

帳戶名稱 Client Name :

帳戶號碼 Account No. :

# Suncorp Securities Limited

新 確 證 券 有 限 公 司

帳戶開戶表格(個人帳戶)

Suncorp Securities Limited ("SSL" or the "Company") carries on the business of dealing in securities is licensed to carry on Type 1 (dealing in securities) regulated activities under the Securities and Futures Ordinance (Cap. 571) (CE No. BGD661).

新確證券有限公司 ("新確證券" 或 "本公司") 經營的是證券交易的業務，並根據證券及期貨條例（第571章）獲發牌經營第一類（證券交易）受規管活動（中央編號：BGD661）。

SFC CE NO. BGD661

帳戶種類：○現金(Cash)

申請服務：○電子交易(Online Trading)

Account No 帳戶號碼：

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The company provides services to customers or services that customers can use, such as securities cash accounts, discretionary accounts, portfolio management, investment advisory services, and unit trust trading accounts.

本公司向客戶提供或客戶可使用的服務，例如證券現金買賣帳戶、委託帳戶、投資組合管理、投資顧問服務、單位信託交易帳戶的性質

The Broker will notify Client of any material changes in respect of its business which may affect the services it provides to the Client.

倘經紀的業務有重大變更，並且可能影響其為客戶等提供的服務，經紀將會通知客戶。

## 1. Personal Information 個人資料

Client Name 客戶姓名：○ Mr 先生 ○ Mrs 小姐 \_\_\_\_\_  
( Chinese 中文 ) (English 英文)

National/Citizenship 國籍／公民身份：\_\_\_\_\_ ID Card/Passport No 身份證／護照號碼：\_\_\_\_\_

Issuing Country 簽發國家：\_\_\_\_\_ Date of birth 出生日期 ( DD / MM / YYYY ) \_\_\_\_\_

Maritstatus 婚姻狀況：○ Single (單身) ○ Married (已婚) ○ Divorced (離婚)

Residential Address 住宅地址：\_\_\_\_\_

Correspondence Address 通訊地址(if different from residential address) (如與住宅地址不同)：\_\_\_\_\_

Home Tel No 住宅電話號碼：\_\_\_\_\_ Mobile Phone No 手提電話號碼：\_\_\_\_\_

Email Address 電郵地址：\_\_\_\_\_

Education Level 教育程度：○ Primary (小學) ○ Secondary (中學) ○ University (大學)

○ Master's Degree or Above (碩士或以上)

## 2. Career / Employment Status 職業 / 就業情況

Name of Employer 僱主名稱：\_\_\_\_\_

Occupation/Business Nature 業務性質：\_\_\_\_\_ Position 職位：\_\_\_\_\_

Business Phone No 辦公室電話：\_\_\_\_\_ Business Fax No 辦公室傳真：\_\_\_\_\_

## 3. Financial Situation 財政狀況

Annual Income(HKD) 年薪 (HKD): \_\_\_\_\_ Net Worth (HKD) 資產淨值 (HKD): \_\_\_\_\_

## 4. Investment Experience 投資經驗

○ Shares/Investment Funds 股票 / 投資基金 \_\_\_\_\_ Years 年數 \_\_\_\_\_

○ Derivatives (Futures/Options/Warrants) 衍生工具 (期貨 / 期權 / 認股權證) \_\_\_\_\_ Years 年數 \_\_\_\_\_

## 5. Investment Objective and Risk Tolerance 投資目標及可承受風險

**Investment Objective 投資目標：** ☐ Capital Appreciation 資本增值 ☐ Hedging 對沖 ☐ Income 收入 ☐ Speculation 投機  
☐ Others (please specify) 其他 (請註明)

**Risk Tolerance 可承受風險：** ☐ Low Risk (低風險) ☐ Medium Risk (中風險) ☐ High Risk (高風險)

## 6. Customer Understanding of Derivative Products 客戶對衍生產品的認識

The Customer knows and understands that the company will assess whether the Customer has knowledge of derivative products based on the following information. 客戶知悉及明白公司將根據以下的資料以評估客戶是否對衍生工具產品有認識。

☐ The client has received training or taken relevant courses on derivative products. 客戶曾接受有關衍生產品的培訓或修讀相關課程。

☐ The Client has current or past work experience related to derivatives products. 客戶現時或過去擁有與衍生產品有關的工作經驗。

☐ The Customer has conducted 5 or more transactions in derivative products in the past 3 years, Such as: Derivative Warrants, CBBCs, Stocks, Futures and Options, Commodities, Structured Products, Exchange-Traded Funds, etc.

客戶於過去 3 年曾執行 5 次或以上有關衍生產品的交易，例如：衍生權證、牛熊證、股票、期貨及期權、商品、結構性產品及交易所買賣基金等。

☐ The Client does not know of derivatives. 客戶沒有衍生工具之認識。

## 7. Billing Account Information 結算帳戶資料

Hong Kong Dollar Account 港元帳戶

The Client hereby instructs and authorizes the use of the following Hong Kong dollar account with a Licensed bank in Hong Kong as the Hong Kong dollar settlement account.”

客戶謹此指示及授權使用以下香港持牌銀行的港元帳戶，作為港元結算帳戶。

The amount owed by the company to customers must be settled by depositing a check or transferring funds to this bank account. The costs and risks are borne by the Customer

本公司結欠客戶的款項，須透過存入支票或轉帳至此銀行帳戶結算，其費用及風險由客戶承擔：

Name of Bank 銀行名稱：\_\_\_\_\_

Name of Account Holder 帳戶持有人名稱：\_\_\_\_\_ Account No 帳戶號碼：\_\_\_\_\_

## 8. Daily Statement/Purchase and Sale Receipt / Monthly Statement Delivery Method

### 日結單 / 買賣單據 / 月結單交付方式

i) 帳戶結單將透過以下途徑寄往客戶：(請選擇其中一項)

Statements will be sent to Client: (Please select one):

☐ Residential Address (住宅地址)

☐ Mailing Address (通訊地址)

☐ E-mail Address (電郵地址)

ii) 帳戶結單語言 Language of Statements : ☐ Chinese 中文 ☐ English 英文

**9. Disclosure of Related Accounts 披露關連帳戶**

i) Does the Client Have any Family Relationship with any Employee or Director of the Company or its Associated Companies?

客戶是否與本公司或其聯營公司之任何僱員或董事有任何親屬關係? ○ (N) 否 ○ (Y) 是 ( Please fill in the following information )  
( 請填以下資料 )

Employee/Director Name 僱員 / 董事姓名: \_\_\_\_\_ Relationship 關係: \_\_\_\_\_

ii) Is the Client's Spouse a Client of the Company? 客戶之配偶是否本公司之客戶? ○ (N) 否 ○ (Y) 是 ( Please fill in the following information ) ( 請填以下資料 )

Name of the Spouse 配偶姓名: \_\_\_\_\_ Account No. 帳戶號碼: \_\_\_\_\_

iii) Does the Client and/or the Client's Spouse Control 35% or more of the Voting Rights of any Client of the Company?

客戶及或客戶之配偶是否控制本公司任何客戶的 35% 或從上的表決權? ○ (N) 否 ○ (Y) 是 Please fill in the following Information ( 請填以下資料 )

Controlled Client Name 受控制客戶名稱: \_\_\_\_\_ Account No 帳戶號碼: \_\_\_\_\_

**10. Financial Status 財務狀況**

i) Is the Customer the Ultimate Beneficial Owner of the Account? 客戶是否該帳戶之最終實益擁有人? ○ (N) 否 ○ (Y) 是

Name 名稱: \_\_\_\_\_ Contact No 聯絡電話: \_\_\_\_\_

ID /Passport No/Company Registration Certificate No 身份證 / 護照 / 公司註冊證書號碼: \_\_\_\_\_

Address 地址: \_\_\_\_\_

ii) Is the client a person licensed or registered with the SFC an exchange participant of the Stock Exchange or Futures Exchange or a director or employee or authorized person of such person?

客戶是否為證監會發牌或註冊人士或聯交所或期交所之交易所參與者或該人士之董事或僱員或認可人士? ○ (N) 否 ○ (Y) 是

\*The client is a director, employee or authorized person of the following exchange participants of the Stock Exchange or Futures Exchange or a Licensed or registered person of the Securities and Futures Commission: (please specify)

客戶為以下聯交所或期交所之交易所參與者或證監會之持牌人或註冊人之董事、僱員或認可人士:( 請詳述 )

\*Name of Licensed or Registered Person:

持牌或註冊人士姓名 / 名稱: \_\_\_\_\_

\*Please provide a letter of consent from a Licensed or Registered Person.

請提供持牌或註冊人士同意書。

\*The Client undertakes to notify the Company as soon as possible if it is employed by any Licensed or Registered Person to conduct regulated activities under the Securities and Futures Ordinance.

客戶承諾若其受聘於任何持牌或註冊人士以進行證券及期貨條例所指的受規管活動，會盡快通知本公司。

iii) Is the client ultimately responsible for issuing instructions for transactions on the account?

客戶是否最終負責對該帳戶之交易發出指示? ○ (N) 否 ○ (Y) 是

Name 名稱: \_\_\_\_\_ Contact No 聯絡電話: \_\_\_\_\_

ID /Passport/Company Registration Certificate No 身份證 / 護照 / 公司註冊證書號碼: \_\_\_\_\_

Address 地址: \_\_\_\_\_

**11. FATCA Self-Certification 美國公民身份自我聲明**

Please put "✓" in the box below 請在以下其中一個方格內加上「✓」號：

☐ I confirm that I am a U.S. citizen and/or resident of the united states for tax purposes and that my U.S. Federal Taxpayer Identification number is as follows: \_\_\_\_\_

☐ 本人確認，本人就課稅目的而言為美國公民及 / 或美國居民，本人的美國聯邦納稅人識別號碼如下：\_\_\_\_\_

☐ I confirm that I was born in the United States but am not a U.S. citizen because I voluntarily renounced my citizenship and use the U.S. "Certificate of Loss of Original Nationality" as proof.

