

# HSBC Broking Securities (Asia) Limited

## 滙豐金融證券（亞洲）有限公司

### Customer Agreement (Individual/Joint Account)

### 客戶合約（個人／聯名戶口）

This Agreement is made on \_\_\_\_\_ day / \_\_\_\_\_ month / \_\_\_\_\_ year.  
本合約於 \_\_\_\_\_ 日 / \_\_\_\_\_ 月 / \_\_\_\_\_ 年訂立。

Between:  
由下列雙方簽訂：

(1) **HSBC Broking Securities (Asia) Limited** (CE number: ABX727) whose business address is situated at Level 25 HSBC Main Building, 1 Queen's Road Central, Hong Kong (hereinafter called "HSBC Broking Securities"); and  
滙豐金融證券（亞洲）有限公司（下稱「滙豐金融證券」）（中央編號 ABX727），其註冊辦事處設於香港皇后大道中 1 號香港上海滙豐銀行總行大廈 25 樓；及

(2) (Name) \_\_\_\_\_ of  
(姓名) \_\_\_\_\_  
(Address) \_\_\_\_\_  
(地址) \_\_\_\_\_

[(3) (Name) \_\_\_\_\_ of  
(姓名) \_\_\_\_\_  
(Address) \_\_\_\_\_  
(地址) \_\_\_\_\_  
\_\_\_\_\_]; and 及

(4) (Name) \_\_\_\_\_ of  
(姓名) \_\_\_\_\_  
(Address) \_\_\_\_\_  
(地址) \_\_\_\_\_  
\_\_\_\_\_ ]

[Note: delete as necessary] [注意：請刪去不適用者]

(the "Customer") (下稱「客戶」) particulars of which are provided in the Account Opening Form and Customer Information Statement ("CIS") which forms an integral part of this Agreement.  
其詳細資料列於開戶表格及客戶資料聲明書（下稱「聲明書」）中，該文件為本合約之重要部份。

Whereas:  
鑑於：

1. HSBC Broking Securities is a corporation licensed by the Securities and Futures Commission of Hong Kong to carry on business in dealing and advising in Securities and Options as defined in the Terms of Business referred to in Paragraph A below (including giving investment advice to clients relating to the sale and purchase of securities and issuing research reports and analyses on securities) (regulated activity Type 1 and regulated activity Type 4 as defined in the Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong)).

根據香港法例第 571 章《證券及期貨條例》定義說明，滙豐金融證券為獲香港證券及期貨事務監察委員會發牌進行根據「商業條款」定義下文 A 段說明的證券及期權交易並就此提供意見（包括向客戶提供有關買賣證券的投資意見及刊發研究報告和證券分析）（受規管活動第一類及受規管活動第四類）業務之公司。



2. The Customer wishes to enter into an agreement and open account(s) with HSBC Broking Securities in order to trade in Securities and Options as defined in the Terms of Business referred to in Paragraph A below.  
客戶希望與滙豐金融證券訂定協議並開立戶口以進行根據「商業條款」定義下文 A 段說明的證券及期權買賣。
3. Unless otherwise provided, in relation to trading in listed Securities and Options, HSBC Broking Securities shall be trading as AGENT with the Customer.  
除非另有說明，在進行上市證券及期權買賣時，滙豐金融證券將作為客戶的「代理人」進行交易。
4. In the case where the account is opened in the names of two or more individuals, each such individual wishes to enter into an agreement with HSBC Broking Securities in order to open joint account(s) for the purposes of Paragraph 2 above.  
在戶口以兩個或以上個人名義開設的情況下，該些個人每一位均希望與滙豐金融證券訂立合約以便按上文第 2 段之目的開設聯名戶口。

It is HEREBY agreed between HSBC Broking Securities and the Customer as follows:

滙豐金融證券與客戶茲達成協議如下：

- A. The Terms of Business which cover Securities and Options traded shall govern the business relationship between HSBC Broking Securities and the Customer. The relevant provisions in the Terms of Business are hereby incorporated into this Agreement by reference as if the same are set out in full herein and the same shall constitute an integral part of this Agreement. Unless the context otherwise requires, words and other rules of interpretation defined, used or set out in the Terms of Business have the same meanings and application in this Agreement. A copy of the Terms of Business has been given to the Customer, receipt of which is hereby acknowledged by the Customer.  
涉及證券及期權買賣之商業條款將規管滙豐金融證券與客戶之間的商業關係。商業條款的有關係文收納於本合約中，恰如全部相同條文在此列明以供參照，並構成本合約的重要部份。除非文義另有不同要求，否則商業條款所定義、使用或列明的文字及其他釋義的規則與本合約所採用的意思及應用方法相同。商業條款副本已送交客戶，並於此獲客戶確認收取。
- B. Unless otherwise stated in the Terms of Business, by signing this Agreement, the Customer acknowledges that the Customer has agreed to grant to HSBC Broking Securities the relevant standing authority in relation to the Customer's money and other relevant authorities as set out in the Terms of Business in order to effect and facilitate the trading of (i) Securities and Options, (ii) additional products and (iii) service(s) selected by the Customer.  
除非在商業條款中另有說明，否則簽署本合約即表示客戶確認其同意授權予滙豐金融證券與客戶資金有關的常設授權及在商業條款中列明的其他相關授權，以執行及促成買賣（i）證券及期權；（ii）額外產品；及（iii）客戶選取的服務。
- C. By signing this Agreement, the Customer confirms that the Customer has received and agrees to the terms of this Agreement, as amended and supplemented from time to time, which have been provided to the Customer in English and in Chinese language. The English text shall prevail in the event of any inconsistency between the English and Chinese texts.  
簽署本合約後，即表示客戶確認本合約的中英文本已提供給該客戶，而該客戶已獲得並同意本合約的條款（經不時修訂及補充）。中英文本如有任何歧義，須以英文本為準。
- D. By signing this Agreement, the Customer acknowledges that HSBC Broking Securities has provided to the Customer the risk disclosure statements attached to the Terms of Business as Schedule 1 and in the CIS in English and in Chinese language. The Customer has read and understood all the risk disclosure statements, and has accepted all the risks disclosed therein, in relation to Securities and Options traded and has been invited by HSBC Broking Securities to read the risk disclosure statements, ask questions and take independent advice if the Customer so wishes. The risk disclosure statements are hereby incorporated into this Agreement by reference as if the same are set out in full herein and the same shall constitute an integral part of this Agreement.  
簽署本合約後，即表示客戶確認滙豐金融證券已向客戶提供商業條款附表一及聲明書內中英文本的風險披露聲明。客戶已閱讀並理解所有風險披露聲明內容，並接受與證券及期權買賣有關的所有風險披露，並且已在滙豐金融證券邀請下閱讀風險披露聲明、提出問題及按客戶意願尋求獨立法律意見。風險披露聲明收納於本合約中，恰如全部相同條文在此列明以供參照，並構成本合約的重要部份。
- E. In addition to the Representations and Warranties contained in Clause C, 15 in the Main Terms of Business, the Customer hereby represents and warrants that HSBC Broking Securities has explained to the Customer and the Customer understands, acknowledges and agrees (where relevant) that:  
除載於主要商業條款第 C.15 條的聲明及保證外，客戶特此聲明及保證，滙豐金融證券已向客戶解釋而其亦明白、確認及同意（如相關）：

