

風險披露聲明書 (創業板)  
RISK DISCLOSURE STATEMENT (GEM)  
(Cash Account 現金戶口 / Margin Account 孖展戶口)

To: BLUEMOUNT SECURITIES LIMITED  
致: 藍山證券有限公司

1. I/We acknowledge that the price of securities traded on GEM can and does fluctuate, and any individual security may experience upwards or downwards movements, and may even become valueless. There is an inherent risk that losses may be incurred rather than profit made as a result of buying and selling securities traded on GEM. I/We also acknowledge that there may be risks in leaving securities in your safekeeping. For example, if you are holding my/our securities and you become insolvent, I/We may experience significant delay in recovering the securities. These are risks that I/we am/are prepared to accept.  
本人 吾等知悉創業板的證券價值可能會波動, 任何個別證券的價格皆可上升或下跌, 甚至變成毫無價值。買賣創業板證券不一定獲利, 而且存在著可能損失的風險。本人 吾等也知道將證券交給閣下保管可能存在風險。例如當閣下持有本人 吾等的證券而閣下無力償債時, 本人 吾等取回證券的時間可能會受到阻延。本人 吾等願意承擔此等風險。
2. I/We understand that GEM has been established as a market designed to accommodate companies to which a high investment risk may be attached. In particular, I/we understand that companies may list on GEM with neither a track record of profitability nor any obligation to forecast future profitability. I/We appreciate that there may be risks arising out of the emerging nature of companies listed on GEM and the business sectors or countries in which the companies operate.  
本人 吾等明白創業板之市場乃為可能附有高風險的公司而設。本人 吾等亦尤其明白公司在沒有往績紀錄及在不需負責預測未來表現的情況下在創業板上市。本人 吾等清楚了解, 因創業板上市公司的新興發展性質, 其營運的業務行業或國家而所引致的風險。
3. I/We am/are aware of the potential risks of investing in such companies and understand that I/we should make the decision to invest only after due and careful consideration. I/We understand the greater risk profile and other characteristics of GEM mean that it is a market more suited to professional and other sophisticated investors.  
本人 吾等知道投資在此類公司的潛在風險, 故此本人 吾等明白必須經過審慎考慮後才作出投資決定。本人 吾等亦明白創業板的較高風險性質及其他特點, 應當更適合專業及其他熟悉投資技巧的投資者。
4. Given the emerging nature of companies listed on GEM, I/we understand there is a risk that securities traded on GEM may be susceptible to higher market volatility compared to securities traded on the Main Board and no assurance is given that there will be a liquid market in the securities traded on GEM.  
基於創業板上市公司的新興發展性質, 本人 吾等明白於創業板進行買賣將可能面對比較於主板買賣證券為高的市場波動及不確保於創業板買賣時得到一個有流通量的市場。
5. I/We further understand that the principal means of information dissemination on GEM is publication on the internet website operated by the Exchange. Companies listed on GEM are not generally required to issue paid announcements in gazetted newspapers. Accordingly, I/we acknowledge that I/we need to have access to up-to-date information on GEM-listed companies as published on the GEM website.  
本人 吾等亦明白創業板的主要信息發放渠道是透過聯交所運作的互聯網網頁刊登消息。創業板上市公司一般不須在憲報所登的報章上刊登付費公告。因此, 本人 吾等知悉本人 吾等須獲取經由創業板網頁發佈的創業板上市公司的最新資料。
6. I/We acknowledge that this risk disclosure statement does not purport to disclose all the risks and other significant aspects of GEM. I/We understand that I/we should undertake my/our research and study on the trading of securities on GEM before commencing any trading activities.  
本人 吾等確認此風險披露聲明並不能申述所有風險及其他創業板的主要內容。本人 吾等明白在進行買賣活動之前須自行進行資料搜集及研究有關證券的買賣。
7. I/We understand that I/we should seek independent professional advice if I/we am/are uncertain of or have not understood any aspect of this risk disclosure statement or the nature and risks involved in trading of securities on GEM.  
本人 吾等明白如本人 吾等對此風險披露聲明書的任何方面或對買賣創業板證券的性質及風險有不明白之處, 本人 吾等須取得獨立專業的意見。
8. I/We understand that the signing of this risk disclosure statement is mandatory under the Rules of the Exchange. I/We understand that you will not be able to effect my/our instructions to deal in securities on GEM if this statement is not signed and acknowledged by me/us.  
本人 吾等明白簽署此風險披露聲明書是交易所規則的硬性規定。本人 吾等明白本人 吾等未能簽署及確認此聲明書, 閣下將不可以執行本人 吾等於創業板買賣的指令。
9. This risk disclosure statement has been fully explained to me/us by account executive and I/we fully understand the contents hereof. I/We understand that you are required under the Rules of the Exchange to ensure that I/we am/are provided with a copy of this risk disclosure statement signed and dated by me/us and contains the declaration by account executive.  
此風險披露聲明書已由客戶主任向本人 吾等解釋清楚, 而本人 吾等亦明白其內容。本人 吾等明白根據交易所規則 閣下必須為本人 吾等提供此份由本人 吾等簽署及填上日期, 並載有客戶主任的聲明的風險披露聲明書之副本。

Client's Signature 客戶簽署

A/C No 戶口號碼:

Date 日期

**Declaration by Licensed Person**

I, \_\_\_\_\_ (name of licensed person) have fully explained the contents of this risk disclosure statement to \_\_\_\_\_ (name of client) in a language which he/they understand(s).

A.E. Signature

Date: