



**SILVERBRICKS SECURITIES  
COMPANY LIMITED (BLN458)**

**SILVERBRICKS ASSET  
MANAGEMENT COMPANY  
LIMITED (BNJ665)**

**Account Opening Form  
(Joint Account)**

**開戶表格（聯名帳戶）**

**Requirements for Account Opening 開戶要求**

- |  |   |
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| <p><b>i.</b> 客戶年滿 18 歲或以上<br/>Applicants must be 18 years old or above</p> <p><b>ii.</b> 有效之身份證 / 護照副本<br/>Copy of valid ID card or passport</p> <p><b>iii.</b> 最近三個月內附申請人姓名之住址證明<br/>Public utility bill issued within 3 months<br/>matches with applicant's name</p> | <p><b>iv.</b> W-8BEN 表格 / W-9 表格 (如適用)<br/>W-8BEN form / W-9 form (if applicable)</p> <p><b>v.</b> 不少於港幣或等值一萬元, 並與開戶申請表格簽署<br/>相同之個人支票 (如需要)<br/>Personal check no less than HK10,000 or<br/>equivalent, with a signature that matches the<br/>signature on the form (if necessary)</p> |
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Website : www.silverbricks.com.hk  
SFC CE No. : BLN458 / BNJ665

\* Silverbricks Securities Company Limited hereinafter referred to as "SSCL" \* 元庫證券有限公司 以下會以 "元庫證券" 簡稱

\* Silverbricks Asset Management Company Limited hereinafter referred to as "SAMCL" \* 元庫資產管理有限公司 以下會以 "元庫資產管理" 簡稱

For Official Use Only 此欄由本公司職員填寫

Date	A/C No.
Client Name	AE Code
Brokerage	Brokerage (Internet Trading)
Trading Limit	Credit Limit

Joint Account Information – General Information

聯名帳戶 – 基本資料

Investment Type 投資類型	<input type="checkbox"/> Securities 證券	<input type="checkbox"/> Asset Management 資產管理	<input type="checkbox"/> Futures 期貨
Account Type 帳戶類別	<input type="checkbox"/> Cash Account 現金帳戶	<input type="checkbox"/> Margin Account 保證金帳戶	
Trading Market 交易市場	<input type="checkbox"/> H.K. Stocks 港股	<input type="checkbox"/> U.S. Stocks 美股	

Settlement Bank Information 交收銀行戶口

Name of Bank 銀行名稱		Account No. 帳戶號碼	
Currency 貨幣	<input type="checkbox"/> HKD 港幣	<input type="checkbox"/> CNY 人民幣	<input type="checkbox"/> USD 美金 <input type="checkbox"/> Others 其他: _____

Statement Option 結單選擇

Mode of Statement 結單收取方式	<input type="checkbox"/> Email 電郵 <input type="checkbox"/> Post 郵寄 – Application is required 需申請。	Language 結單語言	<input type="checkbox"/> 繁體中文 <input type="checkbox"/> 簡體中文 <input type="checkbox"/> English
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Authorisation 授權

1. The below person(s) is/are to be and is/are hereby appointed as Authorized Signers (the "Authorized Signatories") and be authorized to sign, execute and deliver all agreement consents, letter of instructions or other documents required by SSCL/ SAMCL for the settlement of future contract transactions with SSCL/ SAMCL in connection with the Account(s); to withdraw or transfer any monies, securities, collaterals or other properties into or out of the Account(s); and to make, execute and deliver all written endorsements and documents necessary to effect the authority conferred by this resolution.

以下人員將被任命為授權簽字人（“授權簽字人”），並被授權簽署、執行和交付所有協議同意書、指示信或其他元庫證券/元庫資產管理要求的文件用於結算與元庫證券/元庫資產帳戶相關的未來合約交易；提取或轉移任何資金、證券、抵押品或其他財產進出帳戶；並作出、簽署和交付所有必要的書面背書和文件，以實現本決議授予的權力。

- A. Primary Account Holder  
帳戶持有人（1）
- B. Secondary Account Holder  
帳戶持有人（2）
- C. Primary Account Holder or Secondary Account Holder  
帳戶持有人（1）或帳戶持有人（2）
- D. Primary Account Holder and Secondary Account Holder  
帳戶持有人（1）和帳戶持有人（2）

2. The below person(s) is/are to be and is/are hereby appointed as Trading Representative(s) of the (the "Trading Representative") and be authorized to give orders or trading instruction to SSCL/ SAMCL, whether in writing, verbally or otherwise, in respect of any transactions of the Account(s).

以下人員將被任命為交易代表（“交易代表”），並被授權向元庫證券/ 元庫資產管理發出訂單或交易指示，無論是以書面、口頭或其他方式，用以以該聯名帳戶名義進行的任何帳戶交易。

A. Primary Account Holder  
帳戶持有人（1）

B. Secondary Account Holder  
帳戶持有人（2）

C. Primary Account Holder or Secondary Account Holder  
帳戶持有人（1）或 帳戶持有人（2）

D. Primary Account Holder and Secondary Account Holder  
帳戶持有人（1）和 帳戶持有人（2）

### Joint Account – Primary Account Holder

#### 聯名帳戶 - 帳戶持有人（1）

#### Personal Information 基本資料

<b>Title 稱謂</b>	<input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Mrs. 太太 <input type="checkbox"/> Ms. 女士				
<b>English Name</b> 英文姓名			<b>Chinese Name</b> 中文姓名		
	<b>Surname 姓氏</b>	<b>Given name 名字</b>		<b>Surname 姓氏</b>	<b>Given name 名字</b>
<b>HKID / National ID / Passport* NO.</b> (* Please delete as appropriate) 香港身份證 / 國民身份證明文件 / 護照* 號碼 (* 請刪去不適用者)			<b>Nationality</b> 國籍	<input type="checkbox"/> Chinese (Hong Kong) 中國（香港） <input type="checkbox"/> Chinese (Mainland) 中國（內地） <input type="checkbox"/> Others 其他: _____	
<b>Place of Issue of Passport</b> 護照發出地			<b>Home Tel No.</b> 住宅電話號碼		
<b>Date of Birth</b> 出生日期	/ / DD日 / MM月 / YYYY年		<b>Mobile No.</b> 流動電話號碼		
<b>E-mail address</b> 電郵地址			<b>Fax No.</b> 傳真號碼		
<b>Residential Address</b> 住宅地址					
<b>Correspondence Address</b> 通訊地址	<input type="checkbox"/> Same as above 同上 <input type="checkbox"/> Others (Please specify) 其他 (請列明):				
<b>Educational Level / Status of Work 教育程度 及 工作狀況</b>					
<b>Education Level</b> 教育程度	<input type="checkbox"/> University or Above 大學或以上 <input type="checkbox"/> Primary or below 小學或以下 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Others (Please specify) 其他 (請列明): _____				

