



T G SECURITIES

# T G SECURITIES LIMITED

## 滙澤證券有限公司

To: All clients

As an Exchange Participant of the Stock Exchange of Hong Kong Limited and a licensed corporation with the Securities and Futures Commission, we are required to strictly comply with the rules and regulations laid down by these official authorities. We are expected to know our clients as much as possible and to keep proper account opening forms and records of our clients as a code of best practice.

Please therefore complete, sign and return the following documents prior to commence trading with us:

1. Cash Client's Agreement and Risk Disclosure Statement
2. Account Opening Information Form
3. Specimen Signature Card
4. Photocopy of ID card or passport of all the authorized person(s) to operate the account.
5. Proof of Residential Address (for Individual or Joint Account only)
6. Agreement For Client Acting As Intermediary (for Intermediary Client only)

For Corporate Clients, please also provide us with the following documents of your company, duly certified by any one director as true copies:

- i. the Certificate of Incorporation and subsequent Certificate of Incorporation on Change of Name; if appropriate, the Certificate of Registration of Oversea Company (or its equivalent)
- ii. the Memorandum and Articles of Association (or its equivalent)
- iii. the resolutions (and the printed form of resolutions provided by us) passed at a meeting of the directors to approve the open of a securities trading account with us
- iv. the latest audited financial statements, if one is available.

If your company is duly incorporated in **Hong Kong**, please provide the certified true copies of the following documents in addition to documents numbered (i) to (iv) above:

- i. a valid business registration certificate
- ii. the latest annual return filed with the Companies Registry/any Form D2 and Form D3

If your company is incorporated in a place **other than Hong Kong**, please provide the following documents in addition to the documents numbered (i) to (iv) above:

- i. the letter of guarantee and certified Extract of Board Resolution for granting a guarantee (for corporate guarantor)
- ii. certified true copies of documents equivalent to business registration certificate (if applicable)
- iii. certified true copies of the Register of Directors and Register of Members
- iv. certified true copies of documents equivalent to the latest annual return filed with the Companies Registry, Forms D2 and Form D3 (if applicable)

If you should have any questions or require additional information, please contact your Account Executive.

## NOTES ON PERSONAL INFORMATION COLLECTION

### 收集個人資料的說明

Dear Client 貴客戶：

With the coming into force of the Personal Data (Privacy) Ordinance on 20 December 1996, these Notes are prepared to assist you in understanding your rights and obligations in relation to supply of personal data by you to the T G Securities Limited or any member thereof ('the company') which data may relate to yourself or other persons and the manner in which the company may use or deal with such data.

隨著個人資料（私隱）條例已於 1996 年 12 月 20 日起生效，滙澤證券有限公司（「本公司」）擬定此說明以協助閣下瞭解在提供個人資料與本公司時的權利及責任，及本公司將會如何使用或處理該等資料的方式。

Provision of personal data from customers will be requested from time to time by the company which is required in relation to and in connection with the opening, establishments, operation and continuation of the accounts of customers with the Company for the purposes of trading and dealing in securities, futures and commodities, managing and advising on investment portfolios, provision of credit facilities or other financial services or investment advisory services. Failure to supply the requested personal data may result in the Company being unable to perform the functions as an agent of you.

本公司不時要求客戶提供個人資料，那些資料有助於客戶在本公司開設、成立、運作及持續其戶口作為證券買賣、期貨買賣、投資管理及意見提供、提供信貸安排或其他財務意見或投資諮詢服務。倘若客戶未能提供所需的個人資料會導致本公司無法發揮經紀之功能。

The personal information that you have provided to us may be used for the following purposes (a) the daily operation of the accounts and other related facilities provided to customers; (b) conducting credit checks for the purposes of ascertaining the financial strength of customers, approving credits to customers, reviewing the margin level or percentage in respect of the customer's account; (c) ascertaining the investment strategies and / or risk acceptance level of customers; (d) designing financial services or related products for customers' use; (e) marketing financial services or related products; (f) ensuring ongoing, credit worthiness of customers; (g) determining the amount of indebtedness owed to or by customers; (h) collection of amounts outstanding from customers and those providing security for customers' obligations; (i) meeting the requirements to make disclosure under the requirements of any law binding on the Company; and (j) purposes relating thereto.

客戶資料可能用作以下目的：(a) 日常戶口之運作及其他有關設施之提供；(b) 信用查核以確定客戶之財政狀況，批核信貸額，審查按揭水平或成數；(c) 確定投資策略及/或客戶風險之可接受水平；(d) 設計客戶之財務服務或有關商品；(e) 推廣財務服務或有關商品；(f) 確保持續值得信貸；(g) 確定借予或欠客戶之數額；(h) 收回客戶所欠之款項及為客戶責任提供抵押之款項；(i) 符合對本公司具約束力法律之要求，作出披露；及 (j) 有關之目的。

Data held by the Company relating to a customer will be kept confidential but the Company may provide such information to (a) any agent, contractor or third party service provider who provides administrative, telecommunications, computer, or clearing or other services to the Company in connection with the operation of its business; (b) any other person under a duty of confidentiality to the Company including any member of the Company. As from time to time constituted which has undertaken to keep such information confidential; (c) any actual or proposed assignee of the Company or participant or sub-participant or transferee of the Company's rights in respect of the customer.

本公司會對客戶之資料保密，唯本公司可能提供資料予：(a) 提供行政、通訊、電腦、付款或結算或其他服務予本公司作業務上運作的代理人、承商或第三者；(b) 已承諾對資料有保密責任的其他人士包括本公司的成員；(c) 本公司的實際或建議的承讓人，參與者或次參與者或承轉人。

Under and in accordance with the terms of the Ordinance any individual (a) has the right to check whether the Company holds data about him and the right to access to such data; (b) has the right to require the Company to correct any data relating to him which is inaccurate; (c) has the right to ascertain the Company's policies and practices in relation to data and to be informed of the kind of personal data held by the Company. In accordance with the terms of the Ordinance, the Company has the right to charge a reasonable fee for the processing of any data access request.

根據條例，任何人士：(a) 有權查詢本公司是否持有其資料及有權查閱資料；(b) 有權有求本公司更正任何有關該人士之不正確資料；(c) 有權查明本公司對資料處理的措施及手法，及本公司知會所持有的個人資料種類。根據條例，本公司對客戶查閱資料的要求，有權收取合理費用。

You may contact our Compliance Officer for access to or correction of data or for information regarding our policies and practices in relation to personal data and kinds of data held by us.

任何關於查詢或更正資料，或索取本公司對持有客戶資料的政策及處理手法作出查詢，請聯絡我們的監管主任。

Yours sincerely

T G Securities Limited

滙澤證券有限公司

# CASH CLIENT'S AGREEMENT 現金客戶協議書

To: 滙澤證券有限公司

致: TG Securities Limited

香港中環德輔道中 141 號中保集團大廈 6 樓 602 室

Room 602, China Insurance Group Building, 141 Des Voeux Road Central, Hong Kong

(Licensed or Registered with the Securities and Futures Commission as a licensed corporation and an exchange participant of The Stock Exchange of Hong Kong Limited.)  
(CE No. AHU 779)

(獲證券及期貨事務監察委員會發牌或註冊的持牌法團以及是香港聯合交易所有限公司參與者) [中央編號 CE No. AHU 779]

In consideration of your opening and maintaining at my/our request one or more cash securities trading account(s) ("the Account") for me/us and your agreeing to act as my/our agent or broker for the execution of orders for the purchase or sale of securities of every type and description, I/we, \_\_\_\_\_ (Name of client 客戶姓名) hereby agree to effect Transactions as hereinafter defined subject to the following terms and conditions of this Cash Client's Agreement ("the Agreement"):-

鑒於貴公司諮詢本人(等)要求開立及持續運作一個現金證券買賣帳戶("帳戶")給本人(等), (以下簽署人); 又鑒於貴公司同意作為本人(等)的代理或經紀, 執行各式及各類證券買賣指示("交易")見下文釋義, 本人(等)茲同意根據下列條件進行交易:

## 1. The Account 帳戶

1.1 I/We confirm that the information provided in the Account Opening Information Form is complete and accurate. I/We will undertake to inform you of any material changes to that information. You are authorized to conduct credit enquiries on me/us to verify the information provided.

本人(等)確認「開戶資料」表格所載資料均屬完整及正確。倘該等資料有任何重要變更, 本人(等)將會通知貴公司。本人(等)特此授權貴公司對本人(等)的財政信用進行查詢, 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 Stock Exchange of Hong Kong Limited ("Exchange"), Hong Kong Securities Clearing Company Limited ("the Clearing House") and Securities and Futures Commission ("SFC") to comply with their requirements or requests for information.

貴司將會對本人(等)帳戶的有關資料予以保密, 但貴公司可以根據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")及證券期貨事務監察委員會("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 ("Transaction") shall be effected in accordance with all laws, rules and regulatory directions applying to you. This includes the rules of SFC and the Exchange and of the Clearing House. All actions taken by you in accordance with such laws, rules and directions shall be legally binding on me/us.

貴司按本人(等)的指示而進行的一切證券交易("交易"), 須根據適用於貴公司的一切法例、規則和監管指示的規定而進行。這方面的規定包括證監會、聯交所及中央結算的規則。貴公司根據該等法例、規則及指示而採取的所有行動均對本人(等)具有法律約束力。

## 3. Transaction 交易

3.1 You will act as my/our agent in effecting Transaction unless you indicate in the statement or confirmation relevant to such Transaction that you are acting as principal.

除貴公司(在結單或其他確認單據內)註明以自己本身名義進行交易外, 貴公司將以本人(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 in compliance of section 170 of Securities and Futures Ordinance.

倘沽盤是與非由本人(等)擁有的證券, 即涉及賣空交易, 本人(等)將會通知貴公司, 以便符合證券及期貨條例第 170 條。

3.3 On all Transaction, I/we will pay your fee, commissions, charges and disbursements incurred by you, as notified to me/us, as well as applicable levies, trading fee and clearing fee imposed by the SFC, the Exchange and the Clearing House, as the case may be, and all applicable stamp duties. You may deduct such commissions, charges, levies, trading fee and clearing fee and stamp duties from the Account.

本人(等)會就所有交易支付貴公司通知本人(等)的佣金和所有收費, 繳付證監會、聯交所、中央結算的適用交易徵費、交易費及結算費, 並繳納所有有關的印花稅。貴公司可以從帳戶中扣除該等佣金、收費、交易徵費、交易費、結算費及印花稅項。

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, 除另有協議外或非貴公司已代表本人(等)持有現金或證券以供交易交收之用, 否則本人(等)將會在貴公司就該項交易通知本人(等)的期限之前,

- pay you cleared funds or deliver to you securities in deliverable form or

向貴公司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

以其他方式確保貴公司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(等)未能這樣做, 貴公司可以

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

本人(等)將會負擔貴公司因本人(等)未能進行交收而引起的任何損失及開支。

3.6 We agree to pay interest on all overdue balance (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(等)同意就所有逾期未付款項(包括對本人(等)裁定的欠付債務所引起的利息), 按貴公司不時通知本人(等)的利率及其他條款支付利息。

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, 導致貴公司須買入證券進行交收, 本人(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 寄存貴公司妥為保管的任何證券, 貴公司可以酌情決定: -

- 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(等)的名義或以貴公司的代理人名義登記; 或

- be deposited in safe custody in a designated account with the Clearing House or your bankers or with any other institution approved by the SFC, which provides facilities for the safe custody of

documents. In the case of securities in Hong Kong Special Administrative Region, such institution shall be acceptable to the SFC as a provider of safe custody services.

- 存放於貴公司在中央結算、往來銀行或其他經由證監會提供文件保管設施的機構內所特定的帳戶妥為保管。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(等)的名義登記，貴公司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(等)與貴公司的協議存入本人(等)的帳戶或支付予或轉贈予本人(等)。倘該等證券屬於貴公司代客戶持有較大數量的同一證券的一部份，本人(等)有權按本人(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 148 of the Securities and Futures Ordinance to:-

本人(等)並無根據【證券及期貨條例】第 148 條以書面授權貴公司：

- deposit any of my/our securities with a banking institution as collateral for an advance or loan made to you, or with the Clearing House as collateral for the discharge of your obligations under the clearing system,

將本人(等)的任何證券存放在銀行業機構，作為貴公司所獲墊支或貸款的抵押品，或者存放在中央結算，作為履行貴公司在結算系統下之責任的抵押品；

- borrow or lend any of my/our securities, and/or

借貸本人(等)的任何證券；及

- otherwise part with possession (except to me/us or on my/our instructions) of any of my/our securities for any purpose.

基於任何目的以其他方式放棄本人(等)的任何證券之持有權(交由本人(等)持有或按本人(等)的指示放棄持有權除外)。

4.4 You are not bound to deliver securities belonging to me/us bearing serial numbers identical with those transferred to me/us so long as the securities delivered are of the same class, nominal amount and rank pari passu with those originally transferred subject always to any capital re-organization which may have occurred in the meantime.

貴司不須交回本人(等)的證券，其編號須與轉讓予本人(等)的證券編號相符，只要該等證券是同類型，而值相等及其權益與原本轉讓予本人(等)的證券相同，當然除了受其間資本重組另有規定外。

#### 5. Moneys in the Account 帳戶中的款項

5.1 Any amount receivable from, and amount payable to me/us, where such amounts arise from the purchase and sale of securities by me/us on a cash-against-delivery basis, should be set-off each other, and the net proceeds, or any cash held for me/us, other than cash received by you in respect of Transaction and which is on-paid for settlement purpose 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. Subject to mutual agreement between the parties hereto, no interest is payable.

就本人(等)以銀貨兩訖形式買賣證券而產生的應收及應付款項互相抵消，並將本人(等)應收之餘款，或除了貴公司收取本人(等)的現金作為交易的交收之用或轉付予本人(等)之外，否則代本人(等)保管的現金須依照適用法律不時的規定，應存放於一家持牌銀行所開立的一個客戶信託帳戶內。根據有關方面共同協議而無須支付利息。

5.2 Payment to the Account shall constitute payment to me/us for all purposes

貴司支付入帳戶的款項得作為達到對本人(等)款項支付的目的。

#### 6. Set-off, Lien, Combination of Accounts, Rights of Sale over Securities and other Property and Initial Public Offering Application 抵銷，留置，賬戶合併及出售之權利和發售新股之申請

6.1 In addition and without prejudice to any general liens, rights of set-off or other similar rights to which you may be entitled under laws or the Agreement, all securities, receivables, monies and other property of me/us (held by me/us either individually or jointly with others) held by or in the possession of you at any time shall be subject to a general lien in your favour as continuing security to offset and discharge all of my/our obligations, arising from the Transaction and/or my/our obligations in the Agreement.

在不損害貴公司依照法律或本協議所附加應享有之一般留置權、抵銷權或相類權利前提下，對於本人(等)交由貴公司代管或在貴公司內存放之所有證券、應收賬、款項及其他財產(不論是本人(等)個人或與其他人士聯名所有)權益，貴公司均享有一般留置權，作為持續的抵押，用以抵銷及履行本人(等)因進行證券買賣而對貴公司負上的所有責任。

6.2 In addition and without prejudice to any general liens or other similar rights which you may be entitled under law or this Agreement, at any time without notice to me/us, may combine or consolidate any or all accounts, of any whatsoever and either individually or jointly with others, you may set off or transfer any monies, securities or other property in any such accounts to satisfy obligations or liabilities of me/us to you, whether such obligations and liabilities are actual or contingent, primary or collateral, secured or unsecured, or joint or several.

除了凡是貴公司依據法律或本協議享有的一般留置權或其他類似權利，且在不影響前述一般留置權或其他類似權利的前提下，貴公司在任何時候均可在不通知本人(等)的情形下，將本人(等)在貴公司開設之任何性質的任何或所有賬戶(不論是個人的還是與其他人士聯名的)進行合併或整合，貴公司可以進行抵銷或轉移任何前述賬戶下任何資金，證券或其他財產，以履行本人(等)對貴公司的義務或債務，不論這些義務和債務是實有還是或有的，不論是主義務，主債務還是從義務，從債務，不論是有抵押的還是無抵押的，不論是共同的還是各別的。

6.3 Upon default by me/us in payment on demand or on due date therefor of any of my/our indebtedness to you or any other default by me/us hereunder you shall have the right to sell or otherwise realize the whole or any part of such security as when and how and at such price and on such terms as you shall think fit and to apply the net proceeds of such sale or realization and any moneys for the time being in your hands in or towards discharge of my/our indebtedness to you.

於本人(等)收到要求或於有關到期日未能支付本人(等)所欠貴公司的債務，或於本人(等)違反本協定情況下，貴公司有權按貴公司認為適合的時間、方式、價格及條款，出售或以其他方式變現有關抵押的全部或任何部分，並可將出售或變現所得收益淨額及貴公司當時所持有的任何款項，用作付清本人(等)所欠貴公司的債務。

6.4 I/We may request you to subscribe for new issue of Securities on my/our behalf. You may be required to provide warranty or make representation in respect of such application, including but not limited to the following:

- that you have due authority to make such application on my/our behalf;

- that no other application is being made for my/our benefit whether by myself/ourselves or by any other person other than the application submitted on my/our behalf.

I/We hereby expressly authorize you to provide such warranty and representation to the relevant Exchange or issuer of the relevant Securities. I/We acknowledge that the aforesaid declaration will be relied upon by the issuer of the relevant Securities in deciding whether or not to make any allotment of Securities in response to the application made by you as my/our agent.

本人(等)可要求貴公司代表本人(等)認購新發行之證券。貴公司可能被要求就該項申請作出保證或作出聲明，包括但不限於下列各項：

- 貴公司獲適當授權代表本人(等)作出該等申請；

- 貴公司代本人(等)提出之申請外，本人(等)並無為本人(等)之利益以自己或通過任何其他人士提出其他申請。

本人(等)謹此表明授權貴公司向有關交易所或證券發行人提供該項保證或聲明。本人(等)知悉有關證券之發行人將依賴上述申述，決定是否就貴公司代本人(等)作出之申請作出股份分配。

6.5 At my/our request, you will provide financial accommodation ("the Facility") to facilitate the subscription of new issue of Securities, and, where applicable, for the continued holding of those Securities. The Facility shall be subject to our overriding right of demand for repayment at any time. The Facility may also be terminated by you at any time without prior notice to me/us. Interest (and default interest) shall be payable on any amount outstanding under the Facility at such rate and in such manner as you may from time to time determine and notify me/us and shall accrue from day to day on the daily amounts outstanding. I/We shall, upon your demand at any time, repay to you all principal and interest accrued thereon outstanding under the Facility, but nothing in this Clause shall prejudice your rights, powers and remedies under any security document executed in your favor in respect of the Facility. The use of the Facility will constitute acknowledgment and acceptance of the terms and conditions by me/us for the Facility.

在本人(等)要求貴公司時，貴公司可提供便利認購新發行之股票，或繼續持有(如若適用)該等證券的財務通融(以下簡稱「財務通融」)。貴公司在任何時間有凌駕權隨時要還款。貴公司可於任

何時終止財務通融而無須向本人(等)發出事先通知。本人(等)須就財務通融的任何欠款支付按每日欠款金額逐日計算的利息(及因欠繳而須支付的利息)，利率及支付方式由貴公司不時決定並通知本人(等)。本人(等)須就貴公司隨時作出之要求清償所有財務通融的本金及利息，但此條項不會妨礙本人(等)就財務通融向貴公司提供的任何抵押文件賦予貴公司的權利、權力及補償。本人(等)一但使用財務通融，即為承認並接受財務通融之條件及條款。

## 7. Discretionary Account 委託帳戶

In the event that I/we maintain and continue to operate a discretionary account with you, I/we hereby authorize you or your employee (who must be a registered person) so designated by you, to effect Transaction on my/our behalf on terms herein at your absolute discretion and at my/our own risk and that I/we shall confirm to you in writing on an annual basis whether I/we wish to specifically revoke your authority in this regard even in the absence of your notification to me/us for renewal.

若是本人(等)在貴公司保留及持續操作一個委託帳戶，本人(等)茲授權予貴公司或貴公司指定的職員(他應是一位註冊人)全權負責替本人(等)依照現金客戶協議書作出證券買賣，損失由本人(等)負責。而本人(等)將每年用書信確認這授權是否被取銷，甚至乎不需貴公司通知需否再續。

## 8. Miscellaneous 一般規定

8.1 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 and Futures Ordinance, subject to the terms of the Compensation Fund from time to time.