☐ 本人確認，本人在美國出生但不屬於美國公民，原因是自願放棄本人的公民身分，並以美國「喪失原有國籍證明」為憑證。

☐ I acknowledge that I am not a U.S. citizen or resident for tax purposes.

☐ 本人確認，本人就課稅目的而言並非美國公民或美國居民。

When necessary, the company will provide my personal information to domestic and overseas regulatory agencies or tax authorities to establish my tax liability in any jurisdiction. In response to the requirements of domestic or overseas regulatory agencies or tax authorities, I grant and agree that the company may withhold the necessary amounts from my account in accordance with applicable laws, Regulations and instructions. I promise that if any information changes, I will resubmit the self-certification to our company within 30 days.

在必要情況下，本公司會向國內及海外的監管機構或稅務機關提供本人的個人資料以確立本人於任何司法管轄區的稅務責任。因應國內或海外的監管機構或稅務機關要求，本人准許並同意本公司可按適用的法律、法規和指在本人帳戶中預扣所需款項。本人承諾如有任何資料變更，本人會於30日內重新提交自行證明書予本公司。



Client Signature 客戶簽署：\_\_\_\_\_ Date 日期：\_\_\_\_\_

**12. Customer Personal Data Protection Statement 客戶個人資料保障聲明**

The Client has carefully read, fully understood, and agreed to accept and abide by the Explanatory Notes to Clients on the "Personal Data (Privacy) Ordinance" set out in Suncorp Securities Standard Charter (the "Explanation"). The Client hereby agrees (and does not object) to . All contents of the description and consent to the use of personal data by Suncorp Securities for direct marketing purposes.) Agree and accept the contents of the personal data privacy policy confirmation in attachment (2).

If the customer does not agree to the use of his or her data by Suncorp Securities in direct marketing of finance, securities, commodities, derivatives, investments, credit, insurance, MPF/ORSO schemes, wealth management, investor education , related services, products and facilities , awards, seniority bonuses or preferential schemes or donations and donations made for charitable and/or non-profit purposes

客戶已仔細閱讀，完全理解並同意接受並遵守載於新確證券的標準章則關於《個人資料（私隱）條例》致客戶的解釋說明（「該說明」客戶謹此同意（不反對）該說明的所有內容及同意新確證券使用其個人資料作直接促銷用途。）同意並 接受附件（2）個人資料私隱政策確認書的內容。

如客戶不同意新確證券使用其個人資料於直接促銷金融、證券、商品、衍生產品、投資、信貸、保險、強積金 / 職業退休計劃、財富管理、投資者教育及相關服務、產品及設施、獎賞、年資獎勵或優惠計劃或慈善及 / 或非牟利目的而作出之捐款及捐贈

Please put a "✓" sign in the space below. 請在以下空格加上「✓」號。

Statement of Opjection 反對聲明：

☐ I/We object to the use of my data for direct marketing. ○本人/ 吾等反對將本人的個人資料用作直接促銷。



Client Signature 客戶簽署：\_\_\_\_\_ Date 日期：\_\_\_\_\_

**13. Risk Disclosure Statement and Disclaimer 風險披露聲明與免責聲明**

The Customer also acknowledges and confirms that he has read the relevant risk disclosure statement language and disclaimer choices in the terms and conditions listed therein.

Customers also acknowledge and acknowledge that they have been invited to read the relevant risk disclosure statements and disclaimers in the terms and conditions, Ask questions and seek independent advice on their own voluntary basis. The risk disclosure statement and disclaimer are recorded in Appendix (1) Risk Disclosure Statement.

客戶知悉及確認已閱讀其所選擇語言之條款及條件內有關風險披露聲明與免責聲明。客戶亦知悉及確認已獲邀參閱於條款及條件內有關之風險披露聲明與免責聲明、提出問題及按其意願諮詢獨立意見。風險披露聲明與免責聲明已記載於附件 (1) 風險披露聲明。



Client Signature 客戶簽署: \_\_\_\_\_ Date 日期: \_\_\_\_\_

**14. Signature of Recognized Witness (Only Applicable to Accounts Opened in Front of Other than Licensed or Registered Personnel of the Company)**

**認可見證人簽署 (只適用於非由本公司之持牌或註冊人員面前開立之帳戶)**

If the client does not execute this document in the presence of a licensed or registered officer of the Company or submit it together with an appropriate check (Note 1), the following should be

signed and witnessed by an authorized person (Note 2) (if applicable). The undersigned hereby certify the execution of this document (together with the Agreement) and the relevant identification documents by the above-mentioned client:

若客戶並非在本公司之持牌或註冊人員面前簽立此文件或連同適當的支票 (註1) 一併遞交，則以下應由認可人士 (註2) 簽署見證 (若適用者)。下述簽署人士謹此驗證上述客戶簽立此文件 (連同該協議書) 及其有關的身份證明文件：

Name of Witness 見證人名稱: \_\_\_\_\_

Duties of Witness 見證人職務: \_\_\_\_\_

License No 牌照編號: \_\_\_\_\_

Contact No 聯絡電話: \_\_\_\_\_

Signature of Witness 見證人簽署: \_\_\_\_\_ Date 日期: \_\_\_\_\_

(Note 1) The customer's account is opened with a licensed bank in Hong Kong and is signed by the customer (the signature must match the customer's signature on this account opening form) and bears the name of the customer as shown on his or her identity document. An online check must be made payable to "Suncorp Securities Limited" and the amount must not be less than HK\$10,000. The customer's approved new account cannot be used until the check is cashed.

(Note 2) Any person licensed or registered with the Securities and Futures Commission, their associates, justices of the peace, bank branch managers, practicing accountants, solicitors or notaries.

(註 1) 客戶在香港的持牌銀行開立的帳戶並由客戶所簽發 (該簽名須與此開戶表上的客戶簽名相符) 並載有客戶在其身份證明文件上所顯示的姓名的劃線支票，而該支票抬頭人須為“新確證券有限公司”及其數額不得少於 10,000 港元。客戶被批核的新帳戶必須待支票兌現後才可使用。

(註 2) 任何證監會持牌人或註冊人、其聯繫人士、太平紳士、銀行分行經理、執業會計師、律師或公證人。

**15. Client's Statement and Consent 客戶的聲明及同意**

The undersigned (whose information is detailed in this Account Opening Form) (the "Client") agrees to comply with all the terms of this Account Opening Form and the Standard Terms and Conditions

("Terms and Conditions") applicable to the account that the Client applies to open. All terms and conditions for opening a trading account ("Account") within the Company.

以下簽署人 (其資料詳列於本帳戶開戶表格) (「客戶」) 同意按照本帳戶開戶表格的所有條款, 以及標準章則 (「條款及條件」) 中適用於客戶申請開立之帳戶的所有條款及條件, 在本公司內開立交易帳戶 (「帳戶」)。

By signing this section, the Client hereby declares, agrees and confirms:

倘簽署本部份, 客戶現聲明、同意及確認:

i) The information provided in this account opening form is complete, true and accurate. The Company has the right to rely on such Statement and information for all purposes, unless the customer notifies the Company in writing of any changes to the information;

於本帳戶開戶表格所提供的資料屬完整、真實及準確。本公司有權基於一切目的倚賴此等陳述及資料, 除非客戶以書面通知本公司有關資料的任何改變;

ii) The customer has fully read, understood, confirmed, agreed, and accepted all the terms of this account opening form, as well as all terms and conditions applicable to the account that the customer applies to open with the company (and its modifications from time to time) and agree to be bound by them. The Company has recommended that clients seek independent legal advice;

客戶已完全閱讀、明白及確認, 以及同意並接納本帳戶開戶表格的所有條款, 以及適用於客戶向本公司申請開設之帳戶的所有條款及條件 (及其不時作出的修改) 並同意受其約束。本公司已建議客戶尋求獨立法律意見;

iii) The content of the terms and conditions has been fully explained to the customer in a language that the customer understands;

條款及條件的內容已以客戶明白的語言向客戶作出充分的解釋;

iv) The Company reserves the right to change the terms and conditions from time to time. Unless the customer objects in writing within 14 days after the company issues notice, the above changes will be included in the terms and conditions;

本公司保留不時更改條款及條件的權利。除非客戶在本公司發出通知後的14天之內以書面提出反對, 上述的改動將被納入條款及條件之內;

v) If there is any discrepancy between the Chinese version and the English version of this account opening form and terms and conditions, the English version shall prevail. Upon request, our company will provide a printed copy of the English version; and

本帳戶開戶表格和條款及條件之中文版本及英文版本如有任何歧義, 概以英文版本為準。如有要求, 本公司會提供英文版本列印本; 及

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

本人/吾等會就所有交易支付新確證券通知本人/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。新確證券可以從戶口中扣除 該等佣金、收費、徵費及稅項。

The customer has read and understood the company's policies regarding customer information contained in the terms and Conditions and agrees and accepts its terms.

客戶已閱讀及明白本公司載於條款及條件內有關客戶資料的政策部份, 並同意及接納其條款。



Client Signature 客戶簽署: \_\_\_\_\_

Date 日期: \_\_\_\_\_



**16. Declaration from Licensed or Registered Person 持牌或註冊人員之聲明**

Customers have been provided with the relevant risk disclosure statements and disclaimers in the language of their choice. The undersigned licensed or registered person has invited customers to read the terms and conditions and the risk disclosure statements and disclaimers set out therein, to ask questions and to seek independent advice if they wish.