- a) the purchase and sale of Securities and Options and the purchase of Securities on Margin involves an element of risk, and the Customer may incur a loss of some or all of the monies it has invested, (and in the case of trading in derivatives, the Customer may incur a loss higher than the monies it has invested), and the Customer agrees that the Customer makes any such purchases or sales on that express basis and understanding;  
買賣證券及期權及以孖展形式買入證券均涉及風險元素，客戶可能蒙受其投資額的部份或全部損失（就買賣衍生工具而言，客戶可能蒙受較其投資金額更高的損失），且客戶同意，其按明確的基準及理解作出任何有關買賣；
- b) there are risks and the Customer may incur a loss of some or all of the monies invested, in leaving Securities in HSBC Broking Securities' custody, or in authorising HSBC Broking Securities to deposit Securities as collateral for loans and advances made to HSBC Broking Securities, or in authorising HSBC Broking Securities to deposit Securities with a third party custodian or in authorising HSBC Broking Securities to borrow or lend Securities;  
客戶將證券交予滙豐金融證券託管，或授權滙豐金融證券存放證券作為提供滙豐金融證券貸款及墊款的抵押品，或授權滙豐金融證券存放證券於第三方託管人，或授權滙豐金融證券借入或借出證券，均具風險及可能蒙受其投資額的部份或全部損失；
- c) risk disclosure statements have been provided to the Customer in English and in Chinese language, and further acknowledges the receipt of the risk disclosure statements attached in Schedule 1 of the Terms of Business in respect of:  
客戶已獲提供中英文本的風險披露聲明，並進一步確認收取商業條款附表一所載有關下列事項的風險披露聲明：
- disclosures by HSBC Broking Securities;  
滙豐金融證券的披露；
  - trading in securities;  
買賣證券；
  - trading in options;  
買賣期權；
  - trading in growth enterprise market;  
於創業板進行買賣；
  - margin trading;  
孖展買賣；
  - engaging in internet trading;  
進行網絡買賣；
  - trading in unlisted structured products;  
買賣非上市結構性產品；
  - providing authority to repledge securities collateral with respect to dealing in exchange listed options;  
就買賣交易所上市期權授權轉押證券抵押品；
  - trading in derivative products;  
買賣衍生產品；
  - trading in leveraged and inverse products;  
買賣槓桿及反向產品；
  - Exchange Traded Options;  
交易所買賣期權；
  - Investment in Taiwan Market;  
於台灣市場進行投資；
  - China Connect Services;  
中華通服務；
  - directing mail to third parties;  
向第三方轉發郵件；
  - trading in Nasdaq-Amex Securities;  
買賣納斯達克－美國證券交易所證券；
  - giving faxed instructions; and  
發出傳真指示；及
  - customer's assets received or held outside Hong Kong.  
在香港以外地區接受或持有客戶的資產。

- d) the Customer has been invited by HSBC Broking Securities to read the risk disclosure statements, and the Customer has read and understood the risk disclosure statements, has accepted all the risks disclosed and has had the opportunity to ask questions and take independent advice; and  
客戶已在滙豐金融證券邀請下閱讀風險披露聲明，且已閱讀並理解風險披露聲明內容，並接受所有風險披露及擁有機會提出問題及尋求獨立法律意見；及
- e) in relation to debt securities and unlisted structured products, HSBC Broking Securities or any of its Affiliated Companies may act as principal in buying debt securities and unlisted structured products from the Customer or selling debt securities and unlisted structured products to the Customer and the Customer consents to HSBC Broking Securities or any of its Affiliated Companies so doing.  
就債務證券及非上市結構性產品而言，滙豐金融證券或任何其聯營公司可作為主事人向客戶買賣債務證券及非上市結構性產品，而客戶亦同意滙豐金融證券或任何其聯營公司進行有關買賣。
- F. The contents of the Agreement have been fully explained to the Customer in a language with which the Customer is fully conversant, and the Customer fully accepts and agrees to be bound by all of the terms and conditions contained in the Agreement.  
客戶獲以其精通的語言全面解釋合約內容，客戶亦完全接受及同意受到合約的所有條款及條件約束。
- G. In the case where the account is opened in the names of two or more individuals, the Customers hereby confirm expressly that the joint account(s) shall be operated as a joint tenants account.  
在戶口以兩個或以上個人名義開設的情況下，客戶特此確認該（些）聯名戶口將以聯權共有形式運作。
- H. Each of HSBC Broking Securities and the Customer undertakes to promptly notify the other of any material change in his name, address and, in the case of HSBC Broking Securities, any material change to the matters set out in Clause C, 18 of the Terms of Business.  
滙豐金融證券及客戶雙方均有責任迅速通知對方有關其名稱及地址的任何更改，而滙豐金融證券則須迅速通知客戶有關商業條款第 C.18 條所載其持牌狀況的任何更改。
- I. The validity, construction, interpretation and enforcement of this Agreement shall be governed by the Laws of Hong Kong. Any dispute or claim arising out of this Agreement shall be settled by arbitration or in a court of competent jurisdiction in accordance with the Terms of Business as agreed by the parties hereto.  
本合約的效力、推定、釋義及執行將由香港法律規管。雙方在此同意，由本合約引起的任何糾紛或索賠將按商業條款說明以仲裁方式或在有司法管轄權的法院內解決。