倘貴公司沒有依照本協議書的規定履行對本人(等)的責任，本人(等)有權向根據【證券及期貨條例】成立的賠償基金索償，惟須受賠償基金不時的條款制約。

8.2 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 (English or Chinese) that I/we understand.

本人(等)確認本人(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(等)明白的語言(英文或中文)向本人(等)解釋。

8.3 I/We acknowledge that decision regarding the Transaction are made by me/us at my/our discretion and risk and without reliance on any advice from you. You shall not owe me/us any duty to advise on the merits or suitability of any Transaction.

本人(等)承認所有證券買賣全由本人(等)決定及承擔風險，並沒有依賴貴公司的意見。貴公司並無責任向本人(等)提供各證券買賣的利好性或適合性。

8.4 I/We hereby agree that upon receipt of the relevant contract notes, daily statement, execution report, and monthly statement of the Account, or other advices, such daily contract notes, statement, execution of order and monthly statement of the Account or advices shall be conclusive and binding on me/us, unless I/we object to in writing within such period of time as may be specified by you from time to time.

本人(等)在收到有關該帳戶的買賣單、日結單、執行買賣報告及月結單或其他另類方式的通知之後，倘若本人(等)沒有在貴公司不時規定的期間之內以書面提出異議，則該日結單、執行買賣報告及月結單或另類方式通知成爲不可推翻，並對本人(等)有約束力。

8.5 If I/we enter into Transaction in securities in a currency other than Hong Kong dollar currency, I/we shall reimburse your exchange loss (if any) and bank charges fully on demand for all expenses incurred by you on converting any foreign currency into Hong Kong dollar currency at the prevailing exchange rate at the time of the relevant Transaction.

若本人(等)用非香港貨幣進行證券買賣，本人(等)須按貴公司的通知，即時支付貴公司的外匯兌換損失(如有)及銀行服務費及任何因找換外匯或香港貨幣所引致的其他用費，找換外匯是以當日有關交易的外匯匯率計算。

8.6 I/We understand and agree that, for our mutual agreement, you may monitor or record any of my/our telephone conversations (if necessary) conducted with you.

本人/吾等明白及同意，作爲雙方的保障，貴公司可(如有需要)監察本人/吾等與貴公司的電話談話，以及將有關通話錄音。

## 9. Liability and Indemnity 責任及彌償

9.1 Neither you nor any of your directors, officers, employees or agents shall be liable to me/us for any direct, indirect or consequential loss or damage suffered by me/us arising out of or connected with any act or omission in relation to Transaction or any matters contemplated by the Agreement unless such loss results from your fraud, grossly negligence or wilful misconduct as proved.

貴司或貴公司的任何董事、行政人員、僱員或代理人，均不需負責因本人(等)或涉及任何關乎本協議書範圍內之任務的操作或疏漏操作而蒙受任何直接、間接或後果性損失或損害，除非此等損失或損害是得到証實是上述人士之欺詐、嚴重疏忽或故意失當行爲而引起者。

9.2 I/We undertake to keep you and your directors, officers, employees and agents indemnified against all claims, demands, actions, proceedings, damages, losses, costs and expenses incurred by you arising out of anything done or omitted pursuant to any instructions given by me/us or in relation to any Transaction or matters contemplated by the Agreement without prejudice to any lien, right to set-off or other rights which you may have.

本人(等)承擔彌償貴公司董事、高級人員、僱員及代理人根據本人(等)指示處理在本協議書範圍內的交易或任何任務而招致的所有針對貴公司及上述人士的申索、訴訟、法律程序、損害賠償、或損失、訟費及費用、而並不影響貴公司可行使的留置權、抵銷權利或其他權利。

## 10. Material Changes 重要變化

I/We hereby undertake to inform you in writing of any material changes in my/our Account Opening Information and you shall also undertake to inform me/us in writing of any material changes in your corporate particulars registration status, nature of services available, corporate management and your business which may affect your services to me/us.

本人(等)承諾用書信通知貴公司本人(等)開戶資料的重要變化，而貴公司亦承諾用書信通知本人(等)有關貴公司會影響對本人(等)服務的公司資料，在證監會的註冊身份，可提供客戶的服務、酬勞費用及業務等變化。

## 11. Data (Privacy) 個人資料(保密)

Whilst I/we expect you to keep confidential all matters relating to the Account, I/we hereby expressly authorize you to provide to the SFC or the Exchange or the Clearing House or any other regulatory authorities in any investigation or enquiry it is undertaking.

雖然本人(等)預期貴公司將予該帳戶有關之事情保密，本人(等)謹此明確同意如應證監會或聯交所或中央結算或監管機構之要求，貴公司可向彼等提供帳戶之詳細資料，以便協助彼等進行的調查或詢問。

## 12. Risk Disclosure Statement 風險披露聲明書

12.1 I/We hereby acknowledge:

本人(等)明白：

(1) that in respect of securities trading, I/we understand that the prices of securities can and does fluctuate sometimes dramatically, and any individual security may experience upwards or downwards movements, and may even become valueless and that there is an inherent risk that losses may be incurred rather than profit made as a result of buying and selling securities; 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(等)願意承擔此等風險。

(2) that in respect of trading Growth Enterprise Market (GEM) stocks, I/we understand

