

Account No.:
戶口號碼：



鼎成證券有限公司

GRANSING SECURITIES CO., LIMITED

(香港聯合交易所有限公司參與者)

(PARTICIPANT OF THE STOCK EXCHANGE OF HONG KONG LIMITED)

統一現金客戶合約

Uniform Cash Client's Agreement

致：鼎成證券有限公司

To : GRANSING SECURITIES CO., LIMITED

為證券及期貨事務監察委員會（“證監會”）註冊為視作持牌法團（CE 編號 AER434）專營第 1、4、6 及 9 類受規管活動及香港聯合交易所有限公司（“聯交所”）的參與者。

Registered with the Securities and Futures Commission (“SFC”) as a deemed licensed corporation (CE Number AER434) for Type 1, Type 4, Type 6 and Type 9 regulated activities and an exchange participant of The Stock Exchange of Hong Kong Limited (“SEHK”).

香港中環德輔道中 121 號遠東發展大廈 8 樓 805 至 806 室
Room 805-806, 8th Floor, Far East Consortium Building,
121 Des Voeux Road Central, Hong Kong.

本人 / 吾等 (請填寫姓名 / 名稱) _____ 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」）：

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

(1) 戶口

The Account

1.1 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。本人/吾等現聲明本人/吾等是該帳戶之最終受益人及唯一擁有該帳戶之人士。

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 authorised to conduct credit enquiries on me/us to verify the information provided. I/We hereby declare that I/we am/are the ultimate beneficial owner(s) of the Account and no one other than me/us has any interest in the Account.

1.2 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/或證監會的規定或應其要求，將該等資料提供予聯交所及/或證監會。

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

1.3 本人/吾等承認 閣下於業務中可能持有關於個別證券之資料。本人/吾等同意 閣下並無責任向本人/吾等披露任何有關資料。

I/We admit that you may in the course of business possess information relating to securities and agree that you shall have no duty to disclose to me/us any such information.

1.4 倘帳戶包括多於一位人士，則上述每一位人士須共同及個別承擔作為帳戶的責任。若其中任何一位聯名帳戶人士或合夥人辭世或不適合人士，在 閣下已收到有關死亡或不適合人士的書面通知的情況下，該位辭世或不適合（視情況而定）的人士，便無需承擔其後交易之責任。

If the Account is owned by more than one person, the liabilities of us shall be joint and several. The liabilities of a deceased or incapacitated joint account holder shall cease only with regard to transactions made subsequent to the receipt by you.

1.5 每一位聯名帳戶持有人現聲明該帳戶是聯名帳戶享有生存者得權。倘若其中一人去世，遺產承繼人或帳戶生存者須立即以書面通知 閣下有關死訊及提交死亡證，寬免稅項文件等之正本及/或 閣下酌情要求其它有關文件的正本。

If the Account is joint account, I/we hereby declare that the account is a joint account with right of survivorship. In the event of death of any joint account holders, the estate of the deceased joint account holder or the surviving joint holder(s) shall immediately notify you in writing of the relevant death and shall produce and deliver to you true copies of such proofs of death, tax waiver and such other documents as you may in its sole discretion require.

1.6 每一位聯名帳戶的持有人，在毋須通知其他聯名帳戶人的情況下，均有權行使所有本協議內的權利、權力及酌情權，及與 閣下協商。在這情況下， 閣下可根據任何一位聯名帳戶持有人有關該帳戶的指示，而毋須向其他聯名帳戶持有人作出查詢或介定有關聯名帳戶持有人之間的任何財產分配。

Each of joint account holders shall have the authority to exercise all the rights, power and discretion hereunder and to deal with you as if each of us alone was the holder of the Account without notice to the other. You may follow the instructions of any of us concerning the Account and shall not be obliged to inquire into or see to the application of any monies or properties between the joint account holders.

1.7 儘管任何準備簽署本協議或準備受本協議約束的人士不可以簽署或不受本協議之約束，及儘管本協議對任何一位或多位簽署者無效或有下可執行的情況，不論 閣下是否知悉此問題，每一位聯名帳戶持有人均同意接受本協議之約束。

Each of the joint account holders agrees to be bound by this Agreement notwithstanding that any person intend to sign or to be bound by this Agreement may not to be or be bound and notwithstanding that this Agreement may be invalid or unenforceable against any one or more of the undersigned (whether or not the deficiency is known to you).

1.8 本人/吾等不得撤回指示 閣下將本人/吾等在 閣下之帳戶內的任何證券、應收款項或其中持有之現金進行抵銷及扣

留，作為抵銷本人/吾等在閣下之帳戶一切實際或有負債，包括支付買入證券及向第三者支付的費用。

I/We hereby irrevocably direct you to set-off and withhold from and apply any securities, receivable and monies held in or for the Account against all actual or contingent liability incurred by you including any liability to pay the purchased securities and other expense to any third party.

- 1.9** 儘管本協議的任何規定，閣下有絕對酌情權於任何時間結束帳戶，而毋須提出任何理由，亦毋須對本人/吾等以終止本協議而結束帳戶責任。

Notwithstanding any provision of this Agreement, you shall have the right exercisable at your absolute discretion at any time to close the Account without ascribing any reason and without any liability to me/us for such closure by terminating this Agreement.

(2) 法例及規則

Laws and rules

- 2.1** 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。這方面的規定包括香港聯合交易所有限公司(「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。

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 Stock Exchange Of Hong Kong Limited (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.

- 2.2** 若閣下或閣下之相聯人士所犯的違責是關於任何在或將會在認可證券市場上市或交易而犯的及該等證券的有連繫資產而犯的，以致本人/吾等蒙受金錢上的損失，本人/吾等知悉並接納其投資者賠償基金所承擔的法律責任只限於(證券及期貨條例)及有關附屬法例內所規定的有效索償，並須受制於(證券及期貨(投資者賠償-賠償限額)規則)內所訂的金額上限，因此不能保證本人/吾等在因該等違責而蒙受的任何金錢損失，可以從投資者賠償基金中獲得全數、部分或任何賠償。

In the event that you or your associated person commits a default in relation to securities listed or traded, or to be listed or traded, on a recognized stock market; and related assets of such securities and I/we thereby suffer a pecuniary loss, I/we acknowledge and accept that the liability of the Investor Compensation Fund will be restricted to valid claims as provided for in the Securities and Futures Ordinance and the relevant subsidiary legislation and will be subject to the monetary limits specified in the Securities and Futures (Investor Compensation – Compensation Limits) Rules and accordingly there can be no assurance that any pecuniary loss sustained by reason of such a default will necessarily be recouped from the Investor Compensation Fund in full, in part or at all.

(3) 交易

Transactions

- 3.1** 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。

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.

- 3.2** 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。

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

- 3.3** 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，繳付聯交所及證監會徵收的適用徵費，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、收費、徵費及稅項。

On all Transactions, I/we will pay your commission and charges, as notified to me/us, as well as applicable levies imposed by the Exchange and the SFC, and all applicable stamp duties. You may deduct such commissions, charges, levies and duties from the Account.

- 3.4** 本人/吾等承認及同意本人/吾等須單獨負責所有交易指令，而閣下及任何閣下之董事、高級職員及僱員均不須就接獲及執行任何該等指令對本人/吾等或任何其他經本人/吾等索償的人士負責。

I/We acknowledge and agree that I/we shall be solely responsible for the Transactions and neither you nor any of the directors, officers or employees of your company shall be liable to me/us, or to any other person claiming under or through me/us, for any claim made with respect to the receipt and execution of any such Transactions.

- 3.5** 本人/吾等明白及同意閣下可以監聽或記錄本人/吾等與閣下之電話談話內容以供閣下核實本人/吾等或任何授權人之指示。

I/We understand and agree that you may monitor or record any of my/our telephone conversations in order to verify the instructions given by me/us or my/our Authorized Person.

- 3.6** 閣下有絕對酌情權接納或拒絕任何指令或執行任何指令，而毋須就此給予任何理由。

You shall have an absolute discretion to accept or refuse any orders or the execution of any orders and shall not be obliged to give any reason for such refusal.

- 3.7** 本人/吾等確認及同意閣下及貴公司之董事、高級職員、僱員及代理人毋須對閣下任何指示及落盤在傳遞及通訊上的延誤、無效及錯漏而產生之損失承擔任何責任，此損失由本人/吾等承擔。

I/We acknowledge and agree that you and the directors, officers, employees and agents of your company shall not be responsible or liable for any loss suffered or which may be suffered by me/us as a result of any delay, failure or inaccuracy in the transmission or communication of instructions or orders.

- 3.8** 本人/吾等確認由閣下根據本人/吾等指示進行所有證券交易是根據本人/吾等自己的判斷及決定作出，而並非基於閣下之選擇或建議而進行交易。

I/We acknowledge that all Transactions effected by you pursuant to my/our instructions is a result of my/our judgement and decision and not result from your selection or advice.

