in order to preserve the value of your investment you only have limited ability to take the risk. The choice of your investment method may be relatively conservative and avoid from high volatility.</p> <p>作為保守防禦型的投資者，您會尋找穩健的投資機會，然而，為了能保護投資價值，您能承受的風險程度較低，所以理財的方式相對保守，不輕易嘗試波動較大的金融投資工具。</p>
<p><b>Grade 2/等級 2</b>  <b>Medium Risk: Cautious</b>  <b>審慎型/中風險：審慎型的投資者</b></p> <p>As a cautious and defensive investor you are seeking stability of your investment but to preserve the value of your investment against the erosion of inflation and therefore prepared to consider a combination of low risk alternatives to deposits to help generate a steady return over the long-term. You fully understand there may be short periods when the value of your investments could fall, but these are expected to be of limited impact due to the highly diversified asset mix.</p> <p>作為審慎防守型的投資者，你會尋找穩健的投資，但亦願意保障你的投資價值，以對抗通脹的蠶食，因此願意考慮存款以外的低風險投資選擇，以取得長期穩定的回報。你完全明白你的投資價值在短時期內可能下跌，但因資產種類高度分散，預期跌幅只會產生有限度的影響。</p>
<p><b>Grade 3/等級 3</b>  <b>Medium High Risk: Balanced and moderate</b>  <b>平穩型/中風險：均衡型的投資者</b></p> <p>As a balanced investor you are looking to grow the value of your investment over the longer term and generate an absolute return ahead of inflation. You are prepared to invest across a diversified portfolio of assets to achieve this goal and understand that there may be periods when the value of your capital can fall.</p> <p>作為均衡中等型的投資者，你會以投資價值長期增長並產生超逾通脹的絕對回報為目標。你願意投資於多元化的資產組合以達到此目標，並且明白你的資本價值在某些時期內可能會下跌。</p>
<p><b>Grade 4/等級 4</b>  <b>High Risk: Aggressive</b>  <b>進取型/高風險：積極型的投資者</b></p> <p>As an aggressive investor you are looking to considerably grow the value of your investment over the longer term by selecting a concentrated portfolio of more speculative asset types and are comfortable with a higher risk and reward strategy this approach involves. You understand that periods of strong gains as well as significant falls in the value of your investment are likely in future.</p> <p>作為積極型的投資者，你會選取一個集中的組合，包含較多投機性的資產類別，以達致投資價值長期有可觀增長為目標，並且願意承受此策略所帶來的較高風險及回報。你明白投資價值將來在某些時期內既會錄得強勁的收益，亦會錄得大幅下跌的虧損。</p>
<p><b>Grade 5/等級 5</b>  <b>Extremely High Risk: adventurous</b>  <b>積極型/高風險：進取型的投資者</b></p> <p>As a very adventurous investor you are looking to maximise the value of your investment over the longer term by selecting a very concentrated portfolio of more speculative asset types and are comfortable with a higher risk and reward strategy this approach involves. You understand that periods of strong gains as well as significant falls in the value of your investment are likely in future.</p> <p>作為非常冒險型的投資者，你會選取一個十分集中的組合，包含較多投機性的資產類別，以達致投資價值長期有最高增長為目標，並且願意承受此策略所帶來的較高風險及回報。你明白投資價值將來在某些時期內既會錄得強勁的收益，亦會錄得大幅下跌的虧損。</p>

### V. Client's Self-Assessment of Investment Risk Preference 客戶自評投資風險取向

[If the Client's chosen investment risk preference level is different from the risk preference level of our Company will use the lower of such investment risk preference levels when investment. If the Client does not accept the risk preference level as finally determined by our Company, our Company reserves the right of refusing to provide investment service to the Client.]

(如客戶選取的投資風險取向等級與上述總評分所得出的等級不一致，本公司在向客戶提供投資服務時，將以兩者之間較低的等級為準。如客戶不接受本公司所最終決定之客戶風險等級，本公司將保留拒絕為客戶提供投資服務的權利。)

<p><b>Self-Assessment of Investment Risk Preference</b>  <b>客戶認為客戶的投資風險取向為？</b></p>	<input type="checkbox"/> Grade1 等級 1	<input type="checkbox"/> Grade2 等級 2	<input type="checkbox"/> Grade3 等級 3	<input type="checkbox"/> Grade4 等級 4	<input type="checkbox"/> Grade5 等級 5
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如客戶不認同本問卷之評等，可再在此選，

\*客戶只可下調評級，不得自行上調\*

**Risk Disclosure:**

Although investment may bring about profit opportunities, each kind of investment tool comes with its own risks. Due to the fluctuating nature of the markets, the prices of products may rise or fall below customers' expectations and customers' investment funds may increase or decrease in value as a result of selling or purchasing investment products. Before making any investment decision, customers should assess their own willingness and ability to bear risks and understand the nature of the relevant product and its associated risks. Customers are advised to seek professional advice from an independent financial advisor.

This questionnaire is only intended to help customer to understand his/her risk profile and investment needs and is for reference purpose only. It does not constitute an offer or invitation of an offer to purchase or subscribe for any investment product.

風險披露聲明：

投資雖可帶來獲利機會，但每種投資工具都有其風險。由於市場瞬息萬變，投資產品之買賣價格升跌及波幅可能非如客戶預期，客戶資金可能因買賣投資產品而有所增加或減少。客戶在作出任何投資決定之前，須評估本身承受風險的意願及能力，並了解有關產品的性質及相關風險。客戶應徵詢獨立財務顧問的專業意見。本問卷僅作為參考之用，藉以協助客戶了解可承受的風險程度及投資需要，並不構成購買或認購任何投資產品的邀請或要約。

**\* Elderly OR Vulnerable Clients (If Applicable) 年長 或 易受損客戶 (如適用)**

Client aged 65 year old or above, or Client's level of education is equal to or below primary school level should invite an independent third party to confirm your understanding and acknowledgement of the contents of this completed form and the above result of Investment Risk Preference Analysis. Such independent third party must be Client's relative/friend aged below 65 or Cathay Securities (Hong Kong) Limited independent licensed person, and must sign in the space indicated below.

客戶 65 歲或以上或客戶的教育程度小學 或以下的客戶應邀請獨立的第三人士參與該客戶以下簽署，並確認明瞭此填妥表格的內容及上述投資風險取向分析結果。此獨立第三人需為客戶 65 歲以下的親戚或朋友或國泰證券(香港)有限公司獨立的香港證監會註冊持牌人士。

如客戶為 65 歲或以上或教育程度在小學或以下，必須由親友陪同

Signature of the independent party 獨立人士簽署: \_\_\_\_\_

Relationship 與客戶關係: \_\_\_\_\_

Name of the independent party 獨立人士姓名: \_\_\_\_\_ ID Number 身份證號碼: \_\_\_\_\_

Signature of Cathay Securities (Hong Kong) Limited Independent Licensed Person  
國泰證券(香港)有限公司獨立的香港證監會註冊持牌人士簽署: \_\_\_\_\_

Name 姓名 \_\_\_\_\_

Phone Recording Time (by Cathay Securities (Hong Kong) Limited Independent Licensed Person)  
錄音時間(由國泰證券(香港)有限公司獨立的香港證監會註冊持牌人士錄音): \_\_\_\_\_

Date 日期: \_\_\_\_\_ Ext 分機: \_\_\_\_\_

**Authorized Signature(s) of Client(s) 客戶授權簽署**

1. I/We confirm that the above result of investment risk preference analysis truly reflect my/our investment preference.  
本人/我們確認上述投資風險取向分析的結果正確反映本人的投資風險取向。

2. I/We understand that the above investment risk preference analysis result will override my/our answer on the Account Opening Form.  
本人/我們明白上述投資風險取向分析的結果將取代本人/吾等於開戶表之答案。

Client's Authorized Signature (s):  
客戶授權簽署:

Joint Client's Authorized Signature(s) (if applicable):  
聯名客戶授權簽署(如適用):

必須由主要客戶簽署

必須由聯名客戶簽署(如有)