(i) that such trading involve a high investment risk and, in particular, companies may list on GEM with neither a track record or profitability nor any obligation to forecast future profitability and GEM stocks may be very volatile and illiquid and that I/we shall make the decision to invest only after due and careful consideration;

本人(等)瞭解此等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。本人(等)會在審慎及仔細考慮後，才作出有關的投資決定；

(ii) that the greater risk profile and other characteristics of GEM mean that it is a market more suited to professional and other sophisticated investors;

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；

(iii) that the current information on GEM stocks may only be found on the internet website operated by the Exchange and 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聯交所操作的互聯網網站上找到。創業板上市公司一般無須在憲報指定的報章刊登付費公告；

(iv) that I/we should seek independent professional advice if I/we 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;

假如本人(等)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) that there may be risks in leaving assets in your safekeeping, for example, if you are holding my/our assets and you become insolvent, I/we may experience significant delay in recovering the assets except in accordance with specific legislation or local rules or applicable laws and regulations of the relevant overseas jurisdiction (if held outside Hong Kong) which may be different from the Securities and Futures Ordinance (Cap. 571) and may possible be pro-rated in the same manner as cash for purposes of distribution in the event of a shortfall and these are risks that I/we are prepared to accept;

存放款項或其他財產與貴公司保管可能存在風險，若是貴公司持有該款項或財產而無力償債時，本人(等)將有被延誤回收該等款項或財產，可能須受限於具體法例規定或當地的規則（若是存放在香港以外），而當地法例或規則不同於香港法章 571 的證券及期貨條例，只可收回按比例分配得來的款項或其他財產；

(4) that there may be risk in providing you with an authority to hold mail or direct my/our mail to third parties and that it is important for me/us to promptly collect in person all execution reports, daily and/or monthly statements of my/our account and review them in detail to ensure that any anomalies or mistakes can be detected in a timely manner;

若授權貴公司，允許他人代存郵件或將郵件轉交予第三方，那麼本人(等)便須盡速親身收取所有關於帳戶的成交單據及結單，並加以詳細閱讀，以確保可及時偵察到任何差異或錯誤；

(5) that in respect of trading Nasdaq-Amex securities at the Exchange, I/we understand that the securities under the Nasdaq-Amex Pilot Program (PP) are aimed at sophisticated investors and that I/we shall consult independent advice and become familiarised with the PP before trading in the PP securities since the PP securities are not regulated as a primary or secondary listing on the Main Board or the Growth Enterprise Market of the Exchange; and

有關聯交所買賣納斯達克，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。本人(等)在買賣該項試驗計劃的證券之前，會先諮詢獨立人士的意見和熟悉該項試驗計劃。本人(等)知悉，按照該項試驗計劃掛牌買賣的證券並非以聯交所的主板或創業板作第一或第二上市的證券類別加以監管；及

(6) that before I/we begin to trade, I/we should obtain a clear explanation of all commission, fees and other charges for which I/we will liable, since these charges will affect my/our net profit (if any) or increase my/our loss.

在開始交易之前，本人(等)先要清楚瞭解本人(等)必須繳付的所有佣金、費用或其他收費。這些費用將直接影響本人(等)可獲得的淨利潤(如有)或增加本人(等)的虧損。

#### DECLARATION BY CLIENT

##### 客戶聲明

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 advice if the client wishes.

客戶確認已按照客戶選擇的語言（英文或中文）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的意見（如客戶有此意願）。



\_\_\_\_\_  
Signed by Client 客戶簽署

\_\_\_\_\_  
Date 日期

#### DECLARATION BY STAFF

##### 職員聲明

I, \_\_\_\_\_ (Name of licensed or registered person in block letters), CE No. \_\_\_\_\_, declare that I have provided the above client with 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 in clause 12 of the Cash Client's Agreement, ask questions and take independent advice if the client so wishes.

本人 \_\_\_\_\_ (註冊人姓名（請用正楷字體填寫）)，中央編號 \_\_\_\_\_，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現金客戶協議書條款 12 該風險披露聲明，亦邀請客戶如有需要可以提出問題及徵求獨立的意見。

\_\_\_\_\_  
Signed by licensed or registered person 註冊人簽署

\_\_\_\_\_  
Date 日期

### 13. Law

#### 法律

This Agreement is governed and construed in accordance with the laws of Hong Kong Special Administrative Region and the parties hereby irrevocably submit themselves to the jurisdiction of the Hong Kong Special Administrative Region.

本協議書受香港特別行政區法律管轄及以其作解釋，而雙方不得撤銷接受香港特別行政區法院的司法管轄。

(註：此為中文譯本，若有任何異議，應以英文原本為準)

IN WITNESS WHEREOF I/we hereto set my/our hands/and affix my/our firm chop/our common seal hereto this

day of

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茲見證本協議書，本人（等）在此簽署/及蓋上商號印/公司印於二零零 年 月 日。

Name of client(s) in block letters

客戶姓名（請用正楷字體填寫）

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Signed by Client(s) (Corporate / Sole Proprietor / Partnership signed with Company chop)

客戶簽署（有限公司/獨資公司/合夥公司（請蓋商號章））

in the presence of 見證於：

Witness Name 見證人姓名

)

Witness Occupation 見證人職業

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Witness Address: 見證人地址

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ACKNOWLEDGED AND ACCEPTED BY T G SECURITIES LIMITED

滙澤證券有限公司接受及確認

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for and on behalf of

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代表滙澤證券有限公司

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Authorized Signature(s) 獲授權簽署

No need to complete the items marked with "For official use only".

