

Account Opening Form(Individual / Joint Account)

開戶表格(個人或聯名帳戶)



Account Number 帳戶號碼: _____

Client Name 客戶姓名: _____

23/F, Tung Hip Commercial Building,

No.244-248 Des Voeux Road Central, Sheung Wan, HK

香港上環德輔道中 244-248 號東協商業大廈 23 樓

Tel 電話:852-3980-2300 Fax 傳真:852-2323-1661

Conrad Investment Services Limited (“CONRAD” or the “Company”) carries on the business of dealing in securities is licensed to carry on Type 1 (dealing in securities) regulated activities, Type 2 (dealing in futures contracts) regulated activities, Type 4 (advising on securities) regulated activities and Type 9 (asset management) regulated activities under the Securities and Futures Ordinance (Cap.571)(CE No.BIV795)

Conrad Investment Services Limited (“CONRAD” 或 “本公司”) 經營的是證券交易的業務，並根據證券及期貨條例 (第 571 章) 獲發牌經營第一類 (證券交易) 受規管活動、第 2 類 (期貨合約交易) 受規管活動、第 4 類 (就證券提供意見) 受規管活動及第 9 類 (提供資產管理) 受規管活動，(中央編號:BIV795)。

Conrad Investment Services Limited

SFC CE No: BIV795

23/F, Tung Hip Commercial Building, No.244-248 Des Voeux Road Central, Sheung Wan, HK
香港上環德輔道中244-248號東協商業大廈23樓

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| 1. Account Type 帳戶類別 | | |
| Securities Trading Account 證券交易帳戶 | | |
| Account No. 帳戶號碼 | | |
| Type of Account 帳戶類別 | <input type="checkbox"/> Individual Account 個人戶口 | Joint Account 聯名戶口 <input type="checkbox"/> Primary A/C Holder 主要戶口持有人 <input type="checkbox"/> Secondary A/C Holder 第二戶口持有人 |
| | <input type="checkbox"/> Margin 保證金 | <input type="checkbox"/> Cash 現金 |
| Account Service 戶口服務 | <input type="checkbox"/> Internet & mobile trading 網上及手機交易 | |

Please complete in BLOCK LETTERS 請用正楷填寫

| | | | |
|-----------------------------------|---|--|--|
| 2. Client information 個人資料 | | | |
| Name 姓名 | <input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Ms. 女士 | | |
| Chinese 中文: | English 英文: | | |
| Nationality 國籍: | | I.D. / Passport No. 身份證/護照號碼: | |
| Place of Birth 出生地點: | | Date of Birth (dd/mm/yyyy) 出生日期(日日/月月/年年年年): | |
| Residential Address 住址: | | | |
| Residential Phone No. 住宅電話號碼: | | Mobile Phone No. 手機號碼: | |
| Email Address 電郵地址: | | | |

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|---------------------------------------|---|--|---|
| 3. Employment Status 職業 / 就業情況 | | | |
| <input type="checkbox"/> Employed 受僱 | <input type="checkbox"/> Self-employed 自僱 | <input type="checkbox"/> Retired 退休 | <input type="checkbox"/> Other 其他 _____ |
| Name of Company 公司名稱: | | Position Held 職位: | |
| Years of Service 服務年期: | | Occupation/Nature of Business 職業/業務性質: | |
| Business Tel. No. 工作電話號碼: | | Fax No. 傳真號碼: | |
| Company Address 公司地址: | | | |

| | |
|--|--|
| 4. Financial Profile 財務狀況 | |
| i) Income Source(multiple selection) 收入來源(可多選): | |
| <input type="checkbox"/> Salary / Commission 薪金/佣金 | <input type="checkbox"/> Rent 租金 |
| <input type="checkbox"/> Dividend / Interest 股息/利息 | <input type="checkbox"/> Business Profit 營業利潤 |
| <input type="checkbox"/> Others 其他: _____ | |
| Annual Income 每年收入 | |
| <input type="checkbox"/> Below 少於\$120,000 | <input type="checkbox"/> \$120,000~\$360,000 |
| <input type="checkbox"/> \$360,001~\$600,000 | <input type="checkbox"/> \$600,001~\$1,200,000 |
| <input type="checkbox"/> Above 多於\$1,200,000 | |
| *If Client is presently a housewife, retired or an unemployed person, please state the job details before being a housewife, full-time investor, retired or an unemployed person. 如客戶現時為家庭主婦、退休或待業人士，請填寫成為家庭主婦、全職自由投資者、退休或待業人士之前的工作資料 | |
| Industry/Business Nature 行業/業務性質: _____ | Position 職位: _____ |

ii) Asset Items (multiple selection) 資產項目(可多選):

