信誠證券有限公司
Prudential Brokerage Ltd

Internet Global Stock Trading Platform Application Form
環球股票網上交易平台申請表

Account Number 帳戶號碼：	AE Code 客戶主任號碼：
Client Name 客戶名稱：	AE Name 客戶主任名稱：

Apply for Internet Global Stock Trading Platform 申請環球股票網上交易平台

☐ I am / We are applying for Internet Global Stock Trading Platform.
我 / 我們現正申請使用環球股票網上交易平台。

Please select global market(s):
請選擇環球市場：
☐ US Market 美國市場
☐ Japan Market 日本市場
☐ Taiwan Market 台灣市場

For US Market Trading 美國市場交易適用

☐ I / We hereby submit or renew W8-BEN or W8-BEN-E Form.
我 / 我們現正提交或更新 W8-BEN 或 W8-BEN-E 表格。

☐ I / We have submitted or renewed W8-BEN or W8-BEN-E Form in past 3 years.
我 / 我們在過往三年內曾提交或更新 W8-BEN 或 W8-BEN-E 表格。

(Note: Clients must submit or renew W-8BEN or W8-BEN-E Form every 3 years in order to access the US market. If clients do not submit or renew W-8BEN or W8-BEN-E on time, they will not be allowed to access the US market.)
（注意：客戶必須每三年提交或更新 W-8BEN 或 W8-BEN-E 表格才可參與美國市場。如客戶未有準時提交或更新 W-8BEN 或 W8-BEN-E 表格，將不能參與美國市場。）

By signing the Internet Global Stock Trading Platform Application Form, I / we acknowledge and accept all contents contained in the attached Risk Disclosure Statement for Internet Global Stock Trading Platform.
簽署環球股票網上交易平台申請表表示我 / 我們謹此聲明已詳細審閱並接受附上之環球股票網上交易平台風險披露條文內的所有內容。

Client Signature:
客戶簽署：

Date:
日期：

Risk Disclosure Statement for Internet Global Stock Trading Platform

The Risk Disclosure Statement for Internet Global Stock Trading Platform ("**Risk Disclosure Statement**") applies to any activities related to using the Internet Global Stock Trading Platform. It supplements the Client's Account Agreement entered into between the Client and Prudential Brokerage Limited. Terms defined in the Client Agreement have the same meanings in this Statement unless stated otherwise.

1. Risk of securities trading
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 loss will be incurred rather than profit made as a result of buying and selling securities. The Client shall therefore understand the risk involved in securities market, evaluate his/her own preference and capabilities on risk tolerance, and seek for independent financial consultant advice (if necessary) before he/she places Instruction(s).

2. Risks of client assets received or held outside Hong Kong
Client assets received or held by PRU 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.

3. Risks of lacking Compensation Fund and Regulation by rules and laws in Hong Kong
The Client should trade non-local securities only if he/she understands its nature and degree of risks associated. Please be aware that non-local securities are not regulated under Hong Kong Stock Exchange regardless of PRU being the participant of the Exchange, and such securities are not covered by Compensation Fund. He/She shall therefore carefully consider whether such transaction is suitable in light of his/her own investment experience, risks condition or other relevant factors. He/She shall seek for professional advice if any doubts arise.

The Client agrees and complies with applicable provisions, rules, laws and otherwise which are amended from time to time by Hong Kong SAR, Overseas Exchanges and other regulatory authorities.

Transactions on markets in other jurisdictions, including markets formally linked to a domestic market, may expose the Client to additional risk. Such markets may be subject to regulation which may offer different or diminished investor protection. Before the Client trades he/she should enquire about any rules relevant to his/her particular transactions. His/Her local regulatory authority will be unable to compel the enforcement of the rules of regulatory authorities or markets in other jurisdictions where his/her transactions have been effected. The Client should ask the firm with which he/she deals for details about the types of redress available in both his/her home jurisdiction and other relevant jurisdictions before he/she starts to trade.