Status of Work 工作狀況	<input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱	
	<input type="checkbox"/> Un-employed 待業/失業 <input type="checkbox"/> Retired 退休人士	
<input type="checkbox"/> Housewife 家庭主婦 <input type="checkbox"/> Others (Please specify) 其他 (請列明): _____		
Company Name 公司名稱		Industry & Position 行業及職位
Office Telephone No. 公司電話號碼		Office Fax No. 公司傳真號碼
Company Address 公司地址		
Company E-mail Address 公司電郵地址		Year(s) of Employed 服務年資
<b>Financial Position (HKD) 財務情況 (港幣)</b>		
Source of Fund 資金來源	<input type="checkbox"/> Salary/Business Income 工作/營業收入 <input type="checkbox"/> Investment Return 投資回報 <input type="checkbox"/> Pension 退休金 <input type="checkbox"/> Others (Please specify) 其他 (請列明): _____	
Source of Wealth 財富來源	<input type="checkbox"/> Salary 工作收入 <input type="checkbox"/> Personal Savings 個人儲蓄 <input type="checkbox"/> Household Income 家庭收入 <input type="checkbox"/> Investment Return 投資回報 <input type="checkbox"/> Business Profits 商業盈利 <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> Gift 饋贈 <input type="checkbox"/> Others (Please specify) 其他 (請列明): _____	
Annual Income 每年收入	<input type="checkbox"/> < HK\$250,000 <input type="checkbox"/> HK\$250,000 – HK\$500,000 <input type="checkbox"/> HK\$500,001 – HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001 – HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 – HK\$10,000,000 <input type="checkbox"/> > HK\$10,000,000	
Other Assets 資產項目	<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 (請列明): _____	
Net Worth 資產淨值	<input type="checkbox"/> < HK\$500,000 <input type="checkbox"/> HK\$500,000 – HK\$2,500,000 <input type="checkbox"/> HK\$2,500,001 – HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 – HK\$10,000,000 <input type="checkbox"/> HK\$10,000,001 – HK\$50,000,000 <input type="checkbox"/> > HK\$50,000,000	
Estimated Investment Amount 預計投資金額	<input type="checkbox"/> < HK\$100,000 <input type="checkbox"/> HK\$100,000 – HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001 – HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 – HK\$10,000,000 <input type="checkbox"/> HK\$10,000,001 – HK\$50,000,000 <input type="checkbox"/> > HK\$50,000,000	
<b>Investment Experience / Knowledge of Derivatives 投資經驗及衍生產品知識</b>		
Investment Objective 投資目標	<input type="checkbox"/> Dividend Yield 股息回報 <input type="checkbox"/> Capital Gain 資本增值 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Hedging 對沖	

Investment Experience 投資經驗			
<b>Stocks 股票</b>	Year(s) 年	<b>Futures/Options 期貨 / 期權</b>	Year(s) 年
<b>CBBC 牛熊證</b>	Year(s) 年	<b>Warrants 衍生權證</b>	Year(s) 年
<b>Bonds 債券</b>	Year(s) 年	<b>Funds 基金</b>	Year(s) 年
客戶對衍生產品認識的評估	<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否	1. <b>I underwent training or attended courses on derivative products.</b> 本人曾接受有關衍生產品的培訓或修讀相關課程
	<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否	2. <b>I have current or previous work experience related to derivative products.</b> 本人現時或過去擁有與衍生產品有關的工作經驗。
	<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否	3. <b>I have executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Index Futures and Options, Commodities Futures, Structured Products, and Exchange- Traded Funds, etc.</b>  本人於過去 3 年內曾執行過 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、指數期貨及期權、商品期貨、結構性產品及交易所買賣基金等。
Jurisdiction of Residence and Taxpayer Identification Number 居留司法管轄區及稅務編號			
<b>Nationality 國籍</b>	<input type="checkbox"/> Chinese (Hong Kong) 中國（香港） <input type="checkbox"/> Chinese (Mainland) 中國（內地） <input type="checkbox"/> Others (Please specify) 其他（請列明）: _____		
Are you a citizen (US passport holder) or resident (green card holder) of the United States? 閣下是否為美國公民 / 美國居民(包括綠卡持有者)?			
<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 - Please provide ITIN 閣下之納稅人識別號碼為: _____			
Tax Residency 稅務居民資料			
<p>Please confirm your tax residency status under the requirements of Common Reporting Standard (“CRS”). Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder’s TIN for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence.</p> <p>根據《共同匯報標準》（CRS）的規定，請確認閣下的稅務居民身份狀況。提供以下資料，列明（a）帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區（香港包括在內）及（b）該居留司法管轄區發給帳戶持有人的稅務編號。列出所有（不限於 5 個）居留司法管轄區。</p> <p><b>*If the account holder is a tax resident of China, Hong Kong or Macau, the TIN is the China / Hong Kong / Macau Identity Card Number.</b></p> <p>*中國內地、香港及澳門的稅務編號為身份證號碼。</p>			

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，請填寫理由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
1.			
2.			
3.			

Reason A 理由A	The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents. 帳戶持有人的居留司法稅務管轄區並沒有向其居民發出稅務編號。
Reason B 理由B	The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason. 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。
Reason C 理由C	TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed. 帳戶持有人毋須提供稅務編號。這理由只適用於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。

**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 a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. HK\$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(即港幣一萬)罰款。**

#### Disclosure of Identity

#### 身份披露

1. Are you a licensed person / an employee of a licensed corporation under the Securities and Futures Ordinance or the Banking Ordinance? 閣下是否為任何根據證券及期貨條例或銀行業條例下之持牌人士或持牌機構之僱員？	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 - Please specify 請列明: Licensed Corporation/Registered Institution Name 持牌法團/註冊機構名稱: _____ CE No. 中央編號: _____
2. Do you have any relationship with any substantial shareholder, director or employee of SSCL or its associated companies? 閣下是否與元庫證券或其關聯公司之主要股東、董事或僱員有任何關係？	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 - Please specify 請列明: Name of shareholder/director/employee 股東/董事/僱員 姓名: _____ Relationship 關係: _____
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？	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 - Please specify 請列明: Company Name 公司名稱: _____ Stock Code 上市編號: _____

<p>4. <b>Are you acting as an intermediary for the account?</b> 閣下是否以中介人身份操作帳戶?</p>	<p> <input type="checkbox"/> No 否  <input type="checkbox"/> Yes 是 - Please specify 請列明:            Name of the 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: _____         </p>
<p>5. <b>Are you and/or your spouse, partner, children or parents or close associates a Politically Exposed Person“ (PEP)”?</b> (Note: PEP refers to a person entrusted with a prominent public function including a head of state, head of government, senior politician, senior executive of a state-owned corporation and an important political party official, which is more specifically defined under the Anti-Money Laundering and Counter-Terrorist Financing (Financial Institutions) Ordinance (Cap. 615 of the Laws of Hong Kong). 閣下及/或閣下的配偶、合夥人、子女或父母或近親是否屬「政治人物」一類人士? (備註: 政治人物是指受託行使重要公共職能的人士, 包括國家元首、政府首長、資深從政者、國有企業的高級行政人員和重要 政黨的幹事; 更詳細定義見《打擊洗錢及恐怖分子資金籌集(金融機構)條例》(香港法例第615章)。</p>	<p> <input type="checkbox"/> No 否  <input type="checkbox"/> Yes 是 - Please specify 請列明:            Name of PEP 政治人物姓名: _____            Relationship 關係: _____         </p>
<p>6. <b>Have you been arrested/tried/sentenced/disciplined for illegal activities or violating regulatory requirements?</b> 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?</p>	<p> <input type="checkbox"/> No 否  <input type="checkbox"/> Yes 是 - Please specify 請列明: _____         </p>
<p><b>Questions below are for Margin Account Only 以下僅適用於保證金帳戶</b></p>	
<p>7. <b>Does the spouse of the Client have an account with SSCL?</b> 閣下的配偶是否持有元庫證券的帳戶?</p>	<p> <input type="checkbox"/> No 否 / N/A 不適用  <input type="checkbox"/> Yes 是 - Please specify 請列明:            Name of Spouse 配偶姓名: _____            ID/Passport No. 身份證/護照號碼: _____            Account No. 帳戶號碼: _____         </p>
<p>8. <b>Do you or together with your spouse control 35% or more of the voting rights of another corporate margin account client of SSCL?</b> 閣下 (或聯同閣下的配偶) 是否控制 (或共同控制) 元庫證券的其他公司保證金帳戶之客戶的 35% 或以上表決權?</p>	<p> <input type="checkbox"/> No 否  <input type="checkbox"/> Yes 是 - Please specify 請列明:            Name of margin account client:            保證金帳戶客戶名稱: _____            Account number of margin account client:            保證金帳戶客戶號碼: _____         </p>

### Other Information

#### 其他資料

How do you learn about SSCL/SAMCL? 閣下是從哪些途徑認識元庫證券/元庫資產管理?