Property 房產 Cash / Deposit 現金/存款 Valuable Stock 有價證券 Others(please specify) 其他(請列明) : _____

Asset Net Worth 資產淨值 :

Below 少於\$100,000 \$100,000~\$500,000 \$500,001~\$1,000,000 \$1,000,001~\$5,000,000

\$5,000,001~\$8,000,000 \$8,000,001~\$10,000,000 Above 多於 \$10,000,000

5. Investment Experience 投資經驗

Investment Products and Investment Experience (It is not necessary to choose if you have no experience)

曾買賣產品及投資經驗：(如無經驗,則不需選擇)

Shares 股票 < 1 year 少於一年 1-5 years 一至五年 6-10 years 六至十年 > 10 years 多於十年

CBBC 牛熊證 < 1 year 少於一年 1-5 years 一至五年 6-10 years 六至十年 > 10 years 多於十年

Warrants 衍生權證 (窩輪) < 1 year 少於一年 1-5 years 一至五年 6-10 years 六至十年 > 10 years 多於十年

Futures 期貨 < 1 year 少於一年 1-5 years 一至五年 6-10 years 六至十年 > 10 years 多於十年

Options 期權 < 1 year 少於一年 1-5 years 一至五年 6-10 years 六至十年 > 10 years 多於十年

Others 其他 : _____ < 1 year 少於一年 1-5 years 一至五年 6-10 years 六至十年 > 10 years 多於十年

6. Investment Objectives and Risk Tolerance 投資目的及可承受風險

i) Investment Objective 投資目的 :

Capital Gain 資本增值 Hedging 對沖 Income 收入 Speculation 投機 Others 其他 : _____

ii) Estimated investment amount 估計投資金額

Below 少於\$100,000 \$100,000~\$500,000 \$500,001~\$1,000,000 \$1,000,001~\$5,000,000

\$5,000,001~\$8,000,000 \$8,000,001~\$10,000,000 Above 多於 \$10,000,000

iii) Investment horizon 投資年期

Short Term 短線 Medium Term 中線 Long Term 長線

iv) Risk Tolerance 可承受風險

Low 低風險 Medium 中等風險 High 高風險

*Securities Margin Account belongs to Medium and/or High risk categories. 證券保證金買賣帳戶屬於“中等風險”及/或“高風險”類別。

7. Client's Knowledge of Derivative Products 客戶對衍生產品的認識

The Client acknowledges and understands the Company will assess whether the Client has adequate knowledge on derivative products according to the information the Client provided.

客戶知悉及明白公司將根據以下的資料以評估客戶是否對衍生工具產品有認識。

1. The Client underwent training or attended courses on derivative products.
客戶曾接受有關衍生產品的培訓或修讀相關課程。

2. The Client has current or previous work experience related to derivative products.
客戶現時或過去擁有與衍生產品有關的工作經驗。

3. The Client has executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, Commodities, Structured Products, and Exchange Traded Funds, etc.
客戶於過去 3 年曾執行 5 次或以上有關衍生產品的交易，例如：衍生權證、牛熊證、股票期權、期貨及期權、商品、結構性產品及交易所買賣基金等。

4. The Client has NOT acquired knowledge of derivative products.
客戶沒有衍生工具之認識。

8. Settlement Account Information 結算帳戶資料

The Client hereby instructs and authorizes that the following bank account will be used as the settlement. (the account must be your name)

客戶謹此指示及授權使用以下的銀行帳戶，作為結算帳戶。(必須與客戶名稱相同)

