

INSTRUCTIONS FOR COMPLETION 填寫指引

Before completing the form, please make sure you have conducted the Risk Profile questionnaire and read and understood all information regarding your Saxo Capital Markets trading account, including the General Business Terms, the Risk Disclosure Statement, the Conflict of Interest Policy, Best Execution Policy as well as Guide and Cautionary Notes (collectively referred to as the "General Business Terms Documentation"). Reference to SCM HK shall mean Saxo Capital Markets HK Ltd.

請閣下於填寫申請表前完成客戶風險評估並閱讀及了解開立盛寶金融交易帳戶的資料，包括一般交易條款、風險披露聲明、利益衝突政策、最佳執行政策及指引及其他有關之開戶文件（下稱「一般交易條款文件」）。

Please complete all information as accurately as possible in block **CAPITAL** letters with a black or blue pen.
請以黑色或藍色筆準確地以**正楷**填寫申請表中的所有資料。

To comply with anti-money laundering regulations, SCM HK is required by law to obtain the following documentation.

為遵守反清洗黑錢條例，按法律要求盛寶金融需取得以下文件。

To facilitate client approval process as well as part of ongoing client profile updates, SCM HK also reserves the right to request for further documentation at any time during the approval process or client relationship.

為了便於客戶批核流程以及客戶資料更新，在批核過程或保持客戶關係，盛寶金融保留隨時要求客戶提供進一步資料或相關文件。

A CORPORATE DOCUMENTATION 公司文件

- Signed Memorandum and Articles of Association 已簽署的組織章程大綱及章程細則
- Documentation of who can sign on behalf of corporate entity (authorized signatories) 代表公司實體簽名文件（授權簽字人）
- Documentation of ownership structure 股權結構文件
 - This could be in the form of a share certificate/register or a form/declaration of corporate structure.
這可以是股票/登記冊或公司結構格式/聲明的形式。
 - Any significant changes in the ownership structure must be immediately reported to Saxo Capital Markets. Official Proof of Identity and Proof of Residential Address (as defined in point B) for all authorized signatories.
必須立即將股權結構的任何重大變化報告給盛寶金融。官方身份證明和住址證明（如B所定義）所有授權簽字人。
- Official Proof of Identity (as defined in point B) for all directors (as defined under Part 3).
所有董事（如第3部分所定義）的官方身份證明（如B所定義）。
- Proof of Residential Address (as defined in point B) for at least one director.
至少一名董事的住址證明（如B所定義）。
- A copy of the Proof of Identity for all Directors. (Depending on the place of incorporation, official proof of identity may be required for all directors) 所有董事的身份證明副本。（視乎註冊地，可能需要所有董事的身份證明）
- US tax certificate 美國稅務證書
- Corporate documents which are not in English or Chinese, needs to be translated. 不是英文或以中文表示的公司文件需要翻譯。
- Certificate of incumbency must be issued within last one year. 職權證明書必須在最近一年內發出。

To comply with FATCA (Foreign Account Tax Compliance Act), Saxo Capital Markets is required to obtain a US Tax certificate (W-8 or W-9 series as appropriate) from all clients. Without the appropriate tax certificate in place we will be unable to facilitate a trading account. For most clients, the W-8BEN-E form will be appropriate. However, for an overview of all available forms Saxo Capital Markets strongly advises you to visit www.irs.gov or to consult your external tax advisor.

為遵守FATCA（外國帳戶稅務合規法案），盛寶金融需要所有客戶提供美國稅務證書（W-8或W-9系列）。沒有適當的稅務證書，我們將無法處理交易帳戶申請。大多數客戶只需提交W-8BEN-E表格。想了解所有可用表格，盛寶金融建議您於www.irs.gov或向您的稅務顧問諮詢。

For **fast processing**, please return the completed form along with the above mentioned documentation to us by either:

為更有效處理閣下的申請，請以下列任何一種方式提交填妥的申請表及上述提及的所需文件：

Fax 傳真 Fax a copy of the form together with the documentation to 傳真申請表及所需文件到 +852 3760 1300

Email 電郵 Scan the form together with the documentation and email it to 掃描申請表及所需文件並電郵到 info@saxomarkets.com.hk

Please note that if you send your application via email or fax, you are also required to submit the original form and certified copy of passport or certificate of corporation within 14 days by standard mail.

請注意：如果閣下以電郵或傳真遞交申請表，請於14天內將申請表的正本及經認證的護照或公司成立證明書的認證副本郵寄回本司辦事處。

Send the application by regular mail together with the documentation to 請將申請表及文件郵寄到下列地址：Saxo Capital Markets HK Limited, 盛寶金融（香港）有限公司 Rooms 2001-02, 20/F York House, The Landmark, 15 Queen's Road Central, Hong Kong 中環皇后大道中15號置地廣場約克大廈20樓2001-2室
Att.: Client Service & Operations 致：客戶服務及營運部門

Detailed information on how to transfer funds can be found in the enclosed "Settlement Instructions" or on our website 關於如何匯款的詳情，請參閱「入金指引」或盛寶金融的網站：www.home.saxo/hk

If you have any questions related to the completion of the form or which documents to submit, please contact us at +852 3760 1378 or info@saxomarkets.com.hk
如閣下填寫申請表或準備所需文件時有任何疑問，請致電 +852 3760 1378 與客戶經理聯絡或電郵到 info@saxomarkets.com.hk 查詢

PART 1 第 1 部份 | CORPORATE DETAILS 公司客戶資料

Registered name of the corporate entity:
公司名稱：

Corporate registration number 公司註冊號碼：

Country of Registered 註冊國家：

Current registered address 註冊地址：

City/Postal code 城市/郵政編碼：

State/Province 州/省：

Country 國家：

LEI (mandatory):
法律實體標識 (必須)：

Tax Identification Number (TIN or equivalent):
稅務識別號碼 (稅務識別號或相關資料)：

☐ No TIN
無稅務識別號

Postal address (if different -Please explain why your postal address differs from the registered address):
郵政地址 (如果不同 - 請解釋您的郵政地址與註冊地址不同的原因)：

City/Postal code 城市/郵政編碼：

State/Province 州/省：

Country 國家：

Primary phone number (Mobile) 主要電話號碼 (手機)：

Prefix included, example: +852 2234 5678
包括國家代碼，示例：+852 2234 5678

Secondary phone number (Landline) 次要電話號碼 (座機)：

E-mail (to state only one registered email address):
電郵 (請只填寫一個電郵地址)：

Chairman/President 主席/總裁：

Managing director/Vice president 董事總經理/副總裁：

PART 2 第 2 部份 | CORPORATE DISCLOSURE 公司客戶資料

Principle Place of Business (required)
主要營業地點 (必需填寫)：

Date of Incorporation:
註冊成立日期：

Place of Incorporation:
註冊地：

Name and address of each Director (proof of Identity to be provided):
每位董事的姓名和地址 (需提供身份證明)：

Name (Director 1)
姓名 (董事 1)：

ID No. /Passport No.:
身份證號碼 / 護照號碼：

Address 地址：

Name (Director 2)
姓名 (董事 2)：

ID No. /Passport No.:
身份證號碼 / 護照號碼：

Address 地址：

Name (Director 3)
姓名 (董事 3)：

ID No. /Passport No.:
身份證號碼 / 護照號碼：

Address 地址：

Name (Director 4) 姓名 (董事 4) :	ID No. /Passport No.: 身份證號碼 / 護照號碼 :
Address 地址 :	
Average gross profit for the past 3 years: HKD 過去3年的平均毛利 : 港幣	
Indicative account size: HKD 帳戶規模 : 港幣	
Number of years in Business 營業年數 :	
Esrimated net assets*: 估計淨資產*:	
<input type="checkbox"/> Under HKD 3 million 少於300萬港元	<input type="checkbox"/> HKD 3 million to HKD 40 million 300萬港元至4,000萬港元
<input type="checkbox"/> Above HKD 40 million 超過4,000萬港元	
*A corporation with net assets of HKD 40 million or more qualifies as a professional investor. 淨資產為4,000萬港元或以上的公司有資格成為專業投資者。	
Primary business of the Company: 公司主要業務 :	

PART 3 第 3 部份 | OWNER DETAILS 公司客戶資料

Definition of beneficial ownership for corporations and funds/trusts: 公司和基金/信託的受益所有權的定義：

Corporations 公司	Funds/Trusts 基金/信託
<ul style="list-style-type: none"> Individuals, who ultimately own or control a corporation, by direct or indirect ownership, or control of more than 10% of the shares or voting rights. 個人，最終擁有或控制公司，直接或間接擁有或控制超過10%的股份或投票權。 Individuals who otherwise exercise control over the management of a corporation. 另一方面控制公司管理的個人。 	<ul style="list-style-type: none"> Individuals who, according to the articles of a fund/trust or otherwise, are entitled to receive 10% or more of the distribution funds or other assets of a fund or a similar legal arrangement, provided such persons are known. 根據基金/委託人的條款，若個人是已知的，此人有權獲得基金或類似法律安排的10%或更多的分配基金或其他資產。 The group of persons in whose main interest a fund/trust or similar legal arrangement has been set up or operates. 基金/委託人類似法律安排的主要利益集團已經建立或運作。 Individuals who exercise control over 25% or more of the distribution funds or other assets of a fund/trust or similar legal arrangement or entity. 控制基金/信託或類似法律安排或實體的分配資金或其他資產的25%或以上的個人。

Details on the ultimate beneficial owners 有關最終實益擁有人的詳情

☐ We hereby declare that we do not have any beneficial owner(s) other than the shareholder(s) whose names and particulars are outlined below:

我們特此聲明，除股東以外，我們沒有任何其他受益人，其名稱和詳情如下：

1. Individual's name 個人姓名 _____

Address 地址 _____

Personal ID number (as shown on passport and/or other ID card attached)
個人身份證號碼 (如護照和/或其他身份證上所示) _____

Percentage of share(s)/voting rights 股份百分比/投票權 _____

Are these held 請問 ☐ directly 直接 or 還是 ☐ indirectly 間接? (please tick one 請選其一)

DECLARATION FOR TAX PURPOSES 稅務申報

Only complete this section if the entity is tax liable to more/other countries than the country of the registered address stated above.
如閣下需於上述居住地以外的國家繳付稅項，請填寫下表。

Please complete the following table indicating (i) the countries, where the entity is tax liable, (ii) the Tax Identification Number (TIN) for each country indicated or (iii) if the country to which the entity is tax liable does not issue a TIN number. 請填寫以下表格，說明(ii) 該國家的稅務識別號 (TIN)；或剔選 (iii)。

Country of tax residence 稅務居民所屬地	TIN 稅務識別號碼	No TIN - State reason A, B or C. 如沒有稅務識別號碼(TIN) - 註明理由A, B或C。	If you indicated Reason B, please explain why you are unable to obtain a TIN or equivalent. 若選擇理由B，請說明無法獲得稅務識別號碼(TIN)或相關資料。

Reason A - Country does not issue TINs or equivalent 理由A - 國家沒有稅務識別號碼(TIN)或相關資料。

Reason B - Unable to obtain a TIN or equivalent (Please explain why you are unable to obtain a TIN above) 理由B - 無法獲得稅務識別號碼(TIN)或相關資料。(請說明之原因)

Reason C - No TIN is required. Domestic law of the relevant country/jurisdiction does not require the disclosure of TIN. 理由C - 不需要稅務識別號碼(TIN)。有關國家/司法管轄區的國內法不需要披露稅務識別號碼(TIN)。

2. Individual's name 個人姓名 _____

Address 地址 _____

Personal ID number (as shown on passport and/or other ID card attached)
個人身份證號碼 (如護照和/或其他身份證上所示) _____

Percentage of share(s)/voting rights 股份百分比/投票權 _____

Are these held 請問 ☐ directly 直接 or 還是 ☐ indirectly 間接? (please tick one 請選其一)

DECLARATION FOR TAX PURPOSES 稅務申報

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如閣下需於上述居住地以外的國家繳付稅項，請填寫下表。

Please complete the following table indicating (i) the countries, where the entity is tax liable, (ii) the Tax Identification Number (TIN) for each country indicated or (iii) if the country to which the entity is tax liable does not issue a TIN number. 請填寫以下表格，說明(ii) 該國家的稅務識別號 (TIN)；或剔選 (iii)。

Country of tax residence 稅務居民所屬地	TIN 稅務識別號碼	No TIN - State reason A, B or C. 如沒有稅務識別號碼(TIN) - 註明理由A, B或C。	If you indicated Reason B, please explain why you are unable to obtain a TIN or equivalent. 若選擇理由B，請說明無法獲得稅務識別號碼(TIN)或相關資料。

Reason A - Country does not issue TINs or equivalent 理由A - 國家沒有稅務識別號碼(TIN)或相關資料。

Reason B - Unable to obtain a TIN or equivalent (Please explain why you are unable to obtain a TIN above) 理由B - 無法獲得稅務識別號碼(TIN)或相關資料。(請說明之原因)

Reason C - No TIN is required. Domestic law of the relevant country/jurisdiction does not require the disclosure of TIN. 理由C - 不需要稅務識別號碼(TIN)。有關國家/司法管轄區的國內法不需要披露稅務識別號碼(TIN)。

3. Individual's name 個人姓名 _____

Address 地址 _____

Personal ID number (as shown on passport and/or other ID card attached)
個人身份證號碼 (如護照和/或其他身份證上所示) _____

Percentage of share(s)/voting rights 股份百分比/投票權 _____

Are these held 請問 ☐ directly 直接 or 還是 ☐ indirectly 間接? (please tick one 請選其一)

DECLARATION FOR TAX PURPOSES 稅務申報

Only complete this section if the entity is tax liable to more/other countries than the country of the registered address stated above.
如閣下需於上述居住地以外的國家繳付稅項，請填寫下表。

Please complete the following table indicating (i) the countries, where the entity is tax liable, (ii) the Tax Identification Number (TIN) for each country indicated or (iii) if the country to which the entity is tax liable does not issue a TIN number. 請填寫以下表格，說明(ii) 該國家的稅務識別號碼 (TIN)；或剔選 (iii)。

Country of tax residence 稅務居民所屬地	TIN 稅務識別號碼	No TIN - State reason A, B or C. 如沒有稅務識別號碼(TIN) - 註明理由A, B或C。	If you indicated Reason B, please explain why you are unable to obtain a TIN or equivalent. 若選擇理由B，請說明無法獲得稅務識別號碼(TIN)或相關資料。

Reason A - Country does not issue TINs or equivalent 理由A - 國家沒有稅務識別號碼(TIN)或相關資料。

Reason B - Unable to obtain a TIN or equivalent (Please explain why you are unable to obtain a TIN above) 理由B - 無法獲得稅務識別號碼(TIN)或相關資料。(請說明之原因)

Reason C - No TIN is required. Domestic law of the relevant country/jurisdiction does not require the disclosure of TIN. 理由C - 不需要稅務識別號碼(TIN)。有關國家/司法管轄區的國內法不需要披露稅務識別號碼(TIN)。

In lack of space, the information can be attached separately. 若空間不足，可以另外附加信息。

As documentation of the ownership structure, the following documents should be attached, cf. A or B.
應附上以下文件作為股權結構文件，參見A或B。

A One or more of the documents listed, which proves the ownership structure 列出一個或多個文檔以證明股權結構	B Legal Letter, confirming the ownership and control structure 法律信函，確認所有權和控制結構
<ul style="list-style-type: none"> (i) Transcript of company register or similar 公司登記冊或相關文件 (ii) Group chart including ownership structure (signed) 包括股權結構的圖組（已簽署） (iii) Shareholders register (signed) 股東名冊（已簽署） (iv) Most recent audited annual accounts 最近經審計的年度帳目 (v) Any shareholders agreements (if containing information about the actual ownership structure) 任何股東協議（若包含有關實際股權結構的信息） (vi) Any pledge agreements (if such agreement exists) 任何保證協議（若此類協議存在） (vii) Trust deed 信託契約 	<ul style="list-style-type: none"> The document should be issued or certified by an external lawyer or accountant, which is licensed in the country where the corporation is incorporated. 該文件應由外國律師或會計師頒發或認證，該外國律師或會計師在法人註冊成立的國家獲得許可。

Saxo Capital Markets may require further documentation, if necessary to comply with the Hong Kong anti-money laundering rules and regulations. Any significant change in ownership structure must immediately be notified to Saxo Capital Markets.

盛寶金融可能需要更多文件，以遵守香港反洗錢規則和法規。必須立即將股權結構的任何重大變化報告給盛寶金融。

Is any of the ultimate beneficial owners related to any employee of Saxo Capital Markets HK Ltd ?

If yes, please state name of employee and relationship

您是否與盛寶金融的任何員工有關？如有，請說明員工姓名和關係。

☐ Yes 是 ☐ No 否

Name of employee 僱員姓名：

Relationship 關係：

Are you a Professional Investor*

您是否專業投資者*

☐ Yes 是 ☐ No 否

*Please see the Securities and Futures Ordinance Professional Investor Rules (Chapter 571D)

Your understand and acknowledge that if you are an overseas professional investor for the purposes of the SFO PI Rules, Saxo Capital Markets and/or its representatives are, exempted from certain compliance requirements set out in the SFO, including those setting out the obligations relating to product disclosure and recommendations made by you. You should carefully consider whether trading in any product is appropriate for your based on your financial circumstances and seek independent financial consultation.

*請參閱「證券及期貨條例」專業投資者規則（第571D章）

您理解並確認如果您是「證券及期貨條例專業投資者規則」的海外專業投資者，則盛寶金融和/或其代表可免除「證券及期貨條例」中規定的某些合規要求，包括闡述對您的產品披露和建議。您應根據您的財務狀況仔細考慮任何產品的交易是否適合您，並尋求獨立的財務諮詢。

PART 4 第 4 部份 | CHOICE OF ACCOUNT SETTING 帳戶設定選擇

Choice of account currency:

選擇帳戶貨幣種類：

(Please check one only 請選擇其中一項)

- ☐ HKD 港元 ☐ USD 美元 ☐ EUR 歐元 ☐ GBP 英鎊 ☐ CAD 加幣
☐ AUD 澳元 ☐ SGD 新加坡元 ☐ JPY 日圓

Choice of language 語言選擇

- ☐ English 英文 ☐ Traditional Chinese 繁體中文

On behalf of the legal entity/corporation 代表法人實體/公司：

☐ I/We declare that it acts in its own name as specified above and not on behalf of a third party in respect of all matters related to this client relationship and that accordingly all funds to be deposited and traded on the account with Saxo Capital Markets are its own funds.

我/我們聲明其以上述規定的名義行事，而不是代表第三方與此客戶有關的所有事項行事，因此所有存入盛寶金融賬戶並進行交易的資金均屬於本人的資金。

PART 5 第 5 部份 | POLITICALLY EXPOSED PERSON 政治敏感人物

A	Politically Exposed Person 政治敏感人物	B	Immediate Family or Beneficial Owners 直系親屬或實益擁有人
	<p>Politically Exposed Persons are natural persons who are or have been entrusted with prominent public functions either in Hong Kong, in a foreign country or in an international organisation. 政治敏感人物是在香港、外國或國際組織中被委任或擔任突出公共職能的自然人。</p> <p>The non-exhaustive list includes 非詳盡列表包括：</p> <ul style="list-style-type: none">• Heads of State or heads of government 國家元首或政府首腦；• Ministers, Second Ministers or Ministers of State 部長、第二部長或國務部長；• Members of Legislative Council / District Council 立法會/區議會議員；• Director - General 總幹事；• Chairman & Chief Executive Officer of Government Bodies 政府機構主席兼首席執行官• Government Linked Companies. 政府掛鉤公司。• Head or Secretary General of Key Political parties 主要政黨首長或秘書長；• Senior Management (directors, deputy directors, board members or equivalent functions) of United Nations and affiliated agencies, regional international organisations, military international organisations and economic organisations. 聯合國及附屬機構，區域國際組織，軍事國際組織和經濟組織的高級管理人員（主任、副主任、董事會成員或同等職能）。		<p>Politically Exposed Persons are also the immediate family members of such persons as set out under Definition A, such as: 政治敏感人物也是定義A所列的人的直系親屬，例如：</p> <ul style="list-style-type: none">• The spouse 配偶；• Son, adopted son or step-son 兒子、領養兒子或繼子；• Daughter, adopted daughter or step-daughter 女兒、領養女兒或繼母；• Father or step-father 父親或繼父；• Mother or step-mother 母親或繼母；• Brother, adopted brother or step-brother; and 兄弟、領養兄弟或繼兄弟；和• Sister, adopted sister or step-sister. 姐姐、領養姐姐或繼姐妹。 <p>Politically Exposed Persons are also persons known to be close associates of such persons as set out under Definition A, which means: 政治敏感人物也是已知為定義A所列人士的相關人士，這意味著：</p> <ul style="list-style-type: none">• Any natural person who is known to have joint beneficial ownership of legal entities or legal arrangements, or any other close business relations, with a person referred to in the definition above; 任何自然人，如果知道對法律實體或法律安排、或任何其他密切的業務關係，與上述定義中提到的人有共同的實益所有權；• Any natural person who has sole beneficial ownership of a legal entity or legal arrangement which is known to have been set up for the benefit de facto of the person referred in the definition above. 任何自然人對某法律實體或法律安排擁有唯一實益所有權，而該法律實體或法律安排已知是為上述定義中提及的人事實上設立的。

Please tick as appropriate 請於適當地方「✓」：

- ☐ I declare that I am not a Politically Exposed Persons as defined under A or B 本人聲明我並非A或B定義下的政治敏感人物
☐ I declare that I am a Politically Exposed Persons as defined under A or B 本人聲明我是A或B定義下的政治敏感人物

Name 姓名	Relationship to client 與客戶的關係	PEP Position 政要職銜	Employer/Country 僱主/國家

Prominent public functions include the roles held by heads of state, heads of government, government ministers, senior civil or public servants, senior judicial or military officials, seniors executives of state owned corporations, senior political party officials, members of the legislature and senior management of international organisations.

顯赫的公職包括國家元首、政府首腦、政府部長、高級民事或公職人員、高級司法或軍事官員、國有公司高級行政人員、高級政黨官員、立法機構和國際組織高級管理人員的角色。

PART 6 第 6 部份 | PURPOSE AND SCOPE OF CLIENT RELATIONSHIP (ALL FIELDS ARE MANDATORY)
客戶關係的概況和範圍 (必須回答此部份所有問題)

In order to comply with the Hong Kong regulations on Anti-Money Laundry, Saxo Capital Markets is required to obtain information about the purpose and scope of the client relationship.
為了遵守香港有關反洗錢的規定，盛寶金融需向客戶獲取有關資訊，了解客戶關係的目的及範圍。

What is your purpose for applying for an account at Saxo Capital Markets? Please tick only one option.

為什麼開立盛寶金融帳戶？請選擇以下一項。

- ☐ Capital preservation / hedging (minimise the potential for any loss of principal)
保本/對沖型 (盡量減少任何本金損失的可能性)
- ☐ Growth (increase investment value over time while accepting price fluctuations)
增長型 (在接受價格波動的同時增加投資價值)
- ☐ Speculation (assume the highest degree of risk for potentially higher returns)
投機型 (假設潛在更高回報的最高風險程度)

What type of instruments would you be interested in trading?

請問您打算交易以下什麼產品？

- | | |
|---|---|
| <input type="checkbox"/> FX Spot / Forwards 外匯現貨/遠期 | <input type="checkbox"/> Stocks 股票 |
| <input type="checkbox"/> FX NDFs 外匯NDFs | <input type="checkbox"/> CFDs 差價合約 |
| <input type="checkbox"/> FX Options 外匯期權 | <input type="checkbox"/> Bonds 債券 |
| <input type="checkbox"/> Futures 期貨 | <input type="checkbox"/> Managed Funds 管理基金 |
| <input type="checkbox"/> Contract Options 期權合約 | <input type="checkbox"/> Stock Options 股票期權 |

What is approximately your level of investable assets?

請問您的投資資產水平多少？

- ☐ HKD 港幣 5,000 - 50,000
- ☐ HKD 港幣 50,000 - 500,000
- ☐ HKD 港幣 500,000 - 1,500,000
- ☐ HKD 港幣 1,500,000 - 5,000,000
- ☐ > HKD 港幣 5,000,000

How much do you intend to invest with Saxo Capital Markets?

請問打算投放多少資金作投資用途？

- | | |
|---|---|
| <input type="checkbox"/> HKD 港幣 5,001-10,000 | <input type="checkbox"/> HKD 港幣 750,001-1,000,000 |
| <input type="checkbox"/> HKD 港幣 10,001-50,000 | <input type="checkbox"/> HKD 港幣 1,000,001-1,500,000 |
| <input type="checkbox"/> HKD 港幣 50,001-100,000 | <input type="checkbox"/> HKD 港幣 1,500,001-2,000,000 |
| <input type="checkbox"/> HKD 港幣 100,001-200,000 | <input type="checkbox"/> HKD 港幣 2,000,001-3,000,000 |
| <input type="checkbox"/> HKD 港幣 200,001-300,000 | <input type="checkbox"/> HKD 港幣 3,000,001-4,000,000 |
| <input type="checkbox"/> HKD 港幣 300,001-400,000 | <input type="checkbox"/> HKD 港幣 4,000,001-5,000,000 |
| <input type="checkbox"/> HKD 港幣 400,001-500,000 | <input type="checkbox"/> > HKD 港幣 5,000,000 |
| <input type="checkbox"/> HKD 港幣 500,001-750,000 | |

How many trades do you typically place on a monthly basis?

平均每月交易次數多少？

- ☐ 0 - 5
- ☐ 5 - 10
- ☐ 10 - 50
- ☐ 50 - 100
- ☐ > 100

Source of Funds

資金來源

- ☐ Inter-company payments Loans/Credit (please specify source): _____
公司間貸款/信貸款項 (請註明來源) : _____
- ☐ Dividends, administration fees from other companies (Group, associated or others):
來自其他公司 (集團、聯營公司或其他公司) 的股息，行政管理費用:
- ☐ Cash injections/new equity (please specify source): _____
資金/新股權注入 (請註明來源) : _____
- ☐ Income from ongoing operations
持續運營收入
- ☐ Others (please specify): _____
其他 (請註明) : _____

Purpose of business 業務對象

Please provide a brief description (elaborate on nature and extent of the business, products and services offered etc.):

請提供簡要說明 (詳細說明業務，產品和服務等性質和範圍)：

PART 7 第 7 部份 | LIST OF AUTHORIZED DEALERS 獲授權交易人列表

We hereby confirm that the persons listed in the Appendix are current employees of our company as of the date hereunder and are hereby authorized to perform all transactions and legal acts according to Saxo Capital Markets' General Business Terms as if they were performed by ourselves.

我們謹此確認列於附錄的人士於下列日期之時為本公司的職員，並茲此獲授權僅代表本公司根據盛寶金融的一般交易條款進行所有交易及法律行動如同本公司進行一樣。

We understand and agree that:
本公司明白及同意：

- Saxo Capital Markets HK Limited (hereinafter referral to as the "Saxo Capital Markets") may accept from anyone in this List of Authorized Dealers (hereinafter referred to as the "Authorized Dealer") below, without any inquiry or investigation, any order for the purchase and sale of securities, futures contract, foreign exchange, derivatives and any other property in ours account(s) on margin or otherwise. For avoidance of doubt, Saxo Capital Markets shall not execute any order from the Authorized Dealer regarding transfer of funds to the credit or debit of ours account(s);
盛寶金融(香港)有限公司（下稱「盛寶金融」）可接受任何列於此獲授權交易人列表的人士（下稱「授權人士」）所發出為本公司帳戶以槓桿或其他形式購入及賣出證券、期貨、外匯、衍生性工具及其他資產的指令，而毋須就該等指令作出任何詢問及調查。為免生疑問盛寶金融不會執行由授權人士發出的關於借記或貸記本公司帳戶的指令；
- Saxo Capital Markets shall have no responsibility or liability to us in following the Authorized Dealer's instructions;
盛寶金融毋須就執行授權人士的指令而承擔任何責任或義務；
- Saxo Capital Markets is under no duty to supervise or otherwise know or review the trading practices or advice or any other acts of the Authorized Dealer;
盛寶金融毋須監察或了解或審視授權人士的交易實務或意見或其他作為；
- Saxo Capital Markets may establish internet trading facilities according to the instructions of the Authorized Dealer and thus enable the Authorized Dealer to execute trades on our behalf on any of Saxo Capital Markets' internet trading systems;
盛寶金融可以根據授權人士的指示設立網上交易設施，從而促使授權人士可以代表本公司於任何盛寶金融網上的交易系統進行交易；
- Any and all acts and things done and any and all documents executed by Saxo Capital Markets shall be and are hereby ratified and confirmed by us;
本公司將會並謹此確認及追認任何及所有由盛寶金融作出的作為及簽署的一切文件；
- Should the Authorized Dealer no longer be authorized by us, the name of the Authorized Dealer will be crossed out in the Appendix and will be endorsed in writing by the Authorized Signatory of ours; Any additional Authorized Dealer will be included in the Appendix and be endorsed in writing by the Authorized Signatory of ours as well;
如本公司終止授權任何於附錄的授權人士，其名字將於附錄上刪除並由本公司的授權簽署人加簽；任何新增的授權人士亦會包括於附錄內並由本公司的授權簽署人加簽；
- In the event of any inconsistency between the English and Chinese versions, the English version shall prevail.
中文譯本僅供參考，文義如與英文有歧異，概以英文本為準。

We further confirm that the information content in this List of Authorized Dealer is true, complete and correct. Any material changes of the information listed in this List of Authorized Dealers will be informed to Saxo Capital Markets in writing as soon as possible.
本公司確認此獲授權交易人列表中的資料乃真實、完整及無誤。如有任何重要變更應於切實可行的情況下盡快通知盛寶金融。

These instructions effectively replace all previous instructions issued.
此指示有效代替所有以前發出的指示。

1. Full Name 姓名	Title 職銜	Year of Services 就職年期	ID No./ Passport No. 身份證號碼 / 護照號碼
Contact Number 聯絡電話	Email Address 電郵地址	Specimen Signature 簽署式樣	Effective Date 生效日期

2. Full Name 姓名	Title 職銜	Year of Services 就職年期	ID No./ Passport No. 身份證號碼 / 護照號碼
Contact Number 聯絡電話	Email Address 電郵地址	Specimen Signature 簽署式樣	Effective Date 生效日期
3. Full Name 姓名	Title 職銜	Year of Services 就職年期	ID No./ Passport No. 身份證號碼 / 護照號碼
Contact Number 聯絡電話	Email Address 電郵地址	Specimen Signature 簽署式樣	Effective Date 生效日期

PART 8 第 8 部份 | FATCA STATUS STATUTORY DECLARATION (US FOREIGN ACCOUNT TAX COMPLIANCE ACT)
FATCA狀態法定聲明（美國外國帳戶稅務合規ACT）

On behalf of the legal entity/corporation, I/We declare our FATCA status (Chapter 4 of the US Internal Revenue Code) to be:
我/我們以代表法律實體/公司聲明我們的FATCA狀態（美國國稅局第4章）為：

- ☐ Publicly traded Non-Financial Foreign Entity (NFFE) or NFFE affiliate of publicly traded Corporation
公開交易的非金融外國實體（NFFE）或公開交易公司的NFFE關聯公司
- The entity is a foreign corporation that is not a financial institution. 該實體為非金融機構的外國公司。
 - The name of the entity, the stock which is regularly traded on an established securities market, is _____ and ;
成熟的證券市場上定期交易的股票，其名為 _____；
 - The name of the securities market on which the stock is regularly traded is _____
經常買賣股票的證券市場名稱是 _____
 - The ISIN number of the shares regularly traded on the securities market is _____
經常於證券市場買賣的股票ISIN號碼是 _____
- ☐ Active Non-Financial Foreign Entity (NFFE) 主動非金融外國實體（NFFE）
- The entity is a foreign corporation that is not a financial institution. 該實體為非金融機構的外國公司。
 - Less than 50% of the entities gross income for the preceding income calendar year is Passive Income¹, and
前一個收入年期實體總收入少於50%為被動收入¹，和
 - Less than 50% of the assets held by the entity are assets that produce or are held for the production of Passive Income
(calculated as a weighted average of the percentage of passive assets measured quarterly)
該實體持有的資產少於50%為建立或持有資產的被動收入（按季度計量的被動資產百分比的加權平均數計算）
- ☐ Passive Non-Financial Foreign Entity (NFFE) 被動非金融外國實體（NFFE）
- The entity is a foreign corporation that is not a financial institution. 該實體為非金融機構的外國公司。
 - ☐ The entity has no substantial U.S. owners², or 該實體沒有實質的美國所有者²，或
 - ☐ The entity has the following substantial U.S. owners: 該實體擁有以下美國業主：

1. US Person 美國人：	Direct or indirect holding percentage (above 10 percent) 直接或間接持有百分比（10%以上）： _____ Name 名稱： _____ TIN 稅務識別號： _____ Address 地址： _____ _____
2. US Person 美國人：	Direct or indirect holding percentage (above 10 percent) 直接或間接持有百分比（10%以上）： _____ Name 名稱： _____ TIN 稅務識別號： _____ Address 地址： _____ _____

3. US Person 美國人：	Direct or indirect holding percentage (above 10 percent) 直接或間接持有百分比 (10%以上) : _____ Name 名稱 : _____ TIN 稅務識別號 : _____ Address 地址 : _____ _____
4. US Person 美國人：	Direct or indirect holding percentage (above 10 percent) 直接或間接持有百分比 (10%以上) : _____ Name 名稱 : _____ TIN 稅務識別號 : _____ Address 地址 : _____ _____

Note: If the entity/corporation's FATCA Status is neither FFI nor NFFE in one of the listed forms above, the entity/corporation's FATCA Status must be declared in a separately provided Form W-8BEN-E.
注：如果實體/公司的FATCA狀態在上述列出的表格之一並不是FFI或NFFE，實體/公司的FATCA狀態必須在另外提供的W-8BEN-E表格中聲明。

1. Passive income is generally defined as: dividends, interest, rents, royalties, annuities, and certain other forms of passive income, see Form W-8BEN-E for further definition.
 一般定義被動收入為：股息、利息、租金、特許權使用費、年金和某些其他形式的被動收入，詳見W-8-BEN-E表格。

2. Substantial U.S. owners are generally defined as: a US owner with directly or indirectly, more than 25 percent of the entity stock (by vote or value), as defined in the U.S. Treasury FATCA Regulations section 1.1473-1(b). In some jurisdictions, the threshold for reportable holdings may exceed 25 percent. For that purpose the exact percentage shareholding is needed.
 美國主要業主通常被定義為：美國所有者直接或間接超過25%的實體股票（通過投票或價值），如美國財政部FATCA規則第1.1473-1 (b) 節所定義。在某些司法管轄區，可舉報控股的閾值可能超過25%。為此目的，需要確切的百分比持股。

PART 9 第9部份 | CLAIM FOR US TAX TREATY BENEFITS – US WITHHOLDING TAX TREATY STATEMENT
索賠美國稅收優惠 - 美國稅務條例聲明

(Only for non-individual Entities/Corporates 僅限非個人實體/公司)

Entities/corporations in jurisdictions that have concluded a tax treaty with the U.S. may under the provisions of such tax treaty be eligible for reduced rates on withholding taxes on income derived from sources in the U.S. The applicability of treaty however, depends on whether the recipient meets the provisions in the specific tax treaty, including any limitation of benefits provisions. It is the responsibility of the client to ensure that such provisions are met. Please consult with your tax advisor on treaty benefit issues.

與美國締結稅務協定的司法管轄區內的實體/公司可以根據該稅務協定的條款，享受對美國來源所得收入的預扣稅率的降低稅率。但條約的適用性取決於接受者是否符合特定稅務條約規定，包括任何利益限制條款。客戶有責任確保符合這些條款。請諮詢您的稅務顧問有關條約福利問題。

Please tick off the below declaration if you want to claim tax treaty benefits:

如果您想申請稅務協定優惠，請選擇以下聲明：

☐ (Company name:) _____ meets all the provisions of the Tax Treaty between USA and _____ (country) that are necessary to claim a reduced rate of withholding, including any limitation on benefits provision, and derives the income within the meaning of section 894 of the US Internal Revenue Code, and the regulations thereunder, as the beneficial owner. The following are types of limitation of benefits provisions that may be included in the applicable tax treaty (select only one):

(公司名稱：) _____ 符合美國和 _____ (國家) 之間的稅務條約的所有條款，這些條款是要求降低預扣稅率，包括對福利提供的任何限制所必需的，並且獲得第894條美國國內稅收法典及其條例作為受益所有人。以下是適用稅務條約可能包括的福利條款的限制類型（只選擇一個）：

☐ Subsidiary of publicly traded corporation
稅上市公司之子公司

☐ Publicly traded corporation
上市公司

☐ Other (specify Article and paragraph)
其他（指定條款和段落） _____

PART 10 第 10 部份 | CRS (COMMON REPORTING STANDARD IN OECD CONTEXT)
CRS (經合組織OECD的共同申報準則)

In compliance with Common Reporting Standards (CRS), Saxo Capital Markets is required to obtain the following information from you.
For more information, please visit www.oecd.org/tax/automatic-exchange

根據共同申報準則 (CRS)，盛寶金融需向您獲取以下信息。想了解更多資訊，請瀏覽www.oecd.org/tax/automatic-exchange

Please complete this section listing all jurisdictions where you are resident for tax purposes and your Tax Identification Number (TIN).
請填寫此部分並列出您居住在稅務上的所有司法管轄區以及稅務識別號碼 (TIN)。

Country of tax residence 稅務居住國家	TIN 稅務識別號碼	No TIN - State reason A, B or C. 沒有稅務識別號碼 - 註明原因 A, B或C。	If you indicated Reason B, please explain why you are unable to obtain a TIN or equivalent. 如您選擇原因B，請解釋為何無法獲得稅務識別號碼或相關資料。

I/We declare that:

- ☐ The entity's/corporation's CRS classification is identical to the FATCA status.
據我/我們在此聲明：
- ☐ The entity's/corporation's CRS classification is not identical to the FATCA status. The entity's CRS status is: _____
該實體/公司的CRS類別與FATCA狀況不同。該實體的CRS狀況是：_____

If the entity's/corporation's CRS status is **Passive NFE**, please indicate the name of any Controlling Person(s) of the entity/corporation :
若該實體/公司的CRS身份為非實質營運的非金融公司，請註明任何實體/法人的控制人姓名：

Name 名稱	Country of tax residence 稅務居住國家	No TIN - State reason A, B or C. 沒有稅務識別號碼 - 註明原因 A, B或C。	If you indicated Reason B, please explain why you are unable to obtain a TIN or equivalent. 如您選擇原因B，請解釋為何無法獲得稅務識別號碼或相關資料。

Reason A - Country does not issue TINs or equivalent 原因A - 國家不發行稅務識別號碼或同關資料

Reason B - Unable to obtain a TIN or equivalent (Please explain why you are unable to obtain a TIN above) 原因B - 無法獲得稅務識別號碼或同關資料 (請解釋為何無法獲得上述稅務識別號碼)

Reason C - No TIN is required. Domestic law of the relevant country/jurisdiction does not require the disclosure of TIN. 理由C - 不需要稅務識別號碼(TIN)。有關國家/司法管轄區的國內法不需要披露稅務識別號碼(TIN)。

PART 11 第 11 部份 | CERTIFICATION 證明

I declare under penalties of perjury that the information given in parts 8, 9 and 10 of this form to the best of my knowledge is true, correct and complete.
本人謹此聲明，根據我所知，此表格第8、9及10部分所載的資料是真實、正確及完整的。

I further certify under penalties of perjury that 在願受作假證供的懲處下，本人(等)聲明：

- The entity identified in Part 8 is not a US person 第8部分中標識的實體並不是美國人
- 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 income tax treaty, or (c) the partner's share of a partnership's effectively connected income, and 與此表格相關的收入是：(a) 與在美國的貿易或業務的行為沒有有效關聯，(b) 有效連接，但不是根據所得稅條約徵稅，或 (c) 合夥人在合夥的有效關聯收入中的份額，以及
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person. A foreign person includes a foreign corporation, a foreign partnership, a foreign trust, a foreign estate, and other person that is not a U.S. person. It also includes a foreign branch or office of a U.S. financial institution or U.S. clearing organization if the foreign branch is a qualified intermediary (QI). Generally, a payment to a U.S. branch of a foreign person is a payment to a foreign person.

對於經紀交易或易貨交易，受益所有人是一個豁免的外國人。外國人包括外國公司，外國合夥企業，外國信託，外國房地產和不是美國人的其他人。如果外國分支機構為合格中介機構 (QI)，它還包括美國金融機構或美國結算組織的外國分支機構或辦公室。一般來說，向外國人的美國分支的付款是對外國人的付款。

Further, I agree that I will submit a new form within 30 days if any certification given in this form becomes incorrect.

此外，本人同意，若果於此表格中提供的任何認證不正確，本人將在30天內重新提交表格。

Signature 簽名 _____ Name 名稱 _____

Date 日期 _____

☐ I certify that I have authorization to sign on behalf of the above. 本人謹聲明本人有權代表以上作出簽署。

PART 12 第 12 部份 | PRE SALE DISCLOSURE OF MONETARY BENEFIT 銷售前披露金錢收益

SPECIFIC DISCLOSURE 披露具體資料

1 Explicit Remuneration Arrangement 明確收取報酬的安排	NIL 沒有
2 Trading Profit from Back-to-Back Transaction where SCM HK does not take market risk 盛寶金融不會承擔任何有市場風險下進行背對背交易的銷售利潤	
(a) Equity (shares) 證券 (股票)	SCM HK earns the trading profit from the transaction entered into by you or on your behalf equivalent to 0.05% or below of the transaction amount. 盛寶金融從閣下的交易或代表閣下的交易中賺取的利潤相等於交易金額之0.05%或以下。
(b) Futures Contract 期貨合約	SCM HK earns the trading profit from the transaction entered into by you or on your behalf equivalent to HKD50 or below for each Hong Kong futures transactions and/or equivalent to HKD120 or below for each global futures transactions. 盛寶金融從閣下的交易或代表閣下的交易中賺取的利潤於每一宗香港期貨交易相等於港幣\$50或以下及/或於每一宗環球期貨交易相等於港幣\$120或以下。
(c) Foreign Exchange 外匯	It is a non-quantifiable monetary benefit as SCM HK trades as principal to the client, please refer to Generic Disclosure below. 這是一個非量化的金錢收益，盛寶金融以主事人身份與客戶進行交易，請參考下列披露概括資料。

Disclaimer: Trading profit may be varied from time to time due to market condition. SCM HK reserves the right to update the trading profit without prior notice to the client.

免責聲明：交易的銷售利潤會因應市場情況而有所變動，盛寶金融保留更新交易的銷售利潤而無須事先通知客戶。

GENERIC DISCLOSURE 披露概括資料

1 Non-explicit Remuneration Arrangement 非明確收取報酬的安排	NIL 沒有
2 Non-quantifiable Monetary Benefit 非量化的金錢收益	For foreign exchange transactions, the monetary benefit received by SCM HK is not quantifiable prior to or at the point of the trade and calculation of the benefit is subject to various factors as stated in the "Disclosure of Sales Related Information" below. 對於外匯交易，盛寶金融獲得的金錢收益無法在交易前或交易時量化計算，而收益的計算將根據下列「銷售相關的資訊披露」中所載的各種因素而定。
DISCLOSURE OF NON MONETARY BENEFIT 披露非金錢收益	NIL 沒有

DISCLOSURE OF SALES RELATED INFORMATION 披露銷售相關資訊

- For equity and futures trading matters, SCM HK acts as agent in relation to the sale or purchase with the relevant exchange(s) and/or exchange member broker(s). SCM HK enters into a back-to-back transaction with Saxo Bank where calculation of SCM HK's profit is non-quantifiable prior to or at the point of trade. Moreover, factors to be taken into account in the computation of profit include (i) Client or Market Benchmark; (ii) Currency Cut; (iii) Swap Benchmark; (iv) Client Commission; (v) Partner Commission; (vi) Broker Costs, if any.
對於證券及期貨交易事項，盛寶金融為與有關之交易所及/或交易所會員之經紀商進行銷售或購買之代理人。盛寶金融與盛寶銀行進行背對背交易，其中盛寶金融所得利潤在交易前或交易時不能量化。此外，利潤計算需考慮幾項因素，包括(i)客戶或市場的基準；(ii)貨幣兌換；(iii)掉期基準；(iv)客戶佣金；(v)合夥人佣金；(vi)代理人費用，如適用。
- For FX and/or FX products trading matters, SCM HK acts as principal in relation to the sale and/or purchase of these products. SCM HK enters into a back-to-back transaction with Saxo Bank where the calculation of SCM HK's profit is non-quantifiable prior to or at the point of trade. Moreover, factors to be taken into account in the computation of profit include (i) Client or Market Benchmark; (ii) Currency Cut; (iii) Swap Benchmark; (iv) Client Commission; (v) Partner Commission; (vi) Broker Costs, if any.
對於外匯及/或外匯產品的交易事項，盛寶金融作為銷售及/或購買這類產品的主事人。盛寶金融與盛寶銀行進行背對背交易，其中盛寶金融所得利潤在交易前或交易時不能量化。此外，利潤計算需考慮幾項因素，包括(i)客戶或市場的基準；(ii)貨幣兌換；(iii)掉期基準；(iv)客戶佣金；(v)合夥人佣金；(vi)代理人費用，如適用。

PART 13 第 13 部份 | RISK DISCLOSURE 風險披露

RISK OF SECURITIES TRADING 證券交易風險

The prices of securities fluctuate, sometimes dramatically. The price of a security may move up or down, and may become valueless. It is as likely that losses will be incurred rather than profit made as a result of buying and selling securities.

證券價格或會非常波動。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。

RISK OF TRADING IN LEVERAGED FOREIGN EXCHANGE CONTRACTS 槓桿式外匯交易風險

The risk of loss in leveraged foreign exchange trading can be substantial. You may sustain losses in excess of your initial margin funds. Placing contingent orders, such as "stop-loss" or "stop-limit" orders, will not necessarily limit losses to the intended amounts. Market conditions may make it impossible to execute such orders. You may be called upon at short notice to deposit additional margin funds. If the required funds are not provided within the prescribed time, your position may be liquidated. You will remain liable for any resulting deficit in your account. You should therefore carefully consider whether such trading is suitable in the light of your own financial position and investment objectives.

槓桿式外匯交易的虧損風險可以十分重大。閣下所蒙受的虧損可能超過閣下的最初保證金款額。即使閣下訂下備用交易指示，例如「止蝕」或「限價」交易指示，亦未必可以將虧損局限於閣下原先設想的數額。市場情況可能使這些交易指示無法執行。閣下可能被要求一接到通知即存入額外的保證金款額。如閣下未能在所訂的時間內提供所需的款額，閣下的未平倉合約可能會被平倉。閣下將要為閣下的帳戶所出現的任何虧損負責。因此，閣下必須仔細考慮，鑑於自己的財務狀況及投資目標，這種買賣是否適合閣下。

RISK OF MARGIN TRADING 保證金交易風險

The risk of loss in financing a transaction by deposit of collateral is significant. You may sustain losses in excess of your cash and any other assets deposited as collateral with licensed or registered person. Market conditions may make it impossible to execute contingent orders, such as "stop-loss" or "stop-limit" orders. You may be called upon at short notice to make additional margin deposits or interest payments. If the required margin deposits or interest payments are not made within the prescribed time, your collateral may be liquidated without your consent. Moreover, you will remain liable for any resulting deficit in your account and interest charged on your account. You should therefore carefully consider whether such a financing arrangement is suitable in light of your own financial position and investment objectives.

藉存放抵押品為交易提供資金的虧損風險可能極大。閣下所蒙受的虧蝕可能會超過閣下在有關持牌人或註冊人存放作為抵押品的現金及任何其他資產。市場情況可能無法執行備用交易指示，例如「止蝕」或「限價」指示無法執行。閣下可能會在短時間接到通知要求存入額外保證金款額或繳付利息。假如閣下未能在指定的時間內支付所需的保證金款額或利息，閣下的抵押品可能會在未獲閣下的同意下被清算。此外，閣下將要為閣下的帳戶內因此而出現的任何虧損及需繳付的利息負責。因此，閣下應根據自己的財務狀況及投資目標，仔細考慮這種資金安排是否適合閣下。

RISK OF TRADING GROWTH ENTERPRISE MARKET STOCKS 買賣創業板股份的風險

Growth Enterprise Market (GEM) stocks involve a high investment risk. In particular, companies may list on GEM with neither a track record of profitability nor any obligation to forecast future profitability. GEM stocks may be very volatile and illiquid. You should make the decision to invest only after due and careful consideration. The greater risk profile and other characteristics of GEM mean that it is a market more suited to professional and other sophisticated investors. 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. You should seek independent professional advice if you are uncertain of or have not understood any aspect of this risk disclosure statement or the nature and risks involved in trading of GEM stocks.

創業板股份涉及很高的投資風險。尤其是該等公司可在毋須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。閣下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。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。假如閣下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。

RISK OF CLIENT ASSETS RECEIVED OR HELD OUTSIDE HONG KONG 在香港以外地方收取或持有的客戶資產的風險

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

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的。這些法律及規例與《證券及期貨條例》（第571章）及根據該條例制訂的規則可能有所不同。因此，有關客戶資產將可能不會享有賦予在香港收取或持有的客戶資產的相同保障。

RISK OF TRADING FUTURES AND OPTIONS 期貨及期權交易的風險

The risk of loss in trading futures contracts or options is substantial. In some circumstances, you may sustain losses in excess of your initial margin funds. Placing contingent orders, such as "stop-loss" or "stop-limit" orders, will not necessarily avoid loss. Market conditions may make it impossible to execute such orders. You may be called upon at short notice to deposit additional margin funds. If the required funds are not provided within the prescribed time, your position may be liquidated. You will remain liable for any resulting deficit in your account. You should therefore study and understand futures contracts and options before you trade and carefully consider whether such trading is suitable in the light of your own financial position and investment objectives. If you trade options you should inform yourself of exercise and expiration procedures and your rights and obligations upon exercise or expiry.

買賣期貨合約或期權的虧蝕風險可以極大。在若干情況下，您所蒙受的虧蝕可能會超過最初存入的保證金數額。即使您設定了備用指示，例如「止蝕」或「限價」等指示，亦未必能夠避免損失。市場情況可能使該等指示無法執行。您可能會在短時間內被要求存入額外的保證金。假如未能在指定的時間內提供所需數額，您的未平倉合約可能會被平倉。然而，您仍然要對您的帳戶內任何因此而出現的短欠數額負責。因此，您在買賣前應研究及理解期貨合約及期權，以及根據本身的財政狀況及投資目標，仔細考慮這種買賣是否適合您。如果您買賣期權，便應熟悉行使期權及期權到期時的程序，以及您在行使期權及期權到期時的權利與責任。

For detail of the risk disclosure, please refer to the General Business Term. 有關風險披露之詳情，請參閱「一般交易條款」。

PART 13 第 13 部份 | RISK DISCLOSURE 風險披露 (CON'T 續)

RISK OF SELLING (WRITING) FOREX OPTIONS AND/OR UNCOVERED CONTRACT OPTIONS (EXCHANGE TRADED OPTIONS)
出售 (沽出) 外匯期權合約及 / 或未對沖的期權合約 (交易所買賣期權)

There are special risks associated with forex option selling and/or uncovered option selling that may expose investors like yourself to significant losses. Therefore, this type of strategy may not be suitable for all customers, as it is meant primarily for sophisticated and well experienced clients.

賣出外匯期權及 / 或未對沖期權合約涉及特殊風險，閣下作為投資者可能蒙受巨大損失。因此，此類策略未必適合所有客戶，一般只適合專業及經驗豐富的客戶。

Kindly note the following scenarios 請留意以下情況：

- An option seller may be short on a contract and then experience a rise in demand for contracts, which, in turn, inflates the price of the premium and may cause large losses, even if the underlying has not moved.
如果期權賣方持合約短倉，如果市場對期權合約的需求上升因而導致期權金上升，最後縱使相關資產價格沒有變動也會可能引致巨大損失。
- The seller of the option may incur large losses if the price of the options increases due to but not restricted to the followings:
如期權價格因為以下 (但並不限於) 情況上升，期權賣方可蒙受巨額損失：
 - Price of the underlying 相關期權合約的價格
 - Strike price 行使價
 - Time until expiration 距到期日時間
 - Volatility of the underlying 相關期權合約的波動性
- All options are marked to market in real time. This means that when selling options 所有期權即時按市價入賬。這表示當賣出期權時：
 - The cash balance on your account increases 閣下帳戶的現金結餘會增加
 - The unrealized value of positions will be decreased accordingly according to the real time offer price of the option.
持倉未變現價值將因此根據期權的即時賣價減低。
 - There is hence no increase in account value when initiating a new short contract options trade.
因此，當建立新的一張短倉期權合約時，帳戶價值不會上升。
- There is generally more risk and generally less reward involved in selling options than in purchasing options.
一般來說，賣出期權比買入期權的風險較高，回報較少。
- Selling options naked (not covered or hedged) involves the risk of an unlimited loss.
賣出未抵押期權 (空頭期權或未對沖期權) 涉及的虧損風險可以是無限的。
 - When selling a naked CALL option, the underlying can theoretically rise to an infinite price level, resulting in infinite losses on your trading account.
當賣出未抵押的認購期權，理論上來說，相關期權可上升至無限的價格水平，導致閣下的交易帳戶出現無限的損失。
 - When selling a naked PUT option, the underlying can theoretically fall to zero, resulting in massive losses on your trading account.
當賣出未抵押的認沽期權，理論上來說，相關期權會跌至零，導致閣下的帳戶出現巨大的損失。
- The seller of an American-style option is subject to being assigned from the time the option has been written until the option expires. By contrast, the seller of a European-style option is subject to exercise assignment only during the exercise period.
美式期權的賣方在期權賣出日至到期日需要履行轉讓責任。相反，歐式期權的賣方只在到期日才可以履行轉讓責任。
- In the case of a margin stop out where the required margin on the account exceeds the net equity for margin.
當帳戶所需保證金超過淨額保證金，帳戶會因保證金不足被強制平倉。
 - ALL margin positions (including bought only options) will be forced closed by the system.
所有保證金買賣持倉 (包括期權長倉) 都會被系統強制平倉。
 - In view of our self-directed trading business model, we make no commitment to contact you by phone and/or email before the forced closure of your positions by the system.
鑑於我們以自行管理交易為業務模式，因此在系統強制平倉前，我們不會作出承諾，透過電話及 / 或電郵通知閣下。
 - Your positions may have been forced closed by the system even if you may have initiated a transfer of funds.
即使閣下可能已經將資金轉賬，但閣下的帳戶可能已經被系統強制平倉。
 - Losses on a short Option position can be substantial when the market moves against the position, and can result in a deficit balance on the account which is immediately due and payable.
若市況不利閣下的倉位，期權短倉招致的損失可以十分巨大，並導致帳戶上出現負數結欠，結欠金額即日到期並需立即清還。

Forex option and/or uncovered option selling is suitable only for the highly experienced and sophisticated investor who understands the risks, has the financial capacity and willingness to incur potentially substantial losses, and has sufficient liquid assets to meet applicable margin requirements. In this regard, if the value of the underlying instrument moves against an uncovered seller's options position, SCM HK may request significant additional margin payments, or close positions in the investor's account with little or no prior notice in accordance with the General Business Terms.

賣出外匯期權合約及 / 或未對沖期權合約只適合經驗豐富、具專業知識、了解風險，有足夠資金並願意承受潛在的巨額損失，及有足夠流動資金達到保證金要求的投資者。在這方面，若相關產品的價值不利未對沖期權賣方的倉位，盛寶金融可能要求閣下大幅增加保證金，或根據一般交易條款，在很少或沒有事先通知前將投資者帳戶中的倉位強制平倉。

PART 13 第 13 部份 | RISK DISCLOSURE 風險披露 (CON'T 續)

HONG KONG EXCHANGE TRADED OPTIONS – CLIENT AGREEMENT

香港股票期權 — 客戶協議書

When your account is allowed to conduct trading in stock options, you acknowledge that this Client Agreement (“Agreement”) is supplemental to the General Business Terms to which this Agreement is annexed and where any conflict arises between the provisions of the General Business Terms and this Agreement, the provisions of this Agreement shall prevail.

若閣下的帳戶被許可進行股票期權交易，閣下確認本客戶協議書（「協議書」）是補充其所依附的一般交易條款內的規定，但凡一般交易條款與本協議書的規定有任何衝突，將以本協議書的規定為準。

Whilst the client expects Saxo Capital Markets to keep confidential all information relating to the client's options account, the client hereby irrevocably authorizes, without further notice to or consent from the client, Saxo Capital Markets, if requested by any regulatory authority, to provide such authority details of the account including all such information and all such documents in Saxo Capital Markets' possession as may be required by such regulatory authority. The client should not hold Saxo Capital Markets liable for any consequences arising out of any such disclosure.

盛寶金融將關於客戶期權帳戶內所有資料保密，客戶在此不可撤銷地授權盛寶金融，依照監管機構要求，在無須通知或事先取得客戶同意下，盛寶金融可提供有關該帳戶的資料，包括監管機構可能要求盛寶金融提供所有此類資料及文件。客戶不會就任何該等披露產生的任何後果承擔責任。

You confirm that 閣下同意以下細則：

- a) the options account is operated solely for your account and benefit, and not for the benefit of any other person; or
盛寶金融將關於客戶期權帳戶內所有資料保密，客戶在此不可撤銷地授權盛寶金融，依照監管機構要求，在無須通知或事先取得客戶同意下，盛寶金融可提供有關該帳戶的資料，包括監管機構可能要求盛寶金融提供所有此類資料及文件。客戶不會就任何該等披露產生的任何後果承擔責任。
- b) you have disclosed to Saxo Capital Markets in writing the name of the person(s) for whose benefit the options account is being operated; or
閣下已向盛寶金融書面披露某人的姓名表示該期權帳戶是為該某人的利益而操作；或
- c) you have requested Saxo Capital Markets to operate the options account as an Omnibus Account, and will immediately notify Saxo Capital Markets, on request, of the identity of any person(s) ultimately beneficially interested in Client Contracts;
閣下已要求盛寶金融以綜合帳戶操作該期權帳戶，並會就要求即時通知盛寶金融任何擁有客戶合約的最終實益權的人士的身份；

All Exchange Traded Options Business shall be effected by an Options Exchange Participant in accordance with all laws, rules and regulatory directions (the “Rules”) applying to an Options Exchange Participant, which include the Options Trading Rules of SEHK, the Clearing Rules of The SEHK Options Clearing House Limited (“SECH”) and the rules of the Hong Kong Securities Clearing Company Limited (“HKSCC”); and in particular, SECH has authority under the Rules to make adjustments to the terms of Contracts, the Options Exchange Participant should notify the client of any such adjustments which affect Client Contracts to which the client is a party, and all actions taken by an Options Exchange Participant, by SEHK, by SECH or by HKSCC or by Saxo Capital Markets in accordance with such Rules shall be binding on you;

期權交易所參與者進行所有在交易所交易的期權業務，須根據適用於該期權交易所參與者的一切法例、規則和監管指示的規定（「該等規則」）而進行，當中包括聯交所的《期權交易規則》、聯交所期權結算所《期權結算規則》及香港中央結算有限公司（「中央結算公司」）的規則；而聯交所期權結算所根據該等規則獲賦權調整合約的條款，而該期權交易所參與者應通知其客戶任何影響該名客戶身為訂約一方的客戶合約的該等調整；以及該期權交易所參與者、聯交所、聯交所期權結算所或中央結算公司或盛寶金融根據該等規則採取的所有行動，均對該名客戶具有約束力；

Saxo Capital Markets will collect margin requirements and premium in accordance with the Rules;

盛寶金融將根據該等規則收取規定的保證金及期權金；

You agree that the terms of the Standard Contract for the relevant options series shall apply to each your Client Contract with Saxo Capital Markets, and that all Client Contracts shall be created, exercised, settled and discharged in accordance with the Rules;

閣下同意有關期權系列的標準合約的條款適用於盛寶金融與您之間訂立的每份客戶合約，而所有客戶合約須根據該等規則訂立、執行、交收和解除；

You agree to provide Saxo Capital Markets with cash and/or securities and/or other assets (“Margin”) as may be agreed from time to time, as security for your obligations to Saxo Capital Markets under the General Business Terms including this Agreement; such Margin should be paid or delivered as demanded by Saxo Capital Markets from time to time; and the amounts required by way of Margin should not be less than, but may exceed, the amounts as may be required by the Rules in respect of your open positions and delivery obligations, and further Margin may be required to reflect changes in market value;

閣下同意按不時的協定向盛寶金融提供現金及/或證券及/或其他資產（「保證金」），作為您根據一般交易條款包括本協議對盛寶金融所負責任的擔保；並且應按盛寶金融不時的要求支付或提交該等保證金；及要求以保證金形式提供的數額應不少於（但可超過）該等規則可能規定有關您的未平倉持倉及交付責任的數額，並可能因應市價變動要求更多保證金；

If Saxo Capital Markets accepts securities by way of Margin, you will on request provide Saxo Capital Markets with such authority as Saxo Capital Markets may require under the Rules to authorize Saxo Capital Markets to deliver such securities, directly or through an Options Exchange Participant, to SECH as SECH Collateral in respect of Exchange Traded Options Business resulting from your instructions to Saxo Capital Markets; and Saxo Capital Markets does not have any further authority from you to borrow or lend your securities or otherwise part with possession (except to you or on your instructions) of any of your securities for any other purpose;

若盛寶金融接受證券作為保證金，閣下將應要求給予盛寶金融該等規則可能規定盛寶金融須具有的授權，以授權盛寶金融直接或透過一名期權交易所參與者，交付該等證券予聯交所期權結算所，以作為聯交所期權結算所抵押品，從而進行由閣下給予盛寶金融的指示在交易所交易的期權業務；及盛寶金融並沒有獲得閣下任何其他授權，從而借入或借出閣下的證券或為任何其他目的以其他方式不再管有閣下的任何證券（但該等證券將給予閣下或得到閣下的指示的情況除外）；

You agree to indemnify Saxo Capital Markets, and Saxo Capital Markets' employees and agents, against all losses and expenses resulting from breach of your obligation under any provision of the General Business Terms and this Agreement, including costs reasonably incurred in collecting debts from you, and in closing your options account;

閣下同意賠償盛寶金融、盛寶金融的僱員及代理人所有因閣下違反一般交易條款及本協議規定閣下必須履行的責任而招致的損失及開支，包括因向閣下追收欠債及終止閣下的期權帳戶的合理費用；

PART 13 第 13 部份 | RISK DISCLOSURE 風險披露 (CON'T 續)

If you fail to comply with any of your obligations and/or to meet your liabilities under any provision of the General Business Terms and this Agreement, including failure to provide Margin, Saxo Capital Markets may:

若閣下未有根據一般交易條款及本協議履行本身的任何責任及/或償還閣下的任何債務，包括未有提供保證金，則盛寶金融可：

- a) decline to accept further instructions from you in respect of Exchange Traded Options Business;
拒絕接受閣下就在交易所交易的期權業務給予的進一步指示；
- b) close out some or all of your Client Contracts with Saxo Capital Markets;
將閣下與盛寶金融之間的部分或全部客戶合約平倉；
- c) enter into Contracts, or into transactions in securities, futures or commodities, in order to settle obligations arising or to hedge the risks to which Saxo Capital Markets is exposed in relation to your failure;
訂立合約或進行證券、期貨或商品的交易以履行所產生的責任或對沖盛寶金融因您未有履行責任而須承擔的風險；
- d) dispose of Margin, and apply the proceeds thereof to discharge your liabilities to the Saxo Capital Markets and any proceeds remaining after discharge of all your liabilities to Saxo Capital Markets should be paid to you;
處置保證金，並將該等處置所得收益清償閣下欠下盛寶金融的債務；及在閣下欠盛寶金融的一切債務清償後的任何收益餘款應付予閣下；

You agree to pay interest on all overdue balances (including interest arising after a judgment debt is obtained against you) at such rates and on such other terms as Saxo Capital Markets has notified to you from time to time;

閣下同意按盛寶金融不時通知閣下的息率及其他條款，支付一切未清償逾期欠款的利息（包括您被判定應償債項後所招致的利息）；

In respect of all Contracts effected on your instructions, you will pay Saxo Capital Markets, within the time period notified by Saxo Capital Markets, Premium, Saxo Capital Markets' commission and any other charges, and applicable levies imposed by SEHK, as have been notified to you; and Saxo Capital Markets may deduct such Premium, commissions, charges and levies from your options account;

就按照閣下的指示已執行的所有合約，閣下將在盛寶金融通知的期間內，付予盛寶金融閣下已獲通知的期權金、盛寶金融的佣金及任何其他費用以及聯交所規定適用的交易徵費；並且盛寶金融可從閣下的期權帳戶中扣除該等期權金、佣金、費用及交易徵費；

Saxo Capital Markets may place limits on the open positions or delivery obligations that you may have at any time;

盛寶金融可隨時就閣下的持有倉位或交付責任訂定限額；

You acknowledge that an Options Exchange Participant may be required to close out Client Contracts to comply with position limits imposed by SEHK; and if an Options Exchange Participant goes into default, the default procedures of SEHK may result in Client Contracts being closed out, or replaced by Client Contracts between Saxo Capital Markets and another Options Exchange Participant;

閣下確認期權交易所參與者可能須將客戶合約平倉以符合聯交所訂定的持倉限額；及若一名期權交易所參與者失責，聯交所的失責處理程序可能導致客戶合約被平倉，或由另一名期權交易所參與者與盛寶金融所訂立的客戶合約取代；

You acknowledge that, at a client's request of an Options Exchange Participant, the Options Exchange Participant may agree to the Client Contracts between itself and such client being replaced, in accordance with the Rules, by Client Contracts between such client and another Options Exchange Participant;

閣下確認如果一名期權交易所參與者的客戶提出要求，該期權交易所參與者可同意根據該等規則，以該名客戶與另一名期權交易所參與者訂立的客戶合約，取代該期權交易所參與者與該名客戶訂立的有關客戶合約；

On exercise of a Client Contract by or against you, you will perform your delivery obligations under the relevant contract, in accordance with the Standard Contract and as you have been notified by Saxo Capital Markets;

閣下行使客戶合約或該客戶合約被行使時，閣下將根據標準合約及按照閣下從盛寶金融所獲通知，履行閣下根據有關合約須承擔的交付責任；

You acknowledge that although all Options Contracts are to be executed on SEHK, you and the Options Exchange Participant shall contract as principals under Client Contracts;

閣下確認雖然所有期權合約均在聯交所被執行，閣下及期權交易所參與者在客戶合約中須以當事人身份訂立合約；

Saxo Capital Markets agrees to provide you, upon request, with the product specifications for Options Contracts.

盛寶金融同意應您的要求，提供有關期權合約的產品規格；

If an Options Exchange Participant fails to meet its obligations to its client pursuant to its Options Client Agreement with such client, the client shall have a right to claim under the Investor Compensation Fund established under the SFO, subject to the terms of the Investor Compensation Fund from time to time;

若一名期權交易所參與者未有根據期權客戶協議的規定履行對其客戶的責任，該名客戶有權向根據《證券及期貨條例》設立的有關投資者賠償基金索償，但須受到該投資者賠償基金不時制定的條款所規限；

Saxo Capital Markets will notify the client of material changes in respect of SCMHK's business which may affect the services Saxo Capital Markets provide to you;

若盛寶金融的業務出現重大變動，因而可能影響盛寶金融為閣下所提供的服務，盛寶金融將就此通知閣下；

You confirm that you have read and agree to the terms of the General Business Terms including this Agreement, which have been explained to you in a language that you prefers;

閣下確認閣下已詳細閱讀並同意一般交易條款包括本協議的條款，並已按閣下所選擇的語言向閣下加以闡釋；

The General Business Terms including this Agreement are governed by, and may be enforced in accordance with, the laws of the Special Administrative Region of Hong Kong.

一般交易條款包括本協議根據中華人民共和國香港特別行政區的法律管轄及執行。

PART 14 第 14 部份 | CUSTOMER CONSENT ON ELECTRONIC COMMUNICATIONS 客戶電子通訊同意協議

I / We, the undersigned customer, hereby consent to SCM HK to issue and deliver account statements and other account related communications, including but not limited to the account summaries, notices, contract notes, trade confirmation, margin call, product and/or software update by SCM HK to me/ us via electronic means, such as email to my designated email address stated herein part 1/part 3 of this Client Application Form and/or display on the trading platform whereof I/we can access, download and/or print out. I/we hereby request, instruct and authorize SCM HK to transmit, release and send all statements, notices, contract notes, trade confirmation, margin call and any other updates and communications (collectively called the "Account related document") SCM HK deemed appropriate to my/our designated email address or to display in the trading platform whereof I/we can access, download and/ or print out for my/ our own record.