Friends 朋友

Relatives 親戚

Website 網頁

Advertisement 廣告

Others 其他 - Please specify 請列明: \_\_\_\_\_

### Offers and Promotions

#### 優惠及推廣資訊

- |   |   |
|---|---|
| 1. I agree to the use of the Data Subjects' personal data in SSCL/SAMCL.<br>本人同意元庫證券/元庫資產管理使用資料當事人之個人資料。  | <input type="checkbox"/> Yes 是<br><input type="checkbox"/> No 否 |
| 2. I agree to the transfer of the Data subjects' personal data within Silverbricks Group Companies.<br>本人同意如上述情況在元庫集團公司之間轉移資料當事人之個人資料。  | <input type="checkbox"/> Yes 是<br><input type="checkbox"/> No 否 |
| 3. I agree to the use of or transfer within Silverbricks Group Companies the Data Subjects' personal data by SSCL/SAMCL in direct marketing.<br>本人同意元庫證券/元庫資產管理使用或在元庫集團公司之間轉移當事人的個人資料作直接促銷用途。 | <input type="checkbox"/> Yes 是<br><input type="checkbox"/> No 否 |

### Risk Assessment Questionnaire

#### 風險評估問卷

#### Section A) Personal Profile 個人背景

Q1: In which age group do you fall into? 請問閣下的年齡區間?

- (2) Age Between 18 and 29 ( 18 至 29 歲 )
- (3) Age Between 30 and 39 ( 30 至 39 歲 )
- (6) Age Between 40 and 49 ( 40 至 49 歲 )
- (5) Age Between 50 and 59 ( 50 至 59 歲 )
- (4) Age Between 60 and 65 ( 60 至 65 歲 )
- (1) Age over 65 ( 65 歲或以上 )

#### Section B) Financial Profile 財務背景

Q2: How much is your estimated annual income (all income sources inclusive)?

請問閣下的年收入總額 ( 包含各類來源收入 ) ?

- (1) Less than HK\$250,000 ( 少於港幣 \$250,000 )
- (2) Between HK\$250,000 and HK\$499,999 ( 港幣 \$250,000 至港幣 \$499,999 )
- (3) Between HK\$500,000 and HK\$999,999 ( 港幣 \$500,000 至港幣 \$999,999 )
- (4) Between HK\$1,000,000 and HK\$2,999,999 ( 港幣 \$1,000,000 至港幣 \$2,999,999 )
- (5) Between HK\$3,000,000 and HK\$4,999,999 ( 港幣 \$3,000,000 至港幣 \$4,999,999 )
- (6) Between HK\$5,000,000 and HK\$9,999,999 ( 港幣 \$5,000,000 至港幣 \$9,999,999 )
- (7) Above HK\$10,000,000 ( 港幣 \$10,000,000 以上 )



Q3: What is the estimated percentage of your annual income (all income sources inclusive) available for investment or savings?

請問閣下的收入總額 (包含各類來源收入) 中有多少比例可以用於投資或儲蓄?

- (1) 0% ( 0% )
- (2) Between 0% and 10% ( 0% 至 10% )
- (3) Between 11% and 25% ( 11% 至 25% )
- (4) Between 26% and 50% ( 26% 至 50% )
- (5) Between 51% and 75% ( 51% 至 75% )
- (6) More than 75% ( 超過 75% )

Q4: How much is your estimated total wealth? 請問閣下的財富總額?

- (1) Less than HK\$1,000,000 ( 少於港幣 \$1,000,000 )
- (2) Between HK\$1,000,000 and HK\$2,499,999 ( 港幣 \$1,000,000 至港幣 \$2,499,999 )
- (3) Between HK\$2,500,000 and HK\$4,999,999 ( 港幣 \$2,500,000 至港幣 \$4,999,999 )
- (4) Between HK\$5,000,000 and HK\$7,999,999 ( 港幣 \$5,000,000 至港幣 \$7,999,999 )
- (5) Between HK\$8,000,000 and HK\$24,999,999 ( 港幣 \$8,000,000 至港幣 \$24,999,999 )
- (6) Above HK\$25,000,000 ( 港幣 \$25,000,000 以上 )

Q5: How many months of your share of household expenses are available to you to meet unforeseen events?

請問閣下大約相當於多少個月的家庭開支可用作應付不時之需的儲備金額?

- (1) None ( 無 )
- (2) Less than 3 months ( 少於 3 個月 )
- (3) Between 3 and 6 months ( 3 至 6 個月 )
- (4) Between 7 and 9 months ( 7 至 9 個月 )
- (5) Between 10 and 12 months ( 10 至 12 個月 )
- (6) Longer than 13 months ( 13 個月以上 )

### Section C) Investment Profile 投資背景

Q6: What is your estimated total investment amount during last 12 months? 請問閣下過去一年的總投資金額為何?

- (1) None ( 無 )
- (2) Less than HK\$250,000 ( 少於港幣 \$250,000 )
- (3) Between HK\$250,000 and HK\$999,999 ( 港幣 250,000 至港幣 \$999,999 )
- (4) Between HK\$1,000,000 and HK\$2,499,999 ( 港幣 \$1,000,000 至港幣 \$2,499,999 )
- (5) Between HK\$2,500,000 and HK\$7,999,999 ( 港幣 \$2,500,000 至港幣 \$7,999,999 )
- (6) Between HK\$8,000,000 and HK\$24,999,999 ( 港幣 \$8,000,000 至港幣 \$24,999,999 )
- (7) Above HK\$25,000,000 ( 港幣 \$25,000,000 以上 )

Q7: How many years of experience do you have with investing in listed equities or ETF or equity fund or investment-linked insurance policy products?

請問閣下對上市權益證券或於交易所買賣之基金或股票型共同基金或投資型保單等商品有多少年之投資經驗?

- (1) None ( 無 )
- (2) Less than one year ( 少於 1 年 )
- (3) Between 2 and 3 years ( 2 至 3 年 )
- (4) Between 4 and 5 years ( 4 至 5 年 )
- (5) Between 6 and 10 years ( 6 至 10 年 )
- (6) More than 10 years ( 10 年以上 )

Q8: How many years of experience do you have with investing in fixed income related products (such as cash bond or ECB or fixed-income Fund)?

請問閣下對固定收益商品 (債券或可轉換公司債或固定收益基金等) 有多少年之投資經驗?

- (1) None (無)
- (2) Less than one year (少於1年)
- (3) Between 2 and 3 years (2至3年)
- (4) Between 4 and 5 years (4至5年)
- (5) Between 6 and 10 years (6至10年)
- (6) More than 10 years (10年以上)

Q9: How many years of experience do you have with investing in structured products (such as RN or CLN or ELN)?

請問閣下對結構型商品 (利率連結票據或信用連結票據或股票連結票據等) 有多少年之投資經驗?

- (1) None (無)
- (2) Less than one year (少於1年)
- (3) Between 2 and 3 years (2至3年)
- (4) Between 4 and 5 years (4至5年)
- (5) Between 6 and 10 years (6至10年)
- (6) More than 10 years (10年以上)

Q10: How many years of experience do you have with investing in alternative fund/hedge fund products?

請問閣下對另類基金 / 避險基金有多少年之投資經驗?

- (1) None (無)
- (2) Less than one year (少於1年)
- (3) Between 2 and 3 years (2至3年)
- (4) Between 4 and 5 years (4至5年)
- (5) Between 6 and 10 years (6至10年)
- (6) More than 10 years (10年以上)

Q11: How many years of experience do you have with investing in futures, options and derivatives products (such as option or warrant)?

請問閣下對期貨、期權及衍生產品 (例如選擇權或權證) 有多少年之投資經驗?