3.9 倘本人/吾等住處或向閣下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。本人/吾等進一步同意於被要求時償付閣下可能因本人/吾等之住處或發出指令地點在香港以外的地方而引致閣下蒙受的任何索償、索求、訴訟費、費用及支出。

If I/we reside or give 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 to indemnify you on demand for any claims, demands, actions, costs and expenses you may suffer or incur in connection with or arising from my/our residing or giving of any such order outside Hong Kong.

3.10 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，閣下可以毋須負上任何責任下

- (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。

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 without any liability on your part

- 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.

3.11 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。

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

3.12 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。

I/We agree to 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.

3.13 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。

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.

- 3.14** 於任何通告、帳單、確認書或其他通訊所指或提及之每一項交易須被視為正確及經由本人/吾等確認，除非閣下於七天內接獲本人/吾等所作之相反的書面通知。任何通告、帳單、確認書或其他通訊，若 (a) 以專人速遞，在送遞當日；(b) 以掛號郵件傳遞，在投遞當日起計兩日；或 (c) 以傳真傳遞，在發出時，將被視為已經收妥。

Every Transaction indicated or referred to in any notice, statement, confirmation or other communications shall be deemed as correct and confirmed by me/us unless you shall receive from me/us written notice to the contrary within seven (7) days. Any notice, statement, confirmation or other communication shall be deemed to have been received (a) if hand delivered, when delivered (b) if given by registered post, two days after the same has been posted or (c) if given by fax, at the same time if is dispatched.

- 3.15** 在無顯然的錯誤出現下，每一張帳戶賬單中之款項須為最終的借方或貸方結存，對本人/吾等均具約束力。

Every statement of account shall, in the absence of manifest error, be conclusive and binding on me/us as to the amount standing to the debit or credit of the Account.

- 3.16** 如閣下代表本人/吾等以帳戶貨幣之外的任何交易施行貨幣，屆時：

- 所有因為該貨幣的匯率波動而帶來的利潤或損失均屬於本人/吾等，而本人/吾等須承擔有關風險及
- 當出售、抵銷或償付此交易，閣下將有全權將交易施行貨幣以市場的兌換率為基礎兌換，並入帳到本人/吾等帳戶。

If you enter into any Transaction on behalf of me/us in a currency other than the currency in which the Account is denominated then:

- any profit or loss arising as a result of a fluctuation in the exchange rate affecting such currency will be for my/our Account and risk.
- when such Transactions are sold, set off or otherwise liquidated, you may at its sole discretion debit or credit the Account in the currency in which the Account is denominated at a rate of exchange determined conclusively by you on the basis of the then prevailing market rates of exchange for such foreign currency.

- 3.17** 在落盤前，本人/吾等須查詢及完全明瞭其證券交易之特點、交易及結算之安排和收費及佣金等。

I/We should make the necessary enquiries and be fully aware of the characteristics, trading and settlement arrangement, and fee and commission of the Transaction before placing such orders.

- 3.18** 若閣下指示第三者以本人/吾等名義於交易所買賣股票，為免疑義，本人/吾等同意貴公司下攤分佣金、收取退款、或接受其他費用，每當閣下認為在合於法令規定下適當之與該項交易之款項。

If you instruct a third party to deal in securities on my/our behalf on any exchanges, for the avoidance of doubt, I/we expressly consent to your sharing of commission, or the receipt of rebates, or such other amounts relating to such transactions or contracts with those persons as you think fit, subject to applicable laws, rules and regulations.

(4) 證券的保管

Safekeeping of securities

4.1 由閣下寄存妥為保管的任何證券，閣下可以酌情決定：

- (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
- 存放於閣下的認可財務機構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，該機構應為證監會核准的提供保管服務機構。

Any securities which are held by you for safekeeping may, at your discretion

- (in the case of registrable securities) be registered in my/our name or in the name of your nominee; or
- be deposited in safe custody in a designated account with an authorised financial institution 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 approved by the SFC as a provider of safe custody services.

4.2 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。

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.

4.3 本人/吾等明白及同意本人/吾等帳戶內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/吾等進行證券買賣而產生的責任。

I/We acknowledge and agree that all securities held for the 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.

4.4 本人/吾等明確授權閣下可以解除本人/吾等對閣下或閣下之聯繫實體所負的法律責任下，閣下有權而毋須通知本人/吾等代表本人/吾等處置證券。

I/We expressly authorize that you has the right without notice me/us to dispose the securities of me/us for the purpose of settling any liability owed by me/us to you or your associated entity.

