



弘歷環球證券有限公司

Homily Worldwide Securities Company Limited

ACCOUNT OPENING FORM

開戶表格

Individual 個人 / Joint 聯名

Client Name

客戶名稱: _____

Requirements for Account Opening 開戶要求

- | | |
|---|--|
| <p>i. 客戶年滿 18 歲或以上
Applicants must be 18 years old or above</p> <p>ii. 有效之身份證 / 護照副本
Copy of valid ID card or passport</p> <p>iii. 最近三個月內附申請人姓名之住址證明
Public utility bill issued within 3 months
matches with applicant's name</p> | <p>iv. W-8BEN 表格 / W-9 表格 (如適用)
W-8BEN form / W-9 form (if applicable)</p> <p>v. 不少於港幣或等值一萬元, 並與開戶申請表格簽署相同之
個人支票 (如需要)
Personal check no less than HK10,000 or equivalent, with a
signature that matches the signature on the form (if
necessary)</p> <p>vi. 香港投資者識別碼制度及場外證券交易匯報制度下的客
戶同意書
Confirmation of Client Consent under the Hong Kong
Investor Identification Regime (HKIDR) and Over-the-
Counter Securities Transactions Reporting Regime (OTCR)</p> |
|---|--|

HK Securities Cash Account (Default)
香港證券現金帳戶 (預設)

Account Number:
帳戶號碼: _____

HK Securities Margin Account (Optional)
香港證券保證金帳戶 (可選)

Account Number:
帳戶號碼: _____

Assets Management Account (Optional)
資產管理帳戶 (可選)

Account Number:
帳戶號碼: _____

Discretionary Account (Optional)
全權委託帳戶 (可選)

Account Number:
帳戶號碼: _____

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弘歷環球證券有限公司
Homily Worldwide Securities Company Limited

Head Office: Unit 07, 28/F, Wu Chung House, 213 Queen's Road East, Wanchai, Hong Kong
總辦事處：香港灣仔皇后大道東213號胡忠大廈28樓2807室
Tel 電話：(852) 3616 0372 Fax 傳真：(852) 3565 4355
Website 網址：www.homilysec.com

Homily Worldwide Securities Company Limited (the "HWSCL") carries on the business of dealing in securities and advising on investment and is licensed to carry on the following regulated activities: Type 1 (dealing in securities) and Type 4 (advising on securities) under the Securities and Futures Ordinance (CE No. BOC087).
弘歷環球證券有限公司("弘歷證券")經營證券交易及就證券提供意見,並根據證券及期貨條例獲發牌經營以下受規管活動：第一類(證券交易)及第四類(就證券提供意見)(中央編號：BOC087)。

ACCOUNT OPENING FORM 開戶表格
(Individual 個人 / Joint 聯名)

A. ACCOUNT TYPE 帳戶類別

A1. Entity of Client 客戶身份	<input type="checkbox"/> Individual Account 個人帳戶	<input type="checkbox"/> Joint Account 聯名帳戶	
A2. Account Type(s) 帳戶類別	<input type="checkbox"/> HK Securities Cash Account 香港證券現金帳戶	<input type="checkbox"/> Assets Management Account 資產管理帳戶	
	<input type="checkbox"/> HK Securities Margin Account 香港證券保證金帳戶	<input type="checkbox"/> Discretionary Account 全權委託帳戶	
A3. Trading Market 交易市場	<input type="checkbox"/> HK Stocks 港股	<input type="checkbox"/> U.S. Stocks 美股	<input type="checkbox"/> Others 其他: _____
A4. Method of Placing Order 落盤方式	<input type="checkbox"/> By Telephone (Manual) 電話專人落盤	<input type="checkbox"/> By Electronics 電子落盤	

B. CLIENT INFORMATION 客戶資料

Account Holder 帳戶持有人 () (insert the number of client if joint account)

B1. Personal Information 個人資料

Title: Mr. / Mrs. / Ms. / Miss.* (* Please delete if not applicable)
稱謂：先生 / 太太 / 女士 / 小姐 (* 請刪去不適用者)

Name (in English as on ID) Surname 姓氏 First Name 名字
名稱(英文和身分證上一樣)：

Name (in Chinese as on ID) Surname 姓氏 First Name 名字
名稱(中文和身分證上一樣)：

HKID Card / Passport No. Place of Issue
香港身份證 / 護照號碼： 簽發地點：

Nationality / Citizenship
國籍 / 公民身份：

Date of Birth (DD/MM/YYYY) D D / M M / Y Y Y Y Age:
出生日期(日/月/年)： 年齡： _____

Residential Address (P.O. Box not accepted)
住宅地址(不接受郵政信箱)：

Correspondence Address
(P.O. Box not accepted. Fill in Correspondence Address if different from residential address.)
通訊地址(不接受郵政信箱。如與住宅地址不同,須填寫通訊地址。):

Home Tel. No.
住宅電話號碼：

Mobile Phone No.
手提電話號碼：

Email Address
電郵地址：

Fax No.
傳真號碼：

CCASS Investor Account Name & No. (if any) 中央結算投資者戶口名稱及號碼(如有):		
B2. Delivery of Combined Statements/Internet password 結單/網上交易系統密碼寄發		
Combined Statements language 綜合結單語言: <input type="checkbox"/> English 英文 / <input type="checkbox"/> Traditional Chinese 繁體中文 / <input type="checkbox"/> Simplified Chinese 簡體中文		
Method of combined statement collection (please select one) 綜合結單收取方式(請選其一):		
<input type="checkbox"/> By E-mail 電子郵件		
<input type="checkbox"/> By Mail 郵遞 (Monthly Administrative Fee will charge 每月需收取行政費)		
<input type="checkbox"/> Residential Address 住宅地址 <input type="checkbox"/> Correspondence Address 通訊地址		
B3. Educational Level / Employment Status 教育程度 及工作狀況		
Education Level: <input type="checkbox"/> Primary School or Below 小學程度或以下 <input type="checkbox"/> Secondary School graduates 中學畢業 <input type="checkbox"/> Certificate or Diploma 證書或文憑 <input type="checkbox"/> Undergraduate 大學畢業 <input type="checkbox"/> Postgraduate or above 研究生或以上		
Status of work: <input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Unemployed 待業/失業		
工作狀況: <input type="checkbox"/> Housewife 家庭主婦 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Student 學生 <input type="checkbox"/> Others 其他 _____		
Name of Employer 僱主名稱:		Nature of Business 業務性質:
Office Address 公司地址:		
Office Tel. No. 公司電話號碼:	Office Fax No. 公司傳真號碼:	
Position 職位:	Years of Service 服務年資:	
B4. Financial Profile 財務狀況 (港幣)		
Source of Funds / Wealth 資金 / 財富來源 (as required by SFC 就證監會要求): You can choose more than 1 option (可選擇多於一項):		
Periodical Income: <input type="checkbox"/> Income from Earnings 工作收入 <input type="checkbox"/> Business Income 營業收入 <input type="checkbox"/> Investment Dividends 投資股息 <input type="checkbox"/> Spouse/parent 配偶/父母		
定期收入: <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> Pension / Annuity 退休金 / 年金 <input type="checkbox"/> Others (please specify) 其他(請註明): _____		
Lump-sums: <input type="checkbox"/> Personal Savings 個人儲蓄 <input type="checkbox"/> Investment Return 投資收益 <input type="checkbox"/> Inheritance 遺產繼承 <input type="checkbox"/> Gift 餽贈 <input type="checkbox"/> Legal Settlement 訴訟收益		
整體財富: <input type="checkbox"/> Retirement Savings 退休金 <input type="checkbox"/> Insurance Benefits 保險利益 <input type="checkbox"/> Lottery/Gaming 賭博 <input type="checkbox"/> Others (please specify) 其他(請註明): _____		
Annual Income (in HKD\$) 每年收入(以港幣計算):		
<input type="checkbox"/> Less than 少於 \$200,000 <input type="checkbox"/> \$200,000 ~ \$399,999 <input type="checkbox"/> \$400,000 ~ \$599,999 <input type="checkbox"/> \$600,000 ~ \$799,999 <input type="checkbox"/> \$800,000 ~ \$999,999 <input type="checkbox"/> \$1,000,000 or above 或以上		
Liquid Assets (in HKD\$) 流動資產值(以港幣計算):		
<input type="checkbox"/> <\$100,000 <input type="checkbox"/> \$100,000 ~ 500,000 <input type="checkbox"/> 500,001 ~ 1,000,000 <input type="checkbox"/> >\$1,000,001 ~ 1,500,000 <input type="checkbox"/> >\$1,500,001 ~ 3,000,000		
<input type="checkbox"/> >\$3,000,001 ~ 8,000,000 <input type="checkbox"/> >\$8,000,000		
Assets Holdings 持有資產:		
<input type="checkbox"/> Property 房地產 <input type="checkbox"/> Cash 現金 / Deposit 存款 <input type="checkbox"/> Securities 證券 <input type="checkbox"/> Bonds 債券 <input type="checkbox"/> Funds 基金 <input type="checkbox"/> Others (please specify) 其他(請註明): _____		
Approximate net value of my assets (in HKD\$) (including real estates, cash deposits at Bank, shares, bonds, warrants, Funds) 資產淨值約值 (以港幣計算)(包括物業、銀行存款、股票、債券、認股權證、基金)		
<input type="checkbox"/> Less than 少於 \$1,000,000 <input type="checkbox"/> \$1,000,000 ~ \$3,999,999 <input type="checkbox"/> \$4,000,000 ~ \$8,999,999 <input type="checkbox"/> \$9,000,000 ~ \$14,999,999 <input type="checkbox"/> <\$15,000,000~ \$19,999,999		
<input type="checkbox"/> <\$20,000,000~ \$24,999,999 <input type="checkbox"/> More than 多於 \$25,000,000		
B5. Settlement Account Information (for fund withdrawal) 結算帳戶資料 (用作資金提取)		
The Client hereby instructs and authorizes the Company to deposit all payments payable to the Client into the following bank account, within reasonable time. The Company shall not be held liable for any loss, expenses or damages suffered by the Client as a result of any delay in depositing such payment caused by any reason whatsoever. 客戶謹此指示及授權本公司將所有應支付客戶之款項於合理時間內盡快為客戶存入下列之銀行帳戶，本公司不會對延遲存入該款項而令客戶蒙受任何損失承擔任何法律責任。		
Name of Bank Account Holder *A/C holder must bear the same name as this trading account 銀行帳戶持有人名稱 *帳戶名稱必須與交易戶口持有人相同		
Currency 貨幣	Name of Bank 銀行名稱	Account No. 帳戶號碼
HKD 港幣		
USD 美元		
CNY 人民幣		
(if applicable) (如適用)		
Bank Identifier (e.g. SWIFT code*) 銀行識別碼(例如SWIFT)	Bank Address 銀行地址	

B6. Jurisdiction of Residence & TIN Information 居留司法管轄區及稅務編號資料 *

Pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance. Please provide you (and /or the Secondary Joint Account Holder's) Jurisdiction of residence where the account holder(s) is a resident for tax purposes and TIN for each jurisdiction indicated. If a TIN is unavailable, provide an appropriate reason:

Reason A – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

Reason B – TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

Reason C – The account holder is unable to obtain a TIN. (Explain why the account holder is unable to obtain a TIN if you have selected Reason C)

根據《稅務條例》有關交換財務帳戶資料的法律條文，請提供你(及/或聯名帳戶第二持有人)的稅務編號。如沒有提供稅務編號，必須填寫合適的理由：

理由 A – 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

理由 B – 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

理由 C – 帳戶持有人不能取得稅務編號。(如選取理由C，解釋帳戶持有人不能取得稅務編號的原因)

* Please attach and sign Self-Certification Form for additional tax residency if necessary.

如有必要，請另附上自我證明表格並簽署以申報額外的稅務居留權資料。

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e.\$10,000). 警告：根據《稅務條例》第80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第3級(即\$10,000)罰款。

	Tax Country / Area 稅務國家/地區	Taxpayer Identification No. (TIN) 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號， 填寫理由 A、B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選取理由B，請解釋帳戶持有人 不能取得稅務編號的原因
1				
2				
3				

Jurisdiction of Residence

居留司法管轄區 _____

TIN

稅務編號 _____

Enter Reason A, B or C if no TIN is available

如沒有提供稅務編號，填寫理由 A、B 或 C _____

Explain why the account holder is unable to obtain a TIN if you have selected Reason B

如選取理由B，解釋帳戶持有人不能取得稅務編號的原因 _____

B7. Foreign Account Tax Compliance Act "FATCA" 關於海外帳戶稅收合規法案

Are you a US Person within the meaning specified in the Foreign Account Tax Compliance Act ("FATCA") governed by the Internal Revenue Services ("IRS") of United State of America? 您是否符合由美國國稅局(「IRS」)規管，在FATCA定義下所指的美籍人士?

* Please check if you meet any of the following definition of the US Person set out by IRS 請查閱您是否符合以下由IRS對美籍人士的定義)

- US citizen or resident (Green Card holder) 美國公民或居民(綠卡持有人)
- US place of birth於美國境內出生
- US resident or mailing address於美國境內居住或以美國地址為郵寄地址
- US telephone number as contact number以美國電話號碼為聯絡號碼
- Standing instructions to transfer funds to a US based account設有常設授權以劃撥資金予美籍人士
- Power of attorney or signatory authority granted to person with US address; or設有帳戶操作/簽署授權予美籍人士
- In care-of or hold mail address that is sole address of account holder以美國地址以託收信件

Please be reminded that you are responsible for notifying promptly and within the prescribed timeline IRS and us in the case of Change in Circumstances that may affect your FATCA status, such as citizenship/nationality, address, phone number, etc.

請注意如有您需要就任何影響FATCA狀況識別的個人資料更改，例如公民身份/國籍、地址、電話等，適時並於指定時間內通知IRS及我們有關更改。

No (where suitable, please complete Form W-8BEN of IRS) 否 (如適合，請填寫美國國稅局發出之W-8BEN表格)

Yes (where suitable, please complete Form W-9 of IRS) 是 (如適合，請填寫美國國稅局發出之W-9表格)

B8. Confirmation of Jurisdiction of Residence & TIN Information 居留司法管轄區及稅務編號資料確認

I acknowledge and agree that (a) the information contained in B6. Jurisdiction of Residence & TIN Information is collected and may be kept by the HWSCL for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112). And the Client undertake to advise HWSCL of any change in circumstances which affects the tax residency status of the individual identified of this form or causes the information contained herein to become incorrect, and to provide HWSCL with a suitably updated self-certification form within 30 days of such change in circumstances. The Client hereby declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

本人知悉及同意，弘歷證券可根據《稅務條例》(第112章)有關交換財務帳戶資料的法律條文，(a) 收集本表格B5. 居留司法管轄區及稅務編號資料所載資料並可備存作自動交換財務帳戶資料用途及(b) 把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。並就本人承諾，如情況有所改變，以致影響本表格所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知弘歷證券，並會在情況發生改變後30日內，向弘歷證券提交一份已適當更改的自我證明表格。

C. INVESTMENT INFORMATION 投資概況**C1. Investment Purpose 投資目的**

Capital Gain 資本增值 Dividends Income 股息收益 Hedging 對沖 Speculation 投機 Others 其他：_____

C2. Investment Experience and Product Invested 投資經驗及產品 (Can choose more than one 可選多於一項) :

1. How many years of investment experience do you have? 你有多少年投資經驗?

 Nil 沒有 (please mark none/no till C3) 1-5 years 年 6-10 years 年 >10 years 年

Years of investing experience for

關於

Shares 股票	CBBC 牛熊證	Futures 期貨	Warrants 衍生權證 (窩輪)	Options 期權	Unit Trusts or Bonds 單位託基金或債券	Structured Product 結構性產品	ETFs 交易所買賣基金	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	None (無)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Less than one year (少於1年)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Between 2 and 3 years (2至3年)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Between 4 and 5 years (4至5年)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Between 6 and 10 years (6至10年)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	More than 10 years (10年以上)

Others 其他 (please describe 請描述): _____ None (無) Less than one year (少於1年) Between 2 and 3 years (2至3年)

Between 4 and 5 years (4至5年) Between 6 and 10 years (6至10年) More than 10 years (10年以上)

[If any experience in CBBC, Warrants, Futures, Options, Structured product, or ETFs, ASK the following question. Otherwise, click "NO" for the question.]

Have you executed five or more transactions in derivatives products e.g. derivatives, warrants, callable bull/bear contracts, stock options, futures, commodities, structured products or ETFs within the past 3 years? 你於過去三年，曾否執行五次或以上有關衍生產品的交易，例如：衍生權證、牛熊證、股票期權、期貨、商品、結構性產品或交易所買賣基金等?

 No (No need to ask C3_3) Yes 是 (No need to ask C3_4)**C3. Client's Knowledge of Derivative Products 客戶對衍生產品的認識**

Have you undergone relevant training or attended relevant courses on investment products (securities, derivatives)?

你曾否接受有關股票及衍生產品的培訓或修讀相關課程?

 No 否 (skip CS3_1) Yes 是 please describe 請描述: _____

Do you have current or previous working experiences related to securities and derivatives products?

你曾否擁有與衍生產品有關的工作經驗?

 No 否 (skip CS3_2) Yes 是 please describe 請描述: _____

The Client acknowledges and understands the Company will assess whether the Client has adequate knowledge on derivative products according to the information the Client provided. 客戶知悉及明白本公司將根據資料以評估客戶是否對衍生工具產品有認識。

<input type="checkbox"/>	1. The Client underwent training or attended courses on derivative products 客戶曾接受有關衍生產品的培訓或修讀相關課程。 <input type="checkbox"/> Regulatory Authority 監管機構 <input type="checkbox"/> Exchange 交易所 <input type="checkbox"/> Education Institution 進修學院 <input type="checkbox"/> Financial Institution 金融機構
<input type="checkbox"/>	2. The Client has current or previous work experience related to derivative products. 客戶現時或過去擁有與衍生產品有關的工作經驗。 <input type="checkbox"/> Regulated Licensed Person 受監管持牌人士 <input type="checkbox"/> Management 管理層 <input type="checkbox"/> Derivatives Related Back Office 與衍生工具相關後勤
<input type="checkbox"/>	3. The Client has executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, Commodities, Structured Products, or Exchange Traded Funds, etc. 客戶於過去3年曾執行5次或以上有關衍生產品的交易，例如：衍生權證、牛熊證、股票期權、期貨或期權、商品、結構性產品及交易所買賣基金等。
<input type="checkbox"/>	4. I do not have the above experience and/or knowledge on derivative product(s), but I confirm that I fully read, agreed and understood the relevant risks of the derivative product(s). I understand that I have to acquire enough understanding on derivative product(s) before trading them and I fully accept all relevant risks. 本人並沒有上述經驗，但已細閱、同意及明白所有關於衍生產品的風險聲明，本人明白於買賣有關衍生產品前必須先具備足夠的認識，並願意接受一切有關的風險。

C4. Investment Budget 投資預算

Anticipated number of trades per month? 預計每月交易次數? _____

Anticipated amount of trade volume per month? 預計每月交易總額? HK\$ _____

What percentage of your yearly income is available for investment 你的投資金額佔你的每年收入百分比? <10% 10%-20% 21% - 30% > 30%**C5. Risk Profile Questionnaire 風險評估問卷**

Q1. What is your estimated amount of trades volume in the past 12 months? 請問閣下過去一年的總投資金額為何?

- None (無) (0)
- Less than HK\$50,000 (少於港幣 \$50,000) (2)
- Between HK\$50,000 and HK\$149,999 (港幣 50,000 至港幣 \$149,999) (3)
- Between HK\$150,000 and HK\$499,999 (港幣 \$150,000 至港幣 \$499,999) (4)
- Between HK\$500,000 and HK\$999,999 (港幣 \$500,000 至港幣 \$999,999) (5)
- Between HK\$1,000,000 and HK\$7,999,999 (港幣 \$1,000,000 至港幣 \$7,999,999) (6)
- HK\$8,000,000 or more (港幣 \$8,000,000 或以上) (7)

Q2. How many dependents do you have (including spouse, children, or parents) 你所需要供養人數(包括配偶, 子女或父母)?

- None 無 (4) 1-2 人 (3)
- 3-4 人 (2) more than 4 多於四人 (1)

Q12: In which age group do you fall into? 請問閣下的年齡區間?

Age Between 18 and 35 (18 至 35 歲) (3)

Age Between 36 and 50 (36 至 50 歲) (4)

Age Between 51 and 65 (51 至 65 歲) (2)

Age over 65 (65 歲或以上) (1)

Q13. Education Level: Primary School or Below(1) Secondary School graduates (2) Certificate or Diploma (3) Undergraduate (3) Post-graduate or above(4)

學歷程度: (copy from above) 小學程度或以下 中學畢業 證書或文憑 大學畢業 研究生或以上

Q14. Annual Income (in HKD\$) 每年收入(以港幣計算): (Copy from above)

Less than 少於 \$200,000 (1) \$200,000 ~ \$399,999 (2) \$400,000 ~ \$599,999 (3) \$600,000 ~ \$799,999 (4) \$800,000 ~ \$999,999 (5)

More than 多於 \$1,000,000 (6)

Q15. How many years of investment experience do you have? 你有多少年投資經驗? (Copy from above)

Nil 沒有 (1) 1-5 years 年 (2) 6-10 years 年 (3) >10 years 年 (4)

Q16. What percentage of your yearly income is available for investment 你的投資金額佔你的每年收入百分比? (Copy from above)

<10% (1) 10%-20% (2) 21% - 30% (3) > 30% (4)

Q17. Approximate net value of my assets (in HKD\$) (including real estates, cash deposits at Bank, shares, bonds, warrants, Funds) 資產淨值約值 (以港幣計算) (包括物業、銀行存款、股票、債券、認股權證、基金) (Copy from above)

Less than 少於 \$1,000,000 (1) \$1,000,000 ~ \$3,999,999 (2) \$4,000,000 ~ \$8,999,999 (3) <\$9,000,000~ \$14,999,999 (4) <\$15,000,000~ \$19,999,999 (5)

<\$20,000,000~ \$24,999,999 (6) >\$25,000,000 (7)

Years of investing experience for 關於 投資經驗年期 (Check the C2 answer and pick the right group.)

Shares Q18 股票	CBBC Q19 牛熊證	Futures Q20 期貨	Warrants Q21 衍生權證 (窩輪)	Options Q22 期權	Unit Trusts or Bonds Q23 單位託基金或債券	Structured Product Q24 結構性產品	ETFs Q25 交易所買賣基金
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> None (無) (0)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Less than one year (少於 1 年) (1)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Between 2 and 3 years (2 至 3 年) (2)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Between 4 and 5 years (4 至 5 年) (3)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Between 6 and 10 years (6 至 10 年) (4)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> More than 10 years (10 年以上) (5)

Q26. Have you undergone relevant training or attended relevant courses on investment products (securities, derivatives)? (Copy from C3)

你曾否接受有關股票及衍生產品的培訓或修讀相關課程? No (0) Yes (2)

Q27. Do you have current or previous working experiences related to securities and derivatives products? (Copy from C3)

你曾否擁有與衍生產品有關的工作經驗? No (0) Yes (3),

Please be noted that the above questionnaire and your answer will be assessed only for the purpose of determining your investment risk profile. Nothing contained therein should be constructed as authorizing or instructing Homily Worldwide Securities Company Limited (named below "HWSCL") in any way. The questionnaire's references to expected returns and potential losses are for illustrative purposes only. They may not be constructed as indicating that the adoption of a specific risk appetite may correspond to a specific level of return or loss, nor may they be constructed as an expression of guarantee of any actual investment result in any way.

請注意以上問卷及答案僅用於評估閣下的投資風險屬性。當中的任何陳述或選擇均不得視為弘歷環球證券有限公司(下稱「弘歷證券」)做出任何特定授權或指示。問卷內所提及目標回報率或虧損亦僅作為說明用途，並不代表選擇任何特定風險會取得相對應回報，或預期虧損限制在所指定範圍，亦不保證與實際投資的結果相符。

C6. Classification of Customer Investment Risk Profiles 客戶投資風險屬性分類

[1 + 2 + 3 + 4 + 5 + 6 + 7 + 8 + 9 + 10 + 11 + 12 + 13 + 14 + 15 + 16 + 17 + 18 + 29 + 20 + 21 + 22 + 23 + 24 + 25 + 26 + 27] (Display the score of above questions)

[Total Score = Calculate the sum of above scores.]

According to your answers in the questionnaire above, your total score is _____.

根據閣下對以上問卷的答案，依照您的回答總計得分為 _____。

Here are the scores of your answer above, HWSCL will inform your total score after accepting the account opening. (Only for online account opening)

這是上面每個答案的分數，弘歷證券將在接受開戶後告知您的總分數。(Only for online account opening)

(Note: In case the client is 65 or over, the risk tolerance level should be classified as Conservative disregarding his/her score above. (display 1. Conservative ONLY for the following classification) 如客戶年齡是 65 歲或以上，不論其總分如何，其風險承受能力應設定為保守型。)

Please refer to the "Description of Client Investment Suitability Classification". Your investment risk profile is classified as:

您可參照「客戶投資屬性分類的說明」。弘歷證券僅將您的投資風險屬性分類如下:

1. Conservative 保守型 2. Balanced 平衡型 or 或 3. Aggressive 進取型

I confirm that I understand and agree with the result of this Risk Profile Questionnaire.

本人確認本人明白及同意於此風險承擔能力問卷之結果

Despite the score, I would like to be: Conservative Balanced Aggressive, and understand and agree with the risk level.

儘管分數如何，本人欲歸類至: 保守型 平衡型 進取型，並確認本人明白及同意於此風險承擔能力水平

I disagree to the classification abovementioned, and would like to be: Conservative Balanced Aggressive, and understand and agree with the risk level.

本人不同意上述投資風險屬性歸類，本人欲重新歸類至: 保守型 平衡型 進取型，並確認本人明白及同意於此風險承擔能力水平

C7. Description of Client Investment Suitability Classification 客戶投資屬性分類的說明

Total score 得分	Risk tolerance level 風險承受能力	Investment risk profiles 投資取向	Recommended risk level of investment products 建議投資產品風險水平
<35	Conservative 保守型	You can bear low level of investment risks with a main concern of principal protection. 閣下能承受的投資風險極低，最關注保本。	LOW 低風險
35-74	Balanced 平衡型	You can bear medium level of investment risks. You expect a balanced portfolio among principal protection, fixed interest and capital gain. 閣下能承受中度投資風險。閣下期望組合在保本、定息與資本收益間取得平衡。 均衡分配不同類別資產的投資組合可能適合閣下考慮。	MEDIUM 中風險
>74	Aggressive 積極型	You can bear very high risks. You are looking for adventurous and speculative investment products. Even so, you are suggested to strictly execute stop-loss and limit selling price investment principles to achieve your goal. 閣下能承受高度風險。閣下物色進取及投機的投資產品。 即使如此，建議閣下嚴格執行止蝕及止賺價的投資準則，以實現閣下的目標。	HIGH 高風險

Please be noted that your investments with HWSCL will be restricted to the eligible products applied to your assigned risk profile as indicated in the table above unless you chose to opt out of the assigned risk profile. You may opt out of the assigned risk profile by either (1) signing the client declaration in Section G, whether simultaneous to or

after entering into this document, or (2) filling in another "Risk Profile Questionnaire" to change the assigned risk profile stated herein.

請注意，除非閣下再次更新您的風險屬性，否則閣下於弘歷環球證券有限公司的投資將僅限於上表符合閣下風險屬性之商品範圍內。閣下如欲交易您 風險承受能力以外的商品，可以選擇立即或於日後任何時間簽署本頁下方客戶聲明書，或重新填寫本問卷以更新您的風險屬性。

Investment involves risks. Investors should note that value of investments can go down as well as up and past performance is not necessarily indicative of future performance. This document does not and is not intended to identify all of the risks that may be involved in the products or investments referred to in this document. Investors must make investment decisions in light of their own investment objectives, financial position and particular needs and where necessary consult their own professional advisers before making any investment. Investors should read and fully understand all the offering documents relating to such products or investments and all the risk disclosure statements and risk warnings therein before making any investment decisions.

投資涉及風險。投資者應注意，投資的價值可跌亦可升，過往的表現不一定可以預示日後的表現。本文件並非，亦無意總覽本文件所述產品或投資可能牽涉的所有風險。投資者須基於本身的投資目標、財政狀況及特定需要而作出投資決定；在有需要的情况下，應於作出任何投資前諮詢獨立專業顧問。於作出任何投資決定前，投資者應細閱及了解有關該等產品或投資的所有發售文件，以及其中所載的風險披露聲明及風險警告。

C8. Risk Disclosure Statements 風險披露聲明

1. 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。

2. 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.

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况下在創業板上市。創業板股份可能非常波動及流通性很低。

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.

你只應在審慎及仔細考慮後，才作出有關的投資決定。創業板市場的較高風險性質及其他特點，意味著這個市場較適合專業及其他熟悉投資技巧的投資者。

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 gazette newspapers.

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。

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.

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

3. Risk of Providing an Authority to Repledge Your Securities Collateral etc. 提供將你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.

向持牌人或註冊人提供授權書，容許其按照某份證券借貸協議書使用你的證券或證券抵押品、將你的證券抵押品再質押以取得財務通融，或將你的證券抵押品存放為用以履行及清償其交收責任及債務的抵押品，存在一定風險。

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.

假如你的證券或證券抵押品是由持牌人或註冊人在香港收取或持有的，則上述安排僅限於你已就此給予書面同意的情况下方有效。此外，除非你是專業投資者，你的授權書必須指明有效期，而該有效期不得超過 12 個月。若你是專業投資者，則有關限制並不適用。

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.

此外，假如你的持牌人或註冊人在有關授權的期限屆滿前最少 14 日向你發出有關授權將被視為已續期的提示，而你對於在有關授權的期限屆滿前以此方式將該授權延續不表示反對，則你的授權將會在沒有你的書面同意下被視為已續期。

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.

現時並無任何法例規定你必須簽署這些授權書。然而，持牌人或註冊人可能需要授權書，以便例如向你提供保證金貸款或獲准將你的證券或證券抵押品借出予第三方或作為抵押品存放於第三方。有關持牌人或註冊人應向你闡釋將為何種目的而使用授權書。

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.

倘若你簽署授權書，而你的證券或證券抵押品已借出予或存放於第三方，該等第三方將對你的證券或證券抵押品具有留置權或作出押記。雖然有關持牌人或註冊人根據你的授權書而借出或存放屬於你的證券或證券抵押品須對你負責，但上述持牌人或註冊人的違責行為可能會導致你損失你的證券或證券抵押品。

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.

大多數持牌人或註冊人均提供不涉及證券借貸的現金帳戶。假如你毋需使用保證金貸款，或不希望本身證券或證券抵押品被借出或遭抵押，則切勿簽署上述的授權書，並應要求開立該等現金帳戶。

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

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

5. 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—美國證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—美國證券交易所試驗計劃（“試驗計劃”）掛牌買賣的證券是為熟悉投資技巧的投資者而設的。你在買賣該項試驗計劃的證券之前，應先諮詢有關持牌人或註冊人的意見和熟悉該項試驗計劃。你應知悉，按照該項試驗計劃掛牌買賣的證券並非以香港聯合交易所有限公司的主板或創業板作第一或第二上市的證券類別加以監管。

6. Currency Risks 貨幣風險

The profit or loss in Transactions in foreign currency-denominated contracts (whether they are traded in your own or another jurisdiction) will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.

以外幣計值合約的交易所帶來的利潤或招致的虧損（不論交易是在你本身所在的司法管轄區還是在其他司法管轄區進行），均會在需要將合約的單位貨幣兌換成另一種貨幣時受到匯率波動的影響。

7. Transaction in Other Jurisdictions 在其他司法管轄區進行交易

Transactions on markets in other jurisdictions, including markets formally linked to a domestic market, may expose you to additional risk. Such markets may be subject to regulation which may offer different or diminished investor protection. Before you trade you should enquire about any rules relevant to your particular transactions. Your local regulatory authority will be unable to compel the enforcement of the rules of regulatory authorities or markets in other jurisdictions where your transactions have been effected. You should ask HWSCL with which you deal for details about the types of redress available in both your home jurisdiction and other relevant jurisdictions before you start to trade.

在其他司法管轄區的市場(包括與本地市場有正式連繫的市場)進行交易，或會涉及額外的風險。根據這些市場的規例，投資者享有的保障程度可能有所不同，甚或有所下降。在進行交易前，你應先行查明有關你將進行的該項交易的所有規則。你本身所在地的監管機構，將不能迫使你已執行的交易所在地的所屬司法管轄區的監管機構或市場執行有關的規則。有鑑於此，在進行交易之前，你應先向弘利環球查詢你本身地區所屬的司法管轄區及其他司法管轄區可提供哪種補救措施及有關詳情。

8. Risk of Trading U.S. Exchange-listed or Over-the-Counter (OTC) Securities or Derivatives

投資美國交易所上市或場外交易證券或美國衍生工具的風險

You should understand the U.S. rules applicable to trades in security or security-like instrument in markets governed by the U.S. law before undertaking any such trading. U.S. law could apply to trading in U.S. markets irrespective of the law applicable in your home jurisdiction.

閣下在投資任何受美國法律規管市場的證券或證券相類的工具前，應先瞭解適用於該等交易的美國規例。美國法律通常適用於美國市場交易，無論客戶所屬的國家法律是否亦同時適用。

Many (but by no means all) stocks, bonds and options are listed and traded on U.S. stock exchanges. NASDAQ, which used to be an OTC market among dealers, has now also become a U.S. exchange. For exchange-listed stocks, bonds and options, each exchange promulgates rules that supplement the rules of the U.S. Securities & Exchange Commission ("SEC") for the protection of individuals and institutions trading in the securities listed on the exchange.

有眾多（但此非指全部）股票債券及期權均在美國證券交易所掛牌及交易。納斯達克以往是交易商之間的場外交易市場現亦已成為一家美國交易所。就在交易所上市的股票債券及期權而言每家交易所會發有補充美國證券交易委員會規例的規例以保障在該交易所進行買賣證券的個人及機構。

OTC trading among dealers can continue in exchange-listed instruments and in instruments that are not exchange-listed at all. For securities that are not listed on any exchange, trading can continue through the OTC bulletin board or through the inter-dealer "pink sheets" that carry representative (not actual) dealer quotes. These facilities are outside of NASDAQ.

交易商可以繼續利用交易所掛牌或非交易所掛牌的工具進行場外交易。就未有在交易所掛牌的證券，其交易可以透過在場外電子交易板或載有代理（非真正的）交易商報價之交易商之間的粉紅價單進行。這些交易設施是在納斯達克以外設置。

Options on securities are subject to SEC rules and the rules of any securities exchange on which the options are listed. Options on futures contracts on commodities like wheat or gold are governed by rules of the U.S. Commodity Futures Trading Commission ("CFTC"). There are also commercial options, like options on real estate, that are governed neither by SEC nor CFTC rules.

證券期權受美國證券交易委員會及該期權掛牌的證券交易所之規例管轄。期貨合約或商品例如小麥或黃金的期權受美國商品期貨交易委員會之規例管轄。商業期權例如房地產期權則不受美國證券交易委員會或美國商品期貨交易委員會之規則限制。

Whether you are intending to trade in U.S. exchange-listed securities, OTC securities or derivatives, you should understand the particular rules that govern the market in which you are intending trade. An investment in any of these instruments tends to increase the risk and the nature of markets in derivatives tends to increase the risk even further.

無論閣下意欲投資在美國交易所掛牌的證券、場外交易證券或衍生工具（如期權或期貨），客戶應瞭解監管擬進行交易之市場的有關規例。投資於沒有須在交易所掛牌要求的衍生工具會傾向使風險增加及衍生工具市場的性質傾向使風險進一步增加。

Market makers of OTC bulletin board are unable to use electronic means to interact with other dealers to execute trades. They must manually interact with the market, i.e. use standard phone lines to communicate with other dealers to execute trades. This may cause delays in the time it takes to interact with the marketplace. This, if coupled with increase in trade volume, may lead to wide price fluctuation in OTC bulletin board securities as well as lengthy delays in execution time. You should exercise extreme caution when placing market orders and fully understand the risks associated with trading in OTC bulletin board.

場外電子交易板的莊家不能使用電子媒介與其他交易商溝通以執行交易。他們必須以手動方式與市場溝通，即使用標準電話線與其他交易商溝通以執行交易，此舉可能會引致延遲與市場溝通。若在同時交易量增加，可引致場外電子交易板的證券價格波幅擴大及遲延延長執行時間。客戶在市場落盤時應加倍審慎，並完全了解有關場外電子交易板交易的風險。

Market data such as quotes, volume and market size may or may not be as up-to-date as expected with NASDAQ or listed securities.

市場數據如報價，交易量及市場大小可能未必與納斯達克或掛牌證券預期一般一樣保持現況更新。

As there may be far fewer market makers participating in OTC securities markets, the liquidity in that security may be significantly less than those in listed markets. As such, you may receive a partial execution or the order may not be executed at all. Additionally, the price received on a market order may be significantly different from the price quoted at the time of order entry. When fewer shares of a given security are being traded, larger spreads between bid and ask prices and volatile swings in price may result. In some cases, the liquidation of a position in an OTC security may not be possible within a reasonable period of time.

因參與場外證券市場的莊家數目可能較少，該證券的流通量可能大幅較在市場掛牌證券的流通量低。因此，閣下的指示可能只獲部分執行，甚至全部不獲執行。此外，市場落盤所收到的價格可能與輸入買賣盤時的報價有明顯的不同。當某一證券的股份交易減少，可引致賣出/買入價的差距增加及造成價格波動。在某些情況下，未必能在合理時間內為場外證券平倉。

Issuers of OTC securities have no duty to provide any information to investors, maintain registration with the SEC or provide regular reports to investors.

場外交易證券的發行商並無責任向投資者提供資訊、與證券交易委員會維持登記或向投資者提供定期報告。

- I acknowledge that HWSCL has provided a copy of the Client Agreement and Risk Disclosure Statement in my selected language. I have carefully read and understood, expressly agreed and accepted as evidence by my signature(s) below, to each and all the terms and provisions contained in the Client Agreement for Securities Trading. I accept and agree to be bound by the Agreement as the same may be amended from time to time. I also acknowledge that I have been invited to ask questions about the relevant laws and regulations, commission and fees schedules as well as the Risk Disclosure Statements of the Client Agreement for Securities Trading. I am satisfied with the explanations and clarifications provided. I hereby declare that I am willing and capable of fulfilling the duties and obligations as specified in the Client Agreement for Securities Trading.

本人確認弘歷證券已按本人選擇的語言提供了客戶協議書及風險披露聲明之副本。本人的以下簽名表明已仔細審閱及理解、完全同意並接受此證券交易客戶協議書全部內容、條款和細節。本人接受並同意受可不時被修改的該協議書之條款所約束。本人並在此聲明及確認本人有被邀請詢問有關法律法規、佣金費用和此證券交易客戶協議書有關風險披露聲明等問題。本人充分理解相關問題的解釋和說明，本人有能力並願意履行承擔此證券交易客戶協議書規定的權利和義務。

I have carefully considered the Risk Disclosure Statements and recognize that trading in securities and/or futures involves a high degree of risks. Considering my financial position and investment objectives, I confirm that I shall make my own independent judgment and decision with respect to each instruction or transaction and assume full responsibility for all transactions in my account and for my investment decisions.

本人已仔細考慮風險披露聲明及了解進行證券及/或期貨買賣所涉及之高风险。考慮到本人的財務狀況和投資目標，本人確認會自行獨立判斷及決定而作出各個指示或交易，亦會承擔該帳戶的一切交易及本人投資決定的全部責任。

D. DECLARATION 聲明

D1. Identity Declaration 身份聲明

D1.1. Does the Client have any relationship with the director(s) or employee(s) of the Company or their respective associated companies?

客戶是否與弘歷證券或其各自之聯營公司之董事或僱員有任何關係?

No 否

Yes, the Client has the following relationship with the director(s) or employee(s) of the Company or its associated companies:

是，客戶與弘歷證券或其聯營公司之董事或僱員有以下關係：

Name of shareholder/director/employee 股東/董事/僱員姓名: _____ Relationship 關係: _____

D1.2. Is the Client a director or an employee or an accredited person of any exchange participant of the Hong Kong Exchange or any licensed or registered person of the Securities and Futures Commission?

客戶是否香港交易所之交易所參與者或證監會之持牌人或註冊人之董事、僱員或認可人士？

No 否

Yes, the Client is a director or an employee or an accredited person of the following exchange participant of the Hong Kong Exchange or licensed or registered person of the Securities and Futures Commission: (Please provide details)

是，客戶為以下香港交易所之交易所參與者或證監會之持牌人或註冊人之董事、僱員或認可人士：(請詳述)

Licensed Corporation/Registered Institution Name 持牌法團/註冊機構名稱: _____

CE No. 中央編號: _____

(Please provide employer's consent letter 請提供僱主之書面同意)

D1.3. Are you a major shareholder / director / senior manager of any (listed) company whose shares are traded on an exchange or market?

閣下是否任何其股份在交易所或市場買賣的(上市)公司之主要股東 / 董事 / 高級管理人員?

No 否

Yes, Company Name 公司名稱: _____ Stock Code 上市編號: _____

D1.4. Are you, your spouse, child, or parent entrusted or has been entrusted with a prominent public function, which includes a head of state, head of government, judicial or military official, senior executive of a state-owned corporation and an important political party official?

閣下、配偶、子女或父母，是否擔任重要公職，包括國家元首、政府首長、司法或軍事官員、國有企業高級行政人員及重要政黨幹事？

No 否

Yes, please specify 是，請說明：

Name of PEP 政治人物 姓名: _____ Relationship 關係: _____

D1.5. Are you acting as an intermediary for the account? 閣下是否以中介人身份操作帳戶？

No 否

Yes, Name of ultimate beneficial owner(s) 戶口最終權益擁有人名稱: _____

Nationality 國籍: _____ ID/Passport No. 身份證/護照號碼: _____ Phone No. 電話號碼: _____

D1.6. Have you been arrested/tried/sentenced/disciplined for illegal activities or violating regulatory requirements? 閣下是否曾經涉及違法或違反監管守則而被捕/受審/被判刑/被紀律處分？

No 否

Yes, please specify 是，請說明: _____

D2. Related Margin Financing Account(s) 相關保證金融資帳戶 (For Securities Account (Margin) only 只適用於證券帳戶(保證金))

D2.1. Does the spouse of the Client have a margin account with the Company?

客戶的配偶是否持有弘歷證券的保證金帳戶？

No 否

Yes (please specify) 是 (請詳述): Name of the Spouse 配偶姓名: _____

Margin Account No 帳戶號碼: _____

D2.2. Does the Client, either alone or with his/her spouse, is/are in control of 35% or more of the voting rights of another margin client of the Company?

客戶是否單獨或與配偶共同控制弘歷證券其他保證金帳戶持有人35%或以上之表決權？

No 否

Yes (please specify) 是 (請詳述): Company Name 公司名稱: _____

Margin Account No 帳戶號碼: _____

D2.3. Does the Client have a margin account opened by a member of the same group of companies of the Client?