Client Name 客戶姓名: \_\_\_\_\_  
Date 日期: \_\_\_\_\_

Joint Client Name 聯名客戶姓名: \_\_\_\_\_

## 國泰證券(香港)有限公司對於個人資料私隱的政策

1. 客戶在申請開立戶口、延續戶口及建立或延續交易或信貸設施或要求國泰證券(香港)有限公司(“國泰證券”)提供金融、證券、商品、衍生產品、投資、信貸、投資者教育及相關服務、產品及設施時，須要不時向國泰證券提供資料。
2. 若客戶未能向國泰證券提供有關資料，可能會導致國泰證券無法開立或延續戶口或建立或延續交易或信貸設施或提供上文第 1 款所述的服務、產品或設施。
3. 在客戶與國泰證券的正常業務往來過程中，國泰證券亦會收集客戶的資料。
4. 客戶的資料可能會(無論在香港或香港以外)用於下列用途：
  - (i) 為客戶提供服務及設施之日常運作；
  - (ii) 作信貸檢查；
  - (iii) 協助其他金融機構作信貸檢查；
  - (iv) 確保客戶的信用維持良好；
  - (v) 為客戶設計上文第 1 款所述的服務、產品或設施；
  - (vi) 宣傳上文第 1 款所述的服務、產品及設施(有關國泰證券使用及提供個人資料作直接促銷的政策載於下文第 6 款)；
  - (vii) 確定國泰證券對客戶或客戶對國泰證券的債務；
  - (viii) 向客戶及為客戶提供擔保或抵押的人士追收欠款；
  - (ix) 根據國泰證券須遵守的法律及/或監管要求或法庭命令作出披露；
  - (x) 遵守任何適用的業界成規；及
  - (xi) 與上述任何項目有關的其他用途。國泰證券可能會不時將客戶的個人資料轉至香港以外的地方作任何上述之用途。
5. 國泰證券會把客戶的相關資料保密，但國泰證券可能會把該等資料提供給以下人士(無論在香港或香港以外)：
  - (i) 任何代理人、承辦商或向國泰證券提供與國泰證券的業務運作有關的行政、電訊、電腦、金融投資、執行交易服務或現金、證券及/或合約結算或交收服務或其他服務的第三者服務供應商；
  - (ii) 任何對國泰證券有保密責任的人，包括但不限於已承諾把該等資料保密的任何國泰證券(香港)有限公司成員；
  - (iii) 任何與客戶已有或建議有交易往來的金融機構或交易商；
  - (iv) 任何信貸資料服務機構及於欠帳時給予收數公司；
  - (v) 任何國泰證券的實在或建議受讓人或參與人或附屬參與人或國泰證券對客戶權利的受讓人；
  - (vi) 任何為客戶的責任提供或建議提供擔保或抵押的人士；及
  - (vii) 在國泰證券必須符合任何司法管轄區的有關法律、法庭指令或監管條例或規則的要求下；任何交易所、實體、代理人、監管或政府機構。通常在此情況下，國泰證券須要遵守保密責任而將不能通知客戶或在徵求客戶的同意後才向上述人士披露有關資料。
6. 在直接促銷中使用資料  
在獲得客戶的同意(包括表示不反對)下，國泰證券可能會把客戶的個人資料作為直接促銷。就此，請注意：
  - (i) 客戶的個人資料，例如：姓名、電話號碼、電郵地址、通信地址、帳戶號碼、產品及服務投資組合信息、交易模式及行為、財務背景及投資目標及經驗等，可能會被使用於直接促銷；
  - (ii) 以下類別的服務、產品、設施及推廣標的可用作促銷：
    1. 金融、證券、商品、衍生產品、投資、信貸、投資者教育及相關服務、產品及設施；
    2. 獎賞、年資獎勵或優惠計劃及相關服務、產品及設施；
    3. 由任何國泰證券(香港)有限公司成員的商業夥伴所提供的服務、產品及設施(該等商業夥伴為提供任何上文第 6(ii)(1)款所述的服務、產品及設施的供應商)；及
    4. 為慈善及/或非牟利目的而作出之捐款及捐贈；
  - (iii) 上述服務、產品、設施及推廣標的可由國泰證券及/或任何下述各方提供或(就捐款及捐贈而言)徵求：
    1. 任何國泰證券(香港)有限公司之成員；
    2. 第三方金融機構及提供任何上文第 6(ii)(1)款所述的服務、產品及設施的供應商；
    3. 第三方獎賞、年資獎勵、聯營或優惠計劃供應商；
    4. 任何國泰證券(香港)有限公司成員的商業夥伴(該等商業夥伴為提供任何上文第 6(ii)(1)款所述的服務、產品及設施的供應商)；及
    5. 慈善或非牟利組織；
  - (iv) 在獲得客戶的書面同意(包括表示不反對)下，國泰證券亦可能會把上文第 6(i)款所述的個人資料提供予上文第 6(iii)款所述的任何人士，以供該等人士在其直接促銷上文第 6(ii)款所述的服務、產品及設施時使用。如國泰證券為得益而向該等人士提供個人資料，以供該等人士用於直接促銷，國泰證券將會以書面形式向有關客戶提供資料。如客戶在作出上文所述的同意後，希望撤回同意，客戶可以書面通知國泰證券，書面通知可郵寄或傳真至載於下文第 10 款的郵寄地址或傳真號碼。此後，國泰證券必須停止使用及提供客戶的個人資料予其他人士作直接促銷用途，費用全免。
7. 在若干情況下客戶可能透過電子途徑(例如互聯網或話音錄音系統)向國泰證券提供個人資料。儘管國泰證券已竭盡所能以確保其系統的保安及可靠性，基於電訊傳送可能出現多種不可預計的情況，電子通訊的可靠性可能受到影響。有見及此，客戶在利用電子媒介傳送個人資料時應倍加留意。
8. 在符合《個人資料(私隱)條例(第 486 章)》(“私隱條例”)之條款情況下，任何個人有權：
  - (i) 查核國泰證券是否持有客戶的資料及查閱有關的資料；
  - (ii) 要求國泰證券更正與該人士有關而不準確的資料；
  - (iii) 查悉國泰證券對處理資料的政策與實務及國泰證券所持有的個人資料的種類。
9. 根據私隱條例的規定，國泰證券有權就處理任何查閱資料的要求收取合理費用。
10. 如欲查詢資料或更正資料或查詢有關政策、實務及資料的種類，請向以下人士提出：  
資料保護專員  
國泰證券(香港)有限公司  
香港中環皇后大道中 29 號華人行 10 樓 1001 室  
電話：(852) 3701-2275  
傳真：(852) 3701-2284
11. 國泰證券可對本私隱政策不時作出修改、修訂或補充。最新的私隱政策可以書面方式向國泰證券索取。
12. 在本私隱政策內，所有提及的「客戶」是包括預期的及現有的客戶。