4. Disclosure of the Client's Information
PRU shall upon the request of relevant regulators and Correspondent Agents disclose the name, beneficial identity and such other information concerning the Client as they may request or require. The Client undertakes to disclose such other information concerning itself to PRU within the time PRU specified as may be required for PRU to comply relevant regulators, and/or the requirements of relevant regulators or Correspondent Agents. The Client irrevocably authorizes PRU to make any disclosure.

All personal data concerning the Client may be used for any purposes relating to or in connection with compliance with any law, regulation, court order or order of any regulatory body and/or investigating suspicious transactions.

5. Order Withdrawal by Relevant Regulators, Correspondent Agents or PRU
Relevant regulators, correspondent agents or PRU may withdraw an order from the order processing system. It is the Client's responsibility to maintain sufficient contact with PRU while there is an outstanding order on the Client's withdrawn order. While PRU may endeavor to notify the Client of a withdrawn order, PRU is under no obligation to do so and accepts no responsibility for any loss incurred directly or indirectly by the Client as a result of the withdrawal or expiry of an order.

6. Risks of foreign tax liability
The Client is required to give declaration if he/she is overseas residents and the Company shall not verify his/her residence or nationality. The Client shall consult the tax advisor to determine his/her income withholding taxes and the eligibility for tax relief, if appropriate.

The Client is liable on a full indemnity basis for all applicable taxes, levies, imposed by any Government, relevant Clearing System, or Market and all applicable stamp duties. All such taxes (including but not limited to withholding taxes), levies and duties may be deducted by us from the Securities Account and any other Accounts maintained by the Client with any of the Prudential Brokerage Group. The Client shall seek professional tax advice, where appropriate.

7. Risks of lacking information about corporate action
In respect of the actions taken by corporation which the Client held stocks with (such as partnership formation/ dissolution, interests/ stocks distribution, stocks allotment, rights issue, licensing revoke, mergers and acquisitions etc), he/she shall be primarily aware of the aforesaid actions although PRU shall update he/she the stocks position within a reasonable period of time. PRU shall not bear any responsibilities for loss(s) or damage(s) arising from any decision made on inaccurate or omitted information provided.

8. Currency risks
The profit or loss in transactions in foreign currency-denominated securities investments or contracts (whether they are traded in the Client's own or another jurisdiction) will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the securities investments or contract to another currency.

9. Risk of failure of the trading facilities
Electronic trading facilities are supported by computer-based component systems for the order-routing, execution, matching, registration or clearing of trades. As with all facilities and systems, they are vulnerable to temporary disruption or failure. The Client's ability to recover certain losses may be subject to limits on liability imposed by the system provider, the market, the clearing house and/or participant firms. Such limits may vary: he/she should ask PRU with which his/her deal for details in this respect.

10. Risk of failure of the electronic trading system
Trading on an electronic trading system may differ from trading on other electronic trading systems. If the Client undertakes transactions on an electronic trading system, he/she will be exposed to risks associated with the system including the failure of hardware and software. The result of any system failure may be that his/her order is either not executed according to his/her instructions or is not executed at all.

11. Suspension or restriction of trading and pricing relationships
Market conditions (e.g. illiquidity) and/or the operation of the rules of certain markets (e.g. the suspension of trading in any contract or contract month because of price limits or "circuit breakers") may increase the risk of loss by making it difficult or impossible to effect transactions or liquidate/offset

positions. If the Client have bought or sold, this may increase the risk of loss.

12. Deposited cash and property
The Client should familiarize him/herself with the protections given to money or other property he/she deposits for domestic and foreign transactions, particularly in the event of a firm insolvency or bankruptcy. The extent to which he/she may recover his/her money or property may be governed by specific legislation or local rules. In some jurisdictions, property which had been specifically identifiable as his/her own will be pro-rated in the same manner as cash for purposes of distribution in the event of a shortfall.

13. Commission and other charges
Before the Client begins to trade, he/she should obtain a clear explanation of all commission, fees and other charges for which he/she will be liable. These charges will affect his/her net profit (if any) or increase his/her loss.