客戶是否擁有由客戶的同一組公司的成員開立的保證金帳戶？

No 否

Yes (please specify) 是 (請詳述):

Company Name 公司名稱: _____ Margin Account No 帳戶號碼: _____

D3. Other Information 其他資料

D3.1. How do you learn about HWSCL? 閣下是從哪些途徑認識弘歷環球證券有限公司？

Friends 朋友 Relatives 親戚 Website 網頁 Homily Group 弘歷集團 Others 其他 - Please specify 請列明 _____

[Ask if D3.1. click Homily Group 若D3.1. 選擇弘歷集團, 問]

D3.2. Are you a Homily Link Member? 你是 Homily Link 會員嗎？

No 否 (skip to next section) Yes, 是. Membership number 會員號碼: _____

D3.3. Are you a member of "Driving School" Program? 您是駕校計畫的成員嗎？

No 否 (skip to next section) Yes, 是. "Driving School" Program Membership number 駕校計畫成員號碼: _____

I confirm that I understand and agree that HWSCL transfers my transaction journal to HK Homily Co. Ltd until further notice.

本人確認本人明白及同意弘歷證券將本人此帳戶的交易日誌轉移到香港弘曆有限公司直至另行通知。

E. CLIENT'S DECLARATION, CONFIRMATION AND AGREEMENT 客戶聲明、確認及協定

- I, _____, hereby declare that I am the only party who has the ultimate interests in the account and the information given in this form is true and correct and have not willfully withheld any material fact(s). I understand that HWSCL may require additional information or documentary proof as to the information provided in this form. I understand that my submission of this form and the acceptance of this form by the HWSCL in no way implies approval for the account opening and the HWSCL reserves the right to reject the application.
本人 _____ 謹此聲明本人為帳戶的最終實益擁有人，表格上提供之所有資料均為真實及正確，並未刻意隱瞞任何重要事實。除上述提供的資料外，本人清楚弘歷證券會要求提供更多相關的資料或證明文件。本人明白遞交此表格及接納此表格並非表示弘歷證券同意開立帳戶，並清楚弘歷證券保留拒絕開戶申請之權力。
- I request the HWSCL to open a Securities Trading Account ("the Account") and agree to abide by the rules and regulations of The Stock Exchange of Hong Kong Limited ("SEHK") or any other regulatory body as amended from time to time governing the purchase and sale of securities quoted on the SEHK or any other stock exchanges.
本人向弘歷證券申請開立證券買賣帳戶並同意遵守香港交易所及其他監管機構不時修訂以監管於香港交易所或其他交易所進行證券買賣之條例及規則。
- I acknowledge that HWSCL has provided a copy of the Client Agreement and Risk Disclosure Statement in my selected language. I have carefully read and understood, expressly agreed and accepted as evidence by my signature(s) below, to each and all the terms and provisions contained in the Client Agreement for Securities Trading. I accept and agree to be bound by the Agreement as the same may be amended from time to time. I also acknowledge that I have been invited to ask questions about the relevant laws and regulations, commission and fees schedules as well as the Risk Disclosure Statements of the Client Agreement for Securities Trading. I am satisfied with the explanations and clarifications provided. I hereby declare that I am willing and capable of fulfilling the duties and obligations as specified in the Client Agreement for Securities Trading.
本人確認弘歷證券已按本人選擇的語言提供了客戶協議書及風險披露聲明之副本。本人的以下簽名表明已仔細審閱及理解、完全同意並接受此證券交易客戶協議書全部內容、條款和細節。本人接受並同意受可不被修改的該協議書之條款所約束。本人並在此聲明及確認本人有被邀請詢問有關法律法規、佣金費用和此證券交易客戶協議書有關風險披露聲明等問題。本人充分理解相關問題的解釋和說明，本人有能力並願意履行承擔此證券交易客戶協議書規定的權利和義務。
- I have carefully considered the Risk Disclosure Statements and recognize that trading in securities involves a high degree of risks. Considering my financial position and investment objectives, I confirm that I shall make my own independent judgment and decision with respect to each instruction or transaction and assume full responsibility for all transactions in my account and for my investment decisions.
本人已仔細考慮風險披露聲明及了解進行證券期貨買賣所涉及之高風險。考慮到本人的財務狀況和投資目標，本人確認會自行獨立判斷及決定而作出各個指示或交易，亦會承擔該帳戶的一切交易及本人投資決定的全部責任。
- I acknowledge that HWSCL ONLY accepts cheque or bank transfer in my payee's name and does not accept third-party withdrawal instructions.
本人確認弘歷證券只接受以本人付款人姓名的支票或銀行轉帳及不接受第三者提款指示。

For Joint Account - We declare and confirm that each of the account holders may give instructions (including fund withdrawal), unless otherwise specified in "Signing Arrangement" section of this Account Opening Form or notified in writing signed by all of us to the Broker.

適用於聯名帳戶 - 除非於此開戶申請書內之“簽名安排”部份說明，或經紀商獲得所有帳戶持有人以書面通知而另有安排，吾等聲明及確認每一帳戶持有人均可給予指示（包括資金提取）。

For Margin Account - I have read and understood the content of the Authorization for Client Securities (as per Appendix 1), i.e. the "Standing Authority" for Margin Account and am aware of the relevant risks in providing HWSCL with such authority. I understand that such authority will be renewed annually under the regulatory requirement and agree to be bound by its terms.

適用於保證金帳戶 - 本人已閱讀及明白於附件一之「客戶證券授權書」的內容，即就保證金帳戶作出的“常設授權”，同時亦了解其相關的風險就所作出的授權。本人明白此授權會按照監管要求下每年續期，並同意接受該授權書內的條款所約束。

For Multiple Accounts - I have read and understood the content of the Authorization for Client Money (as per Appendix 2), i.e. the "Standing Authority" for fund transfers between 2 or more trading accounts. I understand that such authority will be renewed annually under the regulatory requirement and agree to be bound by its terms.

適用於多個帳戶 - 本人已閱讀及明白於附件二之「客戶款項授權書」的內容，即就多個帳戶作出的“常設授權”，以利便本人於其兩個或以上的交易帳戶內作資金調配。本人明白此授權會按照監管要求下每年續期，並同意接受該授權書內的條款所約束。

For Electronic Trading - I/We have requested and authorized HWSCL to generate and (if applicable) re-generate and deliver my/our password(s) for electronic trading by way of email to me/us at my/our email address(es) provided in the account application. I/We have read and understood, and agree to, the content of the Authorization for Password Delivery by E-mail (as per Appendix 3). I/We have sought, or have had the opportunity to seek, independent legal advice concerning the content and effect of such authorization and agree to solely bear the risks associated with.

適用於電子交易 - 本人已要求和授權弘歷證券發出及重發（如適用）本人之網上交易密碼，及利用電郵傳遞往本人於開戶申請表上所提供之一個或多個電郵地址。本人已閱讀及完全明白及同意於附件三之「以電郵傳遞交易密碼授權書」之內容，及就該授權之內容及效力，已尋求或已有機會尋求獨立法律意見，並同意獨自承擔所選擇收取密碼的方式之關連風險。

Use of Personal Data For Direct Marketing - I understand and AGREE that HWSCL, together with its subsidiaries and affiliated companies (collectively as "Homily Group") may use or transfer my/our personal data (e.g. name, contact details and age group, etc.) for sending promotional or other materials and direct marketing of financial services, products, goods or facilities to members of the Homily Group and/or entities outside the Homily Group which are their business partners in financial or related services, for which Homily Group may receive gain. I/We can change my/our instructions at any time by providing written notice to Homily Group. In case Homily Group receives any conflicting instructions from me/us regarding the use or transfer of my/our personal data, the instruction given at the latest date shall prevail.

直接促銷中個人資料的使用 - 本人明白及同意弘歷證券連同其附屬公司及聯屬公司（統稱「弘歷集團」），或會使用或轉移本人個人資料（例如姓名、聯絡資料及年齡組別等）至弘歷集團的成員公司及／或集團以外提供金融或相關服務的合作伙伴以作傳送推廣或其他資料及直接促銷金融服務、產品、商品或設施之用途，而弘歷集團或會就此獲取得益。若本人不同意個人資料之使用或轉移，本人可隨時透過書面方式，向弘歷集團更改指示。若弘歷集團就本人的個人資料的使用或轉移收到不一致的指示，則以最後日期所提供的指示為準。

- I do not accept the Homily Group to use my personal data in direct marketing.

本人不同意弘歷集團使用其個人資料作直接促銷。

At any time in the future, Client may inform Homily Group if Client wishes to opt-out of the use of his/her personal data for any of the direct marketing purposes. For details, please refer to the HWSCL Personal Information Collection Statement.

在將來任何情況下，如本人不欲收到任何弘歷集團之服務或產品宣傳或直銷推廣，可聯絡我們並要求加入拒收推廣訊息名單。詳情請參閱弘歷證券的個人資料收集聲明。

Confirmation of obtaining client consent under the Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR)

在香港投資者識別碼制度及場外證券交易匯報制度下取得客戶同意書

- I acknowledge and agree that HWSCL may collect, store, process, use, disclose and transfer personal data relating to me (including my CID and BCAN(s)) as required for HWSCL to provide services to me in relation to securities listed or traded on the Stock Exchange of Hong Kong (SEHK) and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (SFC) in effect from time to time. Without limiting the foregoing, this includes
本人明白並同意弘歷證券為了向本人提供與在香港聯合交易所（聯交所）上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會（證監會）的規則和規定，弘歷證券可收集、儲存、處理、使用、披露及轉移與閣下有關係的個人資料（包括本人的客戶識別信息及券商客戶編碼）。在不限制以上內容的前提下，當中包括—

- (a) disclosing and transferring your personal data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time;
根據不時生效的聯交所及證監會規則和規定，向聯交所及／或證監會披露及轉移閣下的個人資料（包括客戶識別信息及券商客戶編碼）；
- (b) allowing SEHK to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; and (ii) disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and (iii) use such information for conducting analysis for the purposes of market oversight; and
允許聯交所：(i)收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便監察和監管市場及執行《聯交所規則》；(ii)向香港相關監管機構和執法機構（包括但不限於證監會）披露及轉移有關資料，以便他們就香港金融市場履行其法定職能；及(iii)為監察市場目的而使用有關資料進行分析；及
- (c) allowing the SFC to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for the performance of its statutory functions including monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets; and (ii) disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements.
允許證監會：(i)收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及(ii)根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料。
- (d) providing BCAN to Hong Kong Securities Clearing Company Limited (HKSCC) allowing HKSCC to: (i) retrieve from SEHK (which is allowed to disclose and transfer to HKSCC), process and store your CID and transfer your CID to the issuer's share registrar to enable HKSCC and/ or the issuer's share registrar to verify that I have not made any duplicate applications for the relevant share subscription and to facilitate IPO balloting and IPO settlement; and (ii) process and store your CID and transfer your CID to the issuer, the issuer's share registrar, the SFC, SEHK and any other party involved in the IPO for the purposes of processing your application for the relevant share subscription or any other purpose set out in the IPO issuer's prospectus.
向香港中央結算有限公司（香港結算）提供券商客戶編碼以允許香港結算：(i)從聯交所取得、處理及儲存允許披露及轉移給香港結算屬於閣下的客戶識別信息，及向發行人的股份過戶登記處轉移閣下的客戶識別信息，以便核實閣下未就相關股份認購進行重複申請，以及便利首次公開招股抽籤及首次公開招股結算程序；及(ii)處理及儲存閣下的客戶識別信息，及向發行人、發行人的股份過戶登記處、證監會、聯交所及其他公開招股的有關各方轉移閣下的客戶識別信息，以便處理閣下對有關股份認購的申請，或為載於公開招股發行人的招股章程的任何其他目的。
- I also agree that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.
本人亦同意，即使本人其後宣稱撤回同意，弘歷證券在閣下宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移閣下的個人資料以作上述用途。
Failure to provide HWSCL with my personal data or consent as described above may mean that HWSCL will not, or will no longer be able to, as the case may be, carry out my trading instructions or provide me with securities related services (other than to sell, transfer out or withdraw my existing holdings of securities, if any).
本人如未能向弘歷證券提供個人資料或上述同意，可能意味著弘歷證券不會或不能夠再（視情況而定）執行本人的交易指示或向本人提供證券相關服務，惟出售、轉出或提取本人現有的證券持倉（如有）除外。