Currency 貨幣 Name of Bank 銀行名稱 Account No. 戶口號碼

HKD 港幣 _____ _____

USD 美元 _____ _____

CNY 人民幣 _____ _____

| | |
|---|--|
| 9. Method of Communication and Language of Statement 通訊方法及結單語言 | |
| Please select one of the following method of communication 請選擇以下其中一項通訊方法： | |
| <input type="checkbox"/> E-mail Address 電郵地址 | <input type="checkbox"/> Residential address 住宅地址* |
| <input type="checkbox"/> Other address, please specify (其他地址，請說明) _____ | <input type="checkbox"/> Business address 工作地址* |
| *Mailing Services will be charged \$50 administration fee per month 郵寄服務將會收取每月\$50 行政費用 | |
| Language of Statement 結單語言： <input type="checkbox"/> Simplified Chinese 簡體中文 <input type="checkbox"/> English 英文 <input type="checkbox"/> Traditional Chinese 繁體中文 | |
| 10. Additional US stocks online trading platform services 附加美股網上交易平台服務 | |
| Please tick the box below if agree to apply the US stocks online trading platform services: 如同意申請美股網上交易平台服務，請在以下空格加上「✓」號 | |
| <input type="checkbox"/> I/We hereby write to apply for US stocks online trading platform services 本人/吾等現向貴公司申請美股網上交易平台服務。 | |
| W-8BEN form as required by the U.S. Internal Revenue Service when trading U.S Stock. Note: Please seek your own independent professional advice for filling out the W-8BEN form and the NYSE Market Data Agreement where necessary. 進行買賣美股時，美國稅務局要求的 W-8BEN 表格。注：如填寫 W-8BEN 表格或紐約證券交易所市場數據協議時需要諮詢或意見，請您因應需要諮詢獨立專業人士意見。 | |
| DECLARATION 聲明 | |
| 11. Disclosure of Related Account(s) 披露關連帳戶 | |
| i) Are you, authorized person or ultimate beneficial owner related to any employee or director of the Company or its associated companies? 閣下、獲授權人或帳戶最終權益擁有人是否與本公司或其聯營公司之任何僱員或董事有任何親屬關係？ <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (Please provide details below 請填寫以下資料) Name of employee / director 僱員/董事姓名：_____ Relationship 關係：_____ | |
| ii) Is your spouse a margin client of Conrad Investment Services Limited? 閣下的配偶是否 Conrad Investment Services Limited 的保證金客戶？ <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (Please provide details below 請填寫以下資料) Name of the spouse 配偶名稱：_____ Account No. 帳戶號碼：_____ | |
| iii) Are you whether individually or jointly with your spouse control 35% or more of the voting rights of any margin client of the Company? 閣下是否個人或與閣下的配偶共同控制本公司任何保證金客戶的 35% 或以上的表決權？ <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (Please provide details below 請填寫以下資料) Name of the controlled client 受控制客戶名稱：_____ Account No. 帳戶號碼：_____ | |
| 12. Disclosure of Identity 披露身份 | |
| i) Are you acting as an intermediary for the account? 閣下是否以中介人身份操作帳戶？ <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, the ultimate beneficial owner(s) as follows 是，戶口的最終權益擁有人是： Name 姓名：_____ ID Card/Passport No. 身份證 / 護照號碼：_____ Residential Address 住宅地址：_____ | |
| ii) Are you, the ultimate beneficial owner(s) of the Account, a licensed person or a director or an employee of any licensed corporation/authorized institution registered with the Securities and Futures Commission? 閣下，戶口最終受益人是否證券及期貨事務監察委員會註冊的持牌人士或持牌法團/註冊機構的董事或僱員？ <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (Please provide details below 請填寫以下資料) Name of the licensed person or licensed corporation/registered institution 持牌人士或持牌法團/註冊機構名稱：_____ | |
| iii) Are you, your spouse, partner, child(ren), parent(s), spouse(s) or partner(s) of his child(ren), or a close associate(s) of you entrusted or has been entrusted with a prominent public function, includes a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a stated-owned corporation and an important political party official? 閣下、閣下之配偶、伴侶、子女或父母，或閣下的子女的配偶或伴侶，或與閣下關係密切的人，是否擔任或曾擔任重要公職，包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事？ <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (Please provide details below 請填寫以下資料) _____ | |

13. United States Status Certification 美國身分聲明

- i) Is the Client or the Client's ultimate beneficial owner a United State Person ("U.S. Person") defined under the Foreign Account Tax Compliance Act ("FATCA")?

根據海外帳戶稅收合規法案定義，客戶或其最終受益人是不是美國人？

No 否 / Yes 是, TIN is 美國聯邦納稅人識別碼是: _____

- ii) For individual Client who has the below particular(s), please tick the appropriate box(es). 對於具以下明細的個人客戶，請剔取合適的方格。

- U.S. place of birth 出生地為美國
 U.S. mailing or residence address (including a U.S. post office box) 郵寄或永久地址為美國
 U.S. telephone number 美國電話號碼
 Standing instruction to transfer funds to an account maintained in the United States 常設授權將資金轉至設在美國的帳戶
 Power of attorney or signatory authority granted to a person with a U.S. address 授予擁有美國地址的人士代理權或簽名權
 An "in-care-of" or "hold mail" address that is the sole address 提供一個轉交地址或代存郵件地址
 None of the above 以上全部不是

14. Tax Residency 稅務居民資料

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).

