



ASA Securities Limited 富國證券有限公司
Account Application Form 開戶申請表
Electronic Trading Services Subscription Form 電子交易服務申請表

Website 網址: www.asasec.com

The Customer, the undersigned, hereby requests ASA Securities Limited to provide the electronic Securities and Futures Contracts Trading Services/Trading account ("Electronic Trading Services").

客戶,下列簽署者現向富國證券有限公司申請電子證券及期貨合約交易服務/交易帳戶「電子交易服務」。

Name of Client 客戶姓名: _____ (English 英文) _____ (Chinese 中文)

Account No. 帳號: _____ Contact No. 聯絡電話: _____

I/We have read, understood, agreed and accepted the terms and disclaimers of Electronic Trading Services, (including but not limited to the risks) as set out in Chapter 3 of the Terms and Conditions and the below Highlighted Terms of Electronic Trading Services. I/We hereby agree and accept all the terms of Electronic Trading Services.

Highlighted Terms of Electronic Trading Services:

- (1) To protect your interest, please avoid using computer shares with others to log-in Electronic Trading Services. If you cannot avoid this, we recommend that you should log-out Electronic Trading Services from internet and close the browser after you have finished Electronic Trading Services session.
- (2) Please do not publicize your Login ID and password. Please also change your password frequently.
- (3) Please do not leave your computer when you are using.
- (4) Please do not disclose your Login ID and password to third parties.
- (5) If you wish to record the password in any manner, please carefully arrange for the proper manner of record and do not allow third party to easily identify the relevant numbers as your password.
- (6) Please do not change your password to such numbers that are relating to your personal data such as your telephone number or ID card number.
- (7) After having dealt with transactions through Electronic Trading Services, please remember to log-out Electronic Trading Services before you access to other website(s).
- (8) After you have successfully sent out the buy, sell or cancel order, the system will display the order in the completed/pending completion column to show that the relevant order has been received by us. However, this does not mean that your order has been successfully executed in the market. You should access to 「Order Status」field to inquire the latest status of the order.
- (9) Electronic Trading Services only accepts the orders for purchase and sale of shares listed in Hong Kong and denominated in Hong Kong dollars. If you wish to purchase or sell odd lot shares, please visit our office or call the responsible Account Executive or call the dealing hotline to process the relevant transactions.
- (10) Under normal circumstances, when an order has been given through the internet, our Company will provide the order status in the completion column to confirm the receipt of such order. If there is breakdown in your computer or disconnection of the internet linkage in the course of the processing of the order and you are uncertain as to whether the order has been duly completed, you may visit our office or call your responsible Account Executive to enquire the status of the order.

Disclaimers:

Our Company and its employee shall have no responsibilities or liabilities for the completeness, accuracy and validity of the contents of any documents or instructions relating to securities and futures contracts services issued by third party(ies) to our Company. Any indication of investment shall not constitute any recommendation for the purchase and/or sale of securities and futures contracts. The customers shall conduct their own independent assessment and research on the contents of those documents or instruments. The securities prices for securities services are provided by the Stock Exchange of Hong Kong and the futures contracts prices for futures contracts services are provided by the Hong Kong Futures Exchange and other information provider(s) as selected by our Company. Whilst our Company and the Stock Exchange of Hong Kong and the Hong Kong Futures Exchange and the other information provider(s) do not guarantee the accuracy and reliability of such information and shall not be responsible for any losses suffered by the customers as a result of inaccuracy and incompleteness of the information.

Risk Disclosure Statement:

The prices of securities and futures contracts fluctuate, sometime dramatically. Both of the prices may move up or down, and may become valueless. It is as likely that losses will be incurred rather than the profit made as a result of buying and selling securities and futures contracts. The customer should understand the risks of investment in stock market before they make investment decisions. The customer shall also assess their abilities and willingness in assuming such risks. The customers are also advised to seek the independent financial advice if they wish.

本人/吾等 已詳閱、明白、同意及接受電子交易服務之條款和免責聲明及包括但不限於本載於條款及細則內第三章所列之風險及以下電子交易服務重要條款，並已考慮所有有關風險。本人/吾等 承認並接受全部條款之下使用電子交易服務。

電子交易服務重要條款

- (1) 為保障閣下的利益，請盡量不要與他人共用一台電腦使用電子交易服務，若有需要，本公司建議閣下在使用完畢後，謹記登出電子交易服務及完全退出瀏覽器。
- (2) 請勿公開閣下的帳戶登入名稱及密碼，並請經常更改閣下的密碼。
- (3) 請勿在使用服務途中離開閣下的電腦。
- (4) 請勿將登入名稱及密碼告知他人。
- (5) 若閣下需要以任何形式記錄密碼，請小心安排記錄方式，不要讓第三者容易知悉有關數字乃閣下的密碼。
- (6) 請勿將密碼更改為與閣下個人資料有關的號碼，例如閣下的電話號碼或身份證號碼。
- (7) 在完成所有需處理的交易後，請緊記先行登出電子交易服務，然後才瀏覽其他網頁。
- (8) 在成功發出買、賣或取消交易指示後，系統會顯示有關指示在「待成交/處理中」欄內，表示有關交易指示被本公司接納，但不表示該交易指示在市場被成功執行，閣下需進入「交易已成指示狀態欄」查詢該指示的最新處理情況。
- (9) 「電子交易服務」只接受在本港上市及以港元結算的證券進行買賣。若閣下打算買賣碎股，請親臨本公司、致電閣下客戶服務主任或致電落盤熱線，辦理有關交易。
- (10) 在正常情況下，每項經網上發出的交易指示，在指示完成後，有關交易指示會在完成欄內顯示，以確定交易已經被接納。若在處理指示途中，閣下的電腦出現故障，或互聯網絡線中斷，以致未能確定交易是否已經完成，閣下可親臨本公司或致電客戶服務主任，查詢有關交易。

免責聲明:

本公司及其員工對提供或轉發其他機構所提供任何證券及期貨合約及其他推介資料，有關內容完整、準確及有效性不作任何形式的保證。任何投資取向亦不構成任何買賣建議，閣下應進行獨立的評估及適當的研究，以對內容加以參考取捨。而證券及期貨合約服務提供之證券價格資料是由香港聯合交易所、香港期貨交易所及其他由本公司選擇的資訊供應商提供。儘管本公司與香港聯合交易所、香港期貨交易所及其他由本公司選擇的資訊供應商會盡力確保所提供的資料的準確性及可靠性，本公司與香港聯合交易所、香港期貨交易所及其他由本公司選擇的資訊供應商並不保證資料的準確性及可靠性，亦不會承擔任何由於資料的不準確或不全而令閣下蒙受損失的責任。

風險聲明:

證券及期貨合約價格有時可能會非常波動，兩者價格皆可升可跌，甚至變成毫無價值。買賣證券及期貨合約未必一定能夠賺取利潤，反而可能會招致損失，閣下在作出任何投資決定之前，應須明瞭證券及期貨市場的風險情況，自行評估本身承受風險的意願及能力，不防徵詢獨立財務的意見。

Signature of Client 客戶簽署: _____



Date 日期: _____

(Please use specimen signature per our company's record) (請用留存於本公司開立帳戶之簽名)

(Please complete the Subscription Form, and send the original to the account executive for processing)

(敬請客戶簽署本申請表後，將原件郵遞或交付客戶經理為妥)

For Internal Use Only 內部使用	
A.E. Name 客戶經理姓名:	Operator / Verified & Date 系統輸入/覆核及日期:
A.E.'s Signature & Date 客戶經理簽名及日期:	Approved & Date 批准簽名及日期:

FOR INTERNAL USE ONLY 內部專用

<input type="checkbox"/> Cash A/C 現金帳戶	<input type="checkbox"/> Futures A/C 期貨帳戶	<input type="checkbox"/> Internet Trading 網上交易
A/C introduced by/ Date 介紹人/ 日期 :		
A/E code 經紀號碼 :	Brokerage 佣金 :	Interest Rate 息率 :
Cash Trade Limit 現金買賣限額 :		
Single Transaction Limit 單項交易限額 :		Accumulate Trading Limit 累積交易限額 :
Document Control/ Date (remarks) 文件覆核 / 日期 (附註) :		Additional Information 其他資料 :
Approved/ Date (remarks) 批准/ 日期 (附註) :		
Input/ Date 輸入/ 日期 :		Checked/ Date 覆核/ 日期 :