### Account Opening Information Form 開戶資料表

(Individual / Joint Account) (個人/聯名戶口)	Tick to select the product for trading.	For official use only 只供本行使用
Please select the type of account 請選擇戶口類別		Account No. 戶口號碼 :
<input checked="" type="checkbox"/> HK Securities Trading 現金證券買賣戶口		Date Opened 開戶日期 :
<input checked="" type="checkbox"/> Overseas Securities Trading 海外證券買賣戶口		

### The Client's Information 客戶個人資料

Name of client (English 英文) **Simon Williams, MANLEY**  
客戶姓名  
(Chinese 中文) **N/A**

I.D. / Passport No. \_\_\_\_\_ Date of Birth \_\_\_\_\_  
身份證號碼/護照號碼 : **441295198308309980** 出生日期 : **August 30, 1983**

Residential Address 住宅地址 :  
**Room 2008, Block 1, Tai Koo Shing, Hong Kong**

Tel. No. **852-21234567** (Residential 住宅) e-mail Address \_\_\_\_\_  
電話號碼 : **852-91234567** (Mobile 手提) 電子郵件 : **simonwilliams@hotmail.com**

Name of Employer 僱主名稱 :  
**ABC Technology Limited**

Employer Address 僱主地址 :  
**Room 2808, Central Plaza, Central District, Hong Kong**

Business Tel. No. \_\_\_\_\_ Fax No. \_\_\_\_\_  
商業電話號碼 : **852-1234-5678** 傳真號碼 : **852-8765-4321**

Position Held \_\_\_\_\_ Occupation / Nature of Business \_\_\_\_\_  
職位 : **Soft Engineer** 職業/業務性質 : **Soft Exploitation**

You can obtain account statements and other files by email or mail (Please choose one).

All correspondence of the account including statements, confirmations, notices, contracts etc to be mailed to:  
有關帳戶之文件包括: 結單, 確認書, 通告, 合同等發送到地址:

Residential address 住宅地址  
 Business address 工作地址  
 Email address 電子郵件  
 Other Address, please specify (其他地址, 請說明)

Note: That funds withdrawn from your securities trading account are to be deposited into this bank account.

### Nominated Bank Account 指定銀行戶口

Please nominate the bank account you wish to use fund deposit (the account must be your name)  
請指示銀行戶口以供入數之用(必須與客戶名稱相同)

Bank Name of Hong Kong 香港銀行名稱: **Bank Of China(Hong Kong)**

Account Number 戶口號碼 : **012-875-12345678**

**Client Financial Position 客戶財政狀況**

**Annual Income 每年收入：**

Income Source 收入來源：(Can choose more than one item 可選擇多於一項)

Salary / Commission 薪金/佣金     Rent 租金     Dividend / Interest 股息/利息     Business Profit 營業利潤

Others (please specify) 其他(請列明)：\_\_\_\_\_

Estimated Total Amount (in RMB) 估計總金額 (人民幣計)：

Below 少於¥20,000     ¥20,000~¥100,000     ¥100,001~¥300,000     ¥300,001~¥600,000     Above 多於¥600,000

**Asset Net Worth 資產淨值：**

Asset Class 資產類別：(Can choose more than one item 可選擇多於一項)

Property 房產     Cash / Deposit 現金/存款     Valuable Stock 有價證券

Others (please specify) 其他(請列明)：\_\_\_\_\_

Approximate Total Net Worth (in RMB) 概算總淨值 (人民幣計)：

Below 少於¥100,000     ¥100,000~¥300,000     ¥300,001~¥500,000     ¥500,001~¥1,000,000     Above 多於¥1,000,000

**Investment Experience 投資經驗**

Nil 無

Warrants 認股證 \_\_\_\_\_ year 年

HK listed Stock 香港上市證券 \_\_\_\_\_ year 年

Overseas listed stocks 海外上市證券 \_\_\_\_\_ year 年

HK futures / options 香港期貨/期權 \_\_\_\_\_ year 年

Overseas futures / options 海外期貨/期權 1 year 年

**Investment Objectives 投資目標**

**Risk Factors 風險因素**

Income 收入    %     Capital gain 資本增值    30 %

Low 低風險     High 高風險

Hedging 對沖    %     Speculation 投機    70 %

Medium 中風險     Very High 極高風險

**Bank References 銀行資料**

Banker(s) 銀行： Bank Of China(Hong Kong)

Branch(es) / Address(es) 分行/地址： Bank Of China Building, No.1, Garden Road, Central, Hongkong

Account Name(s) 戶口名稱： Simon Williams Manley

Account No(s). 戶口號碼： 012-875-12345678

Account Type(s) 戶口類別：  Saving 活期     Current 支票     Others 其他\_\_\_\_\_

Broker References 經紀資料

Accounts held with other brokerage firms 在其他經紀行設有戶口：

Yes 有

No 沒有

If yes, please specify below: (其他, 請說明)

Other Broker(s) 其他經紀行名稱： CHARLES SCHWAB

Address(es) 地址： SUITE 1200, Two Securities Building, Admiralty, Hong Kong

Account Type(s) 戶口類別：  Cash 現金  Margin 孖展  Securities 證券  Futures 期指  Commodities 商品

Foreign Exchange 外匯  Others 其他 \_\_\_\_\_

Account Name(s) 戶口名稱： Simon Williams Manley Account No(s). 戶口號碼： 12345

## Client Declarations 客戶聲明

I / We confirm and declare that 本人/吾等確認及聲明如下：

- (a)  I am / We are not an employee or agent of a member of the Futures Exchange or a registered person of the SFC.

