



華邦證券有限公司
Huabang Securities Limited

CASH CLIENT'S AGREEMENT

現金客戶協議書

Name of Account:

戶口名稱: _____

Cash Account No:

現金戶口號碼: _____

現金客戶協議書

To : Huabang Securities Limited

Unit 2901-02, 29/F., Enterprise Square Two, 3 Sheung Yuet Road, Kowloon Bay, Kowloon, Hong Kong.

致：華邦證券有限公司

香港九龍九龍灣常悅道3號企業廣場二期29樓2901-02室

(approved by the Securities and Futures Commission (the "SFC") as a licensed corporation with CE Number ADS061 in carrying on Types 1 & 4 regulated activities, namely dealing in securities and an Exchange Participant of The Stock Exchange of Hong Kong Limited (the "Exchange"))

(為證券及期貨事務監察委員會(「證監會」)核准經營第1類及第4類受規管活動，即從事證券交易的持牌法團(所分配的獨特識別號碼為ADS061)以及香港聯合交易所有限公司(「聯交所」)的交易所參與者)

I/We _____ request you to operate a cash securities trading account (the "Account") on behalf of me/us on the following terms and conditions:-

本人/吾等 _____ 茲要求閣下根據下列條款及條件為本人/吾等運作一個現金證券買賣戶口(「戶口」):

1. The Account 戶口

1.1 I/We confirm that the information provided in the Client Information Statement & Signature Card and Client Information Statement is complete and accurate. I/We will inform you of any changes to that information. You are authorised to conduct credit enquiries on me/us to verify the information provided.

本人/吾等確認「客戶資料表及印鑑咭和開戶資料表」所載資料均屬完整及正確。倘該等資料有任何變更，本人/吾等將會通知閣下。本人/吾等特此授權閣下對本人/吾等的信用進行查詢，以核實上述表格所載資料。

1.2 You will keep information relating to my /our Account confidential, but may provide any such information to the Exchange and the SFC to comply with their requirements or requests for information.

閣下將會對本人/吾等戶口的有關資料予以保密，但閣下可以根據聯交所及證監會的規定或應其要求，將該等資料提供予聯交所及證監會。

2. Laws and rules 法例及規則

All transactions in securities which you effect on my/our instructions ("Transactions") shall be effected in accordance with all laws, rules and regulatory directions applying to you. This includes the rules of the Exchange and of the Hong Kong Securities Clearing Company Limited (the "Clearing House"). All actions taken by you in accordance with such laws, rules and directions shall be binding on me/us.

閣下按本人/吾等的指示而進行的一切證券交易(「交易」)，須根據適用於閣下的一切法例、規則和監管指示的規定而進行。這方面的規定包括聯交所及香港中央結算有限公司(「中央結算公司」)的規則。閣下根據該等法例、規則及指示而採取的所有行動均對本人/吾等具有約束力。

3. Transactions 交易

3.1 You will act as my/our agent in effecting Transactions unless you indicate (in the contract note for the relevant Transaction or otherwise) that you are acting as principal.

除閣下(在有關交易的成交單或其他合約單據內)註明以自己本身名義進行交易外，閣下將以本人/吾等的代理人身份進行交易。

3.2 I/We will notify you when a sale order relates to securities which I/we do not own i.e. involves short selling.

倘沽盤是有關非由本人/吾等擁有的證券，即涉及賣空交易，本人/吾等將會通知閣下。

3.3 On all Transactions, I/we will pay your commissions (_____ % of the turnover) and charges, as notified to me/us, as well as applicable trading fee imposed by the Exchange, transaction levy imposed by Securities and Futures Commission, CCASS fee imposed by the Clearing House, and all applicable stamp duties. You may deduct such commissions, trading fee, transaction levy, charges and duties from the Account.

本人/吾等會就所有交易支付 閣下通知本人/吾等的佣金 (交易額的_____%)和收費，繳付聯交所徵收的適用交易費，證監會徵收的適用交易徵費，中央結算公司徵收的適用結算費，並繳納所有有關的印花稅。 閣下可以從戶口中扣除該等佣金、交易費、交易徵費、結算費及稅項。

3.4 Unless otherwise agreed, in respect of each Transaction, unless you are already holding cash or securities on my/our behalf to settle the Transaction, I/we will

- pay you cleared funds or deliver to you securities in deliverable form or
- otherwise ensure that you have received such funds or securities

by such time as you have notified me/us in relation to that Transaction. If I/we fail to do so, you may

- in the case of a purchase Transaction, sell the purchased securities and
- in the case of a sale Transaction, borrow and/or purchase securities in order to settle the Transaction.

就每一宗交易，除另有協議外或除非 閣下已代本人/吾等持有現金或證券供交易交收之用，否則本人/吾等將會在 閣下就該項交易通知本人/吾等的期限之前

- 向 閣下交付可即時動用的資金或可以交付的證券，或
- 以其他方式確保 閣下收到此等資金或證券。

倘本人/吾等未能這樣做， 閣下可以

- (如屬買入交易) 出售買入的證券；及
- (如屬賣出交易) 借入及/或買入證券以進行交易的交收。

3.5 I/We will be responsible to you for any losses and expenses resulting from my/our settlement failures.

本人/吾等將會負擔 閣下因本人/吾等未能進行交收而引起的任何損失及開支。

3.6 I/We agree to forthwith pay interest on all overdue balances (including interest arising after a judgement debt is obtained against me/us) at such rates and on such other terms as you have notified me/us from time to time.

本人/吾等同意就所有逾期未付款項(包括對本人/吾等裁定的欠付債務所引起的利息)，按 閣下不時通知本人/吾等的利率及其他條款立即支付利息。

3.7 In the case of a purchase Transaction, if the selling broker fails to deliver on the settlement date and you have to purchase securities to settle the Transaction, I/we shall not be responsible to you for the costs of such purchase.

就買入交易而言，倘賣方經紀未能於交收日內交付證券，導致 閣下須買入證券進行交收，本人/吾等毋須為買入該等證券的費用向 閣下負責。

4. Safekeeping of securities 證券的保管

4.1 Any securities which are received or held by you in Hong Kong for safekeeping may, at your discretion:

- (in the case of registrable securities) be registered in my/our name or in the name of your associated entity; or
- be deposited in safe custody in a segregated account which is designated as a trust account or client account established and maintained in Hong Kong with your bankers, with any other institution approved by the SFC as a provider of safe custody services; or with another licensed corporation or registered institution approved by the SFC for dealing in securities.

由 閣下在香港收取或持有妥為保管的任何證券，閣下可以酌情決定：

- (如屬可註冊證券) 本人/吾等的名義或以 閣下的聯系實體名義註冊；或
- 存放於 閣下在往來銀行；在任何獲證監會認可提供保管服務的機構；或在另一間獲證監會發牌從事證券交易持牌法團或註冊機構的獨立帳戶內作穩妥保管，而該帳戶須指定為信託帳戶或客戶帳戶並在香港開立及維持。

4.2 Where securities are not registered in my/our name, any dividends or other benefits arising in respect of such securities shall, when received by you, be credited to my/our Account or paid or transferred to me/us, as agreed with you. Where the securities form part of a larger holding of identical securities held for your clients, I/we shall be entitled to the same share of the benefits arising on the holding as my/our share of the total holding.

倘證券未以本人/吾等之名義註冊，閣下於收到該等證券所獲派的任何股息或其他利益時，須按本人/吾等與閣下的協議記入本人/吾等的戶口或支付予或轉帳予本人/吾等。倘該等證券屬於閣下代客戶持有較大數量的同一證券的一部份，本人/吾等有權按本人/吾等所佔的比例獲得該等證券的利益。

- 4.3 You do not have my/our written authority under section 7(2) of the Securities and Futures (Client Securities) Rules (Cap. 571 sub. leg.) to apply any of my/our securities in question pursuant to a securities borrowing and lending agreement.

本人/吾等並無根據《證券及期貨(客戶證券)規則》(第571章附屬條例)第7(2)條以書面授權閣下根據證券借貸協議運用任何有關本人/吾等的證券。

5. Cash held for me/us 代本人/吾等保管的現金

- 5.1 Any cash which are received or held by you in Hong Kong on my/our behalf, other than cash received by you in respect of Transactions and which is on-paid for settlement purposes or payable to me/us, shall be credited to one or more segregated accounts, each of which shall be designated as a trust account or client account, established and maintained in Hong Kong with your bankers or with any other person approved by the SFC.

由閣下代本人/吾等在香港收取或持有的現金(此等現金不包括閣下就交易取得，而且須為交收而轉付或轉付予本人/吾等的現金)，須存入閣下在往來銀行或在任何獲證監會核准的人士處所開立一個或多於一個獨立帳戶內，而每個該等帳戶均須指定為信託帳戶或客戶帳戶並在香港開立及維持。

- 5.2 For the purpose of section 6 of the Securities and Futures (Client Money) Rules (Cap. 571 sub. leg.), I/we hereby agree that you shall be entitled to receive for your own benefits all sums derived by way of interest on all amounts held in the Account for or on account of me/us.

為符合《證券及期貨(客戶款項)規則》(第571章附屬條例)第6條，本人/吾等茲同意閣下有權為本身利益收取在戶口中所有為或代本人/吾等持有的款項所產生的全部利息款額。

6 Risk Disclosure Statement 風險披露聲明書

I/We acknowledge that the price of securities can and does fluctuate, and any individual security may experience upwards or downwards movements, and may even become valueless. There is an inherent risk that losses may be incurred rather than profit made as a result of buying and selling securities. I/We also acknowledge that there may be risks in leaving securities in your safekeeping. For example, if you are holding my/our securities and you become insolvent, I/we may experience significant delay in recovering the securities. These are risks that I/we are prepared to accept.

本人/吾等知道證券價格可能及必定會波動，任何個別證券的價格皆可上升或下跌，甚至可能變成毫無價值。買賣證券不一定獲利，而且存在著可能損失的風險。本人/吾等也知道將證券交給閣下保管可能存在風險。例如當閣下持有本人/吾等的證券而閣下無力償債時，本人/吾等取回證券的時間可能會受到嚴重阻延。本人/吾等願意承擔此等風險。

7. General 一般規定

- 7.1 All securities held for my/our Account shall be subject to a general right of disposal in your favour, for the performance of my/our obligations to you arising in respect of dealing in securities for me/us.

所有本人/吾等戶口內的證券均受制於閣下的全面處置權，以確保本人/吾等履行對閣下代本人/吾等買賣證券而產生的責任。

- 7.2 If you fail to meet your obligations to me/us pursuant to this Agreement, I/we shall have a right to claim under the Investor Compensation Fund established under the Securities and Futures Ordinance (Cap. 571), subject to the terms of the Investor Compensation Fund from time to time.

倘閣下沒有依照本協議書的規定履行本人/吾等的責任，本人/吾等有權向根據《證券及期貨條例(第571章)》成立的投資者賠償基金索償，惟須受投資者賠償基金不時的條款制約。

- 7.3 You will notify me/us of material changes in respect of your business which may affect the services you provide to me/us.

倘閣下的業務有重大變更，並且可能影響閣下為本人/吾等提供的服務，閣下將會通知本人/吾等。

- 7.4 I/We aware that cheque for settlement of trading transaction should be crossed and made payable to “Huabang Securities Limited” and not with third-party cheque.

本人/吾等明白購入股票時應以本人/吾等劃線支票付款予“華邦證券有限公司”，不得沿用予第三者支票。

- 7.5 I/We confirm that I/we have read and agree to the terms of this Agreement, which have been explained to me/us in a language that I/we understand. I/We confirm that if there is any dispute, the English version will prevail the Chinese version.

本人/吾等確認本人/吾等已詳閱並同意本協議書的條款，而且該等條款已經以本人/吾等明白的語言向本人解釋。本人/吾等確認，倘若有任何爭議，那麼則以本協議書之英文版為準。

7.6 I/We confirm that, no matter whether this Agreement is executed or signed in or outside the Hong Kong Special Administrative Region, this Agreement is interpreted and governed by, and may be enforced in accordance with, the laws of the Hong Kong Special Administrative Region.

本人/吾等確認，不論本協議書是在香港特別行政區或以外/海外地方簽署，本協議書只受香港特別行政區法律詮釋及管轄，並且可以根據香港特別行政區法律執行。

7.7 I/We confirm and declare and warrant that all the money involved in my/our account under this Agreement is my/own money and is not directly or indirectly for money laundering or relevant purpose in violation of the laws in the Hong Kong Special Administrative Region.

本人/吾等確認、聲明及保證，所有在閣下戶口內有關本協議書之金錢均屬本人/吾等，絕不直接或間接涉及清洗黑錢或有關行徑(違反香港特別行政區法律)。

7.8 I/We confirm that this Agreement supersedes all previous agreements, undertakings or promises between the parties. If there is any amendment, addition or deletion in respect of the contents of this Agreement, such amendment, addition or deletion should be in writing and signed by both parties.

