

CASH/CUSTODY CLIENT'S AGREEMENT
現金 / 保管客戶協議書

To: SHUN HENG SECURITIES LTD.
致： 信亨証券有限公司
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日期

Date: _____

(registered with the Securities and Futures Commission ("SFC") as a securities dealer and a 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」)註冊的證券商以及香港聯合交易所有限公司(「聯交所」)參與者)。

I/We _____

request you to operate a cash securities trading account (the "Account") for 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 Account Opening Information Form is complete and accurate. I/We will inform you of any changes to that information. You are authorized to conduct credit enquiries on me/us to verify the information provided.

本人/吾等確認「開戶資料表格」所載資料均屬完整及正確。倘該等資料有任何變更,本人/吾等將會通知 閣下。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

2.1 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 hereby undertake to inform 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 and charges, as notified to me/us, as well as applicable levies imposed by the Exchange, and all applicable stamp duties. You may deduct such commissions, charges, levies and duties from the Account.

本人/吾等會就所有交易支付 閣下通知本人/吾等的佣金和收費,繳付聯交所徵收的適用徵費,並繳納所有有關的印花稅。閣下可從戶口中扣除該等佣金、收費、徵費及稅項。

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

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/吾等會在閣下就該項交易通知本人/吾等的期限之前

★ Pay you cleared funds or deliver to you securities in deliverable form or
向閣下交付可即時動用的資金或可以交付的證券，或

★ Otherwise ensure that you have received such funds or securities
以其他方式確保閣下收到此等資金或證券。

by such time as you have notified me/us in relation to that Transaction. If I/We fail to do so, you may
倘本人/吾等未能這樣做，閣下可以

★ In the case of a purchase Transaction, sell the purchased securities and
(如屬買入交易)出售買入的證券；及

★ In the case of a sale Transaction, borrow and/or purchase securities in order to settle the Transaction.
(如屬賣出交易)借入及/或買入證券以進行交易的交收。

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 pay interest and administration fee on all overdue balances (including interest arising after a judgment debt is obtained against me/us) at such rates and on such other terms as you have notified me/us from time to time.

本人/吾等同意就所有逾期未付款項(包括對本人/吾等裁定的欠付債務所引起的利息)，按閣下不時通知本人/吾等的利率及其他條款支付利息及所需行政費用。

3.7 In case of 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 held by you for safekeeping may, at your discretion
由閣下寄存妥為保管的任何證券，閣下可以酌情決定：

★ (in the case of registrable securities) be registered in my/our name or in the name of your nominee; or
(如屬可註冊證券)以本人/吾等的名義或以閣下的代理人名義註冊；或

★ Be deposited in safe custody in a designated account with your bankers or with any other institution which provides facilities for the safe custody of documents. In the case of securities in Hong Kong, such institution shall be acceptable to the SFC as a provider of safe custody services.

存放於閣下往來銀行或提供文件保管設施的任何其他機構妥為保管。如屬香港的證券，該機構應為證監會認可的提供保管服務機構。

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/吾等的名義註冊，閣下於收到該等證券所獲派的任何股息或其他利益時，須按本人/吾等與閣下的協議記入本人/吾等的戶口或支付予或轉賬予本人/吾等。倘該等證券屬於閣下代客戶持有較大數量的同一證券的一部份，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 of the Securities & Futures (Clients Securities) Rules to:-

本人/吾等並無根據《證券及期貨(客戶證券)規則》第七章以書面授權閣下：

(i) apply such securities in question pursuant to a securities borrowing and lending agreement;

(ii) deposit such securities in question with;

(a) an authorized financial institution as collateral for financial accommodation provided to you; or

(b) a recognized clearing house as collateral for the discharge and satisfaction of your settlement obligations and liabilities; or

(c) another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of your settlement obligations and liabilities.

(i) 依據證券借貸協議運用該等任何證券；或

(ii) 將該等任何證券：-

- (a) 存放於任何認可財務機構，作為提供予貴公司的財務通融的抵押品；或
- (b) 存放於任可認可結算所，作為解除貴公司在交收上的義務和清償貴公司在交收上的法律責任的抵押品；或
- (c) 存放在於另一獲發牌或獲註冊進行證券交易的中介人，作為解除貴公司在交收上的義務和清償閣下在交收上的法律責任的抵押品。

5. Cash held for me/us
代本人/吾等保管的現金

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

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

6. Risk Disclosure Statement
風險披露聲明書

6.1 Risk of securities Trading
證券交易的風險

The client acknowledges that the prices of securities can and does fluctuate, sometimes dramatically, and that any individual security may experience upward or downward movements, and may under some circumstances even become valueless. The Client appreciates therefore that there is an inherent risk that losses will be incurred rather than profit made, as a result of buying and selling Securities. This is a risk that the Client is prepared to accept.

客戶知悉證券價格有時可能及肯定會非常波動，而任何個別證券的價格皆可能上升或下跌，在某些情況下甚至變成毫無價值，故客戶瞭解在證券買賣中固有之風險，即買賣證券未必一定能夠賺取利潤，反而可能會招致損失。客戶願意承擔此風險。

6.2 The Client also acknowledges that there are risks in leaving Securities in SHSL's custody or in authorizing SHSL to deposit Securities as collateral for loans or advances made to SHSL or authorizing SHSL to borrow or loan Securities.