Data Privacy Policy

私隱政策

- The client is necessary from time to time to supply his/her personal data ("Personal Data"), within the meaning ascribed in the Personal Data (Privacy) Ordinance (Chapter 486 of the laws of Hong Kong) (the "Privacy Ordinance") to HWSCL when opening or continuation of accounts, or in the establishment, continuation or provision of investment, dealing or related services.
當客戶申請開立或延續戶口或建立、延續或提供投資、交易或相關服務時，需不時向弘歷證券提供有關之個人資料（「個人資料」按《個人資料（私隱）條例》（香港法例第486章）（「私隱條例」）所賦予之定義）。
 - Failure to supply Personal Data may result in HWSCL being unable to open or continue accounts or establish, continue or provide investment, dealing or related services.
若未能向弘歷證券提供有關資料，將會導致經紀無法開立或延續戶口或建立、延續或提供投資、交易或相關服務。
 - Personal Data may also be collected in the ordinary course of continuation of the business relationship with HWSCL.
個人資料將可能在與弘歷證券的正常業務往來過程中被收集。
 - Subject to the provisions of the Privacy Ordinance, any Personal Data may be used for the following purposes:
資料將可能用於下列用途：
 - the daily operation of the services provided to the Client 為提供服務給客戶之日常運作；
 - conducting credit checks 作信貸檢查；
 - ensuring ongoing credit worthiness of the Client. 確保客戶之信用維持良好；
 - marketing investment, dealing or related services or products. 宣傳投資、交易或相關服務或產品；
 - supporting any statements made in any documents in connection with the services of HWSCL. 支援弘歷證券在有關服務上作出之任何文件內之任何聲明；
 - assisting other relevant parties, professionals, institutions or relevant regulatory authorities to verify certain facts in connection with the services of HWSCL. 協助其他有關第三者、專業人員、機構及有關監管機構確認弘歷證券在有關服務上之某些事實；
 - meeting the requirements to make disclosures under the requirements of any laws and/or regulations binding on HWSCL 根據弘歷證券須遵守之有關法例及/或條例要求作出披露；
 - forming part of the records of the recipient of the data as to the business carried on by it 組成接收資料者所經營業務的紀錄的一部份；及
 - any other purposes relating to or incidental to any of the above. 與上述有關或隨附之其他用途。
 - The Broker will keep Personal Data confidential but The Broker may provide Personal Data to the following persons in furtherance of the purposes set in the above paragraph (4):
弘歷證券會把個人資料保密，但為達至上述第(4)段所述的用途，弘歷證券可能會把有關資料提供給
 - any agent or third party service provider who provides services to HWSCL in connection with the operation of its business; 任何中間人，或提供與弘歷證券業務運作有關服務之第三者服務供應商；
 - an appropriate person under a duty of confidentiality to HWSCL including any related company which has undertaken to keep such information confidential; 任何對弘歷證券有保密責任之適當人仕，包括已承諾對此類資訊保密的關聯公司
 - any person or institution with which the Client has or proposes to have dealings; 任何與閣下已有或建議有交易之人仕及機構
 - credit reference agencies and debt collection agencies (in the event of default payment); 信貸諮詢機構及（發生拖欠付款時）收數公司；
 - any regulatory authorities or exchanges which relate to or govern any business of HWSCL; 任何與弘歷證券的業務管治有關的監管機構及交易所；
 - any assignee, transferee, delegate, successor or person to whom the account of the Client is transferred and the authorized person of the Client; 任何承讓人、受讓人、代表、繼承人或獲轉讓有關帳戶之人士及授權人士；及
 - any of HWSCL actual or proposed assignee or participant or sub-participant or transferee. 任何弘歷證券之實在或建議受讓人或參與人或附屬參與人或受讓人。
 - The Personal Data may be transferred to any place outside Hong Kong, whether for the processing, holding or use of such data outside Hong Kong, and also to service providers which offer services to any HWSCL related company in connection with the operation of its business.
客戶同意個人資料可轉到香港以外的任何地點（不論是用作在香港以外處理、持有或使用該等資料），並同意可轉發給向任何弘歷證券關聯公司就其業務經營而提供服務的服務提供者。
 - To the extent permitted by law, the Personal Data collected by HWSCL from time to time may be used and disclosed in accordance with the Data Privacy Policy.
在法律許可的範圍內，客戶同意弘歷證券不時收集的個人資料可按照私隱政策的規定使用及披露。
 - In accordance with the terms of the Privacy Ordinance, any individual has the right to:
根據私隱條例中之條文，任何人有權：
 - check whether HWSCL holds data about him/her and access to such data; 審查弘歷證券是否持有他／她的資料及查閱有關之資料；
 - required HWSCL to correct any data relating to him/her which is inaccurate; 要求弘歷證券改正有關他／她不準確之資料；
 - ascertain HWSCL's policies and practices in relation to data and be informed of the kind of personal data held by HWSCL; 查悉弘歷證券對於資料之政策及實際運用及被通知弘歷證券持有何種個人資料；及
 - in relation to customer credit, request to be informed which items of personal data are routinely disclosed to credit reference agencies or debt collection agencies, and be provided with further information to enable the making of an access and correction request to the relevant credit reference agency or debt collection agency. 就客戶信貸而要求獲通知哪項個人資料是例行披露予信貸諮詢機構或收數公司，以及獲提供進一步的資訊以便向有關的信貸諮詢機構或收數公司作出查閱及改正要求。
- I acknowledge and agree that HWSCL Data Privacy Policy.
本人明白並同意弘歷證券私隱政策。

F. SIGNING ARRANGEMENT 簽名安排 (for joint account only. 只適用於聯名帳戶)

The Account can be operated, including fund withdrawal, under the instruction of (please tick the appropriate box):
此帳戶可根據以下指示方式操作，包括資金提取 (請在適當空格加)

- Either** one of the account holder; or
任何一位帳戶持有人的指示
- Both** account holders
兩位帳戶持有人的指示

G. DISCRETIONARY CLIENT ACCOUNT DECLARATIONS, INVESTMENT RESTRICTIONS OR OTHER SPECIAL INSTRUCTIONS
(for discretionary client account only)

全權委託客戶帳戶聲明，投資限制或其他特別指示 (只適用於全權委託客戶帳戶)

- The Client applies for the discretionary account and declares and confirms that:-
客戶申請全權委託帳戶並聲明及確認：
- (a) visit office in person to sign the agreement after HWSCL accepts the account opening of discretionary.
(a) 弘歷證券接受客戶開戶後，客戶需要親自上辦公室簽署協議。
- (b) the authority given to HWSCL to purchase and sell Securities on a discretionary basis is in reliance upon the own judgement and at the sole risk of the Client and the Client shall not at any time hold HWSCL responsible in any manner whatsoever for any loss suffered or liabilities incurred resulting from any advice from HWSCL whether or not such advice was requested by the Client.
(b) 弘歷證券以全權委託方式購買和出售證券是依賴自己的判斷，客戶是唯一風險承擔者。弘歷證券任何時候都不會以任何形式承擔任何由於弘歷證券的投資建議而造成的虧損或負債，不管建議是否由客戶要求而提出。
- (c) any special instructions or any modification or change thereof (if applicable) by the Client to HWSCL must be submitted to HWSCL in writing with a reasonable time given to HWSCL to effect such change; and
(c) 客戶向弘歷證券提出的任何特別指示、修改或變更 (如適用)，必須以書面形式在合理時間內提交到弘歷證券以作出有效更改。
- (d) by accepting its duties hereunder, HWSCL does not guarantee any gains to the Client or give any warranty and representation as to the profitability of the Securities purchased on behalf of the Client.
(d) 透過接受全權委託帳戶協議項下的義務，弘歷證券並不保證任何客戶收益，也不保證或表述代理客戶購買證券的盈利能力。

(1) Investment Restrictions**(1) 投資限制**

Your Investment Objectives are : (Answer of C1)

您的投資目的:

- Capital Gain 資本增值 Dividends Income 股息收益 Hedging 對沖 Speculation 投機 _____

Your Investment horizon is : (Answer of C5_Q7)

您的投資期

- Less than 1 years (< 1 年) 1 to 3 years (1-3 年) 4 to 6 years (4-6 年) 7 to 10 years (7-10 年) Over 10 years (>10 年)

According to the C5 Risk Profile Questionnaire, your investment risk profile will be classified as one of the following:

根據 C5 風險評估問卷，您的投資風險屬性將分類如下:

1. Conservative 保守型 2. Balanced 平衡型 or 或 3. Aggressive 進取型

Risk Tolerances

風險承受能力

1. High 低風險 2. Medium 中風險 or 或 3. High 高風險

Please set out below in the spaces provided the nature and extent of any limit or restriction you wish to impose on dealings transacted by to this Agreement:

請載於下文的空白處填寫你對於 弘歷證券根據協議進行交易的進一步約束及限制的種類及程度：

- (i) The investments should not comprise securities issued by or in companies in the following countries:

投資不應包括以下國家的公司發行的證券：

- (ii) Investment in securities issued by or in companies operating mainly in the following industries should be excluded:

投資不應包括屬於以下產業為主要營運的公司發行的證券：

- (iii) My employment/profession may preclude me/us from investing in securities issued by or in the following companies:

(iii) 我的職業/專業可能會妨礙我/我們投資以下公司發行的證券：

- (iv) The following additional restriction should apply:

(iv) 其他額外約束：

(2) Other Special Instructions

(2) 其他特別指示

- I understand this investment restrictions is based on the information provided by me and is designed to assist me in assessing my financial needs and to determine which type of investor I am, so as to formulate the most possible investment portfolio. I understand that investment involves risks. I am aware that my investments are associated with risks as well as my tolerance to investment risks may change over time depending on factors including, but not limited to, my financial situation, investment objective, investment time horizon and market fluctuations. Therefore, the result suggestions and recommendations derived from the above are intended for my reference only. I acknowledged that I have made the relevant investment decisions entirely based on my independent judgments.

本人明白此投資限制是基於本人所提供的資料而設，以協助評估本人的經濟需要及判斷本人屬於那一類投資者，從而設計出最合適的投資組合。本人明白投資涉及風險。本人知道本人的投資關聯到風險以及本人的風險承受能力可隨時間而因應其他因數而改變，當中包括，但不限於，本人的經濟狀況、投資目的、投資年期及市場波動。因此，由此從上述所作出的結果、建議及推介僅供本人參考。本人聲明本人的相關投資決定乃完全基於本人的個人獨立意向。

To : Homily Worldwide Securities Company Limited ("HWSCL")
致 : 弘歷環球証券有限公司

Authorization Letter for Client Securities
客戶證券授權書

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

This letter of authority covers the securities or securities collateral received or held by you on my/our behalf. Unless otherwise defined, all the terms used in this Authorization Letter shall have the same meanings as defined in the Securities and Futures Ordinance and the Securities and Futures (Client Securities) Rules as amended from time to time.

本授權書是關於貴公司代表本人/吾等接收或持有的證券或證券抵押品。除另有說明外，在本授權書內的所有用語應具有經不時修訂的《證券及期貨條例》及《證券及期貨(客戶證券)規則》所定義的相同意思。

I/We authorize you to:
本人/吾等授權貴公司：

Apply any of my/our securities or securities collateral pursuant to a securities borrowing and lending agreement; deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provided to you; or deposit any of my/our securities collateral with: (i) a recognized clearing house; or (ii) another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of your settlement obligations and liabilities.

依據證券借貸協議運用本人/吾等的任何證券或證券抵押品；將本人/吾等的任何證券抵押品存放於認可的財務機構，作為提供予貴公司的財務通融的抵押品；或將本人/吾等的任何證券抵押品存放於：(i) 一家認可的結算所；或 (ii) 獲發牌或獲註冊進行證券交易的另一中介人，作為貴公司履行交收義務與責任的抵押品。

You may do any of these things without giving me/us notice.
貴公司可毋須通知本人/吾等而進行上述各項。

You are accountable to me/us for the return of equivalent securities deposited under this authority after full repayment by me/us of all my/our outstanding loans under the facility.
當本人/吾等全數償還信貸安排下的所有未清償的貸款後，貴公司須負責向本人/吾等歸還在此授權下存放的相等證券。

I/We understand that a third party may have a lien or charge on my/our securities or securities collateral, which you must satisfy before my/our securities or securities collateral can be returned to me/us.

本人/吾等明白，本人/吾等的證券或證券抵押品可能受制於第三者之留置權或押記，貴公司必須先行了結有關留置權或押記，方可將本人/吾等的證券或證券抵押品歸還本人/吾等。

I/We are aware that there is risk if I/we provide you with an authority that allows you to apply my/our securities or securities collateral pursuant to a securities borrowing and lending agreement, repledge my/our securities collateral for financial accommodation or deposit my/our securities collateral as collateral for the discharge and satisfaction of your settlement obligations and liabilities.

本人/吾等知悉，本人/吾等若授權貴公司，准許貴公司依據證券借貸協議運用本人/吾等的任何證券或證券抵押品，或准許貴公司再質押本人/吾等的證券抵押品以取得財務通融，或准許貴公司存放本人/吾等的證券抵押品作為貴公司履行交收義務與責任的抵押品，如此授權是帶有風險的。

I/We acknowledge and agree this the authorization shall remain valid until the end of December 31 every year. I/We understand that the authority shall be deemed to be renewed for subsequent periods of 12 months on a continuing basis without my/our written consent if you give me/us a written reminder at least 14 days prior to the expiry date and I/we do not object to such deemed renewal before the expiry date. HWSCL will mail to me/ us a renewal confirmation in the immediate week after the renewal of the authorization. I/We understand that I/we may revoke this authority by giving you at least five trading days' prior written notice. However, you may, in your absolute discretion, treat the revocation notice as having immediate effect upon your receipt.

本人/吾等確認並同意，此授權的有效期到每年十二月三十一日止。本人/吾等明白，若貴公司在屆滿日之前至少 14 日給予本人/吾等續期通知書而本人/吾等在屆滿日之前沒有表示反對續期，則此授權將視為毋須本人/吾等書面同意而接續地續期，每次續期期間為 12 個月。弘歷證券會於授權自動續期後的首個星期把續期確認書發送給本人/吾等。本人/吾等明白，本人/吾等可給予貴公司至少五個交易日的預先書面通知，撤銷此授權。但是，貴公司有絕對酌情決定權將撤銷授權通知書視為於貴公司收訖時隨即生效。

In the event of any discrepancy between the English and Chinese version of this Authorization Letter, I/we agree that the English version shall prevail.

若本授權書的英文版本及中文版本在內容上有任何歧異，本人/吾等同意以英文版本為準。

I/We have read and understood the contents of this Authorization Letter and agreed to be bound by its terms.

本人/吾等已閱讀及明白本授權書的內容，並同意受本授權書的內容約束。

- END -

To : Homily Worldwide Securities Company Limited (“HWSCL”)
致：弘歷環球証券有限公司

Authorization Letter for Client Money
客戶款項授權書

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

This letter of authority covers monies received or held by you in one or more segregated account(s) on my/our behalf (“Monies”). Unless otherwise defined, all the terms used in this Authorization Letter shall have the same meanings as defined in the Securities and Futures Ordinance and the Securities and Futures (Client Money) Rules as amended from time to time. Segregated account(s) include any account(s) designated as client account(s) established and maintained in Hong Kong in accordance with the Securities and Futures (Client Money) Rules or account(s) designated as client account(s) established and maintained outside Hong Kong.

本授權書是關於貴公司代表本人／吾等在一個或多個獨立帳戶內收取或持有的款項(下稱「款項」)。除另有說明外，在本授權書內的所有用語應具有經不時修訂的《證券及期貨條例》及《證券及期貨(客戶款項)規則》所定義的相同意思。獨立帳戶包括根據《證券及期貨(客戶款項)規則》在香港境內開立及維持並指定為客戶帳戶的任何帳戶，或在香港境外開立及維持並指定為客戶帳戶的任何帳戶。

I/We authorize you to:
本人／吾等授權貴公司：

1. combine and consolidate any or all segregated accounts of my/our name maintained by you and/or any of your subsidiaries or affiliates from time to time, and transfer any sum of Monies to and between such segregated account(s) to satisfy my/our obligations or liabilities to HWSCL, whether such obligations or liabilities are actual or contingent, primary or collateral, secured or unsecured, or joint or several; and
組合及合併在貴公司及／或貴公司的任何附屬或相關聯公司不時維持的、以本人／吾等名義開立的任何或全部獨立帳戶，以及將任何數額的款項轉移至該等獨立帳戶或在該等帳戶之間作出轉移，以抵償本人／吾等對弘歷証券的義務或法律責任，不論該等義務或法律責任是確實還是或然的、原有或附帶的、有抵押或無抵押的、共同或各別的；及
2. Transfer any sum of Monies interchangeably between any of segregated accounts maintained at any time by HWSCL in or outside Hong Kong.
在弘歷証券於任何時候在香港境內或境外維持的任何獨立帳戶之間調動任何數額的款項。

You may do any of these things without giving me/us notice.
貴公司可毋須通知本人／吾等而進行上述各項。

This authority is given without prejudice to other authorities or rights which you may have in relation to dealing in Monies in the segregated accounts.
此賦予貴公司的授權並不損害貴公司享有的有關處理獨立帳戶內款項的其他授權或權利。

I/We acknowledge and agree this the authorization shall remain valid until the end of December 31 every year. I/We understand that the authority shall be deemed to be renewed for subsequent periods of 12 months on a continuing basis without my/our written consent if you give me/us a written reminder at least 14 days prior to the expiry date and I/we do not object to such deemed renewal before the expiry date. HWSCL will mail to me/ us a renewal confirmation in the immediate week after the renewal of the authorization. I/We understand that I/we may revoke this authority by giving you at least five trading days' prior written notice. However, you may, in your absolute discretion, treat the revocation notice as having immediate effect upon your receipt.