4.5 本人/吾等並無根據《證券及期貨(客戶證券)規則》以書面授權閣下：

- 將本人/吾等的任何證券存放在認可財務機構，作為閣下所獲墊支或貸款的抵押品，或者存放在中央結算公司，作為履行閣下在結算系統之責任的抵押品
- 借貸本人/吾等的任何證券

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

You do not have my/our written authority under the Securities and Futures (Client Securities) Rules to:-

- deposit any of my/our securities with an authorised financial 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
- borrow or lend any of my/our securities
- otherwise part with possession (except to me/us or on my/our instructions) of any of my/our securities for any purpose.

(5) 代本人/吾等保管的現金

Cash held for me/us

- 5.1** 代本人/吾等保管的現金須不時依照規定的適用法律或規則，存放於一家持牌銀行所開立的一個客戶信託帳戶內 (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)。

Any cash held for me/us, other than cash received by you in respect of Transactions 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 and rules from time to time.

(6) 風險披露聲明書

Risk Disclosure statement

6.1 證券交易的風險 (Risk of Securities Trading)

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。

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.

6.2 買賣創業板股份的風險 (Risk of trading Growth Enterprise Market Stocks)

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。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/吾等清楚了解，因在創業板上市之公司可因其新興性質及該等公司經營業務之行業或國家而帶有風險。

本人/吾等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。

本人/吾等清楚了解，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。

假如本人/吾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。

I/We understand that Growth Enterprise Market (GEM) has been established as a market designed to accommodate companies to which a high investment risk may be attached. 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. 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.

I/We 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.

I/We understand that 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.

I/We should seek independent professional advice if I/we am/are uncertain of or have not understood any aspect of this risk disclosure statements or the nature and risks involved in trading of GEM stocks.

6.3 在香港以外地方收取或持有的客戶資產的風險 (Risk of client assets received or held outside Hong Kong)

持牌人或註冊人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。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，有關本人/吾等客戶資產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。

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

6.4 提供代存郵件或將郵件轉交第三方的授權書的風險 (Risk of providing an authority to hold mail or to direct mail to third parties)

假如本人/吾等向閣下提供授權書，允許閣下代存郵件或將郵件轉交予第三方，那麼本人/吾等便須盡速親身收取所有關於本人/吾等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。

If I/we provide you with an authority to hold mail or to direct mail to third parties, it is important for me/us to promptly collect in person all contracts notes and statements of my/our account and review them in detail to ensure that any anomalies or mistakes can be detected in a timely fashion.

6.5 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 (Risk of trading NASDAQ – AMEX securities at 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。本人/吾等在買賣該項試驗計劃證券之前，應先諮詢有關交易商或註冊人的意見和熟悉該項試驗計劃。本人/吾等應知悉，按照該項試驗計劃掛牌買賣的證券並非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。

The securities under the NASDAQ-AMEX Pilot Program (“PP”) are aimed at sophisticated investors. I/We should consult the licensed or registered person and become familiarized with the PP before trading in the PP securities. I/We should be aware that the PP securities are not regulated as a primary or secondary listing on the Main Board or the Growth Enterprise Market of The Stock Exchange of Hong Kong Limited.

6.6 存放的現金及證券的風險 (Risk on deposit and securities)

如果本人/吾等為在本地或海外進行的交易存放款項或其他證券，本人/吾等應瞭解清楚該等款項或證券會獲得那些保障，特別是在有關商號破產或無力償債時的保障。至於能追討多少款項或證券一事，可能須受限於具體法例規定或當地的規則。在某些司法管轄區，收回的款項或財產如有不足之數，則可認定屬於本人/吾等的證券將會如現金般按比例分配予本人/吾等。

I/We should familiarize myself/ourselves with the protections given to money or other securities I/we deposit for domestic and foreign transactions, particularly in the event of a firm insolvency or bankruptcy. The extent to which I/we may recover my/our money or securities may be governed by specific legislation or local rules. In some jurisdictions, securities which had been specifically identifiable as my/our own will be pro-rated in the same manner as cash for purpose of distribution in the event of a shortfall.

6.7 佣金及其他收費的風險 (Risk on commission and other charges)

在開始交易之前，本人/吾等先要清楚瞭解本人/吾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/吾等可獲得的淨利潤（如有）或增加本人/吾等的虧損。

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 be liable. These charges will affect my/our profit (if any) or increase my/our loss.

6.8 電子交易的風險 (Risk on electronic trading)

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/吾等的買賣盤不能根據指示執行，甚或完全不獲執行。

Trading on an electronic trading system may differ from trading on other electronic trading systems. If I/we undertake transactions on an electronic trading system, I/We shall 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.