客戶亦知悉將證券留下由信亨證券保管，或授權信亨證券將證券存放作為信亨證券取得貸款或預支款項的抵押品，或授權信亨證券借入或借出證券均有風險。

6.3 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 Nasdaq-Amex Pilot Program (PP) are aimed at sophisticated investors. Client should consult SHSL and become familiarized with the PP before trading in the PP securities. Client should be aware that the PP securities are not regulated as 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。客戶在買賣該項試驗計劃的證券之前，應先諮詢信亨證券的意見和熟悉該項試驗計劃。客戶應知悉，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。

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

if client provides SHSL with an authority to hold mail or to direct mail to third parties, it is important for client to promptly collect in person all contract notes and statements of client's account and review them in detail to ensure that any anomalies or mistakes can be detected in a timely fashion.

假如客戶向信亨證券提供授權書，允許信亨證券代存郵件或將郵件轉交予第三方，那麼客戶便須盡速親身收取所有關於客戶賬戶的成交單據及結單，並加以詳細閱讀，以確保可及時偵察到任何差異或錯誤。

6.5 Risks of Client Assets received or held outside Hong Kong
在香港以外地方收取或持有的客戶資產的風險

Client assets received or held by SHSL outside Hong Kong are subject to the applicable laws and regulations of the relevant overseas jurisdiction which may be different from the Securities and Futures Ordinance (Cap. 571) and the rules made thereunder. Consequently, such client assets may not enjoy the same protection as that conferred on client assets received or held in Hong Kong.

信亨證券在香港以外地方收取或持有的客戶資產，是受到有關海外司法管轄區的適用法律及規例所監管的。這些法律及規例與《證券及期貨條例》（第 571 章）及根據該條例制訂的規則可能有所不同。因此，有關客戶資產將可能不會享有賦予在香港收取或持有的客戶資產的相同保障。

7. DECLARATION BY STAFF/Registered Person

Declaration by (Name) _____

Position: _____

CE Number: _____

I have provided with this risk disclosure statement to the Client in a language of Client's Choice (English/Chinese); and

The Client was invited to read this risk disclosure statement, to ask questions and take independent advice if the Client wishes.

職員/註冊人聲明

(姓名) _____的聲明

職務: _____

中央編號: _____

本人經已按照客戶所選擇的語言(英文/中文),向其提供此風險披露聲明書;及

客戶已被邀請閱讀此風險披露聲明書、提出問題及徵求獨立的意見(如客戶有此意見)。

Signed by the registered person 註冊人簽署

Date _____

日期: 年 月 日

ACKNOWLEDGEMENT BY CLIENT

Acknowledgement by _____ (Client)

I/We (Client) have been provided with this risk disclosure statement in a language of my/our choice (English/Chinese); and

I/We (Client) was/were invited to read the risk disclosure statement, to ask question and take independent advice if/we wish

客戶的確認

(客戶) _____的確認

本人/吾等(客戶)經已按照本人/吾等所選擇的語言(英文/中文)獲提供此風險披露聲明書;及

本人/吾等(客戶)經已獲邀閱讀此風險披露聲明書,提出問題及徵求獨立的意見(如本人/吾等有此意見)。

Signed by the Client/Company Chop 客戶簽署/公司蓋章

Date _____

日期: 年 月 日

8. Client Identify Rule
客戶身份規則

If the Client effect transaction for the account of his clients, whether on a discretionary or non-discretionary basis, and whether as agent or by entering into matching transactions as principal with his clients, the Client hereby agree that, in relation to a transaction where SHSL has received an enquiry from the Exchange and/or the Securities and Futures Commission ("The Regulators"), the following provisions shall apply:

若客戶是以其客戶的賬戶進行交易，不論是否受其客戶全權委託、以代理人身份抑或以當事人身份與其之進行兌換交易，客戶同意就信亨証券接獲交易所及/或證監會/或其他監管機構（「監管機構」）查詢的交易而言，須遵守下列規定：

- 8.1 Subject to as provided below, the Client shall, immediately upon request by SHSL (which request shall include the relevant contact details of the Regulators), inform the Regulators of the identity, address, occupation and contact details of his client for whose account the transaction was effected and (so far as known to the Client) of the person with the ultimate beneficial interest in the transaction. The Client shall also inform the Regulators of the Identity, address, occupation and contact details of any third party (if different from the client / the ultimate beneficiary) who originated the transaction

在符合下列規定下，客戶須按信亨証券要求（此要求應包括監管機構的聯絡詳情），立即知會監管機構有關所進行交易之賬戶屬客戶及（據客戶所知）該宗交易的最終受益人的身份、地址、職業及聯絡資料。客戶亦須知會監管機構任何發起有關交易的第三者（如與客戶/最終受益人不同者）的身份、地址、職業及聯絡資料。

- 8.2 If the Client effected the transaction for a collective investment scheme, discretionary account or discretionary trust, the Client shall, immediately upon request by SHSL (which request shall include the relevant contact details of the Regulators), inform the Regulators of the identity, address and contact details of the scheme, account or trust and, if applicable, the identity, address, occupation and contact details of the person who, on behalf of the scheme, account or trust, instructed the Client to effect the transaction.