本人／吾等確認並同意，此授權的有效期到每年十二月三十一日止。本人／吾等明白，若貴公司在屆滿日之前至少 14 日給予本人／吾等續期通知書而本人／吾等在屆滿日之前沒有表示反對續期，則此授權將視為毋須本人／吾等書面同意而接續地續期，每次續期期間為 12 個月。弘歷証券會於授權自動續期後的首個星期把續期確認書發送給本人／吾等。本人／吾等明白，本人／吾等可給予貴公司至少五個交易日的預先書面通知，撤銷此授權。但是，貴公司有絕對酌情決定權將撤銷授權通知書視為於貴公司收訖時隨即生效。

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

I/We have read and understood the contents of this Authorization Letter and agreed to be bound by its terms.
本人／吾等已閱讀及明白本授權書的內容，並同意受本授權書的內容約束。

(Remark: This authority shall not apply for transfer of Monies between individual account and joint account.)
(備註：此授權並不適用於在個人帳戶及聯名帳戶之間轉移款項。)

- END -

To : Homily Worldwide Securities Company Limited (“HWSCL”)

致：弘歷環球証券有限公司 (“弘歷證券”)

Authorization for Password Delivery by E-mail

客戶經電郵傳遞交易密碼授權

I/We hereby request and authorize HWSCL to generate and (if applicable) re-generate and deliver my/our password(s) for electronic trading (“PW”)* by way of email to me/us at my/our email address(es) provided in the Account Application submitted by me/us to HWSCL (“specified email address(es)”)**.

本人/吾等現要求並授權弘歷證券發出及重發(如適用)本人/吾等之網上交易密碼 (“密碼”)*及利用電郵傳遞往本人/吾等於本人/吾等交予弘歷證券之開戶申請表上所提供之一個或多個電郵地址 (“指定電郵地址”)**。

I/We acknowledge that there are risks associated with my/our above selected means of receiving the PW and agree to solely bear all such risks, including (without limitation) the risks of transmission error, delay, unauthorized disclosure and unauthorized use in respect of the PW. I/We acknowledge and agree that once a PW is deemed receipt*** by me/us, I/we shall be the only authorized user(s) of such PW. I/We shall be solely responsible for the confidentiality, protection and use of the PW. I/We acknowledge and agree that I/we shall be solely responsible for all instructions/offers placed by using the PW (including all transactions and actions that occur or are taken subsequent to or as a consequence of such instructions/offers) and HWSCL shall not have any liability to me/us or any third party for any loss, damages, expense, cost, claim or liability of whatsoever nature, directly or indirectly, arising out of or in connection with any such instruction/offer and/or the handling, inaccurate or incomplete transmission, delay in transmission, loss or loss of confidentiality, of the same. Further, I/we agree at all times on demand to indemnify and keep indemnified HWSCL from and against all liabilities costs and expenses of any nature whatsoever reasonably incurred by it arising from or in any way related to its reliance and/or acting on this Authorization (including any email address provided by me/us).

本人/吾等確認上述所選擇收取密碼的方式有其關連風險，並同意獨自承擔所有該等風險，包括(但不限於)關於密碼之傳輸錯誤、延遲、未獲授權披露及使用之風險。本人/吾等確認並同意一旦密碼被視為已被本人/吾等收取***，本人/吾等即為密碼的唯一獲授權使用者。本人/吾等須對密碼的保密、保護及使用承擔全部責任。本人/吾等承認及同意，本人/吾等須對使用密碼發出的所有指示/要約負全責(包括所有該等指示/要約其後所或因按該等指示/要約而執行或發生之交易及行動)，同時，直接或間接由於或關於任何該等指示/要約及/或其處理、不準確或不完整傳輸、延遲傳輸、遺失或失卻保密性而產生之任何損失、損害賠償、費用、支出、申索或責任(不論任何性質)，弘歷證券皆不會對本人/吾等或任何第三方負責。再者，本人/吾等同意時刻按弘歷證券要求彌償弘歷證券因或任何情況下相對於其依賴此授權(包括本人/吾等提供之任何電郵地址)及/或據其行事而合理地招致之所有責任、費用及開支(不論任何性質)，並確保弘歷證券免受損害。

If I/we give an instruction/offer to HWSCL outside Hong Kong, I/we agree to ensure and represent that such instruction/offer will have been given in compliance with any applicable law of the relevant jurisdiction from which such instruction/offer is given, and I/we further agree that I/we shall, when in doubt, consult legal and other professional advisers of the relevant jurisdiction. I/We accept that there may be taxes or charges payable to relevant authorities in respect of any instruction/offer given outside Hong Kong, and I/we agree to pay such taxes or charges as applicable. I/We acknowledge that this Authorization will become effective on the date of HWSCL’s approval of sending the PW in accordance with the terms hereof, which approval may or may not be given by HWSCL in its absolute discretion.

若本人/吾等在香港以外地區向弘歷證券發出任何指示/要約，本人/吾等同意確保及陳述並聲明，該指示/要約將已遵守該指示/要約發出所在的相關司法管轄區的任何適用法律。本人/吾等再進一步同意：本人/吾等有疑問時，會諮詢相關司法管轄區的法律及其他專業顧問。本人/吾等接受在香港以外地區發出的指示/要約，可能需向相關當局支付相關稅項或費用，本人/吾等同意支付該等適用稅項或費用。本人/吾等確認此授權將於弘歷證券批准根據本文條款發出密碼之日生效，而弘歷證券具酌情權予以決定是否作出該批准。

* I/We acknowledge and agree that I/we am/are required, immediately upon receipt, to change each PW to a unique and hard-to-duplicate one.

* 本人/吾等確認並同意：本人/吾等必須於收到密碼時立即更改密碼使之成為一獨特並難以模仿的密碼。

** This Authorization shall apply to each subsequent request by me/us for regenerating PW and I/we agree that HWSCL may send PW to the specified email address(es) and/or such other email address(es) as subsequently notified by me/us to HWSCL in accordance with the notice provisions contained in the Client Agreement(s) And Schedules (as amended from time to time)(“Client Agreement(s)”) I/We consent that HWSCL may use any or all of the specified email address(es) and/or such other email address(es) subsequently so notified by me/us to HWSCL as aforesaid for the purpose(s) contemplated under the Client Agreement(s) (e.g. giving other information, documents or notices to or communicating with me/us).

** 此授權將適用於本人/吾等嗣後每次要求重發密碼之要求，及本人/吾等同意：弘歷證券可將密碼傳遞往任何一個或多個或所有指定電郵地址及/或本人/吾等其後按客戶協議及附件(及其/其等不時修訂版)(“客戶協議”)內載的通知條文通知弘歷證券的一個或多個其他電郵地址。本人/吾等同意弘歷證券可使用一個或多個或所有指定聯絡手機號碼及/或本人/吾等其後如上通知弘歷證券的一個或多個電郵地址作客戶協議所預期之一種或多種用途(例如給予本人/吾等其他資料、文件或通知或與本人/吾等通訊)。

*** I/We acknowledge and agree that each PW shall be deemed to have been received by me/us immediately upon despatch.

*** 本人/吾等確認並同意在每一個密碼發出時，該密碼將立即被視為已被本人/吾等收取。

This Authorization shall form part of the Client Agreement(s). In this Authorization, unless otherwise stated in the context hereof, words and expressions defined in the Client Agreement(s) shall have the same meanings herein; and terms in the singular shall include the plural and vice versa. If the undersigned Applicant/Client comprises more than one person, such persons shall be jointly and severally responsible for all liabilities of the undersigned Applicant/Client hereunder. In case of any inconsistency between this Authorization and the Client Agreement(s), insofar as the subject matter hereof is concerned, this Authorization shall prevail but only to the extent of such inconsistency. Should there be any inconsistency between the English and Chinese versions of this Authorization, the English version shall prevail.

此授權將成為客戶協議之一部份。於此授權內，除非本文另有所指，客戶協議內定義之詞語將於此具相同解釋，而凡指單數之詞語，其釋義將包含眾數，反之亦然。若以下簽署之申請人/客戶乃多於一人，該等人士將共同及各別負責以下簽署之申請人/客戶於本文項下之所有責任。倘若客戶協議與此授權有任何不同之處，就本文標的事實而言，當以此授權為準但只限該不同之處。若此授權之中、英文版本有任何不同之處，當以英文版本為準。

I/We fully understand and agree the contents of this Authorization and have sought, or have had the opportunity to seek, independent legal advice concerning the contents and effect of this Authorization.

本人/吾等完全明白及同意此授權之內容及就此授權之內容及效力，已尋求或已有機會尋求獨立法律意見。

- END -

Warning Notice to the Guarantor(s) 給擔保人之警告性提示

1. The Client (as defined below) has applied to utilize the securities and/or futures trading services and related services rendered by Homily Worldwide Securities Company Limited ("HWSC") on the security of the Guarantee to be executed by the undersigned Guarantor.

客戶(定義如下)已以閣下簽立之擔保書作保證申請使用弘歷環球證券有限公司("弘歷證券")之證券交易相關服務。

2. Guarantor's liability under the Guarantee will be unlimited, if he/she/they decide to go on with the transaction and sign and execute the Guarantee.

若閣下決定繼續進行交易並簽立擔保書, 閣下在擔保書之下責任將為無限。

3. Guarantors are recommended to instruct his/her/their own professional advisers (including lawyer) who will be able at every stage of the transaction to protect your interests and to give you independent professional (including legal) advice.

建議閣下自行委託律師, 以在交易之每個階段保障閣下之利益及向閣下提供獨立法律意見。

To: Homily Worldwide Securities Company Limited ("HWSC")

致: 弘歷環球證券有限公司("弘歷證券")

Letter of Guarantee

擔保書

1. Unlimited Guarantee and Indemnity 無限額擔保及彌償

1.1. I/We, the Guarantor(s) (see Schedule 1 below for particulars of the Guarantor(s)), hereby unconditionally and irrevocably guarantee to you that, if for any reason the Client does not pay any sum due and payable by it under the Agreement, including without limitation all interests, expenses, costs and losses payable thereunder, I/we as primary obligor will pay to you that sum on demand by you provided you shall not be under any obligation, whether to me/us, the Client or otherwise, to make any such demand or to make such demand at any particular time.

本人/我們以擔保人之身份現無條件及不可撤回地向貴公司保證如客戶沒有支付任何根據協議到期及須支付之款項, 包括但不限於協議所須支付之利息、開支、費用及損失, 本人/我們作為主要義務人將會向貴公司支付貴公司要求支付之款項, 惟貴公司對本人/我們、客戶或其他人士並無任何責任作出任何該等要求或在任何特定時候作出該等要求。

1.2. As between me/us and you but without affecting the Client's obligations, I/we shall be liable under this Guarantee as if I/we were the sole principal debtor and not merely a surety. I/We agree to pay you such sum as may be demanded by you whether or not you have demanded the Client for payment. Accordingly, I/we shall not be discharged, nor shall my/our liability be affected, by anything which would not discharge me/us or affect my/our liability if I/we were the sole principal debtor including without limitation:

在本人/我們與貴公司之間(但不影響客戶的責任), 本人/我們在本擔保書下應負有猶如本人/我們是唯一的主要債務人一樣的責任而非僅為擔保人。本人/我們同意向貴公司支付貴公司要求之款項, 不論貴公司有否要求客戶付款。若本人/我們為唯一主要債務人而責任不會獲解除或受影響之任何事情不會相應地解除或影響本人/我們的責任, 該等事情包括但不限於:

(a) any time, indulgence, concession, waiver or consent at any time given to the Client or any other person;

在任何時候向客戶或任何其他人士所給予的任何時間、容忍、讓步、寬免或同意;

(b) any amendment to the Agreement;

任何對協議的修訂;

(c) the making or failure or delay to make any demand on the Client or any other person for payment;

對客戶或任何其他人士作出或未能或延遲作出的付款要求;

(d) the enforcement or failure or delay to enforce the Agreement or this Guarantee;

執行或未能或延遲執行協議或本擔保書;

(e) the taking, existence or release of any security interest or other guarantee;

任何擔保權益或其他擔保之採納、存在或解除;

(f) the winding-up, dissolution, death, insanity, incapacity or any change in the name, style or constitution or bankruptcy of the Client or any other person, or any step being taken for any such winding-up, dissolution or bankruptcy; or

客戶或任何其他人士之清盤、解散、身故、精神錯亂、無行為能力或名稱、稱號或組成之更改或破產或被採取任何該清盤、解散或破產之任何步驟;

(g) the illegality, invalidity or unenforceability of, or any defect in, any provision of this Guarantee or the Agreement or any of the obligations of any of the parties under or in connection with this Guarantee or the Agreement.

本擔保書或協議之任何條款或任何一方在本擔保書或協議下或與之有關之任何責任之不合法、無效或不可強制執行或任何欠妥之處。

1.3. My/Our obligations under this Guarantee are and will remain in full force and effect by way of continuing security until no sum remains to be paid under the Agreement and you have irrevocably received or recovered all sums payable under the Agreement. Furthermore, those of my/our obligations are additional to any other right which you may possess and may be enforced without first having recourse to the Client, any other person or any other security interest. I/We irrevocably waive all notices and (except as required by the above Clause 1.1) demands of any kind.

本人/我們在本擔保書下責任為持續擔保, 並保持具有十足效力及作用, 直至協議下之款項繳清而貴公司已不可撤回地收取或收回所有協議下須支付之款項為止。此外本人/我們的責任均附加於貴公司所可能擁有的其他權利, 並可毋須先向客戶、任何其他人士或任何其他擔保權益追索下執行。本人/我們等不可撤回地免除所有任何形式之通知及(上文第1.1條規定則除外)付款通知。

1.4. I/We shall on demand indemnify you against any funding or other cost, loss, expense or liability sustained or incurred by you as a result of being required for any reason including any bankruptcy, insolvency, winding-up or similar law of any jurisdiction) to refund all or part of any amount received or recovered by you in respect of any sum payable by the Client under the Agreement and shall in any event pay to you on demand the amount so refunded by you.