6.9 合約的條款及細則 (Risk on terms and conditions of contracts)

本人/吾等應向替本人/吾等進行交易的商號查詢所買賣的有關每一證券的條款及細則，以及有關責任（例如在什麼情況下本人/吾等或會有責任就證券的相關資產進行交收）。交易所或上市公司在某些情況下，或會修改現有證券細則，以反映該證券相關資產的變化。

I/we should ask the firm with which I/we deal about the terms and conditions of each securities which I/we am/are trading and associated obligations (e.g. the circumstance under which I/we may become obliged to make or take delivery of the underlying interest of each securities). Under certain circumstances the specifications of outstanding securities may be modified by the exchange or the listed companies to reflect changes in the underlying interest.

6.10 在其他司法管轄區進行交易的風險 (Risk on transactions in other jurisdictions)

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

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

6.11 電傳指示的風險 (Risk on instructions by facsimile)

本人/吾等已考慮電傳指示可能產生的風險，例如電傳簽署可能被偽造及指示可能傳送至錯誤號碼，以至未能送達。閣下及第三者可能由此知道機密資料，閣下毋須就此電傳事故、事務、索償、虧損及訴訟費負上任何責任。

I/We should consider the possible risks inherent in the giving of instructions by facsimile. Non-original signatures on the facsimile may be forged and instructions given by facsimile may be transmitted to wrong numbers, may never reach to you and may thereby become known to third parties thus losing their confidential nature. You have no responsible for the occurrence of any such circumstance or for any action, claim, loss, damage, or cost by facsimile.

(7) 個人資料

Personal Data

7.1 本人/吾等確認閣下是根據個人資料（私隱）條例監管下使用本人/吾等之有關資料。本人/吾等亦確認「客戶資料表格」所載資料均屬完整、真實及正確。倘該等資料有任何變更，本人/吾等將會迅速的以書面通知閣下。本人/吾等特此授權閣下於任何時候對本人/吾等的信用進行查詢，及與包括本人/吾等的銀行、經紀或任何信貸機構聯絡以核實所提供的資料。

I/We acknowledge that you are subject to the provision of the Personnel Data (Privacy) Ordinance, which regulate your use of personal data concerning me/us. I/We confirm that the information set out in the Customer Information Statement is complete, true and correct. I/We undertake to promptly inform you in writing of any changes to that information. You are also authorized at any time to conduct credit enquiries on me/us and to verify the information provided with and including my/our bankers, brokers and any credit agency.

7.2 閣下將會對本人/吾等帳戶的有關資料予以保密，但閣下可以根據有關交易所、證監會及任何其他監管機構的任何適用的法律或規例或應其要求，將該等資料提供予有關交易所、證監會、任何他監管機構。

You will keep information relation to the Account confidential, but may provide any such information to the relevant exchange,

the SFC and any other regulatory bodies to comply with their requirements or requests for information under any applicable laws or regulations.

7.3 本人/吾等資料可能會於以下各方面：

- 開立、處理及延續帳戶；
- 向本人/吾等提供信貸金額的日常運作；
- 信貸分析；
- 信貸檢查及確證本人/吾等有良好信用；
- 確定 貴公司與本人/吾等相互間之債務；
- 向本人/吾等或其擔保人追收欠款；
- 根據 貴公司須遵守的條例而作出披露；及
- 與上述有關的其他用途。

The purpose for which data relating to me/us may be used are as follows:

- opening, administering and continuation of my/our Account;
- the daily operation of the loan facilities provided to me/us;
- making lending and credit analysis decision;
- conducting credit checks and ensuring ongoing credit worthiness of me/us;
- determining the amount of indebtedness owned to or by me/us;
- recovering of any monies owned from or liabilities incurred by me/us and those providing security for my/our obligations;
- meeting the requirements, including the requirement to make disclosure, under of any laws, rules or regulations binding on you; and /or
- for purposes of relating or incidental thereto.

7.4 閣下會把本人/吾等資料保密，但可能會將其資料提供與：

- 任何代理人、承包商、或者行政、電訊、電腦、支付或證券結算或其他與 閣下業務運作上提供有關服務的第三者；
- 任何對 閣下有保密責任的人；
- 任何與本人/吾等有或將有交易的財務機構及銀行；
- 任何 閣下的實質或建議受讓人，或參與人或附屬參與人或 閣下或集團對本人/吾等權益的受讓人；
- 任何律師、會計師及專業人仕；及
- 政府（包括所有海外的政府部門）、法庭及其他監管機構。

Data held by you relating to me/us will be kept confidential but you may provide, transfer, disclose or exchange such personal data to:

- any agent, contractor or third party service provider who provides administrative, telecommunications, computers, payment or securities clearing or other services to you in connection with the operation of its or their business;
- any other person under a duty of confidentiality to you which has undertaken to keep such information confidential;
- any bank or financial institution with which I/we have or propose to have dealing;
- any actual or proposed assignee of you or participant or sub-participant or transferee of your Group's rights in respect of me/us;
- any legal, accounting or professional person, firm or body; and
- any government, law enforcement or other regulatory authority, body or entity under any applicable law, rules or regulations.

7.5 本人/吾等確認根據個人資料(私隱)條例，本人/吾等有權：

- 查閱 閣下是否持有本人/吾等的資料及有權索取該等資料；
- 要求 閣下改正有關本人/吾等不正確的資料；
- 知道 閣下對資料的政策及實際上如何運用，及可獲知 閣下持有本人/吾等什麼資料。

I/We acknowledge that under and in accordance with the terms of the Personal Data (Privacy) Ordinance, I/we have the right to:

- check whether you hold data about me/us and the right of access to such data;
- require you to correct any data relating to me/us which is inaccurate;
- ascertain your policies and practices in relation to data and to be informed of the kind of personal data held by you.

7.6 根據個人資料(私隱)條例規定，閣下對處理索取資料的要求有權收取合理費用。本人/吾等可索取或更正資料或查詢 閣下對資料的政策及實際上如何運用及持有什麼資料，可向 閣下監察主任查詢，地址為香港中環德輔道中 121 號遠東發展大廈 805-806 室。

In accordance with the terms of the Personal Data (Privacy) Ordinance, you have the right to charge a reasonable fee for the processing of any data access request. I/We may request for access to data or correction of data or for information regarding policies and practices and kinds of data held. Such requests are to be addressed to your Compliance Officer at Room 805-806, Far East Consortium Building, 121 Des Voeux Road Central, Hong Kong.

(8) 一般條款

General

8.1 按照本協議規定作出的任何通知書(有關交易指示除外)，必須以書面形式，並以親身或掛號郵件或傳真方式送與收取通知的一方：倘為 閣下，則送於上列地址；倘為本人/吾等，則送於「客戶資料表格」上所載的地址；或任何由一方以書面通知另一方之其他地址。

Any notice (other than any instructions relating to Transaction) given under this Agreement shall be in writing and may be delivered personally or sent by registered post or fax addressed to the party to which it is addressed, in case Gransing Securities Co., Limited, at the address set out above and in the case of me/us, at the address set out in the Client Information Attachment or in both cases, at such other address as may have been notified in writing to the other party hereto.

8.2 有關在本協議上所產生的之任何事項上，時間將是要素。

Time shall be of the essence in relation to all matters arising under this Agreement.

8.3 閣下有酌情決定權在發出書面通知本人/吾等列出該等修訂、刪減、取代或增訂的情況下，修訂、刪減或取代協議任何的條款或增訂本協議之條款，該等修改將被視為已包含入本協議內，除非本人/吾等在該通知書發出 7 天內，以書面提出反對。

You may at your discretion amend, delete or substitute any of the terms herein or add new terms to this Agreement by sending to me/us a notice in writing setting out such amendment, deletion, substitution or addition which shall be deemed incorporated herein unless objected to in writing by me/us within 7 days from the date of such notice.

8.4 本協議中任何條款在作運上不會消除、掛除及限制在法律之下本人/吾等之任何權利或 閣下的任何責任。

No provision of this Agreement shall operate or remove, exclude or restrict any rights of me/us or obligations of you under the law.

8.5 本協議內的聲明、保證及承諾在本協議期間將被視為由本人/吾等重覆作出。

The representations, warranties and undertakings in this Agreement shall be deemed to be repeated during the term of this Agreement.

8.6 本協議及所有交易均對本人/吾等有有效及合法之約束力。

This Agreement and all Transactions shall constitute valid and legal binding obligations on me/us.

8.7 閣下根據本協議的所有權利將適用於所有在交易中參與的經紀、代理人、交易所及結算公司。

All rights of you pursuant to this Agreement shall also apply to any broker, agent, exchange and clearing house involved in the Transaction.

8.8 倘本協議之任何條文被任何合資格的司法管轄權法院或監管機構或機關判定無效或不能強制執行，則該項有關無效或不能強制執行之判定只適用於該條文。其餘條文之有效性將不會因此受影響，而本協議將繼續獲得執行，猶如該無效或不能強制執行之條文並無載於本協議內一樣。

If any of the provisions of this Agreement shall be held to be invalid or unenforceable by any court of competent jurisdiction or by any regulatory authority agency or body, such invalidity or unenforceability shall attach only to such provisions and the validity of the remaining provisions shall not be affected and this Agreement shall be carried out as if any such invalid or unenforceable provisions were not contained here.

8.9 本人/吾等除非獲得 閣下書面批准，否則本人/吾等不得將本協議下任何本人/吾等之權利及/或義務轉讓予任何其他人土。

I/We shall not assign any of my/our rights and/or obligations under this Agreement to any other person except with your prior written consent.

8.10 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《證券及期貨條例》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。

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, subject to the terms of the Investor Compensation Fund from time to time.

8.11 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。

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

(9) 確認

Acknowledgement

9.1 本人/吾等明白及確認交易雖然可帶來商業及/或經濟上的利益，本人/吾等亦須承擔其商業及/或經濟上的風險。

I/We acknowledge and understand that though commercial or economic benefit may be gained from the Transactions, I/we will also bear economic and/or commercial risk associated with such Transactions.

9.2 本人/吾等同意閣下可進行與本人/吾等指示相對之買賣交易，而不論有關買賣為閣下本身或代表其他客戶進行。

You may take the opposite position to my/our Transactions whether it is on your own account or on behalf of your other clients.

9.3 本人/吾等確認本協議的條款已用本人/吾等明白的語言向本人/吾等解釋。

I/We confirm that the terms of this Agreement have been explained to me/us in a language which I/we understand.

9.4 在解釋本協議而引致任何不一致或矛盾的情況下，將以英文本為準。本人/吾等現贊成及同意本協議內的一切條款及條件及確認收到本協議之副本。

In the event of any inconsistency or conflict arising in the interpretation of this Agreement, the English language version shall prevail. I/We hereby agree and consent to the terms and conditions herein contained and acknowledge receipt of a copy of this Agreement.

9.5 本協議及其詮釋均受香港特別行政區法律管轄，亦可根據香港特別行政區法律執行。

This Agreement shall be governed by and enforced in accordance with the laws of The Special Administration Region of Hong Kong and the parties hereto agree to submit to the non-exclusive jurisdiction of the courts thereof.

合約日期 年 月 日

Dated the _____ day of _____, _____

客戶姓名

SIGNED BY

客戶簽名

Client Signature

見證人

in the presence of

姓名 :

Name :

地址 :

Address :

職業 :

Occupation :

見證人簽名

Witness Signature

經由鼎成證券有限公司

承認及接納

ACKNOWLEDGED AND)

ACCEPTED BY)

GRANSING SECURITIES CO., LIMITED)

授權簽名及業務印章

Authorised Signature and Company Chop

註：此為中文譯本，若有任何歧義或錯漏，應以英文原本為準。



鼎成證券有限公司
GRANSING SECURITIES CO., LIMITED

(香港聯合交易所有限公司參與者)

(PARTICIPANT OF THE STOCK EXCHANGE OF HONG KONG LIMITED)

(CE No. : AER434)

客戶資料附件

戶口姓名：

Name of account:

戶口號碼：

Account no.:

投資目的：

Investment objectives:

短期

(1 至 6 個月)

中期

(6 至 12 個月)

長期

(1 年以上)

附註：

投資經驗：

Investment experience:

_____ 年 years

估計交易金額：

Estimated trading range:

少於港幣三十萬

less than HK\$300,000

港幣三十萬至一百萬

HK\$300,000-HK\$1,000,000

多於港幣一百萬

over HK\$1,000,000

電郵地址：

e-mail address:

房屋 Flat：

與父母同住 with parents

租用 rented

自置 owned

宿舍 quarters

按揭 mortgage

其他 others

業務 Business：

獨資 sole owner

合夥 partnership

有限公司股東 Shareholder

業務性質：

Nature of business:

財政狀況：

Financial position:

銀行名稱：

Bank name:

銀行戶口號碼：

Account no.:

銀行戶口類別：

儲蓄 Savings

定期存款 Fixed deposits

來往 Current

透支 Overdraft

註： 以上開戶資料如有更改，本人/本公司須立即通知。

Remark: I/we undertake to notify Gransing immediately if the above information is no longer current.