本人/吾等確認協議書為所有協議之全部，即本協議書生效前的一切協議、承諾或保證均為無效及被本協議書取代。倘若雙方對本協議書之內容有任何修改、補充或增減，雙方則須要以書面形式簽署作實有關之修改、補充或增減。

7.9 I/We confirm that I/We have sought independent legal advice for the contents of this Agreement before execution of the same.

本人/吾等確認本人/吾等已在簽署本協議前就本協議之內容向有關人士尋求獨立法律意見。

Signed by 由本人/吾等

In the presence of 在下述見證人面前簽名:

Signature of Client 客戶簽署

Witness name 見證人姓名 _____

Witness address 見證人地址 _____

Witness occupation 見證人職業 _____

CE No.編號 _____ (if applicable)

Signature of Witness 見證人簽名

Acknowledged and accepted by

Huabang Securities Limited

經由華邦證券有限公司確認及接受

Authorised Signature 授權簽名

ACCOUNT INFORMATION STATEMENT 客戶資料表

1. Personal / Business Data 個人 / 商業資料

Name of Account in English 戶口姓名(英文): _____

Name of Account in Chinese 戶口姓名(中文) : _____

HKID Card No./ Passport No. 香港身份證號碼 / 護照號碼 : _____

Business Registration No. 商業登記號碼 : _____

Residence / Business Address 住址/商業地址: _____

Correspondence Address 通訊地址: _____

Residence/Business Tel. No. 電話號碼 : _____ Office Tel. No. 電話號碼 : _____

Mobile Phone No. 流動電話號碼: _____ Facsimile No. 圖文傳真 : _____

E-Mail Address 電子郵件 : _____

Occupation / Nature of Business 職業/業務性質 : _____

Banker 銀行名稱 : _____

Bank Account no. 銀行戶口號碼 : _____

2. Specimen Authorised Signatures 授權簽名式樣

A	Name 姓名: HK I.D. Card No./ Passport No.: 香港身份證號碼 / 護照號碼:.....	Signature 簽名:
B	Name 姓名: HK I.D. Card No./ Passport No.: 香港身份證號碼 / 護照號碼:.....	Signature 簽名:
C	Name 姓名: HK I.D. Card No./ Passport No.: 香港身份證號碼 / 護照號碼:.....	Signature 簽名:
D	Specimen of Business Chop / Seal 業務印章式樣:	
Mark 備註:		

Note 1 : The Account can be operated on the instructions of any two or more signatures / any one signature * (if in joint names)

註一 : 戶口可根據其中兩式或以上 / 任何一式*(聯名戶口用)簽名式樣下運作。

* : Delete if inapplicable 刪除不適用者

4.1 Investment objective in general 投資目的:

- short term speculation 短線投資 medium term speculation 中線投資
 long term speculation 長線投資

4.2 Years of experience in securities investment 投資證券經驗:

- Nil 無 1-3 years 年
 4-5 years 年 over 5 years 年

5. Identity of the ultimate beneficial owner(s) of the Account 戶口最終權益擁有人的身份

- I /We confirm and declare that I/we am/are not acting as an intermediary for the account. The trading orders placed with you are not for any of my/our clients or any ultimate beneficiary.

本人/吾等確認本人/吾等並非以戶口中介人的身份行事。向閣下作出的買賣指令，均非為本人/吾等的客戶或任何本人/吾等以外的最終受益人作出。

- I/We confirm and declare that I/we am/are acting as an intermediary for the account. (If chosen this choice, please complete the following information.)

本人/吾等確認本人/吾等以戶口中介人的身份行事。(如選擇此項，請完成下列資料)

The ultimate beneficial owner(s) is/are 最終受益人之名稱為:

Name	HKID/Passport No.	Address
名稱	香港身份證號碼 / 護照號碼	地址
_____	_____	_____
_____	_____	_____
_____	_____	_____

6. Identity of the persons ultimately responsible for giving instructions in relation to transactions to be conducted through the Account

最終負責就戶口進行的交易發出指示之人士的身份

Not applicable if it is the same as the Authorized Person(s) specified in item 2 above.

若與上述第二項內所列之授權人相同，則不用填寫本欄。

Name	HKID/Passport No.	Address	Relationship With A/C Holder	Reason For Authorization
名稱	香港身份證號碼 / 護照號碼	地址	與戶口持有人關係	授權原因
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

7. Disclosure of Identity 相關身份披露

I/We confirm that I/we am/are not an employee or agent of an Exchange Participant of the Exchange or a registered person of the SFC.

本人/吾等確認本人/吾等並非聯交所參與者或證監會註冊人之僱員或代理人。

I/We confirm that I/We am/are an employee or agent of an Exchange Participant of the Exchange or a registered person of the SFC. The name of the Exchange Participant or the registered person to whom I/we am/are engaged as an employee or agent is:

本人/吾等確認本人/吾等為聯交所參與者或證監會註冊人之僱員或代理人，該聯交所參與者或註冊人之名稱為:

Letter of consent obtained 已接獲書面通知? Yes 是 No 否

8. Related Account 關連戶口

Do you have any relationship with the director(s) or employee(s) of Huabang Securities Limited ?

你是否與本公司之董事或職員有親屬關係？

No 否

Yes 是

Name of the director(s) or employee(s) : _____

有關人士之姓名

Relationship : Husband/Wife Father/Mother/Son/Daughter
關係 丈夫/妻子 父親/母親/兒子/女

Others 其他 : _____

9. The receipt of the Daily Statement 收取日結單指示

I/we would like to receive Daily Statement by the following means:

本人/吾等欲以選擇以下列方式收取貴公司之日結單：

by mail 以郵寄方式收取日結單

by email 以電子郵件方式收取日結單 by email

Email address 電子郵件地址 : _____

by mail as well after receipt by email

日結單以電子郵件方式收取後，仍需要以郵寄方式寄給本人/吾等。

I/We undertake that the above information is true, complete and correct. I/We declare that I/we have read, understood and agreed to abide by the conditions of the Cash Client's Agreement printed in pages 1 to 8, in particular all the terms and conditions in clause 7 of the Cash Client's Agreement, and such amendments/alterations or variations thereto as may be introduced and notified by you to me/us from time to time.

本人/吾等保證上述資料均屬真實，完整及正確。本人/吾等聲明本人/吾等已瞭解第一頁至第八頁所載之現金客戶協議書之內容，(尤其是現金客戶協議書條款 7 之內容及細節)，並同意遵守上述附帶條件及閣下不時就此作出及通知本人/吾等之修訂/修改或更改。

Signature of Client 客戶簽署

Dated 日期 :

RISK DISCLOSURE STATEMENT 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 DISCLOSURE STATEMENT FOR DERIVATIVE PRODUCTS TRADED ON AN EXCHANGE

交易所買賣之衍生產品風險披露聲明

Trading of exchange-traded derivative products such as Callable Bull/Bear Contracts (CBBC), Derivative Warrants, Synthetic Exchange-Traded Fund (Synthetic ETF) involve significant risks. It is crucial for you as investors to fully understand the risks and consequences involved in trading these exchange-traded derivative products before you trade them.

買賣交易所買賣之衍生產品例如牛熊証、衍生權證、綜合複製策略的交易所買賣基金(合成ETF)涉及顯著風險。投資者在就交易所買賣衍生產品進行交易前，應審慎閱讀及完全明白買賣該等衍生產品涉及之風險及後果。

General major risks of trading exchange-traded derivative products include but are not limited to the following:

買賣交易所買賣之衍生產品的一般主要風險包括但不限於下列各項：

Issuer Default Risk 發行人失責風險

In the event that a derivative product issuer becomes insolvent and defaults on their listed securities, investors will be considered as unsecured creditor and will have no preferential claims to any assets held by the issuer. Investors should therefore pay close attention to the financial strength and credit worthiness of the issuers of derivative products.

倘若衍生產品發行人破產而未能履行其對所發行證券的責任，投資者只被視為無抵押債權人，對發行人任何資產均無優先索償權。因此，投資者須特別留意衍生產品發行人的財力及信用。

Uncollateralized Product Risk 非抵押產品風險

Uncollateralized derivative products are not asset backed. In the event of issuer bankruptcy, investors can lose their entire investment. Investors should read the listing documents to determine if a product is uncollateralized.

非抵押衍生產品並沒有資產擔保。倘若發行人破產，投資者可以損失其全數投資。要確定產品是否非抵押，投資者須細閱上市文件。

Gearing Risk 槓桿風險

Derivative products are leveraged and can change in value rapidly according to the gearing ratio relative to the underlying assets. Investors should be aware that the value of such derivative products may fall to zero resulting in a total loss of the initial investment.

衍生產品是槓桿產品，其價值可按相對相關資產的槓桿比率而快速改變。投資者須留意，衍生產品的價值可以跌至零，屆時當初投資的資金將會盡失。

Expiry Considerations 有效期的考慮

Derivative products have an expiry date after which the issue may become worthless. Investors should be aware of the expiry time horizon and choose a product with an appropriate lifespan for their trading strategy.

衍生產品設有到期日，到期後的產品即一文不值。投資者須留意產品的到期時間，確保所選產品尚餘的有效期能配合其交易策略。

Extraordinary Price Movements 特殊價格移動

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

衍生產品的價格或會因為外來因素(如市場供求)而有別於其理論價，因此實際成交價可以高過亦可以低過理論價。

Liquidity Risk 流通量風險

The Stock Exchange of Hong Kong Limited requires all derivative product issuers to appoint a liquidity provider for each individual issue. The role of liquidity providers is to provide two way quotes to facilitate trading of their products. In the event that a liquidity provider defaults or ceases to fulfil its role, investors may not be able to buy or sell the derivative product until a new liquidity provider has been assigned.

香港聯合交易所有限公司規定所有衍生產品發行商要為每一隻個別產品委任一名流通量提供者。流通量提供者的職責在為產品提供兩邊開盤方便買賣。若有流通量提供者失責或停止履行職責，有關產品的投資者或就不能進行買賣，直至有新的流通量提供者委任出來止。

Foreign Exchange Risk 外匯風險

Investors trading derivative products with underlying assets not denominated in Hong Kong dollars are also exposed to exchange rate risk. Currency rate fluctuations can adversely affect the underlying asset value, also affecting the price of the derivative product.

若投資者所買賣衍生產品的相關資產並非以港幣為單位，其尚要面對外匯風險。貨幣兌換率的波動可對相關的價值造成負面影響，連帶影響衍生產品的價格。

In addition, there are risks pertaining to the particular type of derivative products:

此外，不同種類的衍生產品有其獨特的風險：

Callable Bull/Bear Contracts (CBBC) 牛熊証

Mandatory Call Risk 強制收回風險

Investors trading CBBCs should be aware of their intraday “knockout” or mandatory call feature. A CBBC will cease trading when the underlying asset value of the equals the mandatory call price/level as stated in the listing documents. Investors will only be entitled to the residual value of the terminated CBBC as calculated by the product issuer in accordance with the listing documents. Investors should also note that the residual can be zero.

投資者買賣牛熊證，須留意牛熊證可以即日「取消」或強制收回的特色。若牛熊證的相關資產值等同上市文件所述的強制收回價/水平，牛熊證即停止買賣。屆時，投資者只能回收已停止買賣的牛熊證由產品發行商按上市文件所述計算出來的剩餘價值(注意：剩餘價值可以是零)。

Funding Costs 融資成本

The issue price of a CBBC includes funding costs. Funding costs are gradually reduced over time as the CBBC moves towards expiry. The longer the duration of the CBBC, the higher the total funding costs. In the event that a CBBC is called, investors will lose the funding costs for the entire lifespan of the CBBC. The formula for calculating the funding costs are stated in the listing documents.

牛熊證的發行價已包括融資成本。融資成本會隨牛熊證接近到期日而逐漸減少。牛熊證的年期愈長，總融資成本愈高。若一天牛熊證被收回，投資者即損失牛熊證整個有效期的融資成本。融資成本的計算程式載於牛熊證的上市文件。

Derivative Warrants 衍生權證

Time Decay Risk 時間損耗風險

All things being equal, the value of a Derivative Warrant will decay over time as it approaches its expiry date. Derivative Warrants should therefore not be viewed as long-term investments.

假若其他情況不變，衍生權證愈接近到期日，價值會愈低，因此不能視為長線投資。

Volatility Risk 波幅風險

Prices of Derivative Warrants can increase or decrease in line with the implied volatility of underlying asset price. Investors should be aware of the underlying asset volatility.

衍生權證的價格可隨相關資產價格的引申波幅而升跌，投資者須注意相關資產的波幅。

Synthetic Exchange-Traded Fund (Synthetic ETF) 綜合複製策略的交易所買賣基金 (合成 ETF)

Market Risk 市場風險

Investors are exposed to the political, economic, currency and other risks related to the Synthetic ETF's underlying index.

投資者會承受與合成 ETF 相關指數有關的政治、經濟、貨幣及其他風險。

Counterparty Risk 交易對手風險

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

若合成 ETF 投資於衍生工具以追蹤指數表現，投資者除了會承受與指數有關的風險外，亦會承受發行有關衍生工具的交易對手的信貸風險。此外，註冊機構亦應考慮有關衍生工具發行人的潛在連鎖影響及集中風險（例如由於衍生工具發行人主要是國際金融機構，因此若合成 ETF 的其中一個衍生工具交易對手倒閉，便可能對該合成 ETF 的其他衍生工具交易對手產生「連鎖」影響）。有些合成 ETF 備有抵押品以減低交易對手風險，但仍要面對當合成 ETF 的抵押品被變現時，抵押品的市值可能已大幅下跌的風險。

Tracking Error 追蹤誤差

There may be disparity between the performance of the Synthetic ETF and the performance of the underlying index due to, for instance, failure of the tracking strategy, currency differences, fees and expenses.

合成 ETF 及相關指數的表現可能不一致。原因，舉例來說，可能是模擬策略失效、匯率、收費及支出等因素。

Trading at a Discount or Premium 以折讓或溢價買賣

Where the index/market that the Synthetic ETF tracks is subject to restricted access, the efficiency in unit creation or redemption to keep the price of the Synthetic ETF in line with its net asset value (NAV) may be disrupted, causing the Synthetic ETF to trade at a higher premium or discount to its NAV. Investors who buy a Synthetic ETF at a premium may not be able to recover the premium in the event of termination.

若合成 ETF 所追蹤的指數/市場就投資者的參與設有限制，則為使合成 ETF 的價格與其資產淨值一致的增設或贖回單位機制的效能可能會受到影響，令合成 ETF 的價格相對其資產淨值出現溢價或折讓。投資者若以溢價買入合成 ETF，在基金終止時可能無法收回溢價。

4. Risk Disclosure Statement for Renminbi Product 人民幣產品風險披露聲明

General 一般

Renminbi products involve specific risks. Prospective investors should give careful consideration to the following factors, among others, in evaluating the merits and suitability of this investment. The value of Renminbi products may fall as well as rise and investors may not get back the amount originally invested. Different Renminbi products are subject to different risks. Prospective investors should read the relevant Terms and Conditions and risk disclosure statement before making any investment decision. The following specific risks should be carefully considered by prospective investors, but the list does not purport to be exhaustive.

人民幣產品附帶風險，預期的投資者應小心考慮所有因素以評估該投資是否合適。人民幣產品的價格可升可跌，投資者可能蒙受所有最初存入資金的損失。不同人民幣產品亦涉及不同風險，故在作出任何投資決定前，應詳細閱讀有關投資產品之銷售文件及風險披露聲明。預期的投資者應細心考慮以下的（但不限於）特殊風險。

Renminbi Currency Risk 人民幣貨幣風險

Renminbi is currently not fully freely convertible and conversion of Renminbi through banks in Hong Kong SAR is subject to a daily limit. Investors should allow time for exchange of Renminbi from/to another currency of Renminbi amount exceeding the daily limit. For Renminbi products which are not denominated in Renminbi or with underlying investments which are not Renminbi denominated, such products will be subject to multiple currency conversion costs involved in making investments and liquidating investments, as well as the Renminbi exchange rate fluctuations and bid/offer spreads when assets are sold to meet redemption requests and other capital requirements (e.g. settling operation expenses). The Mainland China government regulates the conversion between Renminbi and other currencies. If the restrictions on Renminbi convertibility and the limitations on the flow of Renminbi funds between Mainland China and Hong Kong SAR become more stringent, the depth of the Renminbi market in Hong Kong SAR may become further limited.

目前人民幣並非完全可自由兌換，通過香港特區銀行進行人民幣兌換存在每日限額。若投資者需兌換的人民幣金額超過此每日限額，須預留時間以備兌換。就非以人民幣計值或相關投資非以人民幣計值的人民幣產品，進行投資或清算投資該等產品可能涉及多種貨幣兌換成本，以及在出售資產以滿足贖回要求及其他資本要求（包括清算營運費用）時可能涉及人民幣匯率波動及買賣差價。中國政府規管人民幣與其他貨幣之間的兌換，若其規管人民幣兌換及限制香港與中國內地的政策發生變化，則香港特區的人民幣市場將可能變得較為有限制。

Currency Exchange Risks 匯率風險

Renminbi products are subject to exchange rate fluctuations which may provide both opportunities and risks. If investors choose to convert the Renminbi to other currencies at an exchange rate that is less favorable than that in which made the original conversion to Renminbi, investors may suffer loss in principal.

人民幣產品受匯率波動而產生獲利機會及虧損風險。倘若投資者選擇將人民幣兌換為其他貨幣時的匯率較當初兌換人民幣時的匯率為差，則可能會因而蒙受本金損失。

Interest Rate Risks 利率風險

The Mainland China government has gradually liberalized the regulation of interest rates in recent years. Further liberalization may increase interest rate volatility. For Renminbi products which are, or may invest in Renminbi debt instruments, such instruments are susceptible to interest rate fluctuations, which may adversely affect the return and performance of the Renminbi products.

中國政府近年已逐步放寬對利率的管制。進一步開放可能增加利率的波動。對於投資於人民幣債務工具的人民幣產品，該等工具易受利率波動影響，因此對人民幣產品的回報及表現亦可能造成不利影響。

Limitation on the Provision of Renminbi Funding 提供人民幣資金的限制

Investors should have Renminbi bank accounts and ensure have sufficient Renminbi for settlement and clearing purpose. In case investors do not have sufficient Renminbi funding to subscribe Renminbi products, subject to compliance with all applicable laws, rules and regulations, we may assist investors to convert other currencies to Renminbi. However, we do not guarantee that it can provide sufficient Renminbi funding for you due to the limitation on the flow of Renminbi funds in Hong Kong SAR. We may unwind investors' trades due to insufficient Renminbi funding and investors' investment may be adversely affected if investors suffer losses due to settlement failure.

投資者應開立人民幣銀行戶口及確保有足夠的人民幣作結算及交收用途。若投資者沒有足夠的人民幣資金以認購人民幣產品，在符合所有適用法律、法規及規則下，我們可以協助投資者以其他貨幣兌換人民幣。但是，基於人民幣資金於香港流通之限制，我們不能保證可以向投資者提供足夠的人民幣資金。若投資者沒有足夠的人民幣資金，我們可能對投資者之交易平倉，且投資者可能因為不能作出結算而蒙受損失，從而對投資者的投資造成不利影響。

Limited Availability of Underlying Investments Denominated in Renminbi 有限提供以人民幣計值的相關投資

For Renminbi products that do not have access to invest directly in Mainland China, their available choice of underlying investments denominated in Renminbi outside Mainland China may be limited. Such limitation may adversely affect the return and performance of the Renminbi products.