本人/我們須應要求就貴公司因任何理由(包括任何破產、無力償債、清盤或任何司法管轄區之相關法律)而被要求退還全部或部份貴公司就客戶在協議下須支付之任何款項而收取或追討之款項而蒙受或招致之任何款項或其他費用、損失、開支或責任, 對貴公司作出彌償, 並須在任何情況下應要求向貴公司支付貴公司所退還之款項。

1.5. As separate, independent and alternative stipulations, I/we unconditionally and irrevocably agree that any sum which, although expressed to be payable by the Client under the Agreement, is for any reason (whether or not now existing and whether or not now known or becoming known to any party to the Agreement) not recoverable from me/us on the basis of a guarantee shall nevertheless be recoverable from me/us as if I/we were the sole principal debtor and shall be paid by me/us to you on demand.

作為一個別、獨立及交替的規定, 本人/我們無條件及不可撤回地同意因任何理由(不論是現時存在及不論協議任何一方是否已經或將會知悉)而基於擔保向本人/我們追討之任何款項, (儘管在相關協議中明文規定須由客戶支付)將可向本人/我們追討, 猶如本人/我們為唯一主要債務人一樣, 並將由本人/我們應要求向貴公司支付。

1.6. This Guarantee shall be binding on and enforceable against me/us and my/our executors, administrators, legal representatives, successors and assigns until the expiration of three months after your receipt of a written notice to determine this Guarantee served by me/us. Any such notice shall not release me/us in respect of liabilities existing before the expiration of the said notice.

本擔保書應對本人/我們及本人/我們的遺產承辦人、遺產管理人、合法代表、繼承人及受讓人均具約束力並可強制執行, 直至貴公司收到本人/我們送達貴公司之書面終止擔保書通知書後三個月屆滿為止。任何該通知書不應解除本人/我們在該通知書期限屆滿前所存在的責任。

2. Representations and Warranties 陳述及保證

I/We represent and warrant to you and for your benefit as follows:

本人/我們為貴公司之利益向貴公司陳述及保證:

2.1. I/We have the power to enter into, exercise my/our rights and perform and comply with my/our obligations under this Guarantee.

本人/我們有權訂立本擔保書、行使本人/我們在本擔保書下之權利及履行及遵守本人/我們在本擔保書下之責任。

2.2. All actions, conditions and things required to be taken, fulfilled and done (including the obtaining of any necessary consents) in order to enable or ensure the following have been taken, fulfilled or done:

為致使或確保下列事項須採取、履行及作出之所有行動、條件及事情已獲採取、履行或作出:

(a) I/we lawfully enter into, exercise my/our rights and perform and comply with my/our obligations under this Guarantee,

本人/我們合法地訂立本擔保書、行使本人/我們在本擔保書下之權利及履行及遵守本人/我們在本擔保書下之責任;

(b) that those obligations are valid, legally binding and enforceable, and

本擔保書下之責任的有效性法律約束力及可強制執行性; 及

(c) that those obligations rank and will at all times rank at least equally and ratably in all respects with all my/our other unsecured indebtedness except for such unsecured indebtedness as would, by virtue only of the operation of law, be preferred in the event of my/our winding-up, dissolution or bankruptcy.

本擔保書下之責任的排列次序在各方面均會及將會時刻最少與本人/我們等其他無抵押債項相等, 但在本人/我們清盤、解散或破產時藉法律的施行而較為佔優之無抵押債項除外。

2.3. My/Our execution and performance of or compliance with my/our obligations under this Guarantee do not and will not violate or exceed any restriction granted or imposed by any law to which I am/we are subject or my/our constitutional documents, or result in the existence of, or oblige me/us to create, any security over my/our assets.

本人/我們執行、履行或遵守本人/我們在本擔保書下之責任並不會及將不會違反或超逾本人/我們須受之規管之任何法律或本人/我們之組成文件所授予或加諸之任何限制, 或導致本人/我們之資產出現或致令本人/我們有責任設立任何抵押。

- 2.4. Each of the representations and warranties in this Clause 2 will be correct and complied with in all respects so long as any sum remains payable under the Agreement as if repeated then by reference to the then existing circumstances.
凡在協議下仍有任項須繳付之款項，則本第2條中之每項陳述及保證在各方面將為正確及獲遵從猶如已參照當時情況而重覆一樣。
3. Interest 利息
I/We will pay interest to you, at the rate of interest applicable under the Agreement to overdue sums, on all sums demanded under this Guarantee from the date of your demand or, if earlier, the date on which the relevant damages, losses, costs, liabilities or expenses arose in respect of which such demand has been made until the date of receipt of such sums by you (both before and after judgment) at such rate of interest applicable under the Agreement to overdue sums.
本人/我們將自貴公司要求付款當日或產生引致該付款要求之賠償、損失、費用、責任或開支之較早日起，支付按適用於協議下之逾期欠款之該利率計算的利息，直至貴公司收取該款項為止(判決之前及之後)。
4. Payments 付款
4.1. All sums payable by me/us under this Guarantee shall be paid free of any restriction or condition and free and clear of and (except to the extent required by law) without any deduction or withholding, whether for or on account of tax, by way of set-off or otherwise and any payment made shall be grossed up as necessary to achieve the same.
本人/我們在本擔保書下須支付之所有款項應不受任何限制或條件及不被扣減或預扣(法律規定則除外)影響，不論是因稅項、以抵銷或其他形式作出，而任何付款應相應增加至達到該目的所必要之程度。
4.2. On each date on which any sum is due from me/us, I/we shall make available to you, by payment in Hong Kong dollars or, at your election, in the currency in which the relevant sum would otherwise be payable under the Agreement. Payment shall be made in immediately available funds to such account as you may specify.
在本人/我們須支付任何款項之日期，本人/我們應以港幣或貴公司所選擇之貨幣向貴公司支付在協議下所須支付之相關款項。款項應以即時可動用之資金支付至貴公司所指定之該帳戶。
5. Set-off 抵銷
In addition to any general lien or similar right to which you may be entitled at law, you may, at any time and without prior notice, set off or transfer any monies standing to the credit of my/our account with you or any member of your group of whatever description and in whatever currency and whether held singly or jointly with others towards discharge of all my/our liabilities to you or any member of your group whether such liabilities be primary, collateral, several, joint or in other currencies. Insofar as any of the liabilities to you or any member of your group are contingent or future, your liability to me/us to make payment of any sums standing to the credit of any such accounts will to the extent necessary to cover such sums be suspended until the happening of the contingency or future event. For the purpose of this Clause, a company is a member of your group if it is directly or indirectly controlling, controlled by or under common control with you.
除貴公司在法律下可能享有之任何一般留置權或相關權利外，貴公司亦可隨時將本人/我們在貴公司或貴集團之任何成員之任何類型及任何貨幣及不論是個人或與其他人士共同持有之帳戶中之任何款項抵銷或轉移以解除本人/我們欠貴公司或貴集團任何成員之所有債務而不作事先通知，不論該債務為主要、附屬、各別、共同以其他貨幣為面值。只要任何欠貴公司或貴集團任何成員之債務為或有或將來的，貴公司向本人/我們支付任何該等帳戶中之任何款項之責任將暫緩至足以涵蓋該數額之程度，直至該或有或將來之事宜發生為止。為本條之目的，若任何公司直接或間接控制、受控於貴公司或與貴公司共同受控，該公司為貴集團成員。
6. Assignment 轉讓
6.1. I/We may not assign or transfer all or any of my/our rights or obligations under this Guarantee.
本人/我們不可轉讓或轉移本人/我們在本擔保書下之所有或任何權利或責任。
6.2. You may assign or transfer all or part of your rights, benefits and obligations hereunder to such person(s) and disclose to a potential transferee or any other person proposing to enter into contractual arrangements with you in relation to this Guarantee such information about me/us as you may at your absolute discretion think fit.
貴公司可轉讓或轉移貴公司在此下之全部或部分權利、利益及責任予貴公司按其絕對決定權認為合適的該等人士，及向準受讓人或擬與貴公司就本擔保書訂立合約安排之任何其他人士透露關於本人/我們之資料。
7. Miscellaneous 其他事項
7.1. Failure or delay in exercising any rights, power or privilege by you in respect of this Guarantee shall not operate as a waiver, nor shall a single or partial exercise, enforcement or waiver of any such rights, power or privilege preclude you from further exercise, enforcement, or the exercise or enforcement of any other right, power or privilege hereunder.
貴公司未能或延遲行使本擔保書之任何權利、權力或特權均不應作寬免用，對任何該權利、權力或特權之單一或部分行使、執行或寬免不應妨礙貴公司之進一步行使、執行或對此下任何其他權利、權力或特權之行使或執行。
7.2. The rights and remedies provided in this Guarantee are cumulative and not exclusive of any other rights or remedies (whether provided by law or otherwise).
本擔保書之權利及補救方法為可積累而不排除任何其他權利或補救方法(不論是否法律規定)。
7.3. If I/we consist of more than one person, then the liabilities of each such person hereunder shall be joint and several. Any notice, payment or delivery by you to either or any one of such persons shall be a full and sufficient discharge of your obligations to notify, pay or deliver under this Guarantee. 若本人/我們由多於一位人士組成，各人在此下將負共同及各別的責任。貴公司對任何一位該等人士所作之任何通知、付款或交付，應已十足及完滿履行在本擔保書下之通知、付款或交付之責任。
7.4. In the event of this Guarantee being determined for any reason whatsoever you may open and continue a new or separate account with the Client in your books and if you do not in fact open such new or separate account you shall nevertheless be deemed to have done so at the time this Guarantee is determined and as from and after that time all payments in account made by the Client to you shall (notwithstanding any legal or equitable rule or presumption to the contrary) be placed or deemed to have been placed to the credit of the new or separate account so opened or deemed to have been opened as aforesaid and shall not go in reduction of the amount secured by this Guarantee at the time this Guarantee is determined provided always that nothing contained in this clause shall prejudice the security which you otherwise would have had hereunder for the payment of the moneys hereby guaranteed.
在本擔保書因任何理由被終止的情況下，貴公司可在簿冊上與客戶開立及維持一個新的或個別別的帳戶，若貴公司實際上並沒有開立該新或個別帳戶，則貴公司應被視為經已在本擔保書終止時開立新的或個別別的帳戶，而客戶自此以後支付予貴公司至該戶口的款項應存放至或被視為存放至所開立或被視為已開立之新的或個別別帳戶中，而不應在本擔保書終止時被扣除作本擔保書所擔保之款項，惟本條所載之內容不應損害貴公司在此下謹獲擔保支付之款項之擔保。
7.5. You are entitled to retain this Guarantee for such period as you deem fit after all the amounts secured by this Guarantee have been fully discharged.
貴公司有權在本擔保書所擔保之所有款項獲全數支付後保留本擔保書至貴公司認為合適之該時期。
7.6. In the event of any discrepancy between the English and the Chinese version of this Guarantee, the English version shall prevail.
若本擔保書中英文版本有任何歧異，以英文版為準。
8. Communication 通訊
8.1. Each communication under this Guarantee shall be made by fax or otherwise in writing to the fax number or address last known to the party making the communication.
在本擔保書下之每項通訊均應以傳真或以書面方式傳送或寄送至作出通訊之該方最後知悉之傳真號碼或地址。
8.2. Any communication or notice from me/us shall be irrevocable and shall not be effective until received by you. Any communication or notice from you to me/us shall be conclusively deemed to be received by me/us. 本人/我們所發出之任何通訊應為不可撤回及在貴公司收到時方始生效。貴公司向本人/我們發出之任何通訊或通知均應被視為本人/我們已收取。
9. Partial Invalidity 部份失效
The illegality, invalidity or unenforceability of any provision of this Guarantee under the law of any jurisdiction shall not affect its legality, validity or enforceability under the law of any other jurisdiction nor the legality, validity or enforceability of any other provision.
本擔保書之任何條文在任何司法管轄區之法律下變成不合法、失效或不可強制執行不應影響其在任何其他司法管轄區之法律下及任何其他之合法性、有效性及可強制執行性。
10. Personal Data 個人資料
I/We have read and understood your Notice to Clients relating to the Personal Data (Privacy) Ordinance and agree that my/our personal data held by you may be used for the purposes and disclosed to such classes of persons as stated therein (as amended from time to time).
本人/我們已閱畢並明白貴公司至客戶有關個人資料(私隱)條例向客戶發出的通知並同意貴公司持有本人/我們之個人資料可為當中所載之目的(可不時修改)使用及向當中所載之該等類別人士(可不時修改)透露。
11. Governing Law 管轄法律
This Guarantee shall be governed and construed by the laws of the Hong Kong Special Administrative Region of the People's Republic of China. I/We hereby submit to the non-exclusive jurisdiction of the courts of the Hong Kong Special Administrative Region of the People's Republic of China.
本擔保書將受中華人民共和國香港特別行政區之法律所規管並據之解釋。本人/我們謹此接受中華人民共和國香港特別行政區法院之非獨有司法管轄權所規管。

- END -

Personal Information Collection Statement **個人資料收集聲明**

From time to time, it is necessary for clients to supply Homily Worldwide Securities Company Limited (“HWSCL”) with personal data in connection with the opening or continuation of accounts and the establishment or continuation of credit facilities or provision of securities brokerage, assets management, financial planning, nominee, investment advisory and/or other relevant services. At the same time, some of the data are collected pursuant to laws, regulations, rules or codes binding on HWSCL. This may include but will not be limited to information obtained in relation to client’s identity (name, date of birth, passport/identity card number, address(es), marital status, education level and employment information), as well as information collected for the purposes of ascertaining client’s financial profile, risk appetite, income (including sources of income) and net worth. This Statement is made under the Personal Data (Privacy) Ordinance (“PDPO”) to let clients know why personal data are to be collected, how the data are to be used, and to whom data access requests are to be addressed. 客戶需不時地向弘歷環球証券有限公司(“弘歷證券”)提供與開設或維持帳戶、開設或維持貸款融資或者與證券經紀、資產管理、財務策劃、股票託管、投資諮詢及/或其他相關服務的個人資料。同時，有一部份資料是根據對弘歷證券具約束力的法律、規定、規則或守則加以收集的。這可能包括但將不限於所獲取的與客戶身份(姓名、出生日期、護照/身份證號碼、地址、婚姻狀況、教育水平和就業信息)相關的信息，以及為確定客戶的財務狀況、風險取向、收入(包括收入來源)和淨資產而收集的信息。本聲明乃根據個人資料(私隱)條例(「私隱條例」)而作出，目的是向客戶闡明收集個人資料的原因、用途及查詢個人資料記錄的途徑。

Failure to supply such personal data may result in HWSCL being unable to open or continue accounts or establish or continue credit facilities or provide securities brokerage, assets management, financial planning, nominee, investment advisory and/or other relevant services. It is also the case that the data are collected from clients in the ordinary course of the continuation of the business relationship.