14. Risk of off-exchange transactions
In some jurisdictions, and only then in restricted circumstances, firms are permitted to effect off-exchange transactions. The firm with which the Client deals may be acting as his/her counterparty to the transaction. It may be difficult or impossible to liquidate an existing position, to assess the value, to determine a fair price or to assess the exposure to risk. For these reasons, these transactions may involve increased risks. Off-exchange transactions may be less regulated or subject to a separate regulatory regime. Before the Client undertakes such transactions, he/she should familiarize himself/herself with applicable rules and attendant risks.

15. Risk-reducing orders or strategies
The placing of certain orders (e.g. "stop-loss" orders, or "stop-limit" orders) which are intended to limit losses to certain amounts may not be effective because market conditions may make it impossible to execute such orders. Strategies using combinations of positions, such as "spread" and "straddle" positions may be as risky as taking simple "long" or "short" positions.

16. Default Risks & Counterparty Risks
Every investment product contains default risks and/or counterparty risks. Default risk could come from the issuer's failure to make payments as agreed. At time of market downturn, an issuer may default due to their inability to raise new debt to roll over or repay old one. Credit ratings are the most common tools used for assessing default risk of credit and/or structured products. A rating represents the opinion of the rating agency at a particular point of time and may change over time, due to either changes in the financial status of the issuers or changes in market conditions.

Counterparty risk refers to the failure of the trading party in fulfilling their financial contractual obligations. While ratings by credit agencies represented quality assurances, the Client should not only refer to the credit ratings of the product issuers, but also seek full understanding of the product structure and its exposure to the financial derivatives in order to avoid financial loss.

17. Risk relating to Trading in US Exchange-listed or Over-the-counter (OTC) Securities or Derivatives
The Client should understand the US rules applicable to trades in security or security-like instrument in markets governed by US law before undertaking any such trading. US law could apply to trading in US markets irrespective of the law applicable in the Client’s home jurisdiction. Many (but by no means all) stocks, bonds and options are listed and traded on US stock exchanges. NASDAQ, which used to be an OTC market among dealers, has now also become a US exchange. For exchange-listed stocks, bonds and options, each exchange promulgates rules that supplement the rules of the US Securities & Exchange Commission ("**SEC**") for the protection of individuals and institutions trading in the securities listed on the exchange.

OTC trading among dealers can continue in exchange-listed instruments and in instruments that are not exchange-listed at all. For securities that are not listed on any exchange, trading can continue through the OTC bulletin board or through the inter-dealer "pink sheets" that carry representative (not actual) dealer quotes. These facilities are outside of NASDAQ.

Options on securities are subject to SEC rules and the rules of any securities exchange on which the options are listed. Options on futures contracts on commodities like wheat or gold are governed by rules of the US Commodity Futures Trading Commission ("**CFTC**"). There are also commercial options, like options on real estate, that are governed neither by SEC nor CFTC rules.

Whether the Client is intending to trade in US exchange-listed securities, OTC securities or derivatives, he/she should understand the particular rules that govern the market in which the Client is intending to trade. An investment in any of these instruments tends to increase the risk and the nature of markets in derivatives tends to increase the risk even further.

Market makers of OTC bulletin board are unable to use electronic means to interact with other dealers to execute trades. They must manually interact with the market, i.e. use standard phone lines to communicate with other dealers to execute trades. This may cause delays in the time it takes to interact with the market place. This, if coupled with increase in trade volume, may lead to wide price fluctuation in OTC bulletin board securities as well as lengthy delays in execution time. The Client should exercise extreme caution when placing orders and fully understand the risks associated with trading in OTC bulletin board. Market data such as quotes, volume and market size may or may not be as up-to-date as expected with NASDAQ or listed securities.

As there may be far fewer market makers participating in OTC securities markets, the liquidity in that security may be significantly less than those in listed markets. As such, the Client may receive a partial execution or the order may not be executed at all. Additionally, the price received on a market order may be significantly different from the price quoted at the time of order entry. When fewer shares of a given security are being traded, larger spreads between bid and ask prices and volatile swings in price may result. In some cases, the liquidation of a position in an OTC security may not be possible within a reasonable period of time.

Issuers of OTC securities have no duty to provide any information to investors, maintain registration with the SEC or provide regular reports to investors.

In case of discrepancies between the English and Chinese versions of the above statements, the English version shall prevail.