客戶已獲提供以其所選語言之有關風險披露聲明及免責聲明。以下簽署之持牌或註冊人員已邀請客戶參閱條款及條件及當中列明之風險披露聲明及免責聲明、提出問題及按其意願諮詢獨立意見。

Securities Regulatory Commission Central No 證監會中央編號：\_\_\_\_\_

Account Executive No 客戶主任編號：\_\_\_\_\_

Date 日期 (DD / MM / YYYY) : \_\_\_\_\_

Signature of Licensed or Registered Person 持牌或註冊人員簽署：\_\_\_\_\_

Name of Licensed or Registered Person (please write in block letters) 持牌或註冊人員姓名（正楷填寫）：\_\_\_\_\_

Confirmation and authorization  
to sign on behalf of Suncorp Securities Limited:  
代表新確證券有限公司確認並同意授權簽署：

\_\_\_\_\_ Date 日期 (DD / MM / YYYY) : \_\_\_\_\_

**只供內部使用 FOR INTERNAL USE ONLY**

客戶收費：\_\_\_\_\_ 佣金：\_\_\_\_\_ % 最低收費 \_\_\_\_\_ 逾期利率：\_\_\_\_\_ %

紀紀號碼：\_\_\_\_\_ 經紀名稱：\_\_\_\_\_

輸入職員 簽名：\_\_\_\_\_ 日期：\_\_\_\_\_

批核職員 簽名：\_\_\_\_\_ 日期：\_\_\_\_\_



客戶名稱 Client Name :

客戶號碼 Account No. :

**1. APPLY FOR INTERNET TRADING 電子交易服務申請**

網上交易帳戶( 證券 ) Internet Trading Account (Securities)

**2. 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 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 )



客戶簽署 Signed by Client: \_\_\_\_\_ 日期 Date: \_\_\_\_\_

**3. DECLARATION BY STAFF 職員聲明**

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

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

持牌或註冊人員簽署 Signature of Licensed or Registered Person:

證監會中央編號 Securities Regulatory Commission Central Number:

持牌或註冊職員姓名( 正楷填寫 ) Name of Licensed or Registered Person (please write in block letters)

客戶主任編號: Account Executive No: \_\_\_\_\_ 日期 Date: \_\_\_\_\_

**只供內部使用 FOR INTERNAL USE ONLY**

S.V. By Signature: \_\_\_\_\_ Date : \_\_\_\_\_

Input By Signature: \_\_\_\_\_ Date : \_\_\_\_\_

Approved By Signature: \_\_\_\_\_ Date : \_\_\_\_\_

**客戶授權表格 Authorization Letter**

帳戶號碼 Account No. :

Applicable to CASH ACCOUNT Only 只適用於現金戶口

To: Suncorp Securities Limited  
致：新確證券有限公司

Unit 2305, 23/F The Center, 99 Queen's Road Central, Hong Kong  
香港皇后大道中 99 號中環中心 23 樓 2305 室

Attn: Settlement Department 結算部

**Standing Authority under Securities and Futures (Client Money) Rules**

**《證券及期貨(客戶款項)規則》下的常設授權**

This letter of standing authority covers all client money received or held in Hong Kong by Suncorp Securities Limited on my/our behalf ("Moneys").  
本常設授權函件涵蓋一切由新確證券有限公司 ("新確證券") 代表本人 / 吾等於香港收取或持有之客戶款項 ("款項")。

Unless redefined herein or the context requires otherwise, all expressions defined in the Securities and Futures Ordinance and the Securities and Futures (Client Money) Rules shall have the same meanings when used herein.

除另有界定或文義另有所指外，《證券及期貨條例》及《證券及期貨(客戶款項)規則》所定義的所有詞彙，與本常設授權所用者具相同涵義。

This letter authorizes Suncorp Securities Limited and/or its associated entity to transfer any sum of Money between any of the segregated accounts established and maintained by Suncorp Securities Limited and/or its associated entity for such purposes as Suncorp Securities Limited and/or its affiliates consider appropriate, including but not limited to satisfying my/our obligations or liabilities to Suncorp Securities Limited and/or its affiliates, whether such obligations and liabilities are actual, contingent, primary or collateral, secured or unsecured or joint or several, without notice to me/us.

本函件授權新確證券及 / 或其有聯繫實體就新確證券及 / 或其聯繫公司認為合適的目的 (包括但不限於解除本人 / 吾等對新確證券及 / 或其聯繫公司的義務或責任，不論此等義務和責任是確實或或然的、原有或附帶的、有抵押或無抵押的、共同或分別的)，於新確證券及 / 或其有聯繫實體所開立和維持的任何獨立帳戶之間調動任何數額之款項，無須通知本人 / 吾等。

This standing authority is given without prejudice to other authorities or rights which Suncorp Securities Limited may have regarding the treatment of Money.

本常設授權並不損害新確證券就處理款項所享有的其他授權或權利。

This standing authority is valid for a period of up to 12 months from the date hereof and may be renewed for subsequent periods of 12 months either with my/our written consent or if I/we am/are given a written notice from Suncorp Securities Limited at least 14 days prior to the expiry of such authority and do not object to the renewal of such authority before its expiry. This standing authority may be revoked at any time on giving 14 days before written notice to Suncorp Securities Limited.

本常設授權以本函件日期起計十二個月內有效，並可於下列情況予以續期，每次續期可有效十二個月：本人 / 吾等以書面同意續

期；或新確證券於該授權有效期屆滿前不少於十四日向本人 / 吾等發出書面通知，而本人 / 吾等於該授權有效期屆滿前未有提出反對續期。本人 / 吾等有權隨時以十四日書面通知新確證券撤銷此常設授權書。

I/we undertake to indemnify Suncorp Securities Limited and its associated entity against all costs, expenses, liabilities, losses or damages arising out of or suffered by Suncorp Securities Limited and/or its associated entity as a result of their acting in accordance with this standing authority.

本人 / 吾等承諾就新確證券及 / 或其有聯繫實體因為根據本常設授權而行事而招致或蒙受的所有成本、開支、負債、損失或損害賠償，向新確證券及其有聯繫實體作出彌償。

This letter has been fully explained to me/us, and I/we understand the contents of this letter.

本函件已全部向本人 / 吾等解釋清楚。本人 / 吾等明白本函件的内容。

Applicant's Signature 申請人簽署



Co-Applicant's Signature (if any) 聯名帳戶第二申請人簽署 (如適用)

Name of Client 客戶姓名: \_\_\_\_\_

Name of Client 客戶姓名: \_\_\_\_\_

Date 日期: \_\_\_\_\_

**抵銷及留置權 Set-Off and Lien**

To: Suncorp Securities Limited

致: 新確證券有限公司

By All Suncorp Securities Limited ("Suncorp Securities") on behalf of me/us Customer money received or held in Hong Kong ("Money").

一切由新確證券有限公司（「新確證券」）代表本人/吾等於香港收取或持有之客戶款項（「款項」）。

1. In addition and without prejudice to any general liens, rights of set-off, other similar rights to which "Suncorp Securities" may be entitled under laws or the "Suncorp Securities", 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 "Suncorp Securities" at any time shall be subject to a general lien in "Suncorp Securities" or affiliate as continuing security or to dispose at your discretion to offset and discharge all of my/our obligations, arising from the transaction and/or my/our obligations in the

"Suncorp Securities".

在不損害“新確證券”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“新確證券”代管或在“新確證券”

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，“新確證券”均享有一般留置權，作為持續的抵押甚至出售，用以抵銷及履行本人(等)因進行證券買賣而對“新確證券”及其集團公司及聯屬人負上的所有責任。

2. Written Authorization( 書面授權 )- Rolling Balance Cash Client ( 滾存結餘現金客戶 )

Pursuant to Section 21(2) of the Securities and Futures (Financial Resources) Rules (Chapter 571N), we hereby authorize "Suncorp Securities", in respect of any amount receivable from, and the 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, to-

因應《證券及期貨(財政資源)規則》第571N章21條(2)，本人/我們授權在不損害“新確證券”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“新確證券”代管或在“新確證券”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，“新確證券”均享有一般留置權，作為持續的抵押甚至出售，用以抵銷及履行本人(等)因進行證券買賣而對“新確證券”及其集團公司及聯屬人負上的所有責任。可將應從本人/我們收取的款項與應向本人/我們支付的款項互相抵銷，但該等款項須是因本人/我們以銀貨兩訖形式買賣證券而產生的，而“新確證券”亦已獲本人/我們書面授權

(a) set-off such amounts against each other; and

(b) dispose of securities held for me/us for the purpose of settling any of the amounts payable by me/us to your Company.

(a) 將該等款項互相抵銷；及

(b) 為清償本人/我們應支付予“新確證券”的款項而處置為本人我們持有的證券。

Applicant's Signature 申請人簽署

Co-Applicant's Signature (if any) 聯名帳戶第二申請人簽署 (如適用)



\_\_\_\_\_  
Name of Client 客戶姓名: \_\_\_\_\_

\_\_\_\_\_  
Name of Client 客戶姓名: \_\_\_\_\_

\_\_\_\_\_  
Date 日期: \_\_\_\_\_

## CUSTOMER ACKNOWLEDGEMENT AND CONSENT AND DECLARATION BY STAFF

### 客戶確認及承諾 及 職員聲明

#### CUSTOMER ACKNOWLEDGEMENT AND CONSENT

##### 客戶確認及承諾

I/We acknowledge receipt of the Standard Terms and Conditions of Suncorp

Securities Limited本人(等) 確認已收取了新確證券有限公司之標準章程。

I/We have read and fully understood the contents of this Account Application and the Client Agreement and agreed to be bound by them.

本人(等) 已經閱讀並完全明白開戶申請表及客戶協議之內容，並同意受其等所約束。

I/We confirm that the Risk Disclosure Statements, and, if applicable, Risk Disclosure Information, in or accompanying the Client Agreement have been provided in a language of my choice (English or Chinese) and that I/We have read and accepted the nature and contents thereof. I/We appreciate that they are not and cannot be taken as a comprehensive or exhaustive list of all possible risks. I/We confirm that I/We have been given the opportunity to ask questions and seek independent advice if I/We so wish.

本人(等) 確認載或附於客戶協議之風險披露聲明已按本人選擇之語言(英文或中文) 提供予本人，及本人(等) 已閱讀、瞭解和接受其/ 其等(若適用) 性質和內容。本人(等) 明白這不是而且不能被當為一份完全或徹底列舉所有潛在風險的清單。此外，本人(等) 已被給予機會提出問題及徵求獨立的意見(若本人(等) 有此意願)。

##### Declaration by Staff 職員聲明

I, a licensed or registered person, hereby declare that I have provided the Client with a copy of the Risk Disclosure Statements and the Risk Disclosure Statements in the Internet and Mobile Securities Trading Agreement (if applicable) in a language of the Client's choice (English or Chinese).

本人，以持牌人或註冊人身份，確認本人已按照下方簽署客戶所選擇的語言(英文或中文) 提供風險披露聲明及互聯網及流動證券交易協議所載之風險披露聲明(如適用)。

I have invited the Client to read the Risk Disclosure Statements referred to the Cash Client Agreement, and the Risk Disclosure Statements in the Internet and Mobile Securities Trading Agreement (if applicable). 本人已提示客戶閱讀現金客戶協議及/ 或保證金客戶協議內之風險披露聲明及互聯網及流動證券交易協議所載之風險披露聲明(如適用)。

I have invited the Client to read the Risk Disclosure Statements in relation to the trading of Growth Enterprise Market stocks and derivative products and explained the relevant risks associated with the derivative products to the Client.

本人已提示客戶閱讀風險披露聲明內有關買賣創業板股份及衍生產品的條款，並已解釋衍生產品所附帶的相關風險。 I have encouraged the Client to ask questions and seek independent advice if the Client so wishes.

本人已鼓勵客戶有需要可以提出問題及徵求獨立的意見。

Applicant's Signature 申請人簽署

Co-Applciant's Signature (if any) 聯名帳戶第二申請人簽署 (如適用)



Date 日期:

Date 日期:

Licensed or Registered Person Signature

持牌人或註冊人姓名

Name of Licensed or Registered Person

持牌人或註冊人簽署

CE No. 中央編號: \_\_\_\_\_

Date 日期: \_\_\_\_\_

## 附件

### 附件 ( 1 ) Risk Disclosure Statement 風險披露聲明

The following risk disclosure statement is provided in accordance with the Code of Conduct for Persons Licensed or Registered by the Securities and Futures Commission or as required by the Hong Kong Stock Exchange:

以下的風險披露聲明書是根據《證券及期貨事務監察委員會持牌人或註冊人操守準則》或香港交易所的要求予以提供：

#### 1. Risks involved in trading CBBCs 買賣牛熊證涉及的風險

compulsory repossession 強制收回

CBBCs are not suitable for all investors. Investors should consider how much risk they can bear before purchasing CBBCs. In any case, exempt investors clearly understand the property rights of CBBCs and are prepared to lose all the investment amounts at any time. Otherwise, investors will not be able to buy or sell CBBCs, because if the price of the underlying assets of CBBCs changes, At the redemption price, the CBBC is immediately called back by the issuer and trading will be terminated. There is also no residual value. Class R CBBCs may have a small amount of residual value recovered, but in the worst-case scenario, there may be no residual value. R may charge additional service fees when recovering residual value payments from recyclers on behalf of its clients.

Generally speaking, the greater the range between the call price and the current price of the underlying assets, the lower the chance of the CBBC being called, because the price of the related assets requires greater efforts to reach the call price. But at the same time, the greater the export between the call price and the current price, the smaller the leverage effect.

When a CBBC is called, even if the price of the underlying asset rises, the CBBC will not be bought or sold in the market again, so investors will not rise due to the price increase. For CBBCs issued by overseas assets, mandatory call events may occur the nearer time of trading on the Hong Kong Exchange.

牛熊證並不適合所有投資者，投資者在買賣牛熊證前應先考慮本身能承受多少風險。在任何情況下，除非投資者清楚明白牛熊證的性質，並已準備好隨時會損失所有的投資金額，否則投資者不應買賣牛熊證，因為萬一牛熊證的相關資產價格觸及收回價，牛熊證會即時由發行商收回，買賣亦會終止。N 類牛熊證將不會有任何剩餘價值。若是 R 類牛熊證，持有人或可收回少量剩餘價值，但在最壞的情況下亦可能沒有剩餘價值。經紀代其客戶從發行商收回剩餘價值款項時或會收取服務費。

一般來說，收回價與相關資產現價的相差越大，牛熊證被收回的機會越低，因為相關資產的價格需要較大的變動才會觸及收回價。但同一時間，收回價與現價的相差越大，槓桿作用便越小。

當牛熊證被收回後，即使相關資產價格反彈，該隻牛熊證亦不會再次復牌在市場上買賣，因此投資者不會因價格反彈而獲利。若屬海外資產發行的牛熊證，強制收回事件可能會於香港交易所交易時段以外的時間發生。

#### Leverage 槓桿作用

Since CBBCs are leveraged products, the price of CBBCs will fluctuate proportionally higher than that of the underlying assets. If the price of related assets moves in the opposite direction to what investors expect, investors may have to suffer proportionally greater losses.

CBBCs have a fixed close distance and are shortened on specified dates. Short-term periods can range from 3 months to 5 years. If the CBBC is called early before the reversal, the distance will become even shorter. During this period, the value of CBBCs will fluctuate with the fluctuations in the price of the underlying assets and may become more stable after a sharp decline or an early retracement.

由於牛熊證是槓桿產品，牛熊證價格在比例上的波幅會較相關資產為高。若相關資產價格的走向與投資者原先預期的相反，投資者可能要承受比例上更大的損失。

## 附件

### Limited Dosage 限定的有效期

CBBCs have a fixed close distance and are shortened on specified dates. Short-term periods can range from 3 months to 5 years. If the CBBC is called early before the reversal, the distance will become even shorter. During this period, the value of CBBCs will fluctuate with the fluctuations in the price of the underlying assets and may become more stable after a sharp decline or an early retracement.

牛熊證有一固定有效期，並於指定日期到期。有效期可以是 3 個月至 5 年不等。若在到期前遭提早收回牛熊證的有效期將變得更短。期間牛熊證的價值會隨着相關資產價格的變動而波動，於到期後或遭提早收回後更可能會變得沒有價值。

### Related asset trends 相關資產趨勢

Although the price fluctuations of CBBCs tend to be close to the price fluctuations of the underlying assets, in some cases they may not be synchronized with the price fluctuations of the underlying assets (i.e. the hedge value may not necessarily be equal to one). The price of a CBBC is affected by a number of factors, including its own supply, financial costs, and the approaching time limit. In addition, the hedge value of individual CBBCs is often not close, especially when the price of the underlying asset is close to the call price.

牛熊證的價格波動雖然趨向貼近相關資產的價格波動，但在某些情況下不一定與相關資產價格的波動同步（即對沖值不一定等於緊一）。牛熊證的價格受到多個因素的影響影響，包括其本身的供給、財務費用及距離逼近的時限。此外，個別牛熊證的對沖值亦往往不會接近，特別是當相關資產的價格接近收回價時。

### Circulation 流通量

Although there are liquidity providers for CBBCs, there is no guarantee that investors can buy/sell CBBCs at the target price at any time."

雖然牛熊證設有流通量提供者，但不能保證投資者可以隨時以其目標價買入／沽出牛熊證。

### Financial Expenses 財務費用

When the CBBC is issued, the financial cost for the entire term is included in the issue price. Although the financial cost for the entire term of the CBBC is called when it is called, the entire financial cost will still be lost. Investors should note that the financial costs of CBBCs may change after they are launched. Liquidity providers will not quote prices based on the theoretical value of financial costs when CBBCs are launched.

牛熊證在發行時已把整個年期的財務費用計算在發行價內，雖然當牛熊證被收回時其年期會縮短，持有人仍會損失整筆財務費用。投資者需注意牛熊證推出後，其財務費用或會轉變，流通量提供者在牛熊證推出時未必會根據財務費用的理論值價格開價



## 附件

Transactions Close to the Call Price 接近收回價時的交易

When the price of the underlying asset approaches the call price, the price of the CBBC may become more volatile, the bid-ask spread may be wider, and the liquidity may be lower. CBBCs may be called and trading terminated at any time. There may be some time lag between the occurrence of the mandatory call event and the cessation of CBBC trading. Some transactions are completed and confirmed by exchange participants after the forced revocation event occurs, but any transactions executed after the mandatory revocation event will not be recognized and will be cancelled. Therefore, investors need to be extra cautious when approaching call price CBBCs. The issuer will notify the market of the exact withdrawal time within 60 minutes after the forced withdrawal event occurs. The exchange will also release transaction data completed after the forced withdrawal event to relevant exchange participants, asking them to notify their customers. Investors should inquire whether their dance transactions were completed or canceled after a forced revocation event.