如客戶未能提供該等個人資料，則經紀將無法代客戶開設或維持帳戶，或開設或維持貸款融資，或提供證券經紀、資產管理、財務策劃、股票託管、投資諮詢及/或其他相關服務。所有資料均以維持正常業務聯繫的需要而向客戶收集的。

Collection and Use of Personal Data **個人資料的收集及用途**

HWSCL collect, use and transfer personal information for any or all of the following purposes:

就個人資料的收集，弘歷證券可收集、使用及轉移客戶個人資料作任何或所有下列用途：

1. Processing account application, providing daily operation of services and credit facilities to clients;
處理客戶的帳戶申請，為客戶提供日常運作服務和貸款融資服務；
2. conducting credit checks;
進行信貸檢查；
3. assisting other financial institutions to conduct credit checks;
協助其他財務機構進行信貸檢查；
4. designing financial services or related products for clients’ use, including wealth management, financial planning, insurance and/or Mandatory Provident Fund (MPF) (if applicable);
根據客戶的需要設計有關的金融服務或相關產品，包括資產管理、財務策劃、保險和強積金(如適用)；
5. facilitating payment arrangements or instructions;
促進支付安排或指示；
6. ensuring the ongoing creditworthiness of client or any surety;
確保任何客戶或擔保人維持可靠信用；
7. maintaining credit history of any surety or client for present and future reference;
維持任何客戶或擔保人的信用記錄以作為現在或將來參考之用；
8. handling of any checking procedure related to client’s application and related claims;
處理客戶的申請檢查程序和相關的索賠；
9. verifying client’s eligibility to apply for financial services or related products, insurance and/or MPF related products (if applicable);
確認在申請金融產品及/或服務、保險及/或強積金產品(如適用)服務的資格；
10. compilation of statistics and research analysis, and improve the provision of services by HWSCL, subject to applicable laws;
彙編統計數據和研究分析，而弘歷證券可根據相關適用的法律把資料用於改善服務；
11. providing client with marketing materials relating to financial services or related products, insurance and/or MPF related products (if applicable) concerning HWSCL and any other entities within the HWSCL or partnering financial institutions (collectively referred as “Related Parties”);
為客戶提供弘歷證券及其集團內其他成員或任何其他金融機構合作伙伴(統稱為「相關人士」)有關的金融服務、保險或相關理財產品及/或強積金相關產品(如適用)的市場資訊；
12. communication with customers, prospective customers of the HWSCL;
與弘歷證券客戶或本集團的潛在客戶溝通；
13. performing policy review and needs analysis and/or MPF suitability assessment (if applicable);
作為有關政策覆閱及需求分析及/或強積金適合性評估(如適用)；
14. matching with other personal data concerning client and/or the relevant participating employers and/or members for financial planning and/or MPF (if applicable) related purposes;
與客戶及/或參與僱主在有關的財務策劃及/或強積金(如適用)有關的用途作核對之用；決定欠付客戶或客戶欠付的債務款額；
15. collection of amounts outstanding from clients and those providing security for clients’ obligation;
向客戶或為客戶責任提供擔保的人士收回虧欠的款項；
16. meeting the requirements to make disclosure under the requirements of any laws, regulations, rules, codes binding on the HWSCL;
根據對弘歷證券具約束力的法律、規定、規則或守則的要求作出披露；
17. seeking or obtaining administrative, telecommunications, computer, payment, debt collection or securities clearing, custodian, audit, banking, financing, insurance, business consulting, outsourcing, or other services to HWSCL in connection with the operation of its business;
尋求或取得行政、電訊、電腦、付款、債務追討或證券結算、託管、審計、銀行、融資、保險、業務諮詢、外判服務或其他予弘歷證券的與其業務經營相關的服務；
18. any purpose permitted by all laws, rules and regulations in Hong Kong;
所有香港法律、規則及法規許可的任何目的；
19. any other purposes as notified to client at the time of collection; and
當收集客戶個人資料時所述任何其他用途；以及
20. any other lawful purposes ancillary or relating thereto.
其它附帶或相關的用途。

Use of Personal Data in Direct Marketing **將個人資料用於直接促銷用途**

Conducting direct marketing activities of financial services or related products, insurance and/or MPF products (if applicable) relating to the HWSCL and Related Parties, subject to applicable laws and the terms and conditions of the Client Agreement(s); if client has consented (including an indication of no objection) to the use of client’s personal data for direct marketing purposes by members of the HWSCL and/or entities outside the HWSCL in the client account application (or other relevant registration forms and questionnaires if applicable), marketing the following services, products, goods and facilities: Financial services; Related investment products; Financial and investment advice; Client relationship management services; Client credit protection and maintenance services and/or any other related goods, products or services that HWSCL or a member of the HWSCL may develop under this Statement, unless client instructs HWSCL otherwise, and seeking or obtaining the same.

根據相關適用的法律及客戶協議書內的條款及細則，可用於有關弘歷證券及相關人士所提供之金融服務及/或產品，保險及/或強積金產品(如適用)的直接促銷推廣活動；若客戶同意(包括表示不反對)弘歷證券成員及/或弘歷證券以外的公司使用客戶開戶申請書(或其他相關的登記表格及問卷如適用)中的個人資料以作直接促銷用途，以推廣下列服務、產品、商品、及設施：金融服務；相關投資產品；金融與投資建議；客戶關係管理服務；客戶信用的保護和維護服務；及/或除非客戶對弘歷證券另有指示，任何弘歷證券或其成員公司可根據本聲明發展其他相關的服務或產品，及尋求或取得該等服務或產品。

Transfer of Personal Data

個人資料的轉交

Data held by HWSCL relating to a client will be kept confidential but HWSCL may provide such information to the following parties within or outside Hong Kong to the extent permitted by law:

弘歷證券持有的客戶資料將會保密，本集團僅會於法律允許範圍下向下列香港以內或以外人士提供客戶資料：

1. any agent, contractor or third-party service provider who provides administrative, telecommunications, computer, payment or securities clearing, printing or other services to HWSCL in connection with the operation of its business;
向弘歷證券提供與業務活動有關的管理、電訊、電腦、款項或證券結算、印刷或其它服務的任何代理人、合約商或者第三方服務提供者；
2. any other companies within HWSCL;
弘歷證券內的任何其它公司；
3. any other person under a duty of confidentiality to HWSCL including a member of HWSCL which has undertaken to keep such information confidential;
遵守弘歷證券保密原則的任何其他人，包括已承諾將上述資料保密的弘歷證券之集團成員；
4. any financial institution with which the client has or proposes to have dealings;
客戶與之有業務往來或即將有業務往來的任何金融機構；
5. any actual or proposed assignee of the HWSCL or participant or sub-participant or transferee of the HWSCL's rights in respect of the client;
弘歷證券的任何實際或建議承讓人，或者與客戶相關的本集團權益參與人或次參與人或轉讓人；
6. any financial institution or other service providers rendering services to HWSCL in connection with the operation of HWSCL businesses;
任何與弘歷證券的業務有關之金融機構或提供其他服務之供應商；
7. any person acting or proposing to act as surety;
作為擔保人或擬作為擔保人的任何人士；
8. any insurance claim investigators;
任何保險索賠調查員；
9. third party administrators;
第三方管理機構；
10. professional advisors;
專業顧問；
11. any persons and corporate entities to whom HWSCL is obliged to disclose under the requirement of any law relating to HWSCL or its affiliates or business partners;
根據相關適用的法律的要求下，任何弘歷證券有責任向其披露的人士或聯屬公司或業務合作夥伴；
12. any other parties as notified to client at the time of collection;
在收集客戶的個人資料時已通知客戶的任何人士；
13. any person in accordance with the Laws including through or pursuant to any rules, judgment, decision or ruling of the courts, arbitral tribunals, Financial Dispute Resolution Centre Limited, governmental, regulatory or other bodies or institutions, whether as required by the Laws that are applicable to any member of the HWSCL, or otherwise, or any company issuing a notice under section 329 of the Securities and Futures Ordinance;
符合法例或任何監管規則的任何人士 (包括通過法院、仲裁庭、金融糾紛調解中心有限公司的任何判決、決定或裁決)、政府、監管或其他團體或機構，不論是根據法律或監管規則適用於任何集團成員的規例或其他規定之要求或其他情況，或者發出《證券及期貨例》第 329 條所指通知的任何公司；
14. any other person when we are compelled to make disclosure under the requirements of any laws binding on the HWSCL;
根據對弘歷證券具約束力的法律要求必須向其作出披露的任何其他人；
15. any person with the client's consent; and
經客戶同意的任何人士；及
16. any person in the event that HWSCL's interests require disclosure.
弘歷證券因本身利益需要而必須對其作出披露的任何人士。

In the course of performing our duties, the HWSCL may, as permitted by law, match, compare, transfer or exchange any personal data provided by the client, or hereafter obtained, for these or any other purposes by the HWSCL, with data held by government bodies, other regulatory authorities, corporations, organizations or individuals in Hong Kong or overseas for the purpose of verifying those data.

在履行本身的業務活動過程中，弘歷證券可能在法律允許的範圍內，把客戶所提供的或弘歷證券其後為此目的或其它目的所獲得的客戶個人資料與香港及海外的政府機構、其它監管機構、公司、組織或個人所持的資料進行校對、比較、轉移或交換，以便確認該等資料的可靠性。

Under and in accordance with the terms of the PDPO, any individual:

在符合私隱條例之條款的情況下及按照條例的條款，任何人士：

1. has the right to check whether HWSCL holds data about him/her and the right of access to such data;
有權查詢弘歷證券是否持有他/她的資料並有權取得該等資料；
2. has the right to require HWSCL to correct any data relating to him/her which is inaccurate; and
有權要求弘歷證券更改有關他/她的不正確資料；及
3. has the right to ascertain HWSCL policies and practices in relation to data and to be informed of the kind of personal data held by HWSCL.
有權查詢弘歷證券擁有該些資料的政策和應用範圍，並可了解弘歷證券所持有的個人資料的種類。

In accordance with the terms of the PDPO, HWSCL has the right to charge a reasonable fee for the processing of any data access request. However, HWSCL may or is required to refuse to process such data access request under the applicable law and regulations.

在符合私隱條例之條款的情況下，弘歷證券有權對資料查詢人士收取合理的費用。然而弘歷證券會因適用法例及規例而可能被要求拒絕處理該資料查詢的要求。

If any client who does not wish to receive any promotional materials for financial services or products, please write to us requesting, without charge, for ceasing to use the data for such purpose.

若客戶不希望收到任何金融服務或產品的宣傳資料，可書面通知本公司要求停止使用該等資料作該等用途，而無須支付任何費用。

The person to whom requests for access to data or correction of data or for information regarding policies and practices and kinds of personal data held are to be addressed is: Homily Worldwide Securities Company Limited, Unit 07, 28/F, Wu Chung House, 213 Queen's Road East, Wanchai, Hong Kong.

任何人士如欲查詢資料或更正資料或查詢有關政策和應用範圍以及個人資料的種類等資料，請隨時致函：香港灣仔皇后大道東 213 號胡忠大廈 28 樓 2807 室弘歷環球證券有限公司收。

- END -

H. SIGNING 簽名

The Client acknowledges and confirms that the Licensed Person has already explained the Risk Disclosure Statements of the Client Agreement for Securities Trading in a language of the Client's choice. The Client hereby fully understood and accepted all the aforesaid contents and provisions and has been invited to read the Risk Disclosure Statements of the Client Agreement for Securities Trading, to ask questions and take independent legal advice if the Client wishes.

持牌人士已根據客戶所選擇的語言向其提供及解釋證券交易客戶協議書的風險披露聲明書。本人已完全明白及接受所有內容和細則，並已獲邀閱讀該證券交易客戶協議書的風險披露聲明、提出問題及徵求獨立的意見(如本人有此意願)。

Acknowledgement by client 客戶確認：

Client Signature

客戶簽署：_____

Name of Client

客戶姓名：_____

Date

日期：_____

* Will be used as Specimen Signature 將被用作簽名樣式

In the presence of 見證人：

Signature of Witness

見證人簽署：_____

Name of Witness

見證人名稱*：_____

Date

日期：_____

*Witness should be a licensed or registered person, an affiliate of a licensed or registered person, a Justice of the Peace, or a professional person such as a branch manager of a bank, practising certified public accountant, lawyer, notary public, should be required to sign above. The Witness should provide us with self-certified ID copy and copy of the professional qualification documents. 見證人應為持牌或註冊人士、持牌或註冊人士的聯繫人士、太平紳士或專業人士，例如銀行分行經理、執業會計師、律師、公證人，簽署驗證。而該見證人需提供其已簽署之身份證明文件副本及專業資格證明文件之副本。

Risk Statements 風險聲明

Declaration by Licensed Person 持牌人士聲明：(to be completed by the Company 此欄由本公司填寫)

I have provided the Risk Disclosure Statements for dealing in Securities and the client acknowledged the contents of the relevant risk disclosure through an internet application system in a language of the Client's choice and have also invited and suggested the Client to ask questions and to seek independent legal advice.

本人已透過互聯網申請系統，按客戶所選擇的語言向其提供證券交易客戶協議書的風險披露聲明書，並得到客戶確認。本人亦已邀請及建議客戶就其內容和細則提出問題及尋求獨立法律意見。

Signature of Licensed Person

持牌人士簽署：_____

Name of Licensed Person

持牌人士姓名：_____

Individual Account need provide to following documents:

個人客戶需提供以下文件:

1. Certified true copy of your identity card / passport 帳戶持有人的身份證或護照的經簽名驗證複印本
2. A bank statement / utility bill within the past 3 months as proof of residential address 最近三個月的銀行結單或公共服務單據作住址證明
3. Proof of bank account (Client's name, bank name and bank account number must be clearly shown) 銀行帳戶證明(客戶姓名, 銀行名稱, 銀行戶口號碼必須清楚顯示)
4. Certified W-8BEN/W-9 Form 已核實W-8BEN 或W-9表格
5. Written consent letter issued by your compliance department (if you are employed by or you are a licensed or registered person) (if applicable)
由僱用公司合規部門發出之開戶同意書(若申請人或申請人僱主為持牌人士/持牌機構)(如適用)