- (1) None (無)
- (2) Less than one year (少於1年)
- (3) Between 2 and 3 years (2至3年)
- (4) Between 4 and 5 years (4至5年)
- (5) Between 6 and 10 years (6至10年)
- (6) More than 10 years (10年以上)

Q12: How many years of experience do you have with investing in foreign currency?

請問閣下對投資外匯保證金有多少年之投資經驗?

- (1) None (無)
- (2) Less than one year (少於1年)
- (3) Between 2 and 3 years (2至3年)
- (4) Between 4 and 5 years (4至5年)
- (5) Between 6 and 10 years (6至10年)
- (6) More than 10 years (10年以上)

**Section D) Investment Objective 投資目標**

Q13: What is your main investment purpose? (please select one only) 請問閣下主要投資目標？(只選一項)

- (1) Capital preservation (資本保障)
- (2) Earn fixed interest income (賺取定息收益)
- (3) Stable, balanced capital growth (穩定均衡資本增長)
- (4) Gradual long term capital growth (賺取長遠的資本增長)
- (5) Maximize the capital growth as soon as possible (盡快賺取最高的資本增長)

Q14: What is your expectation on the investment return? (Assuming inflation rate is greater than zero)

你期望的投資回報是多少？(假設通脹率 >= 0%)?

- (1) Same as inflation rates (與通脹率一樣)
- (2) 2% higher than inflation rates (在通脹率以上至高於通脹率 2%)
- (3) 2-5% higher than inflation rates (高於通脹率 2% 以上至 5%)
- (4) 5-8% higher than inflation rates (高於通脹率 5% 以上至 8%)
- (5) More than 8% higher than inflation rates (高於通脹率 8% 以上)

Q15: What level of fluctuation of investment product would be acceptable to you?

你願意接受有多大波動程度的投資產品？

- (1) 0%, indicating zero risk tolerance. (0% , 代表完全不能有價格波動)
- (2) Between -5% and +5% (-5% 至 +5% 之間)
- (3) Between -10% and +10% (-10% 至 +10% 之間)
- (4) Between -25% and +25% (-25% 至 +25% 之間)
- (5) Between -50% and +50% (-50% 至 +50% 之間)
- (6) Total loss (全部損失)

Q16: It is generally true that the longer the investment horizon, the higher the risk an investor can tolerate. What time horizon would you generally plan with when investing in products the value of which can fluctuate?

一般而言，投資者計劃的投資期限越長，意味著能承受的風險越高。你投資時會對投資期限做什麼樣的計劃？

- (1) Less than 1 years (< 1 年)
- (2) 1 to 3 years (1-3 年)
- (3) 4 to 6 years (4-6 年)
- (4) 7 to 10 years (7-10 年)
- (5) Over 10 years (>10 年)

**Q17: Which of the following best describes your risk attitude towards investment value fluctuations?**

以下哪一項最適合用來形容你對投資風險的態度？

- (1) Risk adverse – I would be very concerned about any volatility; I am not comfortable with fluctuations in the values of my investment portfolio.  
 避免風險 – 我是相當保守的投資者，我不願意所從事的投資有任何價格波動。
- (2) Conservative – I am conservative, but can accept some minor fluctuations in my portfolio's value and some potential loss of principal. I am more concerned with preserving my principal and earning income than maximizing capital appreciation.  
 平穩保守 – 我是保守的投資者，我可以接受所從事的投資有少許價格波動及可能損失部分投資本金，但比較注重保本及收益。
- (3) Moderate – I have a moderate investment attitude and accept that the potential for higher returns means accepting fluctuations in my portfolio's value and possible loss of principal.  
 中度風險 – 我瞭解風險與高回報息息相關，因此我願意接受從事的投資有價格波動情況，及可能損失投資本金。
- (4) Long-term Growth – My main goal is long-term capital appreciation; and though I would be concerned about major fluctuations and increased risk of loss, I can accept considerable investment volatility.  
 長期增長 – 我以追求長期資本增值為主。雖然我會關注所從事的投資有較大的價格波動及損失風險，但我可以接受相當的投資波動。
- (5) Aggressive – I want my investments to grow and earn the highest possible return. I can accept negative fluctuations and possible loss of my principal.  
 進取增長 – 我期望透過投資增長而達至最高回報。我能接受價格下跌及可能損失投資本金。

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 **SSCL/SAMCL** 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對**元庫證券/元庫資產管理**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。

**Section E) Classification of Customer Investment Risk Profiles 客戶投資風險屬性分類**

Total Score = The Sum of Q1-Q17 總分 = 第一題至第十七題分數總和

According to your answers in the questionnaire above, your total score is \_\_\_\_\_. Please refer to the "Description of Client Investment Suitability Classification" in Section F. Your investment risk profile is classified as:

根據閣下對以上問卷的答案，依照您的回答總計得分為\_\_\_\_\_。您可參照 Section F 「客戶投資屬性分類的說明」。元庫證券/元庫資產管理僅將您的投資風險屬性分類如下：

- Conservative 保守型**     
  **Balanced 平衡型**     
  **Aggressive 積極型**

(Note: In case the client is over or equal to 65 years old, the risk tolerance level should be classified as Conservative disregarding his/her score above. 如客戶年齡為高於 65 歲，不論其總分如何其風險承受能力應設定為保守型。)

**Section F) 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
<30	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
31-60	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。	Low - Medium 低至中風險
>60	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。	Low - High 低至高風險

Please be noted that your investments with **SSCL/SAMCL** 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，否則閣下於元庫證券/元庫資產管理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；在有需要的情況下，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。

### Section G) Client Declarations on Risk Assessment Questionnaire 風險評估問卷之客戶聲明

I hereby agree to be classified as  Conservative  Balanced  Aggressive type of investors. The agreement is made upon fully understanding the significance of this particular risk categorization and the assessment process (i.e., the "Risk Assessment Questionnaire" exercise) from which it is derived. This risk categorization will be used as a reference point with respect to my investment decisions for products invested by way of your company. I agree that this risk categorization shall inform the investment products available to me pursuant to the table in Section F "Description of Client Investment Suitability Classification" provided, however, the assigned risk categorization may be changed pursuant to the processes stated in the last paragraph of the "Description of Client Investment Suitability Classification" in Section F.

本人同意 貴公司將本人歸類為  保守型  平衡型  積極型 投資人，且本人已完全明瞭經由此「風險評估問卷」分析，本人所受歸屬之投資風險屬性之意涵。此風險屬性將作為本人經由 貴公司投資商品時之參考依據。本人同意，除本人依「客戶投資屬性分類的說明」末段程序更改風險屬性外，本人投資之標的將限於本人風險屬性依 Section F「客戶投資屬性分類的說明」所對應之投資商品。

I disagree to be classified as \_\_\_\_\_ type of investor, and would like to be reclassified as the type indicated below and will follow the restrictions and guidelines applied to the reclassified types as stated in the table "Description of Client Investment Suitability Classification" provided. I understand and agree that in no event shall **SSCL/SAMCL** be held accountable for this reclassification.

本人不同意 貴公司將本人歸類為 \_\_\_\_\_ 型投資人，且本人欲重新歸類至以下所指定的投資風險屬性，並遵守 貴公司對該類型之投資限制及指引。本人亦明瞭及同意元庫證券/元庫資產管理無須對本人在此「風險評估問卷」之類型變更負責。

I / would like to be reclassified as 本人欲更改本人投資風險類型為：

**Conservative 保守型**       **Balanced 平衡型**       **Aggressive 積極型**

Reason(s) 原因: .....