\*\*注意：如本私隱政策的中英文版本有任何歧義，概以英文版本為準。\*\*

## Policy of Cathay Securities (Hong Kong) Limited on Personal Data Privacy

1. From time to time, it is necessary for customers to supply Cathay Securities (Hong Kong) Limited (“Cathay Securities”) with data in connection with the opening or continuation of accounts and the establishment or continuation of trading or credit facilities or provision of financial, securities, commodities, derivatives, investment, financing, investor education and related services, products and facilities.
2. Failure to supply such data may result in Cathay Securities being unable to open or continue accounts or establish or continue trading or credit facilities or provide the services, products or facilities mentioned in clause 1 above.
3. It is also the case that data are collected from customers in the ordinary course of the continuation of the business relationship between customers and Cathay Securities.
4. The purposes for which data relating to customers may be used (whether within or outside Hong Kong) are as follows:
  - (i) the daily operation of the services and facilities provided to customers;
  - (ii) conducting credit checks;
  - (iii) assisting other financial institutions to conduct credit checks;
  - (iv) ensuring ongoing credit worthiness of customers;
  - (v) designing the services, products or facilities mentioned in clause 1 above for customers' use;
  - (vi) marketing the services, products and facilities mentioned in clause 1 above (Cathay Securities' policy on using or provision of personal data for direct marketing purposes is set out in clause 6 below);
  - (vii) determining the amount of indebtedness owed to or by customers;
  - (viii) collection of amounts outstanding from customers and those providing guarantee or security for customers' obligations;
  - (ix) meeting the requirements to make disclosure under the requirements of any legal and/or regulatory requirements or court orders binding on Cathay Securities;
  - (x) enabling Cathay Securities to comply with any applicable industry practices; and
  - (xi) purposes relating to any of the above.Cathay Securities may from time to time transfer customers' data outside of Hong Kong for any of the above purposes.
5. Data held by Cathay Securities relating to a customer will be kept confidential but Cathay Securities may provide such data to the following parties (whether within or outside Hong Kong):
  - (i) any agent, contractor or third party service provider who provides administrative, telecommunications, computer, financial, trade execution, cash, securities and/or contracts clearing or settlement or other services to Cathay Securities in connection with the operation of its business;
  - (ii) any other person under a duty of confidentiality to Cathay Securities including but not limited to any member of the Cathay Securities (Hong Kong) Limited which has undertaken to keep such information confidential;
  - (iii) any financial institution or dealer with which the customer has or proposes to have dealings;
  - (iv) any credit reference agency and in the event of default, any debt collection agency;
  - (v) any actual or proposed assignee of Cathay Securities or participant or sub-participant or transferee of Cathay Securities' s rights in respect of the customers;
  - (vi) any person providing or proposing to provide guarantee or security for customers' obligations; and
  - (vii) any exchange, entity, agency, regulatory or government body in any jurisdiction if required by law or pursuant to any court orders, rules or regulations to which Cathay Securities is subject. In such cases, Cathay Securities is usually under a duty of secrecy and will not be able to notify a customer or seek his/her consent in relation to such release of information.
6. **USE OF DATA IN DIRECT MARKETING**