本人 / 吾等，下款簽署的客戶，謹此同意盛寶金融編制及發放帳戶結單及其他有關帳戶通訊，包括但不限於盛寶金融發送的帳戶摘要，通知，合約，交易確認，追加保證金通知，產品及 / 或軟件的更新透過電子通訊發放到本人 / 吾等於本客戶申請表第一部份 / 第三部份上填寫的指定電郵地址及 / 或顯示於本人 / 吾等可以進入的交易平台並可下載及 / 或列印。本人 / 吾等謹此要求，指示及授權盛寶金融轉發，公開及發送所有帳戶結單，通知，合約，交易確認，追加保證金通知及盛寶金融認為有需要之任何其他更新及通訊（統一稱為「與帳戶有關文件」）至本人 / 吾等指定的電郵地址及 / 或顯示於本人 / 吾等可以進入的交易平台並可下載及 / 或列印作為本人 / 吾等的記錄。

I / We understand and agree that :

本人 / 吾等明白及同意：

- I / we undertake to notify SCM HK upon a change in the designated email address as soon as practicable;
本人 / 吾等保證當指定電子郵箱變更時，盡快於合理可行情況下通知盛寶金融；
- I / we will promptly review the Account Related Document upon receive the same by email transmission or review the same by accessing to the trading platform. I / we will notify SCM HK immediately if there is any error detected;
當本人 / 吾等以電郵或進入交易平台收到與帳戶有關文件時，將會盡快查閱。如發現任何誤差，本人 / 吾等將會盡快通知盛寶金融；
- the Account Related Document is display and available on the trading platform which is on a real time basis;
與帳戶有關文件在實時基礎上展於並可於交易平台上下載。
- the Account Related Document (as the case maybe) is downloadable in a printer-friendly format and it is my/our obligation to save an electronic copy in my/ our own computer storage or print a hard copy of the Account Related Document for future reference;
與帳戶有關文件（根據情況而定）可以打印機適合的格式下載，而且本人 / 吾等有責任於本人 / 吾等的電腦儲存一份副本，或列印一份印文本作將來參考；
- the Account Related Document will not be sent to me/us in physical copy unless upon my/our special request;
除非本人 / 吾等特別要求，與帳戶有關文件將不會以印文本形式發送給本人 / 吾等；
- SCM HK has the rights to send the Account Related Document to me/us via physical mail instead without prior notice nor consent should SCM HK receive a failure (at least twice) of delivering the message to me/us by electronic means.
當盛寶金融以電子方式連續兩次未能發送電子訊息傳送給本人 / 吾等，盛寶金融有權於毋須通知本人 / 吾等或得到本人 / 吾等同意的情況下，把與帳戶有關文件以印文本形式郵寄給本人 / 吾等。

PART 15 第 15 部份 | CONSENT ON THE USE OF PERSONAL DATA FOR DIRECT MARKETING SERVICES
使用個人資料作直接促銷服務同意書

Newsletters, trading ideas and client promotion services 通訊、交易意見及客戶優惠服務

As a client of Saxo Capital Markets HK Limited ("Saxo Capital Markets"), we seek to provide you with high quality and value added services from time to time. Your interest and benefit are of paramount to us. Therefore, we will send you our update of service and/or other promotional campaign and/or marketing communications, such as;

盛寶金融（香港）有限公司（「盛寶金融」）一直致力為客戶提供高質素及不斷進步的服務。我們十分重視閣下關注的事項及可獲得的優惠，因此，我們將向閣下發送我們服務的最新資訊及 / 或其他推廣及 / 或市場營銷資訊，包括：

- Market updates and Newsletters, such as Saxo research or Trading Central newsletters or technical analysis;
市場更新資訊及通訊，如盛寶金融的研究或 Trading Central 的通訊或技術分析、
- Product and industry updates;
產品及行業更新資訊、
- Surveys;
調查資訊、
- Invitation to themed trading and investment related seminars or training programs;
交易及與投資相關的講座或培訓課程的邀請、
- Invitation to client appreciation events, for example quarterly outlook by chief economist;
答謝客戶活動的邀請，如首席經濟分析師對季度展望的講座、

or other benefits (collectively "Marketing Communications") Saxo Capital Markets and/or its parent company and/or its affiliates offer to you in order to enhance your trading experience.

或由盛寶金融及 / 或其母公司及 / 或其聯屬公司為增加閣下的交易經驗而提供的其他優惠資訊（統稱「市場營銷」）。

Consent to use personal data 同意使用個人資料

Pursuant to Part VI A of the Personal Data (Privacy) (Amendment) Ordinance, we are required to obtain your consent to send you the above Marketing Communications so as to keep you inform the capability of Saxo Capital Markets and your benefit as a client of Saxo Capital Markets. Most of the Marketing Communications will be sent to your designated email address, however we may contact you via your telephone number or mail the physical copy to your residential address. All Marketing Communications are free of charge.

根據個人資料（私隱）條例新增的第 VI A 部份，我們必須獲得閣下的同意以向閣下發送以上的市場營銷資訊，並不時通知閣下有關盛寶金融服務的最新資訊及客戶專享的優惠。大部份的市場營銷資訊將透過電郵發送至閣下，然而，我們同時會透過電話方式通知閣下或將資訊郵遞至閣下的居住地址。閣下收取的市場營銷資訊無須支付任何費用。

No third parties 沒有第三者

Saxo Capital Markets will not outsource your personal data to any third party call center for direct marketing the product or service which is irrelevant to the service or product Saxo Capital Markets offers. Please also refer to our Notice to Customers relating to the Personal Data (Privacy) Ordinance and familiar yourself with the detail of the above matters.

盛寶金融不會將閣下的個人資料提供予任何第三者電話促銷商作直接促銷一些與盛寶金融無關的產品或服務。請詳細閱讀我們已向客戶發送的有關使用個人資料的重要通知及以上詳細資料。

Sign up and enjoy these services today 請即登記，專享此等服務

If you wish to receive these Marketing Communications, please tick the box below to indicate your acceptance for us to use your personal data for direct marketing purpose. Further, please sign this consent to express your agreement for us to use your name, telephone number, email address and residential address to send the Marketing Communications.

若閣下希望收到此等市場營銷資訊，請在以下空格加上「✓」，表示閣下同意我們使用閣下的個人資料作直接促銷，並在本同意書的最後簽署表示閣下同意我們使用閣下的姓名、電話號碼、電郵地址及居住地址以發送市場營銷資訊。

- ☐ Yes, I wish to receive all Marketing Communications (includes but not limited to: daily market research, market news, promotion campaigns and latest update offers by Saxo Capital Markets) from Saxo Capital Markets and I understand that when I no longer require this value added services from Saxo Capital Markets, I will notify Saxo Capital Markets in writing immediately.

本人希望收到由盛寶金融發送的所有市場營銷資訊（包括並不限於技術分析、每日市場新聞、推廣活動及盛寶金融的最新資訊）及明白如本人不再需要由盛寶金融提供的此等服務，本人將即時以書面形式通知盛寶金融。

PART 16 第 16 部份 | SIGNATURE 簽署

I/We declare by my/our signature(s) 本人 / 吾等謹此簽署並作出下列聲明：

- To have read, understood and agreed to the General Business Terms Documentation and all of its contents;
已閱讀、了解及同意一般交易條款文件的所有內容；
- To have received and understood the nature and content of the Risk Disclosure Statement;
已收悉及了解風險披露聲明的內容；
- That the General Business Terms documentation (including all risk disclosure statements therein), Market Conduct Information, the Commissions, Charges & Margin Schedule, Conflict of Interest Policy, Best Execution Policy and any other relevant terms and conditions (as amended from time to time).
了解及同意適用於本人 / 吾等與盛寶金融進行交易的 (不時修訂的) 一般交易條款及其他相關的條款及細則；
- To have read and understood the Pre-sale Disclosure of Monetary Benefit and Disclosure of Sale Related Information and the monetary benefit received by SCM HK is subject to change from time to time without prior notice.
閱讀及了解銷售前披露金錢收益及與披露銷售相關資訊及明白盛寶金融收取的金錢利益會不時變更並不會事先通知。
- To have received, read and understood the product information from SCM HK material relating to the relevant products;
已收悉、閱讀及了解與相關產品有重要關係的產品資料；
- To have received additional in-depth verbal information about the products and the inherent possibilities and risks if so requested; and
已收悉盛寶金融的員工向本人以口頭陳述就有關的產品所潛在的價格及風險作進一步解說。
- To have received satisfactory answers to all my/our questions regarding the terms, conditions and other issues relating to the relevant products.
已收悉就本人對相關產品的內容及條款或其他相關事項查詢的滿意答覆。
- That the General Business Terms documentation (including all risk disclosure statements therein), Market Conduct Information, the Commissions, Charges & Margin Schedule, Conflict of Interest Policy, Best Execution Policy and any other relevant terms and conditions (as amended from time to time) apply to my/our entire trading relationship with Saxo Capital Markets.
了解及同意適用於本人 / 吾等與盛寶金融進行交易的 (不時修訂的) 一般交易條款及其他相關的條款及細則適用於我/我們與盛寶金融的整個交易關係。
- That the FATCA and CRS status as declared above is accurate, complete and up to date, and I consent to Saxo Capital Markets reporting my information to the relevant local and foreign tax authorities.
我確認上述FATCA和CRS狀況是準確、完整和最新的，並同意盛寶金融向本地及國外稅務機關呈報我的資料。

Furthermore I/we confirm 本人進一步確認：

- That the information provided by me / us and inserted in this form is correct and complete;
所有由本人 / 吾等填寫及提供的資料均屬正確及完整；
- That I / we undertake to give Saxo Capital Markets notice in writing of any change in particulars given above and to submit relevant documentary proof to Saxo Capital Markets for any changes of the particulars given above;
本人 / 吾等保證如果上述填寫的資料有任何更改時，本人 / 吾等將以書面形式作出通知及向盛寶金融提供需要更新資料的相關證明文件；
- That the investment amount has been chosen by me / us taking my/our total financial circumstances into consideration and is by me/us considered reasonable under such circumstances;
上述的投資金額是由本人 / 吾等根據本人 / 吾等的整體財政狀況決定，並屬於本人 / 吾等根據該狀況認為合理的情況下作出的；
- That Saxo Capital Markets and its associated entities are entitled to send newsletters or other investment material to me / us by e-mail, sms or similar electronic messaging services, and that I / we must inform Saxo Capital Markets in writing or otherwise, if I/we do not wish to receive such material.
盛寶金融及其連營公司有權通過電郵、電話訊息或類似的電子訊息發送新聞信件或其他與投資有關的資料予本人 / 吾等，如果本人 / 吾等拒絕接收上述資訊，本人 / 吾等必須以書面通知盛寶金融。
- That I / we confirm that when we are a corporate, we are duly empowered to open and operate a trading account with Saxo Capital Markets.
本人 / 吾等確認本人 / 吾等如屬於公司客戶，吾等已取得適當的授權處理於盛寶金融開立的帳戶。
- That I / we have been invited to read the Risk Disclosure Statements herein carefully.
本人 / 吾等已仔細閱讀風險披露聲明。
- That I / we, acknowledge and accept the risk adhere of receiving the Communications via electronic means, including but not limited to the risks as set out in General Terms of Business and agree and undertake to hold Saxo Capital Markets harmless from and against any loss, damages, interests, costs, expense, actions, demands, claims or proceedings of whatsoever nature which I / we may incur, suffer and/or sustain as a result of the Company's provision of the Communications via electronic means.
本人 / 吾等確認及接受透過電子通訊接收該等通訊的風險，包括但不限於載於盛寶金融一般交易條款的風險，並同意及承諾免除盛寶金融透過電子服務提供的該等通訊而令本人 / 吾等產生、蒙受或承受任何損失、損害、利息、費用、開支、法律訴訟、申索或收費。

Declaration by Licensed Representative 持牌代表聲明： I have provided the General Business Term Document to the Client in a language of his/her/their choice (English or Chinese) either by physical delivery or by means of electronic communication and have invited the Client to read the document carefully, ask questions and take independent advice if he/ she/they wish(es). 本人已以印文本或電子形式向客戶提供一份由客戶選擇語言 (英文或中文) 的一般交易條款文件，及已邀請客戶仔細閱讀所有文件，並就該一般交易條款文件作出提問及索取獨立的意見 (如果客戶需要) 。

Signature of Applicant/ Authorised Officer of Applicant
申請人 / 授權人員簽署

Name 姓名：

Date 日期：

Referred by 介紹人 (If applicable 如適用)：

Referrer Account No. 介紹人帳戶：

Signature of Licensed Representative
持牌代表簽署

Name & CE No.

姓名及中央編號：

Date

日期：

Face-to-Face Meeting with Client 與客戶會面：☐ Yes 有 ☐ No 沒有

Approved by:
審核：

Signature of RO/ Management
負責人員/管理層簽署

Name & CE No.
姓名及中央編號

Signature of Operation Dept
營運部門簽署

Name
姓名

Saxo Capital Markets HK Limited (SCM HK) wishes to understand your investment needs and objectives and attitude towards risk. Please provide full and current information so that we can assess your understanding on leveraged/ derivatives products and whether it is appropriate and suitable for you to carry out self-directed trading of investment products via our Saxo Trading Platform. Any inaccurate or incomplete information provided by you may affect our assessment.

Please note that SCM HK does not provide investment recommendations or investment advice; all trading on our Trading Platform is on an execution-only basis. If our assessment is that our Trading Platform is not appropriate or suitable for you, we may not accept you as a customer.

Therefore, please fill out and duly signed by your authorized director for the trading account and submit the below questionnaire.

盛寶金融 (香港) 有限公司 (盛寶金融) 希望了解您的投資需要, 投資目標及對投資風險的態度。請提供有關閣下目前狀況的完整資料, 讓我們評估閣下對槓桿 / 衍生產品的了解及是否適合透過盛寶金融交易平台自行管理交易。任何閣下提供的不正確或不完整的資料可能會影響評估。

請注意, 盛寶金融沒有提供任何意見及投資建議, 所有在盛寶金融交易平台的交易僅在經客戶簽署同意的情况下才進行。如評估顯示平台不適合閣下, 本公司並不會接受閣下之客戶申請。

因此, 請由帳戶委託董事填寫, 簽署並提交以下有關交易帳戶的調查問卷。

PART 1 – RISK ASSESSMENT 第 1 部分 — 風險評估					
1.	Authorized director's education level 委託董事的最高教育程度		4.	Which of the following statement best describe your Company's source of funds? 以下哪項正確地陳述申請公司的資金來源?	
	<input type="checkbox"/> Primary or below 小學或以下	10		<input type="checkbox"/> We generate a stable revenue regularly 我們的收入穩定	50
	<input type="checkbox"/> Secondary / Marticated 中學 / 預科	20		<input type="checkbox"/> We generate revenue but it varies a lot from month to month 我們每月的收入並不穩定	40
	<input type="checkbox"/> Post Secondary 大專	30		<input type="checkbox"/> We generate revenue from our investment 我們的收入來自投資 (such as 如: _____)	30
	<input type="checkbox"/> Non-financial related Degree, Masters or above 非金融學相關學位, 碩士或以上	40		<input type="checkbox"/> We solely rely on shareholders' fund 我們的收入來自股東的資金	20
	<input type="checkbox"/> Financial Degree, Masters or relevant professional qualification 金融學學位, 碩士或相關專業資格	50			
2.	What is your Company's liquid net worth? (Assets – Liabilities, excluding real property) 申請公司的流通資產淨值是多少? (資產 – 負債, 不包括房地產)		5.	What is your Company's main investment objective now? 以下哪項是申請公司目前的主要投資目的?	
	<input type="checkbox"/> Below HK\$10 Million 港幣\$10,000,000 以下	10		<input type="checkbox"/> Capital preservation – We are keen to keep capital loss to a minimum and can only accept a very small loss of our capital. We understand capital appreciation and returns may be very limited due to the low-risk nature of the investments. 保本 - 公司熱衷於把資金損失減至最低及可接受很少的資金虧損。公司明白低風險的投資, 資金增長及回報可能十分有限。	10
	<input type="checkbox"/> HK\$ 10 Million to HK\$ 40 Million 港幣\$10,000,000 至 \$40,000,000 之間	20		<input type="checkbox"/> Yield enhancement - We can accept a small loss of capital and looking to achieve returns in line with or slightly higher than inflation. We accept that capital appreciation may be limited. 回報增長 - 公司可接受少額的資金虧損及尋求趕上或高於通漲的回報。公司接受資金增長可能有限。	20
	<input type="checkbox"/> Above HK \$40 Million 港幣\$40,000,000 或以上	50		<input type="checkbox"/> Growth and Income - We want a mix of capital appreciation and returns significantly higher than inflation. We can accept some fluctuations in the value of my investments and accept that our investments may fall moderately below their original value to achieve a higher return. 增長及收入 - 公司需要資金增長和回報比通漲顯著高的投資組合。公司可接受我的投資價值上的一些波動及公司的投資可能跌至比原有價值更低以獲取更高回報。	30
3.	In general, which of the scenarios below best describe your Company's risk tolerance level towards the investments? 總括而言, 以下哪一項最能形容公司對投資風險的承受程度?			<input type="checkbox"/> Strategic growth - We seek significant capital appreciation and can accept significant fluctuations in the value of our investments. 策略性增長 - 公司尋求顯著的回報及可以接受公司的投資價值較大幅的波動。	40
	<input type="checkbox"/> We are very uncomfortable with any loss, we can accept 0% loss - We sell immediately once the value of our investment drops. 任何虧損會令我感到憂慮, 公司能接受 0% 的投資損失。當公司的投資價值下跌的時候, 公司會盡快作賣出指令。	10		<input type="checkbox"/> Aggressive growth - We are comfortable with a high degree of risk and can accept large fluctuations in the value of our investments (including total loss of our capital). 進取增長 - 公司接受高風險的投資及公司的投資價值大幅度波動 (包括損失公司的全部資金)。	50
	<input type="checkbox"/> We are uncomfortable with volatility; we can accept limited risks for yield enhancement and look to achieve returns in line with or slightly higher than inflation. We can accept about 0% - 20% loss of our investment. 當市場不穩定時, 我感到憂慮。我可接受有限的風險以獲取更高回報, 我會選擇跟貼或較通漲回報略高的投資。我可接受 0% - 20% 的投資損失。	20			
	<input type="checkbox"/> We accept that the market can be volatile; we are willing to accept moderate risk for commensurate returns. We want a mix of capital appreciation and returns. We can accept about 20% - 40% loss of our investment. 增長及收入 - 公司需要資金增長和回報比通漲顯著高的投資組合。公司可接受我的投資價值上的一些波動及公司的投資可能跌至比原有價值更低以獲取更高回報。	30			
	<input type="checkbox"/> We can accept significant volatility; we can accept significant volatility for commensurate significant returns, we can also accept 40% - 70% loss of my investment. 公司接受市場大幅波動, 公司願意接受高風險以獲取如大幅度的回報, 公司可接受 40% - 70% 的投資損失。	40			
	<input type="checkbox"/> We can accept very high volatility in order to maximize the returns on investments. We can accept a high level of risk, including the 70% to total loss of our capital. 公司接受市場非常高的波動以最大程度地增加投資回報, 公司可接受高風險投資, 包括損失整筆資金的 70%。	50			

PART 2 – KNOWLEDGE AND EXPERIENCE ON INVESTMENT PRODUCT

第 2 部分 — 對投資產品的知識及經驗

(Please fill in the number of appropriate statement 請填寫最合適的陳述於空格內)

1. No knowledge and trading experience 缺乏投資知識及經驗
2. With some knowledge but no trading experience 具部分知識但缺乏投資經驗
3. With knowledge and less than 3 years trading experience 具豐富知識及少於3年的投資經驗
4. With knowledge and more than 3 years trading experience 具豐富知識及多於3年的投資經驗

1. Bond 債券	<input type="checkbox"/>	10	5. Foreign Exchange (FX Trading, spot and forward) 外匯 (現貨或遠期外匯投資)	<input type="checkbox"/>	40
2. Listed Stock / Exchange Traded Fund (ETFs) 上市股票 / 交易所買賣基金 (ETFs)	<input type="checkbox"/>	20	6. FX Options 外匯期權	<input type="checkbox"/>	50
3. Regulated Funds/Equity-linked Investment Product 受監管基金/ 股票掛鉤投資產品	<input type="checkbox"/>	30	7. Exchange Traded Options (ETOs) (Commodity Futures/Stock Index Futures/Interest Rate Futures/Currency Futures/Bond Futures) 期權合約 (ETOs) (商品期貨/ 股票指數期貨/ 利率期貨/ 外匯期貨/ 債券期貨)	<input type="checkbox"/>	50
4. Listed Futures Contract/Commodities 上市期貨合約/ 商品	<input type="checkbox"/>	30	8. Equity Options/Warrant 股票期權/ 認股權證	<input type="checkbox"/>	50

Remark 備註：

FOR OFFICIAL USE ONLY Client's investment risk level is
只供本公司填寫 客戶的投資風險水平是

<input type="checkbox"/> Secured 低風險型	Client prefers investment with no or very low price fluctuation aiming in capital preservation rather than receiving return. 客戶選擇沒有或價格變動非常低的投資，而客戶以保本而非獲取回報為投資目標。
<input type="checkbox"/> Conservative 保守型	Client is prepared to tolerate some fluctuation and volatility to his/her investment with limited negative price movements. Client expected to have the investment returns that keep up with the inflation. 客戶已準備客戶的投資出現價格有限度的不利變動。客戶預期投資回報能趕上通漲。
<input type="checkbox"/> Balanced 平衡型	Client can tolerate a higher level of price and value fluctuation and willing to invest on medium risky product in order to achieve higher and/ or regular returns. 客戶可承受較高水平的價格波動。客戶願意投資中等風險的產品以獲取更高及 / 或定期的回報。
<input type="checkbox"/> Aggressive 增值型	Client can tolerate a relatively higher level of price and value fluctuation and willing to invest on rather risky product that the liquidity level is low and/ or will be selling at a price which is uncertain in order to achieve a potential attractive returns. 客戶可承受較大幅度的價格和價值波動及願意投資資金流動水平低的較高風險產品及 / 或在不可確定的價格 作出沽售以獲取顯著的資金增長及 / 或理想的回報。
<input type="checkbox"/> Speculative 進取型	Client can tolerate a relatively higher level of price and value fluctuation and willing to invest on rather risky product that the liquidity level is low and/ or will be selling at a price which is uncertain in order to achieve a potential attractive returns. 客戶可承受非常高的價格和價值波動及願意投資資金流動水平低及 / 或損失所有投資資金 (多於投資金額) 以獲取最多回報。

RISK WARNING 風險警告

Investment involves risk. This questionnaire does not give you any information or recommendation on the suitability of any investment products or services. Any decision to invest is based solely on your own assessment of the financial product.

This questionnaire is not an offer, invitation, solicitation or recommendation to buy, sell or invest in any investment products. SCMHK is not liable for any analysis derived from the information provided. You should carefully consider whether trading in derivative/ leveraged products is appropriate for you in the light of your financial circumstances and investment objectives and experience. You should be aware that dealing in products that are highly leveraged carry significantly greater risk than non-leveraged investments such as share trading. You may sustain losses significantly in excess of the monies you initially invested and also in excess of the margin required to establish and maintain your leveraged positions. Margin calls may be made quickly or frequently, especially in times of high volatility, and if you cannot meet them, your positions may be closed out and any shortfall will be borne by you. Values may fluctuate significantly in times of high volatility or market/ economic uncertainty; such swings are even more significant if your positions are leveraged and may also adversely affect your position.

投資涉及風險。本問卷沒有向閣下提供任何對投資產品或服務的合適程度的任何資訊或意見。任何投資決定純屬閣下對金融產品的個人判斷。

本問卷並非要約，邀請，招攬或建議閣下購買，賣出或投資任何的投資產品。盛寶金融不承擔提供資訊的任何分析的責任。

閣下應仔細考慮在您的財務狀況下，交易衍生 / 槓桿產品是否適合您。閣下應了解高槓桿的產品比非槓桿投資如股份交易帶有更大的風險。因此，您可以同時巨額獲利及虧損。您的虧損可能超過您最初的存款及建立和維持買賣槓桿產品的倉位所需的保證金要求。補倉指令特別當大幅度波動的時候可能很快及經常被行使，及如閣下未能達到保證金要求，閣下持有之倉位可能被平倉及任何保證金不足之數額將由閣下承擔。

價值可能隨大幅度波動或市場 / 經濟不穩定性而大幅變動，如閣下持有的倉位有參與槓桿，這種波動更為顯著及相反地影響閣下的倉位。

CUSTOMER DECLARATION 客戶聲明

We / I, _____ on behalf of the Company, warrant that the information provided in this Customers Risk Profile is accurate and complete. I/We confirm that I/we fully understand and accept that this Customer Risk Profile is for the purpose of assessing whether it is appropriate or suitable for me to carry out self-directed trading of investment products via the Trading Platform (SaxoTrader and SaxoMobileTrader). I/We further confirm that this Customer Risk Profile is not intended to list out all factors and/ or issues which I/We should consider at the time of each investment and I/We shall not consider any part of it as a recommendation in relation to an investment or investment advice.

I/We also confirm that each transaction I/we placed via the Trading Platforms is based solely on our own analysis and is our sole decision.

本人 / 本公司 _____ 謹保證在本客戶風險評估填報的資料正確無訛。本人 / 本公司確認

完全了解及同意本客戶風險評估的目的為評估本人是否適合透過交易平台（例如下載平台及網上交易平台）自行管理投資產品交易。本人 / 本公司再一次確認本客戶風險評估的目的不是列明所有本人 / 本公司任何投資前應考慮的因素及 / 或問題及本人不應只視本評估任何一部分為與投資及投資意見有關的投資建議。

本人 / 本公司確定本人在交易平台建立的所有交易純屬根據個人分析及意願。

Signature of the Authorized Signatory 授權人仕簽字

Date 日期

Signature of the Authorized Signatory 授權人仕簽字

Date 日期

Signature of the Authorized Signatory 授權人仕簽字

Date 日期

Name of the Licensed Responsible and CE No. : 持牌代表姓名及持牌代表姓名 :	
Signature 簽署 :	Date 日期 :

Saxo ID 盛寶金融帳戶： _____

Required Documents 所需文件：	Method of delivery 提供途徑：
Copy of the Account Opening Form 開立帳戶表格副本	<input type="checkbox"/> Email 電郵
Customer Risk Profile 客戶風險評估	
General Business Terms 一般交易條款	<input type="checkbox"/> Face to face 會面
Best Execution Policy 最佳價格執行政策	
Conflict of Interest Policy 利益衝突政策	
Standard Settlement Instructions 常設入金指引	
Product Risk Categorisation 產品風險級別分類	<input type="checkbox"/> Email 電郵
Product Description 產品介紹	
Market Conduct Information 市場行為信息	
Others 其他： Please Specify 請詳細列明	

Additional Required Document for CFDs 為差價合約的申請的額外所需文件 (If applicable 如適用)：	
Copy of Additional Risk Disclosure 額外風險警告副本	<input type="checkbox"/> Face to face 會面 <input type="checkbox"/> Email 電郵
Copy of Declaration of Professional Investor Status Statement 專業投資者狀態聲明副本	
Investment Experience Assessment Form 投資經驗評估表格	

Trading Checklist 交易清單： Explained to client (To “✓”) 如已向客戶解釋，請在以下空格內加上「✓」號

Product 產品 (including applicable fees and charges 包括適用的費用和收費)	
Stocks / ETFs 股票 / 交易所買賣基金 <input type="checkbox"/>	Margin Calculation 保證金計算方法： Initial Margin Requirement = Trading Volume X Conversion Rate X Initial Margin % 初始保證金要求 = 交易單位 X 兌換率 X 初始保證金百分比 Maintenance Margin Requirement = Trading Volume X Conversion Rate X Maintenance Margin % 維持保證金要求 = 交易單位 X 兌換率 X 維持保證金百分比 <input type="checkbox"/>
Stock Options 股票期權 <input type="checkbox"/>	
Bonds 債券 <input type="checkbox"/>	
Forex 外匯 <input type="checkbox"/>	
FX All Inclusive 標準外匯點差 <input type="checkbox"/>	
FXVPP20 外匯20 <input type="checkbox"/>	
FXVPP30 外匯30 <input type="checkbox"/>	
FXVPP60 外匯60 <input type="checkbox"/>	
30 Swap Points 掉期率 (Overnight interest 過夜利息) <input type="checkbox"/>	
Forex Options 外匯期權 <input type="checkbox"/>	
Futures 期貨 <input type="checkbox"/>	
Exchange Traded Options (ETOs) 交易所買賣期權合約 <input type="checkbox"/>	

Trading conditions 交易條款	
<div>MARGIN CALL PROCEDURES Margin call notification will be sent only via email when margin utilization reaches 80%, 90%, 100% and 125% reminder. All margined positions will be closed with no reminder when margin utilization:<ul style="list-style-type: none">• Reaches 150% and/or• Over 100% for more than 47 hours.It is the client's responsibility to ensure that margin utilization in the Account remains below 100%, failing which Saxo Capital Markets may in its reasonable discretion reduce Client's exposure by closing one, several or all of the Client's Margin Trades or part of a Margin Trade and/or liquidate or sell securities or other property in the Client's Account, without assuming any responsibility towards the Client</div>	<input type="checkbox"/>
<div>追加保證金程序 如保證金佔用率達 80%、90%、100%、125% ，我們將只發出電郵提示。 若觸發以下情況，盛寶金融有權中止交易及強制平掉所有保證金不足的倉位而不另作通知： 當保證金佔用率 -<ul style="list-style-type: none">• 高達150% 及/或• 連續47小時超過100%客戶有責任確保帳戶的保證金佔用率維持在100%以下，否則盛寶金融可按其合理酌情權而將一個、多個或所有保證金倉位或其部份平倉 及/或清算或出售於客戶帳戶下的證券或其他資產，而毋須為該行動而向客戶承擔任何責任。</div>	<input type="checkbox"/>
<div>Your allocated Margin Ceiling Limit is HKD: 閣下預設的保證金上限為港元： _____</div>	<input type="checkbox"/>
<div>Conversion fees-a conversion fee of 0.5% is charged for all Forex conversions (Forex/Stocks) 兌換費－所有外匯兌換（外匯/ 股票）都需要收取0.5%的兌換費</div>	<input type="checkbox"/>
<div>Corporate Actions and Exchange Fees 企業行動及交易所費用</div>	<input type="checkbox"/>

Inactivity fee 帳戶閒置手續費： USD 100 美元	Stocks Transfer out fees 股票轉出費： EUR 50 per ISIN (Max. EUR 160) 每ISIN €50 (最多 €160)	Custody fee 存倉費： 0.12% per annum 年利率 0.12%	<input type="checkbox"/>
Definition of Net Free Equity 資產淨餘值定義			<input type="checkbox"/>
Account Interest 帳戶利息 (Negative Net Free Equity 負數資產淨值)			<input type="checkbox"/>
Interest calculation/margin requirement 利息計算/ 保證金要求 (Applicable if client has sub-account(s) 適用於有子帳戶的客戶)			<input type="checkbox"/>

Funding 匯款

Funding Methods: Account will not be credited until funds are credited to the client's segregated account
匯款方法：在記入客戶獨立信託帳戶前不會記入交易帳戶。

1. Withdrawal of funds should be done via the online trading platform. 提款申請（只接受銀行轉帳）應在網上交易平台完成。

2. Outgoing transfer fee is charged by the fund receiving bank. 收款銀行有可能收取的匯款費用。

3. Paper withdrawal will be charged HKD 300 per withdrawal. 以表格形式提款，每次提款都收取300港元。

4. No third party payment is accepted 不接受第三方匯款。

Additional Risk Disclosure Statements for CFDs 適用於差價合約的額外風險披露聲明

Additional Risk Disclosure 額外風險警告

Declaration of Professional Investor Status Statement 專業投資者狀態聲明

☐ Yes 是 ☐ No 否

☐ Yes 是 ☐ No 否

*Margin Ceiling imposes a predetermined limit on the margin collateral used for margin trading by each client and thereby the size and/or number of positions that a client can have in his/her account at any one time regardless of the margin collateral they may have in the account. In some circumstances, a situation may arise where a client may sustain losses from orders which are rejected when the resulting margin utilization from a requested trade will cause the margin requirement to exceed the allocated margin ceiling. Clients are made especially aware to observe such situations Saxo Capital Markets shall not be responsible for any losses resulting from the client's rejected trades. Clients are advised to make themselves familiar with their margin ceiling level and the possible situation described above. Clarifications can be sought by contacting your Account Executive. 保證金上限為每位客戶於保證金交易中可使用的保證金抵押的預設限額，藉此限制客戶於任何時間在其帳戶中的倉位大小及/或持倉數量，並不考慮客戶在其帳戶內可能持有的保證金抵押數量。在部分情況下，當客戶要求進行交易時，其保證金佔用比率將會導致保證金要求超過已設定的保證金上限，訂單將會被拒絕，客戶可能因此持續承受虧損。客戶應特別留意並觀察此等情況。盛寶金融不會為任何由客戶被拒的交易所引致的任何損失承擔責任。客戶應了解其保證金上限水平及以上列明可能發生的情況。閣下可聯絡帳戶經理了解詳細資料。

For the trading account with Saxo Capital Markets HK Limited, I am/we are acting as
本人/我們於盛寶金融(香港)有限公司開立的交易帳戶作為

- ☐ Principal and it is traded by myself/ ourselves. 帳戶持有人並且由本人/ 我們進行交易。
- ☐ Agent and trade for an on behalf of 代理人並且代表 _____ 進行交易。

I/We 本人/我們，_____ acknowledge, recognize and understand that the above ticked options have been explained by Saxo Capital Markets Sales Representative(s) in a language of my/our own choice (English/ Cantonese/ Mandarin) and I/We fully understand the information contained in the document and the verbal explanations provided by the Sales Representative(s) and have also received the relevant account opening documentation as stated above. 同意、了解和明白盛寶金融的銷售代表已經以本人/吾等之選擇語言（英文/ 廣東話/ 普通話）就以上已加上「✓」號之項目作出解釋以及本人/我們完全明白本文件所載的資料及銷售代表提供的口頭解釋以及收到以上所述設立戶口之相關文件。

Signature 簽署	Date 日期
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For Official Use:

Documents obtained from the client:

Is the client a potential PEP?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Is the client a Professional Investor?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Documents obtained from the client:			
Partnership Evaluation Document	<input type="checkbox"/>	ISDA Master Agreement and the Schedule	<input type="checkbox"/>
Saxo Capital Markets Institutional Trading Agreement OR Client Application Form		A certified transcript from the local Commerce and Companies Agency OR Certified Certificate of Incorporation	
A Copy of the Articles of Association (or the equivalent)	<input type="checkbox"/>	Company Search Report OR Certificate of Incumbency	<input type="checkbox"/>
Latest Audited Financial Statement	<input type="checkbox"/>	Proof of Identity of all Directors and authorized dealer	<input type="checkbox"/>
License	<input type="checkbox"/>	WLC agreement (For WLC)	<input type="checkbox"/>
Registration Sheet for WLC/ Institutional	<input type="checkbox"/>	A certified copy of Passport copy and Proof of residency for	<input type="checkbox"/>
Directors resolution on who can sign on the behalf of the corporate entity	<input type="checkbox"/>	1) One Directors 2) All Partners 3) All beneficial owners 4) All authorized signatories	
Name of the Sales Representative & SFC CE No.		Time of telephone recording confirmation of above with non face-to-face Client	
Signature		Date	
Remarks			

ROLLOVER CHARGES 過夜利息

If a client opens opposite positions in the same currency cross on the same account, such positions will cancel each other out. However, if such opposite positions are opened on different sub-accounts they will not cancel each other out.

如果客戶於同一帳戶內開立一個相反方向但相同貨幣的倉位，該倉位會互相抵銷。相反，若這放置在不同的子帳戶時，倉位則不被互相抵銷。

A spot trade that is not closed by the Client at the end of the trading day will be rolled over on a daily basis (i.e. "swapped" for a similar position expiring the next day). A spot trade being rolled over will incur a charge (the "tom-next rate").

凡客戶不能於交易日當天平倉的現貨交易將按日計算過夜利息（即：以相同的持倉交換至翌日到期）。被計算過夜利息的現貨交易會衍生費用（下稱「次營業日交割之隔夜拆放費用」）。

Please be aware that keeping opposite positions open on different sub-accounts will result in both positions being continuously rolled over (and thereby continuously being charged the "tom-next rate") until manually closed. The operation of sub-accounts may therefore result in additional costs for the Client.

請注意：於不同帳戶持有反向持倉將會導致所有持倉持續地計算過夜利息（及因此而導致持續產生「次營業日交割之隔夜拆放費用」）直至持倉被人手平倉為止，因此操作多個帳戶的可能導致客戶產生額外成本。

The example above regarding currency trading is applicable to other instruments as well if a Client holds long and short positions in such instruments on different sub-accounts.

如果客戶於不同帳戶就有關工具上持有長倉及空倉，以上適用於貨幣交易的例子同時適用於該等工具的交易。

INTEREST CALCULATION 利息計算

Interest is calculated on the basis of the net free equity on each sub-account. You will therefore be charged interest on the full negative net free equity on any sub-account despite having a positive net free equity on another sub-account. When operating several sub-accounts you may therefore be charged interest despite having an overall (accumulated) positive net free equity.

利息以每個帳戶或子帳戶的資產淨值作為計算基礎。因此，客戶將會就任何帳戶的負資產淨值繳付利息，即使另一個帳戶存在正資產淨值。即使，客戶的資產淨值為正數，操作多個帳戶時仍可能須繳付利息。

INTER-ACCOUNT TRANSFERS 於帳戶間轉帳

If a Client maintains multiple sub-accounts in the same or different currencies and requests Saxo Capital Markets to transfer funds between such accounts, Saxo Capital Markets shall not be liable for any loss arising from fluctuations in the exchange rates between the time of the Client's request and the time of execution of the transfer by Saxo Capital Markets.

客戶如果以相同幣值或不同幣值持有多個子帳戶或主帳戶及要求盛寶金融就此等帳戶之間的資金進行轉帳盛寶金融毋須為由客戶要求至盛寶金融進行資金轉撥之間的兌換率的波動所引致的損失承擔任何責任。

DEFICIT ON SUB ACCOUNTS 子帳戶逆差

If a Client operates multiple sub-accounts and a deficit arises on a specific sub-account regardless of there being overall coverage in the other accounts, Saxo Capital Markets may require the Client to cover the deficit by transferring funds from one account to the other account.

如果客戶操作多個子帳戶及於某一特定子帳戶中出現逆差，不論其他帳戶全面抵償的情況如何，盛寶金融可要求客戶通過由一個帳戶將資金轉撥至另一個帳戶以抵償逆差。

RISKS ASSOCIATED WITH OPERATING MULTIPLE ACCOUNTS

操作多個帳戶涉及的風險

When the Client has opened more than one account with Saxo Capital Markets, Saxo Capital Markets will treat such account(s) as entirely separate. However, Saxo Capital Markets may in its discretion use available funds in one account to discharge the liabilities incurred in respect of another account.

當客戶於盛寶金融開立多於一個帳戶時，盛寶金融將會視此等帳戶完全獨立。然而，盛寶金融可按其酌情權應用於某帳戶的可運用資金以償還另一帳戶的負債。

While operating multiple accounts with Saxo Capital Markets, the Client acknowledges that he is responsible and liable for all transactions entered into and the onus is on the Client to ensure that trades are placed through the correct account. This clause also covers all phone-in orders placed by the Client with Saxo Capital Markets. The Client also accepts responsibility for all charges (including currency conversion charges levied by Saxo Capital Markets) for trades executed. Such charges levied will not be refunded by Saxo Capital Markets even if the Client has by mistake executed the trade through the wrong account.

當客戶於盛寶金融開立多個帳戶時，客戶確認需對所有進行的交易承擔責任及客戶確保交易通過正確的帳戶進行。本條款涵蓋所有由客戶發出予盛寶金融的電話下單指令。客戶亦同意承擔進行交易的所有費用(包括由盛寶金融徵收的貨幣兌換費用)。此等費用徵收後即不可退還，即使客戶錯誤地以不正確帳戶進行交易。

At the Client's request, Saxo Capital Markets facilitates the opening of sub-account(s) denominated in the same or different currencies than the main trading account and for this purpose, Saxo Capital Markets requires the Client to submit the following information:

因應客戶之要求，盛寶金融可為客戶開立與主交易帳戶貨幣相同或其他貨幣的子帳戶，有見及此，盛寶金融要求客戶提交以下資料：

Client name: 客戶姓名
Saxo ID: 盛寶金融帳號
Number of Sub-Account(s) to existing Accounts: 附加子帳戶數目 _____
Currencies of the Additional account(s): 附加帳戶的貨幣 _____
For sub-accounts requested in the same currency as an existing account, kindly provide the reason below: 如開立與現有帳戶相同貨幣的子帳戶，請提供原因 _____ _____ _____

Based on the issues mentioned above, Saxo Capital Markets recommends its Clients to exercise caution when operating sub-accounts.

基於上述各盛寶金融建議客戶使用多個帳戶時務必謹慎行事。

I hereby acknowledge and accept that the use of sub-accounts carries risk and may result in additional costs and actions as mentioned above.

本人謹此確認及同意，使用多個帳戶時存在風險，並可能導致額外成本及行動。

This acknowledgment will apply to all existing and later sub-accounts in any currency opened by me.

本確認書將適用於所有現有及往後由本人開立任何貨幣的子帳戶。

Signature: 簽署	Date: 日期
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