鼎成證券有限公司
GRANSING SECURITIES CO., LIMITED

(香港聯合交易所有限公司參與者)

(PARTICIPANT OF THE STOCK EXCHANGE OF HONG KONG LIMITED)

(CE No.: AER434)

開戶資料 (機構)

Account Opening Information (Corporate)

戶口號碼 Account No.:	開戶日期 Date Opened:
現金 / 保證金 Cash/Margin (刪除不適用者 Delete as appropriate)	
(----- 授權簽名式樣 Specimen Authorised Signatures -----)	
姓名 Name:	簽名 Signature:
香港身份證號碼 / 護照號碼 HK I.D. Card No./Passport No.:	簽名 Signature:
姓名 Name:	簽名 Signature:
香港身份證號碼 / 護照號碼 HK I.D. Card No./Passport No.:	簽名 Signature:
姓名 Name:	簽名 Signature:
香港身份證號碼 / 護照號碼 HK I.D. Card No./Passport No.:	簽名 Signature:
姓名 Name:	簽名 Signature:
業務印章式樣 Specimen of Business Chop/Seal:	

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

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

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。

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

*刪除不適用者

*Delete if inapplicable

戶口姓名 Name of Account	
英文 English:	
中文 Chinese:	
電郵 Email:	
地址 Address:	
住宅 Home:	手提電話 Mobile:
辦公室 Office:	傳真機 Fax:
通訊地址 Correspondence Address:	
業務性質 Nature of Business:	
僱主姓名 Name of Employer:	
公司註冊證書及註冊國家 Certificate of Incorporation No. and Country of Incorporation:	

只供本行使用 For Official Use Only	
介紹人:	
Introduced by:	
文件查核:	
Documentation checked by:	
批准:	
Approved by:	
客戶主任姓名:	
Name of Account Executive:	
與客戶主任相識年期:	
How long known to Account Executive:	
已獲銀行及信貸參考:	是/否
Bank and Credit references obtained:	Yes/No



鼎成證券有限公司

GRANSING SECURITIES CO., LIMITED

(香港聯合交易所有限公司參與者)

(PARTICIPANT OF THE STOCK EXCHANGE OF HONG KONG LIMITED)

(CE No. : AER434)

開戶資料 (私人 / 獨資經營 / 合夥經營)

Account Opening Information (Personal / Sole Proprietor / Partnership)

戶口號碼 Account No.:	開戶日期 Date Opened:
現金 / 保證金 Cash/Margin (刪除不適用者 Delete as appropriate)	
(----- 授權簽名式樣 Specimen Authorised Signatures -----)	
姓名 Name:	簽名 Signature:
香港身份證號碼 / 護照號碼 HK I.D. Card No./Passport No.:	
姓名 Name:	簽名 Signature:
香港身份證號碼 / 護照號碼 HK I.D. Card No./Passport No.:	
姓名 Name:	簽名 Signature:
香港身份證號碼 / 護照號碼 HK I.D. Card No./Passport No.:	
業務印章式樣 Specimen of Business Chop/Seal:	

戶口姓名 Name of Account	
英文 English:	
中文 Chinese:	
電郵 Email:	
地址 Address:	
住宅 Home:	手提電話 Mobile:
辦公室 Office:	傳真機 Fax:
通訊地址 Correspondence Address:	
業務性質 Nature of Business:	
僱主姓名 Name of Employer:	
公司註冊證書及註冊國家 Certificate of Incorporation No. and Country of Incorporation:	

介紹人 Introduced by:	只供本行使用 For Official Use Only
文件查核 Documentation checked by:	
批准 Approved by:	
客戶主任姓名 Name of Account Executive:	
與客戶主任相識年期 How long known to Account Executive:	
已獲銀行及信貸參考 Bank and Credit references obtained:	是/否 Yes/No

註一 : 戶口可根據其中兩式或以上/任何一式*(聯名戶口用)簽名式樣指示下運作。
 Note 1 : The Account can be operated on the instructions of any two or more signatures / any one signature*(if in joint names)

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。
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*刪除不適用者
 *Delete if inapplicable

開設證券現金交易戶口步驟

填妥：這份文件及附上下列文件之副本並加簽作實：

個人戶口

- 身份證或護照；及
- 地址證明(如銀行月結單)

公司戶口

- 授權簽署人士之身份證明文件；
- 公司組織大綱及章程，細則及修訂議案；
- 公司成立證明書；
- 商業登記證明書；及
- 公司決議開設證券交易戶口的董事會記錄

以郵寄方式遞交開戶文件者：(公司戶口不適用)

- 開戶金額須不少於 100 港元，並以支票隨開戶文件寄上，抬頭繳付「鼎成證券有限公司」；
- 該支票之簽發戶口必須以客戶姓名於香港持牌銀行開立，支票上並須載有客戶在身分證明文件上顯示的姓名；
- 支票上的簽名必須與客戶協議書相符；
- 新帳戶必須待支票完成清算後才可使用。
- 填妥協議書後寄回(公司戶口不適用)或交回至下列地址：
香港中環德輔道中 121 號遠東發展大廈 805 至 806 室

如閣下對該協議書有任何疑問，請致電客戶服務熱線 +(852) 2544-0168
或電郵至 info@gransing.com。