Cathay Securities may use a customer's personal data in direct marketing with the customer's consent (which includes an indication of no objection) for that purpose. In this connection, please note that:

  - (i) the customer's personal data such as the customer's name, telephone number, email address, correspondence address, account number, products and services portfolio information, transaction pattern and behaviour, risk profile, financial background and investment objectives and experience may be used by Cathay Securities in direct marketing;
  - (ii) the following classes of services, products, facilities and marketing subjects may be marketed:
    - financial, securities, commodities, derivatives, investment, financing, investor education and related services, products and facilities;
    - reward, loyalty or privileges programmes and related services, products and facilities;
    - services, products and facilities offered by business partners of any member of Cathay Securities (Hong Kong) Limited providing any of the services, products and facilities referred to in clause 6(ii)(1) above; and
    - donations and contributions for charitable and/or non-profit making purposes;
  - (iii) the above services, products, facilities and marketing subjects may be provided or (in the case of donations and contributions) solicited by Cathay Securities and/or any of the following persons:
    - any member of the Cathay Securities (Hong Kong) Limited;
    - third party financial institutions and providers of any of the services, products and facilities referred to in clause 6(ii)(1) above;
    - third party reward, loyalty, co-branding or privileges programme providers;
    - business partners of any member of Cathay Securities (Hong Kong) Limited providing any of the services, products and facilities referred to in clause 6(ii)(1) above; and
    - charitable or non-profit making organizations;
  - (iv) Cathay Securities may, with the customer's written consent (which includes an indication of no objection), also provide the personal data described in clause 6(i) above to any of the persons referred to in clause 6(iii) above for use by any of them in direct marketing of the services, products, facilities and marketing subjects referred to in clause 6(ii) above. If Cathay Securities so provides the personal data to such persons for direct marketing purposes for gain, written information will be given to the relevant customers.

If subsequent to giving a consent described above, a customer wishes to withdraw his/her consent, the customer may notify Cathay Securities in writing by mailing or faxing the written notification to the postal address or fax number provided in clause 10 below. Thereafter, Cathay Securities shall cease to use and provide his/her personal data for direct marketing purposes without any charge.
7. There may be instances where customers elect to provide personal information to Cathay Securities through electronic means (such as Internet or voice recording system). Whilst Cathay Securities generally uses best endeavors to maintain the security and integrity of its systems, due to many unpredictable traffic or other reasons, electronic communication may not be a reliable medium of communication. Customers should take heed of such weaknesses and communicate personal information through electronic devices with caution.
8. Under and in accordance with the terms of the Personal Data (Privacy) Ordinance (Cap. 486) (the "Ordinance"), an individual has the right to:
  - (i) check whether Cathay Securities holds data about him/her and the right of access to such data;
  - (ii) require Cathay Securities to correct any data relating to him/her which is inaccurate; and
  - (iii) ascertain Cathay Securities' s policies and practices in relation to data and to be informed of the kind of personal data held by Cathay Securities.
9. In accordance with the terms of the Ordinance, Cathay Securities has the right to charge a reasonable fee for the processing of any data access request.
10. The person to whom requests for access to data or correction of data or for information regarding policies and practices and kinds of data held are to be addressed as follows:

The Data Protection Officer  
Cathay Securities (Hong Kong) Limited  
Room 1001, 10/F., China Building,  
29 Queen's Road Central, Hong Kong  
Tel : (852) 3701-2275  
Fax : (852) 3701-2284

11. This Policy may be revised, amended or supplemented from time to time by Cathay Securities. The most up-to-date policy can be available from Cathay Securities upon written request.
12. In this Policy, all references to “Cathay Securities” refer to Cathay Securities (Hong Kong) Limited and all references to “Cathay Securities” refer to Cathay Securities together with their respective holding companies, subsidiary companies, associated companies and affiliated companies collectively or individually. All references to “customers” include prospective and existing customers.

\*\*In case of discrepancies between the English and Chinese versions, the English version shall prevail.\*\*