### Joint Account – Secondary Account Holder

#### 聯名帳戶 - 帳戶持有人 (2)

#### Personal Information 基本資料

<b>Title 稱謂</b>	<input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Mrs. 太太 <input type="checkbox"/> Ms. 女士			
<b>English Name</b> 英文姓名	<b>Chinese Name</b>		<b>Chinese Name</b>	
	<b>Surname 姓氏</b>	<b>Given name 名字</b>	<b>Surname 姓氏</b>	<b>Given name 名字</b>
<b>HKID / National ID / Passport * No. (* Please delete as appropriate)</b> 香港身份證 / 國民身份證明文件 / 護照* 號碼 (* 請刪去不適用者)	<b>Nationality</b> 國籍		<input type="checkbox"/> Chinese (Hong Kong) 中國 (香港) <input type="checkbox"/> Chinese (Mainland) 中國 (內地) <input type="checkbox"/> Others 其他: _____	
<b>Place of Issue of Passport</b> 護照發出地	<b>Home Tel No.</b> 住宅電話號碼			
<b>Date of Birth</b> 出生日期	/ / DD日 / MM月 / YYYY年		<b>Mobile No.</b> 流動電話號碼	
<b>E-mail address</b> 電郵地址	<b>Fax No.</b> 傳真號碼			

<b>Residential Address</b> 住宅地址			
<b>Correspondence Address</b> 通訊地址	<input type="checkbox"/> Same as above 同上 <input type="checkbox"/> Others (Please specify) 其他 (請列明):		
<b>Educational Level / Status of Work 教育程度及工作狀況</b>			
<b>Education Level</b> 教育程度	<input type="checkbox"/> University or Above 大學或以上 <input type="checkbox"/> Primary or below 小學或以下 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Others (Please specify) 其他 (請列明): _____		
<b>Status of Work</b> 工作狀況	<input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Un-employed 待業/失業 <input type="checkbox"/> Retired 退休人士 <input type="checkbox"/> Housewife 家庭主婦 <input type="checkbox"/> Others (Please specify) 其他 (請列明): _____		
<b>Company Name</b> 公司名稱		<b>Industry &amp; Position</b> 行業及職位	
<b>Office Telephone No.</b> 公司電話號碼		<b>Office Fax No.</b> 公司傳真號碼	
<b>Company Address</b> 公司地址			
<b>Company E-mail Address</b> 公司電郵地址		<b>Year(s) of Employed</b> 服務年資	
<b>Financial Position (HKD) 財務情況 (港幣)</b>			
<b>Source of Fund</b> 資金來源	<input type="checkbox"/> Salary/Business Income 工作/營業收入 <input type="checkbox"/> Investment Return 投資回報 <input type="checkbox"/> Pension 退休金 <input type="checkbox"/> Others (Please specify) 其他 (請列明): _____		
<b>Source of Wealth</b> 財富來源	<input type="checkbox"/> Salary 工作收入 <input type="checkbox"/> Personal Savings 個人儲蓄 <input type="checkbox"/> Household Income 家庭收入 <input type="checkbox"/> Investment Return 投資回報 <input type="checkbox"/> Business Profits 商業盈利 <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> Gift 饋贈 <input type="checkbox"/> Others (Please specify) 其他 (請列明): _____		
<b>Annual Income</b> 每年收入	<input type="checkbox"/> < HK\$250,000 <input type="checkbox"/> HK\$250,000 – HK\$500,000 <input type="checkbox"/> HK\$500,001 – HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001 – HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 – HK\$10,000,000 <input type="checkbox"/> > HK\$10,000,000		
<b>Other Assets</b> 資產項目	<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 (請列明): _____		
<b>Net Worth</b> 資產淨值	<input type="checkbox"/> < HK\$500,000 <input type="checkbox"/> HK\$500,000 – HK\$2,500,000 <input type="checkbox"/> HK\$2,500,001 – HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 – HK\$10,000,000 <input type="checkbox"/> HK\$10,000,001 – HK\$50,000,000 <input type="checkbox"/> > HK\$50,000,000		

<b>Estimated Investment Amount</b> 預計投資金額	<input type="checkbox"/> < HK\$100,000 <input type="checkbox"/> HK\$1,000,001 – HK\$5,000,000 <input type="checkbox"/> HK\$10,000,001 – HK\$50,000,000	<input type="checkbox"/> HK\$100,000 – HK\$1,000,000 <input type="checkbox"/> HK\$5,000,001 – HK\$10,000,000 <input type="checkbox"/> > HK\$50,000,000
<b>Investment Experience / Knowledge of Derivatives 投資經驗及衍生產品知識</b>		
<b>Investment Objective</b> 投資目標	<input type="checkbox"/> Dividend Yield 股息回報 <input type="checkbox"/> Speculation 投機	<input type="checkbox"/> Capital Gain 資本增值 <input type="checkbox"/> Hedging 對沖
<b>Investment Experience 投資經驗</b>		
<b>Stocks 股票</b>	Year(s) 年 _____	<b>Futures/Options 期貨 / 期權</b> Year(s) 年 _____
<b>CBBC 牛熊證</b>	Year(s) 年 _____	<b>Warrants 衍生權證</b> Year(s) 年 _____
<b>Bonds 債券</b>	Year(s) 年 _____	<b>Funds 基金</b> Year(s) 年 _____
<b>客戶對衍生產品認識的評估</b>	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<b>1. I underwent training or attended courses on derivative products.</b> 本人曾接受有關衍生產品的培訓或修讀相關課程
	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<b>2. I have current or previous work experience related to derivative products.</b> 本人現時或過去擁有與衍生產品有關的工作經驗。
	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<b>3. I have executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Index Futures and Options, Commodities Futures, Structured Products, and Exchange-Traded Funds, etc.</b> 本人於過去 3 年內曾執行過 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、指數期貨及期權、商品期貨、結構性產品及交易所買賣基金等。
<b>Jurisdiction of Residence and Taxpayer Identification Number</b> 居留司法管轄區及稅務編號		
<b>Nationality 國籍</b>	<input type="checkbox"/> Chinese (Hong Kong) 中國 (香港) <input type="checkbox"/> Chinese (Mainland) 中國 (內地) <input type="checkbox"/> Others (Please specify) 其他 (請列明): _____	
<b>Are you a citizen (US passport holder) or resident (green card holder) of the United States?</b> 閣下是否為美國公民 / 美國居民(包括綠卡持有者)?		
<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 - Please provide ITIN 閣下之納稅人識別號碼為: _____		

### 稅務居民資料 Tax Residency

Please confirm your tax residency status under the requirements of Common Reporting Standard (“CRS”). Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder’s TIN for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence.

根據《共同匯報標準》（CRS）的規定，請確認閣下的稅務居民身份狀況。提供以下資料，列明（a）帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區（香港包括在內）及（b）該居留司法管轄區發給帳戶持有人的稅務編號。列出所有（不限於5個）居留司法管轄區。

\*If the account holder is a tax resident of China, Hong Kong or Macau, the TIN is the China / Hong Kong / Macau Identity Card Number.

\*中國內地、香港及澳門的稅務編號為身份證號碼。

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，請填寫理由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
1.			
2.			
3.			