相關資產價格接近收回價時，牛熊證的價格可能會變得更加波動，買賣差價可能會較闊，流通量亦可能較低。牛熊證隨時會被收回而交易終止。由於強制收回事件發生的時間與停止牛熊證買賣之間可能會有一些時差。有一些交易在強制收回事件發生後才達成及被交易所參與者確認，但任何在強制收回事件後始執行的交易將不被承認並會被取消。因此投資者買賣接近收回價的牛熊證時需額外小心。發行商會於強制收回事件發生後 60 分鐘內通知市場確實的收回時間，交易所亦會把於強制收回事件發生後才達成的交易資料發布給有關的交易所參與者，讓他們通知其客戶。若投資者不清楚交易是否在強制收回事件後才達成或有否被取消，應查詢經紀。

CBBC Issued by Overseas Assets 海外資產發行的牛熊證

The price and settlement price of CBBCs issued with assets are calculated by Foreign Currency Exchange Hong Kong. Investors buying and selling such CBBCs need to bear the relevant foreign exchange risks. Foreign exchange prices are determined by market supply and demand, which involves a large proportion. For CBBCs issued by overseas assets, the mandatory call event may occur near the trading time of the Hong Kong Exchange. The relevant CBBC will stop trading on the exchange after the next trading rise or after the issuer notifies the exchange of a mandatory call event. After a forced recall event occurs, AMS/3 does not set an automatic stop mechanism.

For category R CBBCs, the residual value will be determined on the pricing date in accordance with the listing documents.

以海外資產發行的牛熊證，其價格及結算價均由外幣兌換港元計算，投資者買賣這類牛熊證需承擔有關的外匯風險。外匯價格由市場供求釐定，其中牽涉的因素頗多。若屬海外資產發行的牛熊證，強制收回事件可能會於香港交易所交易時段以外的時間發生。有關的牛熊證會於下一個交易時段或發行商通知交易所強制收回事件發生後盡快停止在交易所買賣。強制收回事件發生後，AMS/3 不設自動停止機制。若屬 R 類牛熊證，剩餘價值會根據上市文件於訂價日釐定。

CLAUSE 條款

If we Suncorp Securities Limited., solicit the sale of or recommend any financial product to you [the client], the financial product must be reasonably suitable for you having regard to your financial situation, investment experience and investment objectives. No other provision of this agreement or any other document we may ask you to sign and no statement we may ask you to make derogates from this clause.

假如我們新確證券有限公司向閣下招攬銷售或建議任何金融產品，該金融產品必須是我們經考慮閣下的財政狀況、投資經驗及投資目標後而認為合理地適合閣下的。本協議的其他條文或任何其他我們可能要求閣下簽署的文件及我們可能要求閣下作出的聲明概不會減損本條款的效力



## 附件

### 2. Risks Involved in Investing in Derivative Warrants ("Warrants") 投資衍生權證 ("窩輪") 涉及的風險

Trading derivative Warrants ("Warrants") involves a high level of risk and may not be suitable for everyone. Investors must understand and consider the following risks before trading derivative Warrants ("Warrants"):

買賣衍生權證（「窩輪」）涉及高風險，並非人皆適合。投資者買賣衍生權證（「窩輪」）前必須明確並考慮以下的風險：

#### Publisher Risk 發行商風險

衍生權證（「窩輪」）的衍生權證（「窩輪」）發行商的無債權人，對發行商的資產並無任何優先索償；衍生權證（「窩輪」）投資者須承擔發行商的信貸風險。

#### Leverage Risk 槓桿風險

Derivative Warrants ("Warrants") Derivative Warrants ("Warrants") The issuer has no creditors and does not have any prior claim on the assets of the Issuer; investors in Derivative Warrants ("Warrants") are responsible for the credit of the Issuer risk.

衍生權證（「權證」）是衍生權證（「權證」）發行人的無債務債權人，並且對發行人的資產沒有任何優先債權；衍生權證（「權證」）的投資者應對發行人的信用風險負責。

#### Has Expiry Date 具有效期

Unlike stocks, Derivative Warrants ("Warrants") have opposite dates and are not valid for a long period of time. Derivative Warrants ("Warrants") If the warrant is not in-the-money in the near future, it has absolutely no value.

與股票不同，衍生權證（「窩輪」）有到期日，並非長期有效。衍生權證（「窩輪」）到期時如非價內權證，則完全沒有價值。

#### Time Delay Consumption 時間遞耗

若其他因素不變，衍生權證（「窩輪」）價格會隨時間而遞減，投資者絕對不宜視衍生權證（「窩輪」）為長線投資工具。

#### Amplitude 波幅

If other factors remain unchanged, an increase in the volatility of the underlying asset will cause the value of the derivative Warrant ("Warrant") to increase; Conversely, a decrease in volatility will cause the value of the derivative Warrant ("Warrant") to decrease.

若其他因素不變，相關資產的波幅增加會令衍生權證（「窩輪」）價值上升；相反，波幅減少會令衍生權證（「窩輪」）價值下降。

#### Market Power 市場力量

In addition to the fundamental factors that determine the theoretical price of a Derivative Warrant ("Warrant"), all other market factors (including the supply and demand for the Warrant itself in the market) determine the price of a Derivative Warrant ("Warrant"). In terms of market supply and demand, the impact of supply and demand is particularly large when derivative warrants ("Warrants") are about to be sold in the market or when issuers issue additional derivative Warrants ("Warrants").

除了決定衍生權證（「窩輪」）理論價格的基本因素外，所有其他市場因素（包括權證本身在市場上的供求）也會影響衍生權證（「窩輪」）的價格。就市場供求而言，當衍生權證（「窩輪」）在市場上快將售罄又或發行商增發衍生權證（「窩輪」）時，供求的影響尤其大。

## 附件

### 3. Risks Involved in Investing in Exchange Traded Funds ("ETFs")

#### 投資交易所買賣基金涉及的風險 ("ETFs")

##### Market Risk 市場風險

Exchange-traded funds mainly track the performance of an index, industry/sector or asset group (such as stocks, bonds or commodities). ETF managers can use different strategies to achieve their goals, but they generally do not have the discretion to adopt defensive strategies in a declining market. Investors must exercise caution and be prepared to incur losses due to fluctuations in the underlying index/asset.

交易所買賣基金主要為追蹤某些指數、行業/領域又或資產組別(如股票、債券或商品)的表現。交易所買賣基金經理可用不同策略達至目標，但通常也不能在跌市中酌情採取防守策略。投資者必須要有因為相關指數/資產的波動而蒙受損失的準備。

##### Track Error 追蹤誤差

This refers to a disconnect between the performance of the ETF and the performance of the underlying index/asset, which can result from factors such as the ETF's trading and other charges, changes in the underlying index/asset mix, the replication strategy of the ETF manager, etc. (Common replication strategies include full replication/selected samples and comprehensive replication, see below.)

這是指交易所買賣基金的表現與相關指數/資產的表現脫節，原因可以來自交易所買賣基金的交易費及其他費用、相關指數/資產改變組合、交易所買賣基金經理的複製策略等等因素。(常見的複製策略包括完全複製/選具代表性樣本以及綜合複製，詳見下文。)以折讓或溢價交易

##### Foreign Exchange Risk 外匯風險

If the underlying assets of investors buying and selling structured products are not denominated in Hong Kong dollars, they are still subject to foreign exchange risks. Fluctuations in currency exchange rates may have a negative impact on the value of the underlying assets and, with this, the price of structured products.

若投資人買賣結構性產品的基礎資產並非以港幣計價，仍須承受外匯風險。貨幣匯率波動可能對基礎資產的價值以及結構性產品的價格產生負面影響。

##### Liquidity Risk 流通量風險

Securities market makers are responsible for providing liquidity and facilitating the buying and selling of funds by exchange participants.

Although exchange-traded funds often have one or more stock exchange owners, investors may not be able to trade if any stock exchange owner fails to perform its duties or performs suspension duties.

證券做市商負責提供流動性並促進交易所參與者買賣資金。儘管交易所交易基金通常擁有一名或多名證券交易所所有者，但如果任何證券交易所所有者未能履行職責或履行停牌職責，投資者可能無法進行交易。

## 附件

### Counterparty Risk Involved in Different Replication Strategies of ETFs

#### 交易所買賣基金的不同複製策略涉及對手風險

##### (a) Complete Replication and Selection of Sample Strategies 完全複製及選具代表性樣本策略

ETFs that use a replication strategy typically invest in all constituent stocks/complete assets in equal weightings of the benchmark. If a typical sample selection strategy is adopted, Only some (but not all) of the relevant component stocks/assets will be invested. Counterparty risk is generally less of an issue for ETFs that invest directly in underlying assets rather than synthetically replicated instruments issued by third parties.

採用完全複製策略的交易所買賣基金，通常是按基準的相同比重投資於所有的成份股 / 資產。採取選具代表性樣本策略的，則只投資於其中部分（而不是全部）的相關成份股 / 資產。直接投資相關資產而不經第三者所發行合成複製成工具的交易所買賣基金，其交易對手風險通常不是太大問題。

##### (b) Comprehensive Replication Strategy 綜合複製策略

Exchange-Traded Funds that employ synthetic replication strategies that primarily beat the performance of swaps or other derivatives tracking benchmarks. Currently, Exchange-Traded Funds that adopt comprehensive replication strategies can be further divided into two types:

採用綜合複製策略的交易所買賣基金，主要透過掉期或其他衍生工具去追蹤基準的表現。現時，採取綜合複製策略的交易所買賣基金可再分為兩種：

###### i. Future Swap Contract Composition 以掉期合約構成

Total return swaps (total return swaps) allow buying and selling fund managers to replicate the performance of a fund's benchmark without purchasing its underlying assets. ETFs structured with swap contracts are subject to the counterparty risk of the underlying swap dealer. If the swap dealer loses responsibility or is unable to meet its commitments, the Fund may suffer losses.