本人/吾等並非香港期貨交易所會員或證監會註冊人之僱員或代理人。

- I am / We are an employee or agent of a member of the Futures Exchange or a registered person of the SFC. The name of the member or the registered person to whom I / we am / are engaged as an employee or agent is  
本人/吾等是香港期貨交易所會員或證監會註冊人之僱員或代理人，該會員或註冊人之名稱為：

\_\_\_\_\_

- (b)  I am / We are not related to any employee of T G Securities Limited or the group companies.

本人/吾等與匯澤及其集團成員公司之僱員或董事並無直屬關係。

- I am / We are related to the employee of T G Securities Limited or the group companies. The name of employee is:  
本人/吾等與匯澤及其集團成員公司之僱員或董事有直屬關係，該僱員之名稱為：

\_\_\_\_\_ Relationship 關係：\_\_\_\_\_

- (c)  I am / We are not acting as an intermediary for the account. The trading orders placing with T G Securities are not for any of my / our clients or any ultimate beneficiary.

本人/吾等並非以戶口中介人的身份形式。向匯澤作出的買賣指令，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 am / We are acting as an intermediary for the account. Please list below:

本人/吾等是以戶口中介人的身份形式。請詳列如下：

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

\_\_\_\_\_

ID / Passport No.

身份證號碼/護照號碼：\_\_\_\_\_

Contact No.

聯絡電話號碼：\_\_\_\_\_

Residential Address 住宅地址：

\_\_\_\_\_

Employer's Name

雇主名稱：\_\_\_\_\_

Occupation

職業：\_\_\_\_\_

Employer's Address 雇主地址：

\_\_\_\_\_

Person(s) ultimately responsible for giving instructions in relation to transactions to be conducted through the account is / are  
最終負責就經該賬戶進行之交易發出指示之人士：

\_\_\_\_\_

ID / Passport No.

Contact No.

### Notes:

Intermediary: a firm opening and operating a securities trading account for its clients.

Ultimate beneficial owner: the person who bears the P&L of the securities trading.

Person ultimately responsible for giving instructions: the person who is authorized to give instructions for securities trading.

身份證號碼/護照號碼：\_\_\_\_\_ 聯絡電話號碼：\_\_\_\_\_

Residential Address 住宅地址：

Employer's Name

Occupation

雇主名稱：\_\_\_\_\_ 職業：\_\_\_\_\_

Employer's Address 雇主地址：

The Client represents that the information contained in this Account Opening Information Form is true, complete and correct and that the representations in the attached Agreement are accurate. T G Securities Limited ("T G") is entitled to rely fully on such information and representations for all purposes, unless T G receives notice in writing of any change. T G is authorized at any time to contact anyone, including my / our banks, brokers and credit agency, for the purpose of verifying the information provided on this Account Opening Information Form.

客戶茲聲明在本客戶資料表內的資料均屬真實，完整及正確，而附上的協議一切內容準確。除非滙澤證券有限公司(“滙澤證券”)收到有關更改客戶資料表內容的書面通知，滙澤證券有權在任何用途上完全依賴這些資料及聲明。滙澤證券有權隨時聯絡任何人，包括客戶之銀行、經紀或任何信貸機構，以求證實此客戶資料表所載之內容。



\_\_\_\_\_  
Authorized Signature(s) 授權人簽名

\_\_\_\_\_  
Date 日期

**For Official Use Only 只供本行使用**

Introduced by 介紹人：	How Long Known to Client 與客戶相識年期：
Name of Account Executive 客戶主任姓名：	AE No 客戶主任號碼：
Bank and Credit References Obtained 已獲銀行及信貸參考： Yes 是/ No 否	Credit Limit Suggested by AE 客戶主任建議之信用額：
Documents Checked By 文件查核：	Account Executive Signature 客戶主任簽署：
Account Approved By 批准：	

**SPECIMEN SIGNATURE CARD**



匯澤證券有限公司  
T G SECURITIES LIMITED

**Specimen Signature Card** 簽名樣式卡

Name 姓名	ID Card No./Passport No. 身份證\護照號碼	Specimen Signature(s) 簽名
1. <del>Simon Williams,</del> Manley	A123456(0)	
2.		
3.		
4.		
5.		

<b>Company Chop 公司印章</b> (for corporate account) (適用於公司帳戶)	<b>No. of signature(s)</b> 同時簽署方能生效的人數 (for joint & corporate account) (适用于联名或公司帐户)
	<b>Contact Person 聯繫人</b> (for joint & corporate account) (適用於聯名或公司帳戶)
	<b>Phone Number 聯絡電話:</b>
	<b>Date 日期 :</b>

<b>Bank 開戶銀行:</b> Bank Of China(Hong Kong)	<b>Account Number 戶口號碼:</b> 012-875-12345678
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