Reason A 理由A	The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents. 帳戶持有人的居留司法稅務管轄區並沒有向其居民發出稅務編號。
Reason B 理由B	The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason. 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。
Reason C 理由C	TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed. 帳戶持有人毋須提供稅務編號。這理由只適用於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。

**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 a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. HK\$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（即港幣一萬）罰款。**

### Disclosure of Identity

#### 身份披露

1. Are you a licensed person / an employee of a licensed corporation under the Securities and Futures Ordinance or the Banking Ordinance?  閣下是否為任何根據證券及期貨條例或銀行業條例下之持牌人士或持牌機構之僱員？	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 - Please specify 請列明：  Licensed Corporation/Registered Institution Name 持牌法團/註冊機構名稱：_____  CE No. 中央編號：_____
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<p>2. <b>Do you have any relationship with any substantial shareholder, director or employee of SSCL or its associated companies?</b></p> <p>閣下是否與元庫證券或其關聯公司之主要股東、董事或僱員有任何關係？</p>	<p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes 是 - Please specify 請列明:</p> <p>Name of shareholder/director/employee 股東/董事/僱員姓名: _____</p> <p>Relationship 關係: _____</p>
<p>3. <b>Are you a major shareholder / director / senior manager of any (listed) company whose shares are traded on an exchange or market?</b></p> <p>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？</p>	<p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes 是 - Please specify 請列明:</p> <p>Company Name 公司名稱: _____</p> <p>Stock Code 上市編號: _____</p>
<p>4. <b>Are you acting as an intermediary for the account?</b></p> <p>閣下是否以中介人身份操作帳戶？</p>	<p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes 是 - Please specify 請列明:</p> <p>Name of the ultimate beneficial owner(s): 戶口最終權益擁有人名稱: _____</p> <p>Nationality 國籍: _____</p> <p>ID/Passport No. 身份證/護照號碼: _____</p> <p>Phone No. 電話號碼: _____</p>
<p>5. <b>Are you and/or your spouse, partner, children or parents or close associates a Politically Exposed Person“( PEP)”?</b></p> <p><small>(Note: PEP refers to a person entrusted with a prominent public function including a head of state, head of government, senior politician, senior executive of a state-owned corporation and an important political party official, which is more specifically defined under the Anti-Money Laundering and Counter-Terrorist Financing (Financial Institutions) Ordinance (Cap. 615 of the Laws of Hong Kong).</small></p> <p>閣下及/或閣下的配偶、合夥人、子女或父母或近親是否屬「政治人物」一類人士？<small>(備註：政治人物是指受託行使重要公共職能的人士，包括國家元首、政府首長、資深從政者、國有企業的高級行政人員和重要政黨的幹事；更詳細定義見《打擊洗錢及恐怖分子資金籌集(金融機構)條例》(香港法例第615章))</small></p>	<p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes 是 - Please specify 請列明:</p> <p>Name of PEP 政治人物姓名： _____</p> <p>Relationship 關係: _____</p>
<p>6. <b>Have you been arrested/tried/sentenced/disciplined for illegal activities or violating regulatory requirements?</b></p> <p>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？</p>	<p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes 是 - Please specify 請列明: _____</p>
<p><b>Questions below are for Margin Account Only 以下僅適用於保證金帳戶</b></p>	
<p>7. <b>Does the spouse of the Client have an account with SSCL?</b></p> <p>閣下的配偶是否持有元庫證券的帳戶？</p>	<p><input type="checkbox"/> No 否 / N/A 不適用</p> <p><input type="checkbox"/> Yes 是 - Please specify 請列明:</p> <p>Name of Spouse 配偶姓名: _____</p> <p>ID/Passport No. 身份證/護照號碼: _____</p> <p>Account No. 帳戶號碼: _____</p>

<p>8. <b>Do you or together with your spouse control 35% or more of the voting rights of another corporate margin account client of SSCL?</b></p> <p>閣下 (或聯同閣下的配偶) 是否控制 (或共同控制) 元庫證券的其他公司保證金帳戶之客戶的 35% 或以上表決權?</p>	<p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes 是 - Please specify 請列明:</p> <p>Name of margin account client:</p> <p>保證金帳戶客戶名稱: _____</p> <p>Account number of margin account client:</p> <p>保證金帳戶客戶號碼: _____</p>
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**Other Information**  
其他資料

**How do you learn about SSCL/SAMCL? 閣下是從哪些途徑認識元庫證券/元庫資產管理?**

<input type="checkbox"/> Friends 朋友	<input type="checkbox"/> Relatives 親戚	<input type="checkbox"/> Website 網頁	<input type="checkbox"/> Advertisement 廣告
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Others 其他 - Please specify 請列明: \_\_\_\_\_

**Offers and Promotions**  
優惠及推廣資訊

1. I agree to the use of the Data Subjects' personal data in SSCL/SAMCL. 本人同意元庫證券/元庫資產管理使用資料當事人之個人資料。	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
2. I agree to the transfer of the Data subjects' personal data within Silverbricks Group Companies. 本人同意如上述情況在元庫集團公司之間轉移資料當事人之個人資料。	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
3. I agree to the use of or transfer within Silverbricks Group Companies the Data Subjects' personal data by SSCL/SAMCL in direct marketing. 本人同意元庫證券/元庫資產管理使用或在元庫集團公司之間轉移當事人的個人資料作直接促銷用途。	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否

**Risk Assessment Questionnaire**  
風險評估問卷

**Section A) Personal Profile 個人背景**

Q1: In which age group do you fall into? 請問閣下的年齡區間?

(2) Age Between 18 and 29 ( 18 至 29 歲 )  
 (3) Age Between 30 and 39 ( 30 至 39 歲 )  
 (6) Age Between 40 and 49 ( 40 至 49 歲 )  
 (5) Age Between 50 and 59 ( 50 至 59 歲 )  
 (4) Age Between 60 and 65 ( 60 至 65 歲 )  
 (1) Age over 65 ( 65 歲或以上 )

**Section B) Financial Profile 財務背景**

Q2: How much is your estimated annual income (all income sources inclusive)?

請問閣下的年收入總額 (包含各類來源收入) ?

- (1) Less than HK\$250,000 (少於港幣 \$250,000)
- (2) Between HK\$250,000 and HK\$499,999 (港幣 \$250,000 至港幣 \$499,999)
- (3) Between HK\$500,000 and HK\$999,999 (港幣 \$500,000 至港幣 \$999,999)
- (4) Between HK\$1,000,000 and HK\$2,999,999 (港幣 \$1,000,000 至港幣 \$2,999,999)
- (5) Between HK\$3,000,000 and HK\$4,999,999 (港幣 \$3,000,000 至港幣 \$4,999,999)
- (6) Between HK\$5,000,000 and HK\$9,999,999 (港幣 \$5,000,000 至港幣 \$9,999,999)
- (7) Above HK\$10,000,000 (港幣 \$10,000,000 以上)

Q3: What is the estimated percentage of your annual income (all income sources inclusive) available for investment or savings?

請問閣下的收入總額 (包含各類來源收入) 中有多少比例可以用於投資或儲蓄?

- (1) 0% (0%)
- (2) Between 0% and 10% (0% 至 10%)
- (3) Between 11% and 25% (11% 至 25%)
- (4) Between 26% and 50% (26% 至 50%)
- (5) Between 51% and 75% (51% 至 75%)
- (6) More than 75% (超過 75%)

Q4: How much is your estimated total wealth? 請問閣下的財富總額?

- (1) Less than HK\$1,000,000 (少於港幣 \$1,000,000)
- (2) Between HK\$1,000,000 and HK\$2,499,999 (港幣 \$1,000,000 至港幣 \$2,499,999)
- (3) Between HK\$2,500,000 and HK\$4,999,999 (港幣 \$2,500,000 至港幣 \$4,999,999)
- (4) Between HK\$5,000,000 and HK\$7,999,999 (港幣 \$5,000,000 至港幣 \$7,999,999)
- (5) Between HK\$8,000,000 and HK\$24,999,999 (港幣 \$8,000,000 至港幣 \$24,999,999)
- (6) Above HK\$25,000,000 (港幣 \$25,000,000 以上)

Q5: How many months of your share of household expenses are available to you to meet unforeseen events?

請問閣下大約相當於多少個月的家庭開支可用作應付不時之需的儲備金額?

- (1) None (無)
- (2) Less than 3 months (少於 3 個月)
- (3) Between 3 and 6 months (3 至 6 個月)
- (4) Between 7 and 9 months (7 至 9 個月)
- (5) Between 10 and 12 months (10 至 12 個月)
- (6) Longer than 13 months (13 個月以上)

### Section C) Investment Profile 投資背景

Q6: What is your estimated total investment amount during last 12 months? 請問閣下過去一年的總投資金額為何?