對於沒有直接進入中國內地投資的人民幣產品，它們可以選擇在中國內地以外以人民幣計值的相關投資是有限的。此等局限可能對人民幣產品的回報及表現造成不利影響。

No Guaranteed Projected Returns 預計回報不能保證

For some Renminbi investment products, their return may not be guaranteed or may only be partly guaranteed. Investors should read carefully the statement of illustrative return attached to such products and in particular, the assumptions on which the illustrations are based, including, for example, any future bonus or dividend declaration.

某些人民幣投資產品的回報可能不受保證或可能只有部分受保證。投資者應仔細閱讀依附於該等產品的回報說明文件，尤其是有關說明所依據之假設，包括，如任何未來紅利或股息分派。

Long Term Commitment 長期承擔

For Renminbi products which involve a long period of investment, if investors redeem the investment before the maturity date or during the lock-up period (if applicable), investors may incur a significant loss of principal where the proceeds may be substantially lower than the invested amount. Investors may also suffer from early surrender / withdrawal fees and charges as well as the loss of returns (where applicable) as a result of redemption before the maturity date or during lock-up period.

對於一些涉及長期投資的人民幣產品，若投資者在到期日前或於禁售期間（如適用）贖回投資，如收益遠低於投資者所投資的數額，投資者可能蒙受重大本金損失。如投資者在到期日前或於禁售期間贖回投資，投資者亦可能要承受提前贖回之費用及收費以及損失回報（如適用）。

Issuer Risk 發行人風險

Renminbi products are subject to the credit and insolvency risks of their issuers. Prospective investor should consider carefully the creditworthiness of the issuers before investing. Renminbi product may invest in derivative instruments, counterparty risk may also arise as the default by the derivative issuers may adversely affect the performance of the Renminbi products and result in substantial losses.

人民幣產品附帶發行人的信貸及無力償還風險。預期的投資者在作出任何投資決定前，應小心考慮發行人的信譽。人民幣產品可能投資於衍生工具，交易對手風險亦可能隨衍生工具發行人的違約行為而產生，因而影響人民幣產品的表現及令投資者蒙受損失。

Liquidity Risks 流動性風險

Renminbi is less liquid than other currencies. Renminbi products may not be regular trading or have an active secondary market. Investors should be aware that payments and redemptions of Renminbi products may not always be made within the expected timescales, or may have to sell at a deep discount to its value.

人民幣的流動性較其他貨幣底。人民幣產品可能並沒有固定的交易量或活躍的二手市場。投資者需留意在付款及贖回人民幣產品時，有機會不能在如期時間內完成或需以折讓方式出售。

Possibility of not Receiving Renminbi upon Redemption 贖回時未能收取人民幣

For Renminbi products with a significant portion of non-Renminbi denominated underlying investments, there is a possibility of not receiving the full amount in Renminbi upon redemption. This may be the case if the issuer is not able to obtain sufficient amount of Renminbi in a timely manner due to the exchange controls and restrictions applicable to the currency.

對於有重大部份為非人民幣計值的相關投資的人民幣產品，於贖回時可能未能全數收取人民幣。此種情況在發行人受到外匯管制及有關貨幣限制下未能及時獲得足夠人民幣款項而可能發生。

DECLARATION BY STAFF _____ (name of staff) of CE no. _____

I, _____ (name of staff) has :

provided the risk disclosure statement in a language of the client' s choice (English or Chinese)*; and

invited the client to read the risk disclosure statement, ask questions and take independent advice if the client wishes.

_____(職員的姓名及 CE 編號_____) 職員的聲明

我_____ (職員的姓名) 已

按照客戶所選擇的語言(英文或中文)* 提供風險披露聲明及

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)。

Signature of staff 職員簽署

Date 日期 :

ACKNOWLEDGEMENT BY CLIENT 客戶確認

I/We, _____ (name of client) acknowledge that :

the risk disclosure statement was provided in a language of my/our choice (English or Chinese)*;

I/we was/were invited to read the risk disclosure statement, to ask questions and take independent legal advice (if I/we wish).

本人/吾等 _____ (客戶的姓名) 確認

已按照本人/吾等選擇的語言(英文或中文)* 獲提供風險披露聲明；及

已獲邀閱讀該風險披露聲明、提出問題及徵求獨立法律意見(如本人/吾等有此意願)。

Signature of Client 客戶簽署

Dated 日期 :

* Delete if inapplicable 請刪去不適用者

Do you need to open an internet securities trading account? (If no, please skip). 閣下是否需要開立一個互聯網證券交易帳戶？(如否，請略過)。

No 否 Yes 是

SUPPLEMENTAL AGREEMENT FOR INTERNET TRADING 互聯網證券交易 - 補充協議書

To : Huabang Securities Limited

Date 日期 :

致：華邦證券有限公司

(CE Number 中央編號：ADS061)

香港九龍九龍灣常悅道3號

企業廣場二期29樓2901-02室

Unit 2901-02, 29/F.,

Enterprise Square Two, 3 Sheung Yuet Road,

Kowloon Bay, Kowloon, Hong Kong.

Dear Sirs,

敬啟者：

I/We hereby authorize and request you to open and maintain an internet securities trading account ("the Account") in the name of me/us for the purchases, sales, holdings of and any other dealings in securities. The Account shall be maintained and all such purchases; sales, holdings of and any other dealings in securities shall be effected subject to and in accordance with the provisions of the Supplemental Agreement for Internet Trading ("Supplemental Agreement") and the Cash Client' s Agreement ("the Agreement"). I/We confirm and acknowledge that the Supplemental Agreement forms an integral part of the Agreement.

本人/吾等授權要求 貴司為本人/吾等以本人/吾等名義開立並操作一個互聯網證券交易帳戶(下稱 "帳戶")，以執行本人/吾等不時購入、賣出、保管或處理各類證券。有關帳戶之運作須受本互聯網證券交易 - 補充協議書("補充協議書")及現金客戶協議書("客戶協議書")規限，本人/吾等確認補充協議書為客戶協議書組成之一部份。

I/We hereby agree to effect Transactions as hereinafter defined subject to the following terms and conditions of this Supplemental Agreement:-

本人/吾等茲同意根據下列條件進行互聯網證券交易:-

1. **The Account 帳戶**

I/We warrant that the information set out in the Account Opening Information is true and correct and that you are entitled to rely fully on such information to act on my/our behalf unless and until you receive notice of any change from me/us in accordance with the provisions of the Agreement. I/We undertake to advise you promptly of any material change to such information.

本人/吾等保證客戶開戶資料內所載資料均屬真實及正確，貴司在未收到本人/吾等發出的資料變更通知前，貴司有權依據該等資料行事，若該等資料有變更，本人/吾等即儘快通知 貴司。

2. **Internet Securities Trading Service 互聯網證券交易**

2.1 I/We shall use the Internet securities trading service only in accordance with this Supplemental Agreement and the Agreement.