若客戶是為集體投資計劃、全權委託賬戶或全權信託進行交易，客戶須按信亨証券要求（該要求應包括監管機構的聯絡詳情），立即知會監管機構有關該計劃、賬戶或信託的身份、地址、及聯絡資料及（如適用）有關該名代表該計劃、賬戶或信託向客戶發出交易指示的人士的身份、地址、職業及聯絡資料。

- 8.3 If the Client effected the transaction for a collective investment scheme, discretionary account or discretionary trust, the Client shall, as soon as practicable, inform SHSL when the Client's discretion to invest on behalf of the scheme, account or trust has been overridden. In the case where the Client's investment discretion has been overridden, the Client shall, immediately upon request by SHSL (which request shall include the relevant contact details of the Regulators), inform the Regulators of the identity, address, occupation and contact details of the person(s) who has or have given the instruction in relation to the transaction.

若客戶是為集體投資計劃、全權委託賬戶或全權信託進行交易，客戶在客戶全權代表該計劃，賬戶或信託進行投資的權力已予撤銷時須在盡快可行的情況下通知信亨証券。在客戶全權代客戶投資的權力已予撤銷的情況下，客戶須按信亨証券要求（該要求應包括監管機構的聯絡詳情），立即知會監管機構有關該名/或多名曾向投資者發出有關交易指示的人士的身份、地址、職業及聯絡資料。

- 8.4 If the Client are aware that his client is acting as intermediary for its underlying client(s), and the Client do not know the identity, address, occupation and contact details of the underlying client for whom the transaction was effected, the Client confirm that:-

在所有情況下若客戶知悉客戶之客戶乃作為其本身客戶之中介人進行交易，但客戶並不知道有關交易所涉及其本身客戶之身份、地址、職業及聯絡資料，則客戶確認在所有上述情況下：

- (i) the Client have arrangements in place with his client which entitle him to obtain the information set out in paragraph (8.1), (8.2) and/or (8.3) above from his client immediately upon request or procure that it be so obtained; and

客戶已與或將與客戶之客戶作出安排，讓客戶可按要求立即向客戶等之客戶取得上述（8.1），（8.2）及（8.3）段的資料，或促使取得有關資料；及

- (ii) the Client will, upon request from SHSL in relation to a transaction, promptly request the information set out in paragraph (8.1), (8.2) and/or (8.3) above from his client on whose instructions the transaction was effected, and provide the information to the Regulators as soon as received from his client or procure that it be so provided.

客戶將按信亨証券就有關交易提出的要求（此要求包括監管機構之有關聯絡資料），即行要求或促使向客戶發出交易指示的客戶提供上述（8.1），（8.2）及（8.3）段的資料，及在收到客戶之客戶所提交的資料後即呈交予監管機構。