- (1) None (無)
- (2) Less than HK\$250,000 (少於港幣 \$250,000)
- (3) Between HK\$250,000 and HK\$999,999 (港幣 250,000 至港幣 \$999,999)
- (4) Between HK\$1,000,000 and HK\$2,499,999 (港幣 \$1,000,000 至港幣 \$2,499,999)
- (5) Between HK\$2,500,000 and HK\$7,999,999 (港幣 \$2,500,000 至港幣 \$7,999,999)
- (6) Between HK\$8,000,000 and HK\$24,999,999 (港幣 \$8,000,000 至港幣 \$24,999,999)
- (7) Above HK\$25,000,000 (港幣 \$25,000,000 以上)

Q7: How many years of experience do you have with investing in listed equities or ETF or equity fund or investment-linked insurance policy products?

請問閣下對上市權益證券或於交易所買賣之基金或股票型共同基金或投資型保單等商品有多少年之投資經驗？

- (1) None (無)
- (2) Less than one year (少於1年)
- (3) Between 2 and 3 years (2至3年)
- (4) Between 4 and 5 years (4至5年)
- (5) Between 6 and 10 years (6至10年)
- (6) More than 10 years (10年以上)

Q8: How many years of experience do you have with investing in fixed income related products (such as cash bond or ECB or fixed-income Fund)?

請問閣下對固定收益商品(債券或可轉換公司債或固定收益基金等)有多少年之投資經驗？

- (1) None (無)
- (2) Less than one year (少於1年)
- (3) Between 2 and 3 years (2至3年)
- (4) Between 4 and 5 years (4至5年)
- (5) Between 6 and 10 years (6至10年)
- (6) More than 10 years (10年以上)

Q9: How many years of experience do you have with investing in structured products (such as RN or CLN or ELN)?

請問閣下對結構型商品(利率連結票據或信用連結票據或股票連結票據等)有多少年之投資經驗？

- (1) None (無)
- (2) Less than one year (少於1年)
- (3) Between 2 and 3 years (2至3年)
- (4) Between 4 and 5 years (4至5年)
- (5) Between 6 and 10 years (6至10年)
- (6) More than 10 years (10年以上)

Q10: How many years of experience do you have with investing in alternative fund/hedge fund products?

請問閣下對另類基金/避險基金有多少年之投資經驗？

- (1) None (無)
- (2) Less than one year (少於1年)
- (3) Between 2 and 3 years (2至3年)
- (4) Between 4 and 5 years (4至5年)
- (5) Between 6 and 10 years (6至10年)
- (6) More than 10 years (10年以上)

Q11: How many years of experience do you have with investing in futures, options and derivatives products (such as option or warrant)?

請問閣下對期貨、期權及衍生產品(例如選擇權或權證)有多少年之投資經驗？

- (1) None (無)
- (2) Less than one year (少於1年)
- (3) Between 2 and 3 years (2至3年)
- (4) Between 4 and 5 years (4至5年)
- (5) Between 6 and 10 years (6至10年)
- (6) More than 10 years (10年以上)

Q12: How many years of experience do you have with investing in foreign currency?

請問閣下對投資外匯保證金有多少年之投資經驗？

- (1) None ( 無 )
- (2) Less than one year ( 少於 1 年 )
- (3) Between 2 and 3 years ( 2 至 3 年 )
- (4) Between 4 and 5 years ( 4 至 5 年 )
- (5) Between 6 and 10 years ( 6 至 10 年 )
- (6) More than 10 years ( 10 年以上 )

**Section D) Investment Objective 投資目標**

Q13: What is your main investment purpose? (please select one only) 請問閣下主要投資目標？( 只選一項 )

- (1) Capital preservation ( 資本保障 )
- (2) Earn fixed interest income ( 賺取定息收益 )
- (3) Stable, balanced capital growth ( 穩定均衡資本增長 )
- (4) Gradual long term capital growth ( 賺取長遠的資本增長 )
- (5) Maximize the capital growth as soon as possible ( 盡快賺取最高的資本增長 )

Q14: What is your expectation on the investment return? (Assuming inflation rate is greater than zero)

你期望的投資回報是多少？( 假設通脹率  $\geq 0\%$  )

- (1) Same as inflation rates ( 與通脹率一樣 )
- (2) 2% higher than inflation rates ( 在通脹率以上至高於通脹率 2% )
- (3) 2-5% higher than inflation rates ( 高於通脹率 2% 以上至 5% )
- (4) 5-8% higher than inflation rates ( 高於通脹率 5% 以上至 8% )
- (5) More than 8% higher than inflation rates ( 高於通脹率 8% 以上 )

Q15: What level of fluctuation of investment product would be acceptable to you?

你願意接受有多大波動程度的投資產品？

- (1) 0%, indicating zero risk tolerance. ( 0% , 代表完全不能有價格波動 )
- (2) Between -5% and +5% ( -5% 至 +5% 之間 )
- (3) Between -10% and +10% ( -10% 至 +10% 之間 )
- (4) Between -25% and +25% ( -25% 至 +25% 之間 )
- (5) Between -50% and +50% ( -50% 至 +50% 之間 )
- (6) Total loss ( 全部損失 )

Q16: It is generally true that the longer the investment horizon, the higher the risk an investor can tolerate. What time horizon would you generally plan with when investing in products the value of which can fluctuate?

一般而言，投資者計劃的投資期限越長，意味著能承受的風險越高。你投資時會對投資期限做什麼樣的計劃？

- (1) Less than 1 years ( < 1 年 )
- (2) 1 to 3 years ( 1-3 年 )
- (3) 4 to 6 years ( 4-6 年 )
- (4) 7 to 10 years ( 7-10 年 )
- (5) Over 10 years ( >10 年 )

**Q17: Which of the following best describes your risk attitude towards investment value fluctuations?**

以下哪一項最適合用來形容你對投資風險的態度？

- (1) Risk adverse – I would be very concerned about any volatility; I am not comfortable with fluctuations in the values of my investment portfolio.  
避免風險 – 我是相當保守的投資者，我不願意所從事的投資有任何價格波動。
- (2) Conservative – I am conservative, but can accept some minor fluctuations in my portfolio's value and some potential loss of principal. I am more concerned with preserving my principal and earning income than maximizing capital appreciation.  
平穩保守 – 我是保守的投資者，我可以接受所從事的投資有少許價格波動及可能損失部分投資本金，但比較注重保本及收益。
- (3) Moderate – I have a moderate investment attitude and accept that the potential for higher returns means accepting fluctuations in my portfolio's value and possible loss of principal.  
中度風險 – 我瞭解風險與高回報息息相關，因此我願意接受從事的投資有價格波動情況，及可能損失投資本金。
- (4) Long-term Growth – My main goal is long-term capital appreciation; and though I would be concerned about major fluctuations and increased risk of loss, I can accept considerable investment volatility.  
長期增長 – 我以追求長期資本增值為主。雖然我會關注所從事的投資有較大的價格波動及損失風險，但我可以接受相當的投資波動。
- (5) Aggressive – I want my investments to grow and earn the highest possible return. I can accept negative fluctuations and possible loss of my principal.  
進取增長 – 我期望透過投資增長而達至最高回報。我能接受價格下跌及可能損失投資本金。

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 **SSCL/SAMCL** 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對**元庫證券/元庫資產管理**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。

**Section E) Classification of Customer Investment Risk Profiles 客戶投資風險屬性分類**

Total Score = The Sum of Q1-Q17 總分 = 第一題至第十七題分數總和

According to your answers in the questionnaire above, your total score is \_\_\_\_\_. Please refer to the "Description of Client Investment Suitability Classification" in Section F. Your investment risk profile is classified as:

根據閣下對以上問卷的答案，依照您的回答總計得分為 \_\_\_\_\_. 您可參照 Section F 「客戶投資屬性分類的說明」。元庫證券/元庫資產管理僅將您的投資風險屬性分類如下：

