

## 環球股票子賬戶開戶表格 Global Securities Sub-Account Opening Form

主賬戶號碼 Master Account Number : \_\_\_\_\_

客戶名稱 Client Name : \_\_\_\_\_

本人/吾等擁有人身份確定開立以下子賬戶作為個人投資分類用途：

I/we are the beneficial owners to open below sub-account(s) for investment purpose :

環球股票子賬戶類型 Global Securities sub-account type	賬戶號碼 Account No.
<input type="checkbox"/> SIPC 子賬戶 SIPC sub-account	MP
<input type="checkbox"/> 環球密密 Trade 子賬戶 Global Securities Frequent Trade sub-account	MQ

### 環球股票子賬戶條款及細則 Terms and Conditions of Global Securities Sub-Account

1. 環球股票子賬戶不適用於所有企業及機構投資者客戶及隸屬經紀之客戶。

Global Securities sub-accounts are not applicable to all corporate and institutional investors, clients affiliated with Account Executive (AE).

2. 「SIPC子賬戶」的所有美股交易指示均會由具備Securities Investor Protection Corporation ("SIPC")成員資格的美國證券經紀商負責執行。

All U.S. securities transactions of "SIPC Sub-account" are executed by U.S. brokerage firm that is a member of Securities Investor Protection Corporation ("SIPC").

3. 「SIPC子賬戶」的資產會寄存於具備SIPC成員資格並具託管功能的美國證券經紀商的綜合賬戶內。如該美國證券經紀商為「不得持有客戶資產」的「介紹經紀」，則「SIPC子賬戶」的資產將寄存於具備SIPC成員資格的指定美國結算公司的綜合賬戶內。該指定的美國結算公司向倫敦保險公司投保「SIPC額外保險」，提供額外保障。損失如超過SIPC上限，即可動用「SIPC額外保險」。

The assets of "SIPC sub-account" are held in aggregate in an omnibus account at the custody function of the SIPC-member U.S. brokerage firm. If a SIPC-member U.S. brokerage firm acts as an introducing broker which is not permitted by law to hold any client monies or securities, the assets of "SIPC sub-account" are held in aggregate in an omnibus account at the designated SIPC-member U.S. clearing firm. The designated U.S. clearing firm has purchased an additional insurance policy (i.e. "excess SIPC insurance") from London insurer(s). This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted.

4. 為SIPC成員的美國證券經紀商，其成員的證券客戶提供最高50萬美元的索賠(包括25萬美元現金索賠)。

U.S. brokerage firm is a member of the SIPC, which protects securities clients of its members up to USD500,000 (including USD250,000 for claims for cash).

5. 非所有投資者及所有損失都受到SIPC的保護。因此，建議閣下瀏覽SIPC網站www.sipc.com，並仔細閱讀SIPC說明手冊，以了解所提供保護的限制。

Not every investor, and not every loss, is protected by SIPC. Read the explanatory brochure carefully to learn about the limits of protection. Explanatory brochure is available on request at www.sipc.com.

6. 「SIPC子賬戶」的美股交易收費較「環球密密Trade子賬戶」及「環球股票主賬戶」為高，客戶可自行考量申請「SIPC子賬戶」與否。欲了解更多有關美股佣金及其他服務收費，詳情請瀏覽<https://www.chiefgroup.com.hk/hk/securities/us-stock>。

The "SIPC sub-account" charges differently from those charges and fees of US stocks for "Global Securities Frequent Trade sub-account" and "Global Securities master account". Clients can consider whether to apply for "SIPC sub-account". For more details about charges and fees of US stocks and other services, please visit <https://www.chiefgroup.com.hk/en/securities/us-stock>.

7. 每一個子賬戶均獨立操作，並受證券賬戶的條款及細則約束。證券保證金融資服務及月供美股計劃均不適用於「SIPC子賬戶」，而「SIPC子賬戶」的限制概不附加於或影響主賬戶的任何操作。

Each sub-account should be operated independently and shall be subject to the securities account's terms and conditions. Securities margin financing service and Monthly US Stocks Investment Plan are not applicable to "SIPC sub-account" but the restrictions will not be added to or affect any operation of the master account.