總回報掉期 (total return swaps) 讓交易所買賣基金經理可以複製基金基準的表現而不用購買其相關資產。以掉期合約構成的交易所買賣基金需承受源自掉期交易商的交易對手風險。若掉期交易商失責或不能履行其合約承諾，基金或要蒙受損失。

###### ii. Composed of this Derivative Instrument 以衍生工具構成

ETF managers may also use other derivative instruments to synthetically replicate the economic benefits of the underlying benchmark. The derivative instrument may be issued by one or more issuers. Exchange-Traded Funds structured with derivative instruments are subject to the risk that the fund may suffer losses if the counterparty of the derivative issuer defaults or fails to honor its commitments.

交易所買賣基金經理也可以用其他衍生工具，綜合複製相關基準的經濟利益。有關衍生工具可由一個或多個發行商發行。以衍生工具構成的交易所買賣基金需承受源自發行商的交易對手風險。若發行商失責或不能履行其合約承諾，基金或要蒙受損失。

###### iii. Even if an exchange-traded fund obtains collateral, it still needs to entrust the collateral provider to perform its obligations. In addition, once the right to claim collateral is free, the market value of the collateral can be much lower than the initial income, causing serious losses to the ETF. Is it important to understand and be able to carefully evaluate the structure and characteristics of different ETFs? The impact is extremely significant, even if an ETF is acquired, there is a reliance on investor collateral providers to meet their obligations. In addition, once the right to claim collateral becomes free, the market value of the collateral can be much lower than the initial income, causing serious losses to the ETF. It will be extremely important for investors to understand and carefully review the different ETF structures and features.

This risk disclosure information and its contents are for reference only. If customers have any questions after reading it, please log on to the Hong Kong Exchanges or Securities and Futures Commission website for further details of derivative products. HKEX (<http://www.hkex.com.hk>) or Securities and Futures Commission (<http://www.sfc.hk>).

交易所買賣基金即使取得抵押品，也需依靠抵押品提供者履行責任。此外，申索抵押品的權利一旦行使，抵押品的市值可以遠低於當初所得之數，令交易所買賣基金損失嚴重。投資者是否了解並能審慎評估不同的交易所買賣基金結構及特色會有何影響極為重要。交易所買賣基金即使取得抵押品，也需依靠抵押品提供者履行責任。此外，申索抵押品的權利一旦行使，抵押品的市值可以遠低於當初所得之數，令交易所買賣基金損失嚴重。投資者是否了解並能審慎評估不同的交易所買賣基金結構及特色會有何影響極為重要。

本風險披露之資料及其內容只供參考，如客戶閱讀後有任何疑問，請登入香港交易所或證監會網頁了解有關進一步衍生產品的詳情。HKEX (<http://www.hkex.com.hk>) or SFC (<http://www.sfc.hk>).

## 附件

### 附件 ( 2 ) Personal Data Privacy Policy Confirmation 個人資料私隱政策確認書

This statement is made in accordance with the personal data (Privacy) ordinance, Chapter 486, Laws of the Hong Kong special administrative region (the "ordinance"). It is a statement regarding the personal information provided by customers to the company when they open or occupy an operating account ("Related Account") with the company for securities trading and services.

此聲明是依照香港特別行政區法例第486章個人資料（私隱）條例（“條例”）作出的。它是關於客戶在本公司開立或持續操作帳戶（“帳戶”）以作證券買賣及有關服務時向本公司提供個人資料的聲明。

#### 1. Purpose of Collection 收集目的

The personal information provided by the customer to the company and in any document due to the company or general operating account will be used by the company for the following purposes: a) in connection with processing the customer's application and general operating account; b) investment, trading, Acquisition, safekeeping, payment and handling of various types of securities and other related securities; c) Maintaining relevant information to comply with all regulations, subsidiary rules and codes related to securities transactions in Hong Kong; and d) Regarding the Company's direct promotion and/or cross-selling of this product Financial and/or investment products and services of the Company and/or any other associated companies (the “Group”).

客戶因在本公司開設或持續操作帳戶而向本公司及在任何文件所提供的個人資料將被本公司作為下列用途：a) 與處理客戶申請開設及持續操作帳戶有關事宜；b) 投資、交易、收購、保管、處置及辦理各種證券等有關事宜；c) 保存有關資料，以符合本港所制訂有關證券交易的條例、附屬規例及守則；及d) 關於本公司的直接促銷及／或交叉銷售本公司及／或其他任何聯繫公司（“本集團”）的財務及／或投資產品及服務。

#### 2. Responsibility for Providing Personal Data 提供個人資料的責任

It is the Customer's responsibility to provide the personal information required by the company. Understand the Customer's responsibilities under the Ordinance. When providing personal information to the company, the customer must confirm that the information provided is correct.

客戶有責任向本公司提供所需的個人資料。鑒於客戶在條例下的責任，當向本公司提供個人資料時，客戶須確認所提供的資料正確。

#### 3. Disclosure of Information 資料的披露

If the company considers it necessary, the information of the client account may be disclosed to agents or nominees handling securities, Futures and Options settlement, Stock Exchanges, Individuals or corporations and the company's auditors for the purpose of operational Client accounts or execution. Each company may disclose it to the top-level financial regulatory agencies such as the Stock Exchange and CCDC, The Securities and Futures Commission and the ordinance, government departments, other regulatory agencies, Individuals or corporations that are required to investigate such information in accordance with the law. 本公司如認為有需要，可向處理證券、期貨及期權結算的代理人或代名人、聯系入、個人或法團及本公司的核數師披露客戶開設帳戶的資料以運作客戶帳戶或執行各項交易相關事宜。本公司亦可向聯交所及中央結算，證監會及條例所界定的財經監管機構，根據法律有權查閱該等資料的政府部門，其他監管機構、個人或法團等披露。

## 附件

### Use of Data in Direct Marketing 在直接促銷中使用資料

The company intends to use the Customer's information for direct marketing, and the company is required to obtain the Customer's consent (including an indication of no objection) for this purpose. If you are unsure, Please note: (i) The company will not hold customers' Names, Contact information, financial background and demographic information at any time for direct marketing; (ii) It can be set to promote the following categories of services, products and items : , investment and related services and product finance;

(iii) Primary services, products and projects that may be provided or solicited by the Company and/or any member of the Group; (iv) In addition to the above services, products and projects, the Company also intends to use the information set out in paragraph (i) above Providing all or any of the persons listed in paragraph (iii) above for the purpose of providing such persons to promote such services, products and projects, and the Company is required to obtain the written consent (including an expression of no objection) from the Client for this purpose. If the customer refuses the company to use the quoted personal information for direct marketing purposes, please fill in the refusal request in the relevant part of the account opening form and sign to confirm.

本公司擬將顧客的資料用於直接促銷，而本公司為該用途須徵得顧客同意（包括表示不反對）。如有不明，請注意：(i) 本公司將不隨時持有顧客的姓名、聯絡資訊、財務背景及人口統計資料用於直接促銷；(ii) 可設定促銷下列類別的服務、產品及項目：、投資及相關服務與產品財務；(iii) 首要服務、產品及或會由本公司及/或任何本集團成員提供或徵求項目；(iv) 除上述服務、產品及項目之外，本公司亦擬將以上(i)段所列資料提供包含上段所列的全部或任何人員，以提供該等人員促銷該等服務、產品及項目，而本公司為此用途須獲得客戶書面同意（包括表示不反對）。

If the customer refuses the company to use the quoted personal information for direct marketing purposes, please fill in the refusal request in the relevant part of the account opening form and sign to confirm.

如客戶拒絕本公司使用閣下的個人資料用作直銷推廣用途，請在開戶表格的有關部份，填寫拒絕要求及簽署確認。

致： 新確證券有限公司  
香港皇后大道中 99 號中環中心 23 樓 2305 室

參考編號： \_\_\_\_\_

## 自我證明表格 – 個人

### 重要提示：

- 這是由帳戶持有人向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- 如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。
- 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄/部標有星號（\*）的項目為申報財務機構須向稅務局申報的資料。

### 第 1 部 個人帳戶持有人的身分識別資料

（對於聯名帳戶或多人聯名帳戶，每名個人帳戶持有人須分別填寫一份表格）

#### (1) 帳戶持有人的姓名

稱謂（例如：先生、太太、女士、小姐） \_\_\_\_\_

姓氏 \* \_\_\_\_\_

名字 \* \_\_\_\_\_

中間名 \_\_\_\_\_

#### (2) 香港身份證或護照號碼 \_\_\_\_\_

#### (3) 現時住址

第 1 行（例如：室、樓層、大廈、街道、地區） \_\_\_\_\_

第 2 行（城市）\* \_\_\_\_\_

第 3 行（例如：省、州） \_\_\_\_\_

國家 \* \_\_\_\_\_

郵政編碼/郵遞區號碼 \_\_\_\_\_

#### (4) 通訊地址（如通訊地址與現時住址不同，填寫此欄）

第 1 行（例如：室、樓層、大廈、街道、地區） \_\_\_\_\_

第 2 行（城市） \_\_\_\_\_

第 3 行（例如：省、州） \_\_\_\_\_

國家 \_\_\_\_\_

郵政編碼/郵遞區號碼 \_\_\_\_\_

#### (5) 出生日期 \*（日/月/年） \_\_\_\_\_

#### (6) 出生地點（可不填寫）

鎮/城市 \_\_\_\_\_

省/州 \_\_\_\_\_

國家 \_\_\_\_\_

## 第 2 部 居留司法管轄區及稅務編號或具有等同功能的識別編號（以下簡稱「稅務編號」）\*

提供以下資料，列明（a）帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區（香港包括在內）及（b）該居留司法管轄區發給帳戶持有人的稅務編號。列出**所有**（不限於 5 個）居留司法管轄區。