警告：根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級（即\$10,000）罰款。

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's TIN for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence.

提供以下資料，列明 (a) 帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區（香港包括在內）及 (b) 該居留司法管轄區發給帳戶持有人的稅務編號。列出所有（不限於 5 個）居留司法管轄區。

If the account holder is a tax resident of Hong Kong or China, the TIN is the Identity Card Number. If a TIN is unavailable, provide the appropriate reason A, B or C:

如帳戶持有人的香港或中國稅務居民，稅務編號是身份證號碼。如沒有提供稅務編號，必須填寫合適的理由：

Reason A – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

Reason B – The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.

Reason C – TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

理由 A – 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

理由 B – 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。

理由 C – 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

| Jurisdiction of Residence 居留司法管轄區 | TIN 稅務編號 | Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號，填寫理由 A、B 或 C | Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選取理由 B， 解釋帳戶持有人不能取得稅務編號的原因 |
|--------------------------------------|-------------|---|---|
| (1) | | | |
| (2) | | | |
| (3) | | | |
| (4) | | | |
| (5) | | | |

Please attach and sign Self-Certification Form for additional tax residency if necessary.

若空格不敷使用，請另附自我證明表格及簽署。

15. Client's Declaration for Data Protection 客戶個人資料保障聲明

The Client has carefully read, fully understood and agreed to accept and be bound by the Personal Data (Privacy) Ordinance in CONRAD's Terms and Conditions.

客戶已仔細閱讀，完全理解並同意接受並遵守載於 CONRAD 條款及條件中關於《個人資料(私隱)條例》致客戶的解釋說明。

Please tick the box below if agree: 如同意，請在以下空格加上「✓」號

- I/We AGREE that Conrad Investment Services Limited and/or any member of the Group to use my/our personal data in direct marketing via personal call, mail, E-mail, SMS, fax or others. 本人/吾等同意 Conrad Investment Services Limited 及其集團任何成員使用本人/吾等的個人資料透過專人電話、郵寄、電郵、電話短訊、傳真或其他的途徑作直接促銷。

16. Client's Declaration and Signature 客戶聲明和簽署

I / We represent that the information on this Client Information Statement is true, complete and correct that the representations in the attached agreement are accurate. Conrad Investment Services Limited ("CONRAD") is entitled to rely fully on such information and representations for all purposes, unless it / they receive(s) notice in writing of any change.

I / We also undertake to notify the Companies immediately (in any event, within 30 days) of any changes to the information given above. Upon request, I / We shall also promptly (in any event, within 30 days) provide the Companies any additional documentation, including without limitation to the self-certification, in relation to the changes to such information. If the additional documentation is not provided timely, I / We understand that the Companies may disclose and / or submit certain of my / our account information in relation to the changes to the competent regulatory or Government Authority in the relevant jurisdiction(s) (including without limitation to U.S. Internal Revenue Service, U.S. Department of the Treasury and the Hong Kong Inland Revenue Department) for the purpose of complying with FATCA, Common Reporting Standard and other related laws, regulations, codes and rules. The Companies are authorized at any time to contact anyone, including my / our banks, brokers or any credit agency, for the purposes of verifying the information provided on this Client Information Statement.

本人/吾等茲聲明在客戶資料表所提供之資料全部真實、完整及正確，並且所附協定內容皆為準確。除非 Conrad Investment Services Limited ("CONRAD")接到更改有關本資料表內容的書面通知，否則上述公司有權完全依賴此等資料及聲明作一切用途。

本人/吾等亦同意上述資料有任何改變，會立即（在任何情況下，在 30 天內）通知上述公司。如上述公司要求，本人/吾等亦會盡快（在任何情況下，在 30 天內）向上述公司提供所需的額外文件，包括但不限於更新資料變更後的自我證明。如本人/吾等未能在指定時間內提供所需的額外文件，本人/吾等明白上述公司可能根據有關的資料變更向相關司法管轄區內的合資格監管及/或政府當局（包括但不限於美國國家稅務局、美國財政部和香港稅務局）披露及/或提交本人/吾等之相關賬戶資料，以符合 FATCA、《共同匯報標/條例》和其他相關法規、守則和規則的規定。上述公司獲授權可隨時就核對本資料事宜，與任何人包括本人/吾等之銀行、經理或任何信用機構進行諮詢。

I/ We undertake to advise CONRAD of any change in circumstances which affects the tax residency status of the individual identified in Part 13 of this form or causes the information contained herein to become incorrect, and to provide CONRAD with a suitably updated self-certification form within 30 days of such change in circumstances.