客戶只限於根據補充協議書及客戶協議書之有關條款使用互聯網證券交易服務。

- 2.2 I/We shall be the only authorized user of the Internet securities trading service under the Account.
本人/吾等是賬戶唯一有權使用互聯網證券交易服務的人。
- 2.3 I/We acknowledge that the Internet securities trading service is proprietary to you. I /We warrant and undertake that I/we shall not, and shall not attempt to, tamper with, modify, decompile, reverse engineer or otherwise alter in any way, and shall not attempt to gain authorized access to, any part of the internet securities trading service. I/We undertake to notify you immediately if I/we become aware that any of the actions described above in this paragraph is being perpetrated by any other person.
本人/吾等承認此互聯網證券交易服務為 貴司所專有。本人/吾等保證及承諾本人/吾等不會和不試圖損壞、修改、逆彙編、或以其他方式改變互聯網證券交易服務的任何組成部份，也不試圖非法進入互聯網證券交易服務的任何組成部份。本人/吾等保證在本人/吾等知道有人作出上述行動時馬上通知 貴司。
- 2.4 I/We shall be responsible for the confidentiality and use of my/our customer ID and Password.
本人/吾等有責任將本人/吾等之登入號碼密及賬戶號碼保密，並對所作用等負責。
- 2.5 I/We agree immediately to notify you if I/we become aware of: -
本人/吾等同意在獲悉以下事件後，隨即知會 貴司:-
- any loss or theft of my /our customer ID and Password ; or
本人/吾等之帳戶號碼及密碼遭遺失或盜用；或
 - any unauthorized use of any of my/our customer ID and Password, or of the internet securities trading service or any information; or
本人/吾等之任何登入帳戶號碼及密碼，或互聯網證券交易服務或任何資料被非法使用； 或
 - any failure by me/us to receive a message that an order initiated by me/us through the internet securities trading service has been received and or executed through the internet securities trading service.
本人/吾等未能獲取訊息，顯示經已接獲及/或執行本人/吾等透過互聯網證券交易服務發出指令之訊息。
- 2.6 I/We shall be solely responsible for all instruction entered through the internet using my/our customer ID and Password.
本人/吾等須自行負責使用本人/吾等之帳戶號碼及密碼的保密及使用。
- 2.7 I/We understand that you will not be liable to me/us if I/we am/are unable to access my /our account information or request a transaction through the internet service.
本人/吾等明白 貴司不會對本人/吾等不能存取本人/吾等之賬戶資料及透過互聯網證券交易服務要求負責。
- 2.8 I/We shall not use or permit the use of the information or any part thereof for any illegal purpose.
客戶不得使用或容許使用資訊或其任何部分作任何非法用途。
- 2.9 I/We shall not disseminate the information to third parties, and shall be solely use the information or any part thereof for my/our own use or in the ordinary course of my/our own business.
本人/吾等不得向第三方散播資訊，同時只容許本人/吾等作本身的用途或在本身業務的正常過程中使用。
- 2.10 Electronic trading facilities are supported by computer-based component systems for the order-routing, execution, matching, registration or clearing of trades. As with all facilities and systems, they are vulnerable to temporary disruption or failure. My/our ability to recover certain losses may be subject to limits on liability imposed by the system provider, the market, and the clearing house and/or participant firms. Such limits may vary, I/we should ask the firm with which I/we deal for details in this respect.

電子交易的設施是以電腦組成系統來進行交易指示傳遞、執行、配對、登記或交易結算。然而，所有設施及系統均有可能會暫時中斷或失靈，而你就此所能獲得的賠償或會受制於系統供應商、市場、結算公司及/或參與者商號就其所承擔的責任所施加的限制。由於這些責任限制可以各有不同，本人/吾等應向為本人/吾等進行交易的商號查詢這方面的詳情。

3. Laws and rules 法例及規則

If I/we place any orders to you outside Hong Kong, I/we agree to ensure and represent that such orders will have been given in compliance with any and all applicable law of the relevant jurisdiction from which my/our orders are given. I/we further agree that I/we shall, when, in doubt consult legal advisers of the relevant jurisdiction. I/We accept that there may be taxes or charges payable to relevant authorities in respect of any instructions and that you shall not be liable for any of such cost.

倘本人/吾等向貴司發出任何指令的地點為香港以外的地方，本人/吾等同意確保及表明該等指令之發出將遵從於本人/吾等發出指令的有關司法管轄區的任何及一切適用法律，而本人/吾等更同意本人/吾等遇有疑問時，應於有關司法管轄區諮詢或取得法律及專業意見。本人/吾等同意支付就有關任何指示可能須繳付之稅項或收費，貴司並不須就該等費用負上任何責任。

4. Risk Disclosures Statement 風險披露聲明書

I/We hereby understand that:-

本人/吾等明白：-

(1) due to unpredictable traffic congestion of the Internet, an inherently unreliable medium of communication and that such unreliability is beyond your control, there is a risk that communication over the Internet may be interrupted, delayed or accessed by unauthorized parties. Notwithstanding measures taken by you to minimize this risk, you accept no responsibility for any loss, which may be incurred by me/us as a result of interruptions or delays or unauthorized access. I/We should not place any instruction with you over the Internet if I/we are not prepared to accept such risk.

由於無法預計互聯網上的通訊量、故屬一個存在不可靠因素之通訊媒介，而該等不可靠因素亦非貴司所能控制，互聯網上的通訊有可能中斷、延誤或被未經授權各方取得的風險。雖然貴司採取措施將此一風險減至最低限度，對於本人/吾等因上述中斷、延誤或未經授權取得的結果而使本人/吾等招致任何損失，貴司不承擔任何責任。倘若本人/吾等不準備接受上述風險，本人/吾等不應在互聯網上向貴司作出任何指示。

(2) trading on an electronic trading system may differ from trading on other electronic trading systems. If I/we may undertake transactions on an electronic trading system, I/we will be exposed to risks associated with the system including the failure of hardware and software. The result of any system failure may be that my/our order is either not executed according to my/our instructions or is not executed at all.

透過某個電子交易系統進行買賣，可能會與透過其他電子交易系統進行買賣有所不同。如果本人/吾等透過某個電子交易系統進行買賣，便須承受該系統帶來的風險，包括有關系統硬件或軟件可能會失靈的風險。系統失靈可能會導致本人/吾等的交易指示不能根據指示執行，甚或完全不獲執行。

(3) while you, the Stock Exchange of Hong Kong Limited (the “HKEX”), Hong Kong Securities Clearing Company Limited (the “HKSCC”) and all related parties endeavour to ensure the accuracy and reliability of the information provided through the system, there is no guarantee that such information is accurate and reliable and that you, the HKEX, CCASS and related parties do not accept and liability (whether in text or contract or otherwise) for any loss or damage arising from any inaccuracies or omissions.

