

To: Innovax Securities Limited
A-C, 20/F, Neich Tower,
128 Gloucester Road,
Wanchai, Hong Kong

Attn: Customer Services

US Stock Trading Application Form
美國證券交易申請表

Customer Details 客戶資料	
Name of Client 客戶姓名	Account Number 帳戶號碼
Important Notices and Disclosures for US Stock Trading Application	
Acknowledgment of Terms and Conditions The Applicant acknowledges receiving, reviewing, and understanding the Brokerage Agreement, Terms and Conditions, and any supplemental disclosures related to trading US securities. The Applicant agrees to comply with all applicable rules and regulations, including those of the US Securities and Exchange Commission (SEC) and the Financial Industry Regulatory Authority (FINRA).	
Risk Disclosure <i>Market Risk:</i> Trading US stocks involves significant risks, including the potential loss of principal due to market volatility, economic conditions, or company-specific events. <i>Margin Trading Risk</i> (if applicable): Use of borrowed funds to purchase securities increases potential losses and may result in margin calls requiring additional funds or liquidation of positions. <i>Foreign Investor Risk (for non-US residents):</i> Currency exchange fluctuations, tax implications, and differences in regulatory protections may impact investment outcomes. The Applicant is advised to seek independent professional advice if uncertain.	
Risk of Client Assets Received or Held Outside Hong Kong Assets of yours which are received or held by us 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 assets may not enjoy the same protection as that conferred on those assets which are received or held in Hong Kong. The legal ownership of any securities or investments traded globally is held by Innovax Securities Company Limited (the "Company" or "ISL") on behalf of the Client through the custodian or custodians appointed by the Client as its custodian agent.	
Standing Authorities The Applicant authorizes the Broker to execute transactions, including the conversion of funds into US dollars or other currencies at the Broker's designated exchange rate, without prior notice, to meet settlement obligations arising from trading instructions. Such authorities may be renewed periodically (e.g., every 12 months) as stipulated in the Brokerage Agreement.	
Tax Residency and Reporting Obligations The Applicant is obligated to provide accurate information regarding their US tax residency status and to promptly notify the Broker of any changes. For non-US persons, the Broker will rely on the Applicant's submitted Certificate of Foreign Status of Beneficial Ownership (e.g., IRS Form W-8BEN or W-8BEN-E) until updated. Failure to comply may result in withholding taxes under the US Foreign Account Tax Compliance Act (FATCA).	
Regulatory Disclosures SEC and FINRA Oversight: The Broker is regulated by the SEC and FINRA, and all transactions are subject to their rules, including those governing trade execution, reporting, and investor protection. Order Execution: Orders are executed in accordance with the Broker's Best Execution Policy, which may route orders to various market centers. Details are available upon request. SIPC Protection: Client assets held by the Broker are protected by the Securities Investor Protection Corporation (SIPC) up to \$500,000 (including \$250,000 for cash), subject to limitations. This does not protect against market losses.	
Fees and Charges The Applicant acknowledges that trading US stocks may incur commissions, transaction fees, currency conversion fees, and other charges as outlined in the Broker's fee schedule. The Broker reserves the right to modify fees with notice.	
Anti-Money Laundering (AML) Compliance Under the USA PATRIOT Act, the Applicant must provide accurate identification and financial information to verify identity and comply with AML regulations. The Broker may report suspicious activities to regulatory authorities without notifying the Applicant.	
Electronic Trading and System Risks Trading through electronic platforms involves risks, including system outages, delays, or errors. The Broker is not liable for losses resulting from technical issues beyond its control. The Applicant acknowledges that internet-based trading may expose them to cybersecurity risks and agrees to safeguard access credentials.	

Conflicts of Interest

The Broker may engage in activities (e.g., proprietary trading or market-making) that could create conflicts of interest. These are managed in accordance with the Broker's policies, available upon request.

No Investment Advice (unless specified)

Unless explicitly agreed, the Broker does not provide personalized investment advice. The Applicant is responsible for their investment decisions and should consult a qualified financial advisor if needed.

美國股票交易申請表重要通知及披露

條款與條件確認

申請人確認已接收、審閱並理解券商協議、條款與條件，以及與交易美國證券相關的補充披露文件。申請人同意遵守所有適用規則與法規，包括美國證券交易委員會（SEC）及金融業監管局（FINRA）的規定。

風險披露

市場風險：交易美國股票存在重大風險，包括因市場波動、經濟狀況或公司特定事件導致的本金損失可能性。

保證金交易風險（如適用）：使用借入資金購買證券會增加潛在損失，並可能導致追加保證金要求或持倉清算。

外國投資者風險（適用於非美國居民）：貨幣兌換波動、稅務影響及監管保護差異可能影響投資結果。申請人如有疑問，應尋求獨立專業建議。

在香港以外地方收取或持有的客戶資產的風險

本公司在香港以外地方收取或持有屬於閣下的資產，是受到有關海外司法管轄區的適用法律及規例所監管的。這些法律規例與《證券及期貨條例》（第 571 章）及根據該條例制訂的規則可能有所不同。因此，有關的資產將可能不會享有賦予在香港收取或持有的資產的相同保障。任何於環球進行交易的證券或投資，其法定所有權為創陞證券有限公司（「本公司」或「創陞證券」）代表客戶透過其委任的託管人或保管人作為其託管代理人所持有該等證券或投資。

常設授權

申請人授權券商執行交易，包括在無需事先通知的情況下，將資金按券商指定的匯率兌換為美元或其他貨幣，以履行交易指令產生的結算義務。

此類授權將根據券商協議規定的週期（例如每 12 個月）續期。

稅務居民身份及報告義務

申請人有義務提供準確的美國稅務居民身份信息，並及時通知券商任何變更。對於非美國人士，券商將依賴申請人提交的受益所有人外國身份證明（例如 IRS 表格 W-8BEN 或 W-8BEN-E），直至更新為止。如未能遵守，可能根據美國《外國帳戶稅務合規法案》（FATCA）扣繳稅款。

監管披露

SEC 及 FINRA 監管：券商受 SEC 及 FINRA 監管，所有交易均需遵守其規則，包括交易執行、報告及投資者保護規定。

訂單執行：訂單根據券商的最佳執行政策執行，可能路由至不同市場中心，詳情可應要求提供。

SIPC 保護：券商持有的客戶資產受證券投資者保護公司（SIPC）保護，最高限額為 50 萬美元（包括現金 25 萬美元），但不保護市場損失。

費用及收費

申請人確認交易美國股票可能產生佣金、交易費用、貨幣兌換費用及其他費用，詳見券商費用表。券商保留在通知後修改費用的權利。

反洗錢（AML）合規

根據《美國愛國者法案》，申請人須提供準確的身份及財務信息以驗證身份，符合反洗錢法規。

券商可能在不通知申請人的情況下向監管機構報告可疑活動。

電子交易及系統風險

通過電子平台交易存在風險，包括系統中斷、延遲或錯誤。券商對其無法控制的技術問題導致的損失不承擔責任。

申請人確認基於互聯網的交易可能面臨網絡安全風險，並同意妥善保護訪問憑證。

利益衝突

券商可能從事可能產生利益衝突的活動（例如自營交易或做市）。這些衝突將根據券商的政策管理，詳情可應要求提供。

無投資建議（除非特別指定）

除非另有明確約定，券商不提供個性化投資建議。申請人對其投資決定負責，如有需要應諮詢合格的財務顧問。

Client Signatory

客戶簽署

Date:

日期:

Office Use

內部使用

Representative- Prepare:

Responsible Officer- Approve

Settlement- Input

Sign:

Sign:

Sign: