



# Risk Statements – Trading of Growth Enterprise Market

## (GEM) Securities

### 風險聲明－創業板證券之買賣

To: Celestial Securities Limited

致：時富證券有限公司

Please post your completed form to **Client Services Department, 9/F, Low Block, Grand Millennium Plaza, 181 Queen's Road Central, Hong Kong** or by visiting the Wealth Management Centres of CASH Financial Services Group. Your request will be processed within 2 working days upon receipt of the duly completed form. For inquiries, please do not hesitate to contact us at **(852) 2663 8888**. 請將已填妥的表格郵寄至**香港中環皇后大道中 181 號新紀元廣場低座九樓客戶服務部**或交回時富金融服務集團各投資理財中心。本公司將在收到填妥的表格後兩個工作天內處理您的申請。如欲查詢，請致電**(852) 2663 8888**與客戶服務部聯絡。

I/We have been invited by the registered person to read the following Risk Disclosure Statement for GEM Securities in a language of my/our choice, ask questions and take independent advice if I/we wish.

註冊人員已邀請本人／吾等閱讀按照本人／吾等選擇的語言所提供下列有關創業板證券之風險披露聲明、提出問題及徵求獨立的意見。

- GEM Securities involve a high investment risk. In particular, companies may list on GEM with neither a track record of profitability nor any obligation to forecast future profitability. GEM Securities may be very volatile and illiquid. 創業板證券涉及很高的投資風險。尤其是該等公司可在無需具備盈利往績及無需預測未來盈利的情況下在創業板上市。創業板證券可能非常波動及流通性很低。
- I/We should make the decision to invest only after due and careful consideration. 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／吾等只應在審慎及仔細考慮後，才作出有關的投資決定。創業板市場的較高風險性質及其他特點，意味著這個市場較適合專業及其他熟悉投資技巧的投資者。
- Current information on GEM Securities may only be found on the internet website operated by The Stock Exchange of Hong Kong Limited. Companies listed on GEM are usually not required to issue paid announcements in gazetted newspapers. 現時有關創業板證券的資料只可以在香港聯合交易所有限公司所操作的互聯網網站上找到。創業板上市公司一般毋須在憲報指定的報章刊登付費公告。
- I/We should seek independent professional advice if it is uncertain of or has not understood any aspect of this risk disclosure statement or the nature and risks involved in trading of GEM Securities. 假如本人／吾等對本風險披露聲明的內容或創業板市場的性質及在創業板買賣的證券所涉風險有不明白之處，應尋求獨立的專業意見。

Client Signature(s) 客戶簽署	× Please use the signature(s) field with our company 請用留存本公司之印鑑式樣	Account No. 戶口號碼	
Client Name 客戶名稱		Date 日期	day 日 / month 月 / year 年

#### Declaration by registered person 註冊人員聲明

The above-mentioned risk disclosure statement(s) has/have been provided to the Client in a language of the Client's choice and the undersigned registered person of the Company has invited the Client to read the same, ask questions and take independent advice.

上述之風險披露聲明內容已由下列簽署之註冊人員按照客戶選擇的語言提供，並邀請客戶閱讀該／該等風險披露聲明、提出問題及徵求獨立的意見。

Name 姓名		Signature of licensed person 本公司持牌人員簽名	
CE number CE 編號			
Position 職位			

For official use only 僅供職員填寫				
<input type="checkbox"/> Original <input type="checkbox"/> Face to face	Phone verified by	Phone number	Date	Time
Handled by	Verified by	Approved by	Input by	Checked by