9. General
一般規定

- 9.1 All securities held for my/our Account shall be subject to a general lien 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留置權，以確保本人/吾等履行對閣下代本人/吾等買賣證券而產生的責任。
- 9.2 If you fail to meet your obligations to me/us pursuant to this agreement, I/We shall have a right to claim under the Compensation Fund established under the Securities Ordinance, subject to the terms of the Compensation Fund from time to time.
倘閣下沒有依照本協議書的規定履行對本人/吾等的責任，本人/吾等有權向根據《證券條例》成立的賠償基金索償，惟須受賠償基金不時的條款制約。
- 9.3 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。
- 9.4 I/We will immediately notify you of any information changes in the attached "Account Opening Information Form."
本人/吾等將會立即通知閣下有關於本人/吾等提供在客戶開戶資料表內的任何資料改變。
- 9.5 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.
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/吾等解釋。
- 9.6 This Agreement is governed by, and may be enforced in accordance with, the Laws of the Special Administrative Region of Hong Kong.
本協議書受香港特別行政區法律管轄，並且可以根據香港特別行政區法律執行。
- 9.7 The Client confirms that it has read the English/Chinese version of this Agreement and that the contents of this Agreement have been fully explained to it in a language which he understands. By _____ (name, position and DR no. of a registered person)
In the event of any Inconsistency or conflict arising in the interpretation of this Agreement, the English language version shall prevail. The Client hereby agrees and consents to the terms and conditions herein contained.
客戶確認已詳閱本合約之中/英文本，其中內容亦全部以客戶明白之語文，由 _____ (註冊人之姓名/DR 編號/職務)
向其解釋清楚。如果對本協議書的解釋有任何不一致或衝突之處時，應以英文為準。客戶贊成及同意本合約內之一切條款。
- 9.8 SHSL will notify the Client of material changes in respect of its business which may affect the services SHSL provided to the Client.
倘信亨證券的業務有重大變更，並且可能影響信亨證券為客戶供的服務，信亨證券將會通知客戶。
- 9.9 All notice or communication to the Client shall be sent, at the Client's risk, to the Client's address on the Account Opening Information Form, or such other address as the Client shall notify in writing from time to time and by such means as SHSL shall reasonably determine. All such communications shall be deemed effective on the date two days (if local) or seven days (if international) after dispatch.
所有給予客戶之通告及通訊，可以信亨證券合理決定之方式，送往客戶於開戶資料表格所列之地址或客戶不時以書面通知之其他地址，郵遞風險由客戶承擔。所有該等通訊將於發出後兩日（倘屬本地）或七日（倘屬世界其他地方）視作生效。
- 9.10 The Client acknowledges that telephone calls between the Client and SHSL may be tape and that the tape may be used in evidence of the contents of the call.
客戶確認客戶與信亨證券之電話對話會被錄音，而錄音帶可用作電話對話內容之證明。
- 9.11 Joint Signatories
共同簽署
- (a) Where this Agreement is signed by or on behalf of a firm or otherwise by or on behalf of more than one person, any liability arising hereunder shall be deemed to be the joint and several liability of the partners in the firm or of such persons as aforesaid.
凡此協議由商號或某人代商號簽署，或以其他方式由多於一人或某人代多於一人簽署，則所有在本文範圍內之責任，應被視為商號之合夥人或上述之人仕之共有及各別責任。
- (b) If this Agreement is signed by or on behalf of more than one person (such persons being hereinafter referred to as the "Original Signatories") and any one or more of the Original Signatories is not bound by this Agreement (whether by reason of his or their lack of capacity or improper execution of this Agreement or for any other reason whatever), the remaining Original Signatory or Signatories shall continue to be bound by this Agreement as if such other Original Signatory or Signatories had never been a party hereto.
凡此協議由多於一人或某人代多於一人（該等人仕以下稱「原先簽署人」）簽署，而原先簽署人其中之任何一人（不論因其缺乏行為能力或簽署不當或任何其他理由）不受此協議約束，則餘下之原先簽署人仍持續受本協議約束，猶如該不受此合約約束之原先簽署人從未成為此協議約之訂立人一樣。
- (c) Where this Agreement is signed by or on behalf of more than one person, on the death of any such person the interest of the deceased in any of the securities in the Account held by SHSL, your agents or nominees will automatically ensure to the benefit of the survivors.
凡此協議由多於一人或某人代多於一人在其上簽署，則在此等人仕中任何其一死亡時，信亨證券或其代理或代名人代死者在該賬戶內持有之證券內屬死者的所有權益，將自動歸賦予尚存者。

IN WITNESS WHEREOF this Agreement has been entered into on the day and year above written.
茲見證本合約於上述年份及日期簽訂。

SIGNED by.....)
簽署人 Name of Client 客戶名稱/姓名)
)
)
)

Client's Signature/Business Chop
客戶簽署/公司印章

in the presence of:-
見證人

.....
Name 姓名
.....
Occupation 職業
.....
Address 地址
.....

Witness Signature
見證人簽署

ACKNOWLEDGE AND)
ACCEPTED BY SHUN HENG SECURITIES LIMITED)
經由信亨証券有限公司)
確認及接受)

For and on behalf of
SHUN HENG SECURITIES LIMITED
信 亨 証 券 有 限 公 司

in the presence of:-
見證人

.....
Name 姓名
.....
Occupation 職業
.....
Address 地址
.....

Authorised Signature(s)
授權簽署

Witness Signature
見證人簽署

Account Opening Information Form 開戶資料表格

(Personal/Sole Proprietor/Partnership/Corporate)*

(私人 / 獨資經營 / 合夥經營 / 機構)*

Cash/Margin* 現金 / 保證金*

Account No. 帳戶號碼：

Date Opened 開戶日期：

1. Client Name(s): Mr/Mrs/Miss/Company*客戶名稱：先生/太太/小姐/公司*			
English 英文：		Chinese 中文：	
2. Account Name (if different)帳戶名稱（如與上述不同）		(c) Individual Investor 個人投資者：	
3. Passport/Hong Kong I.D. Card No.*護照/香港身份證號碼*		Nationality 國籍：	
(a) Shareholders 股東：	(a) Shareholders 股東：	(b) Directors 董事：	(b) Directors 董事：
(b) Directors 董事：	(c) Individual Investor 個人投資者：	(c) Individual Investor 個人投資者：	
4. Home Address 住宅地址：			
Home Tel. No.住宅電話號碼	Home Fax No.住宅傳真號碼	Mobile Phone No.手提電話號碼	E-mail Address 電子郵件地址
5. Business Address/Registered Office Address*商業地址/公司註冊地址：			
Business Tel. No.商業電話號碼		Business Fax No.商業傳真號碼	
Business Registration No.商業登記證明碼		Certificate No., Country and date of Incorporation 公司註冊證書號碼、國家及日期	
6. Current Employer/Name of Business*目前僱主/商業*名稱：			
7. Nature of Business/Occupation/Job Title*商業性質/職業/職位*名稱：			
8. Bank Reference (Including name, address, type of account and account no.)銀行備諮（包括名稱，地址，帳戶類別及帳戶號碼）			
9. Combined Statement of Account & Contract Notes, Monthly Statements to be sent by mail to 綜合成交帳單及結單，月結單以郵遞方式發送到：			
<input type="checkbox"/> Home Address 住宅地址		<input type="checkbox"/> Business Address/Registered Office*商業地址/公司註冊地址*	
<input type="checkbox"/> Mailing Address 郵寄地址：			
10. Unless otherwise instructed by the Client, all monies payable to the Client are to be credited to the following bank account(s): 除經客戶另行指示外，客戶的應收金額將自動轉入下列銀行帳戶：			
Bank Name 銀行名稱：			
Bank Account Number 銀行帳戶號碼：			
11. The Account may be operated on the instruction of the following person("Authorized Person"), Pursuant to signature arrangements below: 本帳戶可根據下列的簽名安排，由下列的授權人向信亨發出指示，及運作本帳戶			
Name/Position 姓名/職位	HK ID No./Passport No.* 香港身份證號碼/護照號碼* (Please provide copies)(請提供副本)	Contact Tel. No. 聯絡電話號碼 (Phone/Mobile)(電話/手提電話)	Specimen Signature 簽名式樣
CLIENT PERSONAL INFORMATION 客戶個人資料 (Confidential 機密)			
12. (a) Age 年齡	(b) Date of Birth 出生日期	(c) Martial Status 婚姻狀況： <input type="checkbox"/> Single 獨身 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Other 其他	
13. Is the client related to an employee of SHUN HENG? 客戶是否與信亨任何僱員有親屬關係？			
<input type="checkbox"/> Yes, please provide employee name 是，請提供僱員姓名：		<input type="checkbox"/> No 沒有	
Relationship 關係：			
14. (a) Name of ultimate beneficial owner(s) of the account 帳戶最終權益擁有人(等)的名稱： <input type="checkbox"/> Self 本身 <input type="checkbox"/> Others(Please state name and address)其他（請列明姓名及地址）			
(b) The person(s) ultimately responsible for originating instructions under the account 最終負責就本帳戶之交易發出有關指示的人為 <input type="checkbox"/> Self 本身 <input type="checkbox"/> Others(Please state name, address & tel.)其他（請列明姓名、地址及電話）			

15. Is the client an employee of other securities broker or person registered with Hong Kong SFC? 客戶是否其他證券經紀或香港證監會註冊人仕的僱員? <input type="checkbox"/> Yes, please provide details 是, 請提供詳情 <input type="checkbox"/> No 不是				
16. Is the client a major shareholder or Director of any listed company? 客戶是否任何上市公司大股東或董事? <input type="checkbox"/> Yes, please provide details 是, 請提供詳情 <input type="checkbox"/> No 不是				
CLIENT FINANCIAL INFORMATION 客戶財務資料				
17. (a) Annual income 每年收入/Authorized Capital 法定資本: HK\$港幣		(b) Total Net Worth 客戶資產淨值/Issued Capital 繳足款股本: HK\$港幣		
CLIENT INVESTMENT OBJECTIVE 客戶投資目的				
18. Overall investment plan, including short, medium and long term goals of the Client 整體投資計劃, 包括客戶短期、中期及長線投資目標: <input type="checkbox"/> Short Term 短期 <input type="checkbox"/> Medium Term 中期 <input type="checkbox"/> Long Term 長期				
19. Investment Objective(s) of Client 客戶投資目的: <input type="checkbox"/> Conservation of capital 保本投資 <input type="checkbox"/> Speculative capital gain 投機性資本增值 <input type="checkbox"/> Income 收入提供 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Long-term growth 長線增值 <input type="checkbox"/> Short-term trading 短期買賣 <input type="checkbox"/> Others, please specify 其他:				
CLIENT INVESTMENT EXPERIENCE 客戶投資經驗				
20. Does the Client have securities trading or investment accounts with other brokers? 客戶是否於其他經紀商開有證券或投資戶口? <input type="checkbox"/> No 沒有。 <input type="checkbox"/> Yes, please specify 有, 請列明: 1. _____ 2. _____ 3. _____ <input type="checkbox"/> Cash 現金 <input type="checkbox"/> Margin 保證金 <input type="checkbox"/> Cash 現金 <input type="checkbox"/> Margin 保證金 <input type="checkbox"/> Cash 現金 <input type="checkbox"/> Margin 保證金				
21. Does the Client have experience in? 客戶是否有下列的經驗?				
Financial Product- (note only if Client has trading experience) 金融產品 - (註: 若客戶有該項交易經驗者)	Experience Trading (Years) 投資經驗 (年期)	Average Trade Size (HK\$) 平均交易額(港元)	Trading Frequency 交易次數	Other Information 其他資料
Equities on HK Stock Exchange 香港上市證券				
Other 其他:				
Please provide additional information or details concerning the Client's investment experience or experience with any of the above financial products: 請額外提供客戶投資經驗或投資以上任何金融產品經驗的有關資料或詳情:				
The information contained in this Client Information Form is true and accurate. SHUN HENG is entitled to rely fully on such information and representations for all purposes, unless SHUN HENG receives notice in writing of any change. SHUN HENG is authorized at any time to contact anyone, including the client's banks, brokers or any credit agency, for the purpose of verifying the information provided on this Client Information Form. 本客戶資料表的資料均屬真實及正確, 除非信亨收到任何客戶資料改變的書面通知, 信亨有權依據這些資料及陳述, 作任何用途或目的。客戶授權信亨可在任何時間聯絡任何人, 包括客戶的銀行, 經紀等任何信貸機構, 藉以確定及查證本客戶資料表內的資料。				
Client's Signature 客戶簽名/Specimen of Business Chop/Seal 業務印章式樣		Client's Signature 客戶簽名		
Date 日期:		Date 日期:		