貴司、香港聯合交易所有限公司(“聯交所”)、香港中央結算有限公司(“中央結算”)及所有有關人士致力確保該系統所提供資料之準確性及可靠性，惟資料之準確性及可靠性並無保證，且貴司、聯交所、中央結算及所有有關人士概不須就任何因不準確或錯漏所產生之任何損失或損毀承擔任何責任(不論以文本或合約或其他形式)。

5. General 一般規定

5.1 All securities held for my/our Account shall be subject to a general right of disposal in your favour, for the performance of my/our obligations to you arising in respect of dealing in securities for me/us.

所有本人/吾等戶口內的證券均受制於閣下的全面處置權，以確保本人/吾等履行對閣下代本人/吾等買賣證券而產生的責任。

5.2 If you fail to meet your obligations to me/us pursuant to this Agreement, I/we shall have a right to claim under the Investor Compensation Fund established under the Securities and Futures Ordinance (Cap. 571), subject to the terms of the Investor Compensation Fund from time to time.

倘閣下沒有依照本協議書的規定履行本人/吾等的責任，本人/吾等有權向根據《證券及期貨條例(第571章)》成立的投資者賠償基金索償，惟須受投資者賠償基金不時的條款制約。

5.3 You will notify me/us of material changes in respect of your business which may affect the services you provide to me/us.

倘閣下的業務有重大變更，並且可能影響閣下為本人/吾等提供的服務，閣下將會通知本人/吾等。

5.4 I/We aware that cheque for settlement of trading transaction should be crossed and made payable to “Huabang Securities Limited” and not with third-party cheque.

本人/吾等明白購入股票時應以本人/吾等劃線支票付款予“華邦證券有限公司”，不得沿用予第三者支票。

5.5 I/We confirm that I/we have read and agree to the terms of this Agreement, which have been explained to me/us in a language that I/we understand. I/We confirm that if there is any dispute, the English version will prevail the Chinese version.

本人/吾等確認本人/吾等已詳閱並同意本協議書的條款，而且該等條款已經以本人/吾等明白的語言向本人解釋。本人/吾等確認，倘若有任何爭議，那麼則以本協議書之英文版為準。

5.6 I/We confirm that, no matter whether this Agreement is executed or signed in or outside the Hong Kong Special Administrative Region, this Agreement is interpreted and governed by, and may be enforced in accordance with, the laws of the Hong Kong Special Administrative Region.

本人/吾等確認，不論本協議書是在香港特別行政區或以外/海外地方簽署，本協議書只受香港特別行政區法律詮釋及管轄，並且可以根據香港特別行政區法律執行。

5.7 I/We confirm and declare and warrant that all the money involved in my/our account under this Agreement is my/own money and is not directly or indirectly for money laundering or relevant purpose in violation of the laws in the Hong Kong Special Administrative Region.

本人/吾等確認、聲明及保證，所有在閣下戶口內有關本協議書之金錢均屬本人/吾等，絕不直接或間接涉及清洗黑錢或有關行徑(違反香港特別行政區法律)。

5.8 I/We confirm that this Agreement supersedes all previous agreements, undertakings or promises between the parties. If there is any amendment, addition or deletion in respect of the contents of this Agreement, such amendment, addition or deletion should be in writing and signed by both parties.

本人/吾等確認協議書為所有協議之全部，即本協議書生效前的一切協議、承諾或保證均為無效及被本協議書取代。倘若雙方對本協議書之內容有任何修改、補充或增減，雙方則須要以書面形式簽署作實有關之修改、補充或增減。

5.9 I/We confirm that I/We have sought independent legal advice for the contents of this Agreement before execution of the same.

本人/吾等確認本人/吾等已在簽署本協議前就本協議之內容向有關人士尋求獨立法律意見。

6. I/We understand that I/we shall receive my/our login ID and password by internet securities trading service by e-mail. 本人/吾等願意用電郵的方式收取互聯網證券交易的登入代碼及密碼。

My/our email address is 本人/吾等之電郵為 _____。

IN WITNESS WHERE OF I/we hereto set my/our hands/and affix my/our firm chop/our common seal hereto this _____ day of _____ .
茲見證本協議，本人/吾等在此簽署及蓋上商號印/公司印於 _____ 年 月 日。

Signed by 由本人/吾等

In the presence of 在下述見證人面前簽名：

Signature of Client 客戶簽署

Witness name 見證人姓名 _____

Witness address 見證人地址 _____

Witness occupation 見證人職業 _____

CE No. 中央編號 _____ (if applicable)

Signature of Witness 見證人簽名

Acknowledged and accepted by

Huabang Securities Limited

經由華邦證券有限公司確認及接受

Authorized Signature 授權簽名

DECLARATION BY STAFF _____ (name of staff) of CE no. _____

I, a licensed or registered person, declare that I have provided the above client with a copy of the Risk Disclosure Statement in a language of the client's choice (English or Chinese) and invited the client to read the Risk Disclosure Statement referred to the Supplement Agreement, ask questions and take independent legal advice if the client so wishes.

_____(職員的姓名及CE編號_____) 職員的聲明

本人，以註冊人身份，確認本人已按照上述客戶所選擇的語言（英文或中文）提供風險披露聲明及提示客戶閱讀補充協議書之風險披露聲明，亦邀請客戶如有需要可以提出問題及徵求獨立法律意見。

Signature of staff 職員簽署

Date 日期：

ACKNOWLEDGEMENT BY CLIENT

The client acknowledges that the Risk Disclosure Statement was provided in a language of client's own choice (English or Chinese) and the client was invited to read the Risk Disclosure Statement, to ask questions and take independent legal advice if the client wishes.

客戶確認

客戶確認已按照客戶選擇的語言（中文或英文）獲得風險披露聲明及已獲邀閱讀該風險披露聲明、提出問題及徵求獨立法律意見（如客戶有此意願）。

Signature of Client 客戶簽署

Date 日期：

Introduced by 介紹人 : _____

Documentation checked by 文件查核 : _____

Approved by 批准 : _____

Name of account executive 客戶主任姓名 : _____

How long known to account executive 與客戶主任相識年期 : _____

Commission rate 佣金(百分率) : _____ %

Minimum commission 最低佣金 : HK\$ _____

Limit 限額 : HK\$ _____

Inputted by 資料輸入者 : _____



Huabang Securities Limited 華邦證券有限公司
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