8. 「環球密密Trade子賬戶」的資產不受SIPC保障。「環球密密Trade子賬戶」的美股交易收費較「SIPC子賬戶」及「環球股票主賬戶」為低，客戶可自行考量申請「環球密密Trade子賬戶」與否。

The assets of "Global Securities Frequent Trade sub-account" are not protected by SIPC. The "Global Securities Frequent Trade sub-account" charges differently from those charges and fees of US stocks for "SIPC sub-account" and "Global Securities master account". Clients can consider whether to apply for "Global Securities Frequent Trade sub-account".

9. 每一個子賬戶均獨立操作，並受證券賬戶的條款及細則約束。月供美股計劃均不適用於「環球密密Trade子賬戶」，而「環球密密Trade子賬戶」的限制概不附加於或影響主賬戶的任何操作。

Each sub-account should be operated independently and shall be subject to the securities account's terms and conditions. Monthly US Stocks Investment Plan is not applicable to "Global Securities Frequent Trade sub-account" but the restrictions will not be added to or affect any operation of the master account.

10. 除指定項目外，致富將按個別子賬戶以致富現行收費表計算有關證券交易的費用(包括但不限於服務收費、經紀佣金及稅項)。

Except for the specified item, Chief will calculate the securities transactions charges for individual sub-account based on the existing fees and charges listed in the Charge Table of Chief for each sub-account (including but not limited to services fee, brokerage fee and taxes).

11. 子賬戶處理代理人服務及企業行動按正常收費及需作獨立處理。

The nominee services and corporate actions of sub-account should be handled independently and charged normally.

12. 如客戶取消子賬戶，客戶可將子賬戶的證券轉移到主賬戶

If clients terminate sub-account, they can transfer the securities from sub-account to master account.

13. 客戶在選用本服務期間須持續持有有效的主證券賬戶。如主證券賬戶不論因任何原因被終止或取消，所有子賬戶在毋須通知情況下即被自動終止或取消。

Clients should still maintain the master account during the entire period of this services. In the event of cancellation or termination of the master account for any reasons, Chief will have the right to cancel or terminate the sub account(s) at any time without prior notice.

14. 致富保留隨時更改、暫停或取消本服務以及修訂其條款及細則的酌情權而毋須事先通知。

Chief reserves the right to amend, suspend or terminate this service and to amend the relevant terms and conditions at any time at its sole discretion without prior notice.

15. 如有任何爭議，致富保留最終決定權。

In case of any dispute(s), the decision of Chief shall be final.

以上提供之資料及內容僅供參考，並不構成任何交易、招攬、邀請或要約。投資附帶風險，投資者需注意投資項目之價值可升亦可跌，而過往之表現亦不一定反映未來之表現。金融產品買賣的虧損風險可以十分重大；因此，閣下必須仔細考慮並評估產品涉及之風險，或諮詢專業顧問，鑑於自己的財務狀況及投資目標，以確保投資決定適合個人財務狀況及風險承受水平。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》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。致富在法律上均不負責任何人因使用本文資料而蒙受的任何直接或間接損失。

The above information and content shall be provided for reference only, and does not constitute any transaction, solicitation, invitation or offer. Investment of whatever kind involves risks. Investors should note that the value of an investment may rise or fall, and past performance do not indicate future performance. The risk of loss in trading in financial products can be significant; you must carefully consider and assess the risks involved in the product or consult a professional advisor to ensure that your investment decisions are appropriate to your financial situation and risk tolerance level, taking into account your financial circumstances and investment objectives. 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 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. Chief expressly disclaims any responsibility or legal liability for any claim for any loss (whether direct or indirect) from the use of the above information.

#### 客戶確認及簽署

本人/吾等已仔細閱讀、完全理解並同意接受及遵守「環球股票子賬戶」內所載的一切條款及細則。

I/ we have carefully read, fully understood and agreed to accept and be bound by the terms and conditions of Global Securities sub-account.

客戶簽署 Signed by Client \_\_\_\_\_

日期 Date : \_\_\_\_\_年 YY\_\_\_\_\_月 MM\_\_\_\_\_日 DD

\*不適用於未解除非見證網上開戶限制之客戶

For Office Use Only	Submitted by	Team / Branch	Remarks
Signature checked by	Input by	Checked by	<input type="checkbox"/> W8-BEN
/ /	/ /	/ /	
資料輸入(環球股票) 日期_____	資料核對(環球股票) 日期_____	網上交易平台(環球股票) _____ 經手人_____ 日期_____	