Note 1: The Account can be operated on the instructions of any two or more signatures/any one signature*(if not joint names)

註一: 戶口可根據其中兩式以上/任何一式*(聯名戶口用)簽名式樣指示下運作。

Note 2: The attached general terms and conditions to the operation of this account must be completed and signed by the client

註二: 客戶必須填妥及簽署本表格所附之戶口運作一般條款。

N.B.: This Client Information Form must be accompanied by copied of the Hong Kong I.D. Card(s) or Passport(s) of all Account Holders(s), all authorized Persons (if any) All Shareholders and Directors, All Joint Account Holders must sign.

注意: 本客戶資料表須附上所有帳戶持有人及授權人(如適用者)的香港身份証副本或護照副本。所有聯名戶口持有人均須簽名。

*****For Official Use Only 祇供本行使用*****

Introduced by 介紹人:	Credit Amount Requested 信貸申請額: HK\$
Name of Account Executive 客戶主任姓名:	Approved Credit Amount 批准信貸額: HK\$
How long known to Account Executive 與客戶主任相識年期:	Trading Credit Limit 信貸交易限額: < HK\$
Bank and Credit References obtained: Yes / No 已獲銀行及信貸參考: 是 / 否	O.D. Interest Rate 透支利率:
Documentation checked by 文件查核:	Brokerage 佣金率:
Approved by 核准: C.M. D.D. G.M. C.O.	Minimum Charge 最低收費: HK\$
	Remarks 備註:

*Delete if inapplicable 刪除不適用者

SIGNATURE CARD

印 鑑 咭

(Use additional card if required)

(倘有需要，請使用附加咭)

Account name: 賬戶名稱：	Account number : 賬戶號碼：
Account type: 賬戶類別：	Effective Date: 有效日期：
Specimen signature(s) to effect securities transactions: 進行證券交易之簽名式樣：	Specimen signature(s) to effect payment, withdrawal and/or fund transfer transactions: 支付、提取及/或資金過戶交易之簽名式樣：
Authorized signature 授權簽署： Name & Title: 姓名及職銜：	Authorized signature 授權簽署： Name & Title: 姓名及職銜：
Authorized signature 授權簽署： Name & Title: 姓名及職銜：	Authorized signature 授權簽署： Name & Title: 姓名及職銜：
Authorized signature 授權簽署： Name & Title: 姓名及職銜：	Authorized signature 授權簽署： Name & Title: 姓名及職銜：
Authorized signature 授權簽署： Name & Title: 姓名及職銜：	Authorized signature 授權簽署： Name & Title: 姓名及職銜：
Authorized signature 授權簽署： Name & Title: 姓名及職銜：	Authorized signature 授權簽署： Name & Title: 姓名及職銜：
Signing authority: 簽署授權 Any _____ of the above may sign and effect securities and/or futures transaction(s) 以上任何 _____ 人士可簽署及進行證券及 / 或期貨交易	Signing authority: 簽署授權 Any _____ of the above may sign and effect payment, withdrawal and/or fund transfer transaction(s) 以上任何 _____ 人士可簽署及支付、提取及 / 或資金過戶交易

Specimen chop (for corporate account):

圖章式樣 (公司賬戶適用):

Signed by:

簽署：

(company chop if applicable)



RISK DISCLOSURE STATEMENT (GEM)

風險披露聲明書（創業板）

To: SHUN HENG SECURITIES LTD.

致： 信亨証券有限公司

1. I/We acknowledge that the price of securities traded on GEM 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 traded on GEM. 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 am/are prepared to accept.

本人/吾等知悉創業板的證券價格可能會波動，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，買賣創業板證券不一定獲利，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。

2. I/We understand that GEM has been established as a market designed to accommodate companies to which a high investment risk may be attached. In particular, I/We understand that 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. I/We appreciate that there may be risks arising out of the emerging nature of companies listed on GEM and the business sectors or countries in which the companies operate.

本人/吾等明白創業板之市場設計乃為可能附有高風險的公司而設，本人/吾等亦尤其明白公司可在沒有往績紀錄及在不需負責預測未來表現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。本人/吾等清楚了解，因創業板上市公司的新興發展性質，其營運的業務行業或國家而所引致的風險。

3. I/We am/are aware of the potential risks of investing in such companies and understand that I/We should make the decision to invest only after due and careful consideration. I/We understand the greater risk profile and other characteristics of GEM mean that it is a market more suited to professional and other sophisticated investors.