IN WITNESS whereof this Agreement is duly executed on the date above written.  
為此，本合約於上文所書日期正式簽署，以茲證明。

Signed by (Name) \_\_\_\_\_ )  
滙豐金融證券授權簽署人〔填入姓名〕

For and on behalf of  
代表

**HSBC Broking Securities (Asia) Limited**  
滙豐金融證券（亞洲）有限公司

in the presence of (Witness name) \_\_\_\_\_ )  
見證人〔填入姓名〕

\_\_\_\_\_  
Signature of authorised signatory  
授權簽署人簽署

Date:  
日期：

\_\_\_\_\_  
Signature of witness  
見證人簽署

Signed by (Customer name) \_\_\_\_\_ )  
客戶簽署〔填入姓名〕

in the presence of (Witness name) \_\_\_\_\_ )  
見證人〔填入姓名〕

**X**  
\_\_\_\_\_  
Signature of Customer  
客戶簽署

Date:  
日期：

\_\_\_\_\_  
Signature of witness  
見證人簽署

**Additional signature required for joint tenants account:**

**聯權共有人戶口須其他客戶簽署：**

Signed by (**Additional name**) \_\_\_\_\_ )

其他客戶簽署〔填入姓名〕

in the presence of (*Witness name*) \_\_\_\_\_ )

見證人〔填入姓名〕

**X**

\_\_\_\_\_  
Signature of Customer

客戶簽署

Date:

日期：

\_\_\_\_\_  
Signature of witness

見證人簽署

**Additional signature required for joint tenants account:**

**聯權共有人戶口須其他客戶簽署：**

Signed by (**Additional name**) \_\_\_\_\_ )

其他客戶簽署〔填入姓名〕

in the presence of (*Witness name*) \_\_\_\_\_ )

見證人〔填入姓名〕

**X**

\_\_\_\_\_  
Signature of Customer

客戶簽署

Date:

日期：

\_\_\_\_\_  
Signature of witness

見證人簽署

**DECLARATION BY TRADING ADVISOR**

**交易顧問聲明**

I, \_\_\_\_\_ (Name) (CE number \_\_\_\_\_ ) on behalf of HSBC Broking Securities hereby, confirm the following:

本人 \_\_\_\_\_ (姓名) (中央編號 \_\_\_\_\_) 在此代表滙豐金融證券確認以下事項：

1. I have provided the risk disclosure statements referred to in Paragraph D above to the Customer in English and in Chinese language, or (where the account opening was not face-to-face) I have arranged to send the Customer the relevant documents, including the risk disclosure statements, by way of a cover letter in our prescribed form; and  
本人已向客戶提供上文 D 段所述的中英文本之風險披露聲明，或（客戶未能親身開戶），本人已安排隨函郵寄相關開戶文件給客戶；及
2. I have invited the Customer to read, ask questions and take independent advice on the risk disclosure statements, Account Opening Form and Customer Information Statement, the CRPQ, the relevant Customer Agreement(s), Terms of Business and any related supplementary documents.  
本人已邀請客戶閱讀、並就風險披露聲明、開戶表格及客戶資料聲明書、客戶風險取向問卷、相關開戶合約、商業條款及任何有關補充文件提出問題及尋求獨立意見。

\_\_\_\_\_  
Trading Advisor's Signature

交易顧問簽署

Date:

日期：

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