- Conservative 保守型**       **Balanced 平衡型**       **Aggressive 積極型**

(Note: In case the client is over or equal to 65 years old, the risk tolerance level should be classified as Conservative disregarding his/her score above. 如客戶年齡為高於 65 歲，不論其總分如何其風險承受能力應設定為保守型。)

**Section F) 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
<30	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
31-60	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。	Low - Medium 低至中風險
>60	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。	Low - High 低至高風險

Please be noted that your investments with **SSCL/SAMCL** 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，否則閣下於元庫證券/元庫資產管理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；在有需要的情況下，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。

### Section G) Client Declarations on Risk Assessment Questionnaire 風險評估問卷之客戶聲明

I hereby agree to be classified as  Conservative  Balanced  Aggressive type of investors. The agreement is made upon fully understanding the significance of this particular risk categorization and the assessment process (i.e., the "Risk Assessment Questionnaire" exercise) from which it is derived. This risk categorization will be used as a reference point with respect to my investment decisions for products invested by way of your company. I agree that this risk categorization shall inform the investment products available to me pursuant to the table in Section F "Description of Client Investment Suitability Classification" provided, however, the assigned risk categorization may be changed pursuant to the processes stated in the last paragraph of the "Description of Client Investment Suitability Classification" in Section F.

本人同意 貴公司將本人歸類為  保守型  平衡型  積極型 投資人，且本人已完全明瞭經由此「風險評估問卷」分析，本人所受歸屬之投資風險屬性之意涵。此風險屬性將作為本人經由 貴公司投資商品時之參考依據。本人同意，除本人依「客戶投資屬性分類的說明」末段程序更改風險屬性外，本人投資之標的將限於本人風險屬性依 Section F「客戶投資屬性分類的說明」所對應之投資商品。

I disagree to be classified as \_\_\_\_\_ type of investor, and would like to be reclassified as the type indicated below and will follow the restrictions and guidelines applied to the reclassified types as stated in the table "Description of Client Investment Suitability Classification" provided. I understand and agree that in no event shall **SSCL/SAMCL** be held accountable for this reclassification.

本人不同意 貴公司將本人歸類為 \_\_\_\_\_ 型投資人，且本人欲重新歸類至以下所指定的投資風險屬性，並遵守 貴公司對該類型之投資限制及指引。本人亦明瞭及同意元庫證券/元庫資產管理無須對本人在此「風險評估問卷」之類型變更負責。

I / would like to be reclassified as 本人欲更改本人投資風險類型為：

**Conservative** 保守型  **Balanced** 平衡型  **Aggressive** 積極型

Reason(s) 原因: .....

### 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況下在創業板上市。創業板股份可能非常波動及流通性很低。

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 gazetted 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況下方行有效。此外，除非你是專業投資者，你的授權書必須指明有效期，而該段有效期不得超逾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 SSCL/SAMCL 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，你應先向元庫證券/元庫資產管理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 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類型的工具前，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誤延長執行時間。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或未必與納斯達克或掛牌證券預期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。

### Acknowledgement and Declaration by Client

#### 客戶確認及聲明

1. We, who sign this Account Opening Form, agree to open the above account(s) with SSCL/SAMCL.  
我們(簽署本開戶表格)同意於元庫證券/元庫資產管理開立上述帳戶。
2. We are the ultimate beneficial owner of the Account and is fully responsible for all instructions for the operation of the said Account.  
我們是帳戶的最終實益擁有人，並完全負責為該帳戶運作所發出的一切指示。
3. We are not a bankrupt person and we are not aware of any legal proceedings which have been started against us for bankruptcy.  
我們並非破產人士，而且據我們所知，並沒有任何針對我們的破產的法律程序正在進行。
4. We confirm that the information in this Form is true, complete and correct, and we have read and fully understood all provisions in the Terms and Conditions of the Client Account Agreement, and sought independent advice if needed, and accept and agree to be bound thereby and the Terms and Conditions of the Client Account Agreement may be amended thereafter. SSCL/SAMCL reserves the right to cancel my application at any time if the information given in the application is found to be untrue. SSCL/SAMCL are entitled to rely fully on such information for all purposes, unless SSCL/SAMCL receives notice in writing of any changes.  
我們確認本表格所填資料屬真實、完整及正確，並已閱讀和完全明白《客戶帳戶協議書》的條款及條件所載的條文，並按需要(如有)徵求獨立意見，及接受並同意受該等文件的約束及《客戶帳戶協議書》的條款及條件其後可能作出之修訂。我們明白若元庫證券/元庫資產管理發現任何刻意隱瞞之事實，元庫證券/元庫資產管理將保留取消此申請之權利。除非元庫證券/元庫資產管理收到資料更改的書面通知，元庫證券/元庫資產管理有權為任何目的信賴這些資料。
5. We acknowledge and agree that (a) the information contained in this form is collected and may be kept by your company 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 your company 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).  
我們知悉及同意，貴公司可根據《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。

6. If we are categorized as "without knowledge of derivatives", we further acknowledge that we have carefully read the relevant risks associated with investing in derivative products of the Risk Disclosure Statement in the Client Account Agreement and fully understood the relevant risks herewith. Although I might not have relevant derivatives product(s) trading experience, we may still base on our own independent judgement to request for entering into transaction(s) of derivatives product(s) and would take all risks associated.

如我們被歸類為「對衍生產品沒有認識」，我們進一步確認已仔細閱讀在《客戶帳戶協議書》所載風險披露聲明所列明的有關投資衍生產品所涉及的風險，並完全明白其中所述之相關風險。儘管我們可能並沒有相關衍生產品交易經驗，我們可能基於獨立判斷仍要求進行衍生產品交易。我們願意承擔所有相關衍生產品風險。

7. We acknowledge and confirm that (a) the risk disclosure statement was provided in a language of our choice (English or Chinese), and (b) we were invited to read the risk disclosure statement, to ask questions and take independent advice if we wish.

我們知悉及確認，(a) 風險披露聲明已按照我們選擇的語言(英文或中文)提供及(b)我們已獲邀閱讀該風險披露聲明、提出問題及徵求獨立的意見(如我們有此意願)。

8. We undertake to notify SSCL/SAMCL within 30 days if any change of the above information.

如果上述資料有任何變更，我們確保會於30日內通知元庫證券/元庫資產管理。

**Client Signature**

客戶簽署

**Date**

日期

Account Opening Approval 開戶批核

**Declaration by Witness 見證人聲明 (如需要)**

**Witness Signature**

見證人簽署

**Witness Name**

見證人姓名

**Profession / Title**

見證人專業及職稱

**Date**

日期

<p><b>Declaration by Licensed Representative 持牌代表聲明</b></p> <p>I, as a licensed person, confirm that I have provided (a) the risk disclosure statement in a language of the client's choice (English or Chinese) and (b) invited the client to read the risk disclosure statement, ask questions and take independent advice if the client wishes.</p> <p>本人以持牌人士身份確認，本人(a)已按照客戶所選擇的語言提供風險披露聲明及(b)邀請客戶閱讀該風險披露聲明、提出問題及徵求獨立的意見(如客戶有此意願)。</p>	
<p><b>Licensed Representative Signature</b></p> <p>持牌代表簽署</p>	<p><b>Name of Licensed Representative</b></p> <p>持牌代表姓名</p> <p><b>CE No.</b></p> <p>中央編號</p> <p><b>Date</b></p> <p>日期</p>
<p><b>Approval by Authorized Officer 批核人員</b></p>	
<p><b>Approved by</b></p> <p>批核人員簽署</p>	<p><b>Name of Authorized Officer</b></p> <p>批核人員姓名</p> <p><b>CE No.</b></p> <p>中央編號</p> <p><b>Date</b></p> <p>日期</p>