本人/吾等知道投資在此類公司的潛在風險，故此本人/吾等明白必須經過審慎考慮後才作出投資決定。本人/吾等亦明白創業板的較高風險性質及其他特點，應當更適合專業及其他熟悉投資技巧的投資者。

4. Given the emerging nature of companies listed on GEM, I/We understand there is a risk that securities traded on GEM may be susceptible to higher market volatility compared to securities traded on the Main Board and no assurance is given that there will be a liquid market in the securities traded on GEM.

基於創業板上市公司的新興發展性質，本人/吾等明白於創業板進行買賣將可能面對比較於主板買賣證券為高的市場波幅及不確保於創業板買賣時得到一個有流通量的市場。

5. I/We further understand that the principal means of information dissemination on GEM is publication on the internet website operated by the Exchange. Companies listed on GEM are not generally required to issue paid announcements in gazetted newspapers. Accordingly, I/We acknowledge that I/We need to have access to up-to-date information on GEM listed companies as published on the GEM website.

本人/吾等亦明白創業板的主要信息發放渠道是透過聯交所運作的互聯網網頁刊登消息。創業板上市公司一般不須在憲報所登的報章上刊登付費公告。因此，本人/吾等知悉本人/吾等須獲取經由創業板網頁發佈的創業板上市公司的最新資料。

6. I/We acknowledge that this risk disclosure statement does not purport to disclose all the risks and other significant aspects of GEM. I/We understand that I/We should undertake my/our own research and study on the trading of securities on GEM before commencing any trading activities.

本人/吾等確認此風險披露聲明書並不能申述所有風險及其他創業板的主要內容。本人/吾等明白在進行買賣之活動之前須自行進行資料搜集及研究有關證券的買賣。

7. I/We understand that I/We should seek independent professional advice if I/We am/are uncertain of or have not understood any aspect of this risk disclosure statement or the nature and risks involved in trading of securities on GEM.

本人/吾等明白如本人/吾等對此風險披露聲明書的任何方面或對買賣創業板證券的性質及風險有不明確或不明白之處，本人/吾等須取得獨立專業的意見。

8. I/We understand that the signing of this risk disclosure statement is mandatory under the Rules of the Exchange. I/We understand that you will not be able to effect my/our instructions to deal in securities on GEM if this statement is not signed and acknowledged by me/us.

本人/吾等明白簽署此風險披露聲明書是交易所規則的硬性規定。本人/吾等明白本人/吾等未能簽署及確認此聲明書，閣下將不可以執行本人/吾等於創業板買賣證券的指令。

9. I/We acknowledge that, this risk disclosure statement has been fully explain to me/us by _____
Name / position of registered person(DR. No.)
and I/We fully understand the contents hereof. I/We understand that you are required under the Rules of the Exchange to ensure that I/We am/are provided with a copy of this risk disclosure statement signed and dated by me/us and contains the declaration by

Name / position of registered person (DR. No.)

本人/吾等確認此風險披露聲明書已由 _____ 向本人/吾等全部解釋清楚，而本人/吾等亦明白其內容。本人/吾等明白根據交易所規則 閣下必須為本人/吾等提供此份由本人/吾等簽署及填上日期、並載有由 _____ 的聲明
(註冊人之姓名 / 職務 DR.編號) (註冊人士之姓名/職務 DR.編號)

Signed by Client/Company Chop
客戶簽署/公司印章

Date: _____
日期 年 月 日

個人資料（私隱）條例之同意書

致： 信亨証券有限公司
香港灣仔杜老誌道 6 號
群策大廈 11 樓

本人/吾等確認已詳閱及清楚明白有關貴公司個人資料（私隱）條例之通告內的一切內容。本人/吾等同意貴公司根據通告內之政策及措施使用本人/吾等所提供之個人資料於有關事項。

客戶簽署/公司蓋印

客戶姓名： _____

客戶號碼： _____

日期：

Consent Letter of Personal Data (Privacy) Ordinance

To: Shun Heng Securities Limited
11/F. Kwan Chart Tower,
6 Tonnochy Road, Wan Chai, Hong Kong.

Dear Sirs,

I/We, the undersigned, hereby confirm and acknowledge that I/We have read and understood the Notice of Personal Data (Privacy) Ordinance (Chapter 486). I/We consent to the use of such data and all personal data previously supplied to TAHK for the purposes set out in the Notice and for any other purposes directly relating to those purposes.

Signature(s) of client (Company Chop)

Name: _____

A/C No.: _____

Date:

信亨証券有限公司（下文統稱「本公司」）

根據個人資料（私隱）條例第 486 章向個人帳戶持有人提供之資料

- (一) 以往，客戶在申請開立戶口、延續戶口及建立或延續財務信貸便利或要求有關公司提供金融投資服務時，要不時向有關公司提供有關的資料。
- (二) 若未能向有關公司提供所需資料會導致有關公司無法開立或延續戶口或延續財務信貸便利或提供金融投資服務。
- (三) 在客戶與有關公司的正常業務往來過程中，有關公司亦會收集客戶的資料。
- (四) 客戶的資料將可能會用於下列用途：
 - (1) 為提供金融服務和信貸便利給客戶之日常運作；
 - (2) 作為信貸檢查；
 - (3) 在客戶同意下，協助其他財務機構作借貸檢查；
 - (4) 確保客戶的信用維持良好；
 - (5) 為客戶設計金融投資服務、財務服務或有關產品；
 - (6) 宣傳金融投資服務、財務服務或有關產品；
 - (7) 確定有關公司對客戶或客戶對有關公司的債務；
 - (8) 向客戶及為客戶提供擔保或抵押的人仕追收欠款；
 - (9) 根據有關公司須遵守的規則、條例及法例要求作出披露；及
 - (10) 與上述有關的用途。
- (五) 有關公司會把客戶的資料保密，但有關公司可能會把有關資料提供給：
 - (1) 任何中間人、承包商、或提供行政、電訊、電腦、支付、證券結算或期貨結算或其他和有關公司業務運作有關的服務的第三者服務供應商；
 - (2) 有關公司的任何分行；
 - (3) 任何對有關公司有保密責任的人，包括對有關公司有保密資料承諾的與有關公司同一集團的公司；
 - (4) 任何和客戶已有或建議交易的金融機構或財務機構；
 - (5) 任何有關公司的實在或建議受讓人或參與人或附屬參與人或有關公司對客戶的權利的受讓人；及
 - (6) 任何認可的收賬公司及其他組織，以便有關公司收取款項、追討欠款或採取向客戶追收欠款有關的合法行動或措施。
- (六) 根據私隱條例中的條款，任何人仕：
 - (1) 有權查核有關公司是否持有他的資料及有權查閱有關的資料；
 - (2) 有權要求有關公司改正與其有關之不準確的資料；及
 - (3) 有權查悉有關公司處理資料的政策及實際運用，以及要求有關公司透露持有其何種個人資料。
- (七) 根據私隱條例的規定，有關公司有權就處理任何查閱資料的要求收取合理費用。
- (八) 任何關於資料查閱或改正資料，或關於資料政策及實際應用或資料種類的要求，應向下列人仕提出。

監察主任
信亨証券有限公司
香港灣仔杜老誌道 6 號
群策大廈 11 樓

請閣下在內附的同意書上簽署，以便確認收到及同意接納此條款。

Shun Heng Securities Limited (“the Company”)

Information to Individual Account Holders pursuant to the Personal Data (privacy) Ordinance (Cap. 486)

1. From time to time, it is necessary for clients to supply the Companies with data in connection with the opening or continuation of accounts and the establishment or continuation of credit facilities or provision of financial services.
2. Failure to supply such data may result in the Companies being unable to open or continue accounts or establish or continue credit facilities or provide financial services.
3. It is also the case that data are collected from clients in the ordinary course of the continuation of the business relationship between clients and the Companies.
4. The purpose for which data relating to clients may be used are as follows:-
 - (a) the daily operation of the services and credit facilities provided to clients;
 - (b) conducting credit checks;
 - (c) assisting other financial institutions to conduct credit checks, subject to the consent of clients;
 - (d) ensuring ongoing credit worthiness of clients;
 - (e) designing financial services, credit facilities or related products for clients' use;
 - (f) marketing financial services, credit facilities or related products;
 - (g) determining the amount of indebtedness owed to or by clients;
 - (h) collection of amounts outstanding from clients and those providing security for clients' obligations;
 - (i) meeting the requirements to make disclosure under the requirements of any rule, regulation or law binding on the Companies; and
 - (j) purposes relating thereto
5. Data held by the Companies relating to clients will be kept confidential but the Companies may provide such information to:-
 - (a) any agent, contractor or third party service provider who provides administrative, telecommunications, computer, payment, securities clearing, futures contract clearing or other services to the Companies in connection with the operation of their business;
 - (b) any other branch of the Companies;
 - (c) any other person under a duty of confidentiality to the Companies including a group company of the Companies which has undertaken to keep such information confidential;
 - (d) any financial institution or dealer with which clients have or propose to have dealings;
 - (e) any actual or proposed assignee of the Companies or participants or sub-participants or transferee of the Companies' rights in respect of the clients; and
 - (f) any of the Companies' authorized debt collection agencies and other authorized parties for the purpose of collection, recovery and any other actions or remedies available legally to the Companies for outstanding debt due to the Companies.
6. Under and in accordance with the terms of the ordinance, and individual:-
 - (a) has the right to check whether the Companies hold any data about him and the right of access to such data;
 - (b) has the right to require the Companies to correct any data relating to him which is inaccurate; and
 - (c) has the right to ascertain the Companies' policies and practices in relation to data and to be informed of the kind of personal data held by the Companies.
7. In accordance with the terms of the Ordinance, the Companies have the right to charge a reasonable fee for the processing of any data access request.
8. The person to whom requests for access to data or correction of data for information regarding policies and practices and kind of data held are to be addressed is as follows:-

The Compliance Officer
Shun Heng Securities Limited
11/F., Kwan Chart Tower, 6 Tonnochy Road,
Wan Chai, Hong Kong.

Please confirm your acceptance of the terms of this notice by signing the attached consent letter of Personal Data (privacy) Ordinance.