如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。

如沒有提供稅務編號，必須填寫合適的理由：

**理由 A** – 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

**理由 B** – 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。

**理由 C** – 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

居留司法管轄區	稅務編號	如沒有提供稅務編號， 填寫理由 A、B 或 C	如選取理由 B， 解釋帳戶持有人不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

## 第 3 部 聲明及簽署

本人知悉及同意，財務機構可根據《稅務條例》（第 112 章）有關交換財務帳戶資料的法律條文，（a）收集本表格所載資料並可備存作自動交換財務帳戶資料用途及（b）把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人 / 本人獲帳戶持有人授權簽署本表格<sup>#</sup>。

本人承諾，如情況有所改變，以致影響本表格第 1 部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知新確證券有限公司，並會在情況發生改變後 30 日內，向新確證券有限公司提交一份已適當更新的自我證明表格。

本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。



簽署	_____	
姓名	_____	
身分	_____	（如你不是第 1 部所述的個人，說明你的身分。如果你是以
日期（日/月/年）	_____	授權人身分簽署這份表格，須夾附該授權書的核證副本。）

<sup>#</sup> 刪去不適用者

**警告:** 根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級（即\$10,000）罰款。



**Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)**

► For use by individuals. Entities must use Form W-8BEN-E.

► Information about Form W-8BEN and its separate instructions is at [www.irs.gov/formw8ben](http://www.irs.gov/formw8ben).

► Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

**Do NOT use this form if:**

- You are NOT an individual ..... W-8BEN-E
- You are a U.S. citizen or other U.S. person, including a resident alien individual ..... W-9
- You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the U.S. (Other than personal services) ..... W-8ECI
- You are a beneficial owner who is receiving compensation for personal services performed in the United States ..... 8233 or W-4
- A person acting as an intermediary ..... W-8IMY

**Instead, use Form:****Part I Identification of Beneficial Owner (see instructions)**

1	Name of individual who is the beneficial owner	2	Country of citizenship
3	Permanent residence address (street, apt. or suite no., or rural route). <b>Do not use a P.O. box or in-care-of address.</b>		
	City or town, state or province. Include postal code where appropriate.		Country
4	Mailing address (if different from above)		
	City or town, state or province. Include postal code where appropriate.		Country
5	U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)	6	Foreign tax identifying number (see instructions)
7	Reference number(s) (see instructions)	8	Date of birth (MM-DD-YYYY) (see instructions)

**Part II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions)**

9 I certify that the beneficial owner is a resident of \_\_\_\_\_ within the meaning of the income tax treaty between the United States and that country.

10 **Special rates and conditions** (if applicable—see instructions): The beneficial owner is claiming the provisions of Article \_\_\_\_\_ of the treaty identified on line 9 above to claim a \_\_\_\_\_ % rate of withholding on (specify type of income): \_\_\_\_\_.

Explain the reasons the beneficial owner meets the terms of the treaty article: \_\_\_\_\_

**Part III Certification**

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself as an individual that is an owner or account holder of a foreign financial institution,
- The person named on line 1 of this form is not a U.S. person,
- The income to which this form relates is:
  - (a) not effectively connected with the conduct of a trade or business in the United States,
  - (b) effectively connected but is not subject to tax under an applicable income tax treaty, or
  - (c) the partner's share of a partnership's effectively connected income,
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country, and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. **I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.**

**Sign Here**

Signature of beneficial owner (or individual authorized to sign for beneficial owner)

Date (MM-DD-YYYY)

Print name of signer

Capacity in which acting (if form is not signed by beneficial owner)

**有關實施香港投資者識別碼制度及  
場外證券交易匯報制度的個人資料收集  
客戶同意書**

閣下明白並同意，新確證券有限公司為了向閣下提供與在香港聯合交易所（聯交所）上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會（證監會）的規則和規定，我們可收集、儲存、處理、使用、披露及轉移與閣下有相關的個人資料（包括閣下的客戶識別信息及券商客戶編碼）。在不限制以上的內容的前提下，當中包括 —

(a) 根據不時生效的聯交所及證監會規則和規定，向聯交所及／或證監會披露及轉移閣下的個人資料（包括客戶識別信息及券商客戶編碼）；

(b) 允許聯交所：(i) 收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息 及券商客戶編碼），以便監察和監管市場及執行《聯交所規則》；(ii)向香港相關監管機構和執法機構（包括但不限於證監會）披露及轉移有關資料，以便 他們就香港金融市場履行其法定職能；及(iii)為監察市場目的而使用有關資料進行分析；及

(c) 允許證監會：(i) 收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息 及券商客戶編碼），以便其履行法定職能，包括對香港金融市場的監管、監察 及執法職能；及(ii)根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料。

閣下亦同意，即使閣下其後宣稱撤回同意，我們在閣下宣稱撤回同意後，仍可繼續 儲存、處理、使用、披露或轉移閣下的個人資料以作上述用途。

閣下如未能向我們提供個人資料或上述同意，可能意味著我們不會或不能夠再（視情況而定）執行閣下的交易指示或向閣下提供證券相關服務，惟出售、轉出或提取閣下現有的證券持倉（如有）除外。

本人/吾等確認同意上述同意書之內容。



客戶簽署：\_\_\_\_\_

客戶名稱：\_\_\_\_\_

戶口號碼： \_\_\_\_\_

## Client Risk Profile Questionnaire (For Individual/Joint Account) 客戶風險取向問卷 (只供個人/聯名帳戶)

Account No.:

帳戶帳號: \_\_\_\_\_

### IMPORTANT NOTES 重要提示:

- This Client Risk Profile Questionnaire (For Individual/Joint Account) ("Questionnaire") is designed by Suncorp Securities Limited ("SSL") to assess the Client's current risk profile based on his investment goals, investment horizon, liquidity needs and financial strength. It will assist us in considering potentially suitable investment products for the Client.  
本客戶風險取向問卷(只供個人/聯名帳戶)(「問卷」)由新確證券有限公司(新確)設計,是根據客戶投資目標、投資年期、流動資金需要及財政實力,以評估客戶現時風險取向。它將會協助新確向客戶提供潛在合適投資產品時作出考慮。
- The Questionnaire and its results are not an offer or solicitation to buy or sell, or a recommendation of any investment product or services, and they should not be considered as investment advice. The Client should consider his own circumstances before making any investment decisions.  
本問卷及其結果將不構成要約或招攬購買或出售、或推薦任何投資產品或服務,亦不應被視為投資建議。客戶在做出任何投資決定之前,應該考慮他自身狀況。
- For joint account, the account holder who is ultimately responsible for making investment decision in the joint account shall complete and sign this Questionnaire.  
如聯名帳戶,向聯名帳戶作出最終負責投資決定的帳戶持有人須填寫及簽署本問卷。
- All information given by the Client in this Questionnaire should be true, correct and complete. If there is an insufficient or missing information is provided by the Client, Suncorp shall be unable to provide the most appropriate investment product and services to the Client.  
客戶在本問卷內所填報的資料應屬真確無訛及完整。如客戶所提供的資料不足或遺留,新確將不能為客戶提供最合適的投資產品及服務。
- If the Client is in doubt, he is strongly advised to seek independent professional advice.  
客戶如有疑問,強烈建議客戶諮詢獨立專業意見。

PART 1 – Assessment of Your Risk Tolerance Level 第一部 – 評估閣下風險承受程度	Answer 答案	Score 分數
<b>Q1) Which age group do you belong to?</b> 閣下屬於那一個年齡組別?  (a) 65 or above. 65 歲或以上。 (1) (b) Between 51 and 64. 51 至 64 歲。 (2) (c) Between 31 and 50. 31 至 50 歲。 (4) (d) Between 18 and 30. 18 至 30 歲。 (5)		
<b>Q2) What is your highest education level?</b> 閣下的最高學歷?  (a) Primary school or below. 小學或以下。 (1) (b) Secondary school. 中學。 (2) (c) Post-secondary school/Associate Degree/Diploma. 大專/副學士/文憑。 (3) (d) University or above. 大學或以上。 (4) (e) University or above (major in Economic/Finance). 大學或以上 (主修經濟/金融)。 (5)		
<b>Q3) What portion of your overall income is available for investment in each month?</b> 閣下每月可用作投資的金額,佔總收入多少個?  (a) Less than 10%. 少於 10%。 (1) (b) 10% – 29%. 10% – 29%。 (2) (c) 30% – 49%. 30% – 49%。 (4) (d) 50% or above. 50% 或以上。 (5)		
<b>Q4) How many months of your household monthly expenses could be covered by your liquid assets to meet unforeseen events?</b> 閣下現時的流動資金足夠應付多少個月的日常開支,以面對突如其來的情况?  (a) None. 沒有。 (1) (b) Less than 3 months. 少於3個月。 (2) (c) 3 – 6 months. 3 – 6 個月。 (3) (d) 6 – 12 months. 6 – 12 個月。 (4) (e) More than 12 months. 多於12 個月。 (5)		

PART 1 – Assessment of Your Risk Tolerance Level 第一部 – 評估閣下風險承受程度	Answer 答案	Score 分數
<p>Q5) What is your current objective for investment? 閣下現時之投資目標是？</p> <p>(a) Capital preservation with a return similar to bank deposit rate. 保本及賺取相約銀行存款的回報。 (1)</p> <p>(b) Dividend income which earns a return that is similar above bank deposit rate. 股息收入以賺取略高於銀行存款的回報。 (2)</p> <p>(c) Capital appreciation with stable income and capital growth. 資本增值，以穩定收入與資本增長。 (3)</p> <p>(d) High growth. 高速增長。 (4)</p> <p>(e) Speculation with the focus in maximize capital growth and capital return as soon as possible. 投機，以最短時間，爭取最高增長及回報。 (5)</p>		
<p>Q6) How long is your target investment horizon? 閣下目標投資年期是多少？</p> <p>(a) Less than 1 year. 少於1年。 (1)</p> <p>(b) Between 1 year to 3 years. 介乎1年至3年。 (2)</p> <p>(c) Between 3 years to 5 years. 介乎3年至5年。 (4)</p> <p>(d) More than 5 years. 多於5年。 (5)</p>		
<p>Q7) In the past 3 years, do you have any investment experience in dealing with the following products for more than 5 times (Can select for more than one options)? 於過去3年，閣下是否擁有5次以上買賣下列產品的投資經驗 (可多選一個選項)？</p> <p>(a) Stocks. 股票。 (1)</p> <p>(b) Derivative Products (e.g. warrants, CBBC). 衍生產品 (如：認證權證、牛熊證)。 (2)</p> <p>(c) Futures and/or Options Contracts. 期貨及/或期權合約。 (3)</p> <p>(d) Mutual Funds. 互惠基金。 (4)</p> <p>(e) Fixed Income Securities (e.g. bonds, convertible bonds). 固定收益證券 (如：債券、可轉換債券)。 (5)</p> <p>(f) Structured Products (e.g. equity linked deposit). 結構性投資產品 (股票掛鉤票據)。 (6)</p>		
<p>Q8) What is your knowledge of financial markets and investment products? 閣下對金融市場及投資產品的認識是多少？</p> <p>(a) Have very little knowledge of financial markets and investment products at all, but interests in understanding them. 對金融市場及投資產品有很少知識，但有興趣深入瞭解。 (1)</p> <p>(b) Have only some basic knowledge of financial markets and investment products such as differences between stocks and bonds. 對金融市場及投資產品只有一些基本知識，例如股票及債券的分別。 (2)</p> <p>(c) Have more than basic knowledge of financial markets and investment products and understand the importance of diversification and application. 對金融市場及投資產品達基本知識以上的水平，明白分散投資的重要性，並作出分散投資。 (3)</p> <p>(d) Know how to read listed companies' financial reports and understand the factors affecting the prices of stocks and bonds. 懂得閱讀上市公司財務報告，並明白影響股票及債券價格的因素。 (4)</p> <p>(e) Familiar with most investment products (including stocks, futures contracts, bonds and warrants) and understand various factors that may affect the risk and performance of these investment products. 熟悉大部分投資產品 (包括股票、期指合約、債券及認股權證)，並明白影響該等投資產品的風險及表現的各項因素。 (5)</p>		

PART 1 – Assessment of Your Risk Tolerance Level 第一部 – 評估閣下風險承受程度		Answer 答案	Score 分數
<p>Q9) In general, investing involves a trade-off between risk and return. Investments carrying a higher risk come with the potential of achieving more gains, but, also a higher possibility of incurring considerable losses. It has been historically shown that investors who achieve higher returns have experienced correspondingly high fluctuations and losses. Which of the following statement could best describe your attitude towards risk? 一般而言，投資通常是風險與回報的取捨。較高風險投資可取得較高潛在收益，然而亦較容易招致相當的損失。獲得高回報的投資者往往承受的波動與損失風險較高。以下那一段句子最能反映閣下對風險的態度？</p> <p>(a) I am risk averse and don't want to take any risks. 我不願意承受任何風險。 (1)</p> <p>(b) I will try to avoid risk, but minor one is acceptable. 我會盡量回避風險，但仍可承受較低風險。 (2)</p> <p>(c) I try to strike a balance between risks and returns. 我會平衡風險與回報。 (3)</p> <p>(d) I am willing to accept more risks, as I aim for more returns. 我願意承受較高風險，以換取更高回報。 (4)</p> <p>(e) I do not care about risk, as I aim to maximize returns. 我不太理會風險，以換取最大回報。 (5)</p>			
<p>Q10) Investment value can go up and down over time. What is the highest level of price fluctuation that you are willing to accept for a single investment? 投資產品價格可升可跌。在單項投資上，閣下願意接受最多的價格波幅是多少？</p> <p>(a) Price fluctuates between -10% and +10%. 價格波幅介乎-10%和+10%。 (1)</p> <p>(b) Price fluctuates between -20% and +20%. 價格波幅介乎-20%和+20%。 (2)</p> <p>(c) Price fluctuates between -40% and +40%. 價格波幅介乎-40%和+40%。 (3)</p> <p>(d) Price fluctuates between -70% and +70%. 價格波幅介乎-70%和+70%。 (4)</p> <p>(e) Price fluctuates between -100% and +100%. 價格波幅介乎-100%和+100%。 (5)</p>			
Total Score 總分數			

Client Risk Tolerance Analysis 客戶風險承擔評估			
Total Score 總分數	Risk Level 風險級別	Client Risk Profile 客戶風險取向	Attributes and Risk Preferences 特性及風險偏好
<input type="checkbox"/> Below 15 少於15	Low 低	Conservative 保守型	A client who is risk-averse and to whom capital preservation is very important. 客戶對風險採取比較保守的態度及以保存資本為主。
<input type="checkbox"/> 15 - 24	Low-to-Medium 低至中	Stable 穩健型	A client who would like to have the capital gain potential, and he/she understands he/she needs to take a “ <b>Low-To-Medium</b> ” level of risk in respect of the capital invested. 客戶喜愛有資本增值的潛力的投資，同時亦明白到需要承擔「 <b>低至中</b> 」等程度風險。
<input type="checkbox"/> 25 - 34	Medium 中	Balanced 平衡型	A client who is willing to accept a “ <b>Medium</b> ” level of risk. 客戶願意承擔「 <b>中</b> 」等程度風險。
<input type="checkbox"/> 35 - 44	Medium-to-High 中至高	Growth 增長型	A client who would like to have greater capital gain potential, and he/she understands that he/she needs to take a “ <b>Medium-to-High</b> ” level of risk. 客戶喜愛有較大資本增值潛力的投資，同時亦明白到需要承擔「 <b>中至高</b> 」等程度風險。
<input type="checkbox"/> Over 44 多於44	High 高	Aggressive 進取型	A client who would like to have significant capital gain, and he understands that he/she needs to take a “ <b>High</b> ” level of risk in respect of the capital invested. 客戶喜愛有可觀資本增值的投資，同時亦明白到要承擔「 <b>高</b> 」等程度風險。

**PART 2 – Client Acknowledgement and Declaration****第二部 – 客戶聲明及確認**

By signing below, I hereby acknowledge and declare the followings:

透過在下方簽名，本人特此聲明及確認如下：

- I have completely read and well understood the content of this Questionnaire;  
本人已完全閱讀並清楚了解本問卷的內容；
- All the answers to the questions in this Questionnaire are provided by me and are up-to-date, true, correct and complete to the best of my knowledge. I further **AGREE** with the client risk profile as set out above in Part 1 of this Questionnaire (which will be relied upon by and captured in the records of Suncorp);  
本問卷所有問題的答案均由本人提供，就本人所知屬最新、真確無訛及完整。本人進一步**同意**本問卷第一部的結果（結果將由新確記錄為本人的客戶風險取向）；
- I acknowledge that (1) this Questionnaire and its result only serve as a reference for my consideration when making my own investment decisions and the client risk profile does not constitute offer or solicitation to buy or sell or recommendation of any investment products and services and should not be considered as any investment advice; (2) the result of client risk profile was derived from information provided by me; and (3) Suncorp accepts no responsibility or liability as to the accuracy or completeness of the information given by me;  
本人確認 (1) 本問卷並僅作為本人在作出個人投資決定時的參考，客戶風險取向及其結果並不構成要約或招攬購買或出售、或推薦任何投資產品或服務，亦不應被視為任何投資建議；(2) 客戶風險取向的結果是由本人提供的資料所獲得的；及(3) 新確不會為本人提供的資料的準確性或完整性承擔任何責任或義務；
- I undertake to advise Suncorp of any change in circumstances which would affect the result of this Questionnaire, and to re-complete this Questionnaire again as soon as possible should there be any such change in circumstances; and  
本人承諾，如有任何情況變動會影響本問卷的結果，本人會告知新確，並再次盡快重新填寫本問卷；及
- In the event of inconsistency between the English and Chinese versions of this Questionnaire, the English version shall prevail.  
本問卷之中、英文版本如有任何歧義，概以英文版本為準。

**SIGNED by**

**簽署**



- Client Signature 客戶簽署 Client Name

客戶姓名

Date

日期

**PART 3 – Declaration by Suncorp Licensed Representative****第三部 – 新確持牌代表聲明**

I, (Name of Suncorp Licensed Representative) (CE No.) hereby declare that I have:  
本人，(新確持牌代表的姓名) (中央編號) ，謹此聲明，本人：

- Invited the Client to read this Questionnaire, to ask questions and take independent advice if the Client wishes; and  
邀請客戶閱讀本問卷、提出問題及徵詢獨立意見（如客戶有此意願）；及
- Fully explained the contents of this Questionnaire to the Client in a language which the Client understands.  
已按照客戶所理解的語言，向客戶完全解釋本問卷的內容。

Licensed Representative Signature

持牌代表簽署

Date

日期

**For Internal Use ONLY:**

Documents Checked by	Name	Signature	Date
Documents Verified by	Name	Signature	Date
Documents Approved by	Name	Signature	Date