

Risk Disclosure Statement

Account Number: _____

Investment involves risk. There is no assurance that an investment will achieve its investment objective and past performance is not necessarily a guide to future returns. An investment may be affected by any changes in exchange control, tax laws, political developments, economic environments and government monetary policies. The value of investments and income derived therefrom may fall as well as rise and Clients may not recoup the initial investment of the [Securities/Futures/Discretionary Management] Account unless it is a capital guaranteed investment. The Account should be regarded as a [Short Term/Medium Term/Medium to Long-Term/Long-Term/Capital Appreciation/Dividend Yield/Hedging/SpeculationOthers: _____] investment.

Declaration by licensed representative

I, _____ with CE No. _____ with SFC, confirm that I have fully explained the contents of this Questionnaire which includes the risk disclosure statement in a language of Client’s choice to the Client and invited him/them to read the risk disclosure statement, ask questions and take independent advice if he wishes /they wish.

Signature: _____

Name: _____

Date: _____

(dd/mm/yyyy)

Acknowledgement by Client

I/We confirm that the risk disclosure statement above is provided to me/us in a language of my/our choice and I am / we are invited to read these risk disclosure statements, to ask questions and take independent advice if I/we wish.

Signature: _____

Name: _____

Date: _____

(dd/mm/yyyy)

風險披露聲明

帳戶號碼: _____

投資涉及風險。現時並無保證確保投資能達到其投資目的，過去表現並非必然是將來回報的指引。投資能被外匯管制、稅務法律、政治發展、經濟環境及政府貨幣政策之改變所影響投資項目之價值及收益能跌亦能升，除非是保本投資，客戶未必能收回投資金額。本[證券/期貨/全權委託]帳戶應被當作[短線/中線/中至長線/長線/資本增值/股息回報/對沖/投機/其他: _____]投資。

持牌代表聲明

本人_____，在證監會中央編號為_____，確認經已將此問卷內容包括風險披露聲明以客戶所選擇之語言清楚解釋予客戶，邀請其閱讀風險披露聲明、提出問題及尋求獨立之意見(如客戶有此意願)。

簽署: _____

姓名: _____

日期: _____

(日/月/年)

客戶確認

本人/我們確認已按所選擇之語言獲提供上述風險披露聲明，獲邀請閱讀風險披露聲明，提出問題及尋求獨立之意見(如本人/我們有此意願)。

簽署: _____

姓名: _____

日期: _____

(日/月/年)