本人/吾等承諾，如情況有所改變，以致影響本表格第 14 部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知 CONRAD，並會在情況發生改變後 30 日內，向 CONRAD 提交一份已適當更新的自我證明表。

I/We, the undersigned Client(s), hereby apply to open Securities Account. I/We have read and understood the provisions of the Agreement of which this document forms a part and agree to be bound by the agreement (receipt of a copy whereof is hereby acknowledged by me/us) as the same may be amended from time to time.

I/We acknowledge and confirm that CONRAD has provided the Risk Disclosure Statements and Disclaimers annexed hereto in a language of my/our choice (English or Chinese) and I/we have been invited to read the same, to ask questions and take independent advice if I/we wish.

本人/吾等，下述簽署客戶，現申請開立證券買賣帳戶。本人/吾等已閱讀過及明白附上的該協議書，而本文件乃該協議書的一部份，並同意接受可不時被修改的該協議書（謹此聲明本人/吾等已收妥其副本）所約束。

本人/吾等確認 CONRAD 證券已按照本人/吾等選擇的語言(中文或英文)獲提供附於本表的風險披露聲明及免責聲明，及已獲邀閱讀該等聲明、提出問題及徵求獨立的意見(如本人/吾等有此意願)。

| | | | |
|---|--|--|-------------------------------|
| Individual / Primary Joint Account Holder's Signature 個人/主要戶口申請人簽署 | | Secondary Account Holder's Signature 第二戶口申請人簽署 | |
|  | | | |
| Date(dd/mm/yy)日期(日日/月月/年年): | | Date(dd/mm/yy)日期(日日/月月/年年): | |
| For Joint Account only 聯名戶口適用: | <input type="checkbox"/> All written instruction of the account should be jointly signed by both account holders 所有帳戶的書面指示須由兩位帳戶持有人同時簽署 | | |
| Witness Signature 見證人簽署: | Witness Name 見證人姓名: | | ID No./Passport No. 身份證/護照號碼: |

17. Declaration by the licensed or registered staff 持牌或註冊人員之聲明

The Client has been provided with the relevant risk disclosure statements and disclaimers in a language of the Client's choice. The undersigned licensed or registered staff has invited the Client to read the risk disclosure statements, disclaimers and explained the relevant risks associated with the derivative products based on the client's knowledge of derivatives as set out in the Terms and Conditions, ask questions and take independent advice if the Client wishes.

客戶已獲提供以其所選語言之有關風險披露聲明及免責聲明。以下簽署之持牌或註冊人員已邀請客戶參閱條款及條件及當中列明之風險披露聲明及免責聲明、提出問題及按其意願諮詢獨立意見，並按其對衍生產品的認識解釋相關風險。

Face-to-face 直接會面 Non Face-to-face 非直接會面 (Please complete the Phone Risk Disclosure Form 請填寫電話風險聲明表格)

| | |
|--|--|
| Signature of licensed or registered staff 持牌或註冊人員簽署 | Name of licensed or registered staff (in block letters) 持牌或註冊職員姓名（正楷填寫） |
| Date(dd/mm/yy)日期(日日/月月/年年) | C.E. No. 證監會中央編號 : _____ |

Standing Authority (For Margin Client Only) 常設授權書 (只供保證金客戶簽署)

To 致： Conrad Investment Services Limited

Standing Authority under Securities & Futures (Client Securities) Rules 根據《證券及期貨(客戶證券)規則》所設立的常設授權

This standing authority is in respect of the treatment of our securities collateral as set out below:

本常設授權是有關處置吾等之證券或證券抵押品，詳列如下：

Unless otherwise defined, the terms used in this standing authority shall have the same meanings as in the Securities & Futures Ordinance and Securities & Futures (Client Securities) Rules as amended from time to time.

除非另有說明，本授權書之名詞與《證券及期貨條例》及《證券及期貨(客戶證券)規則》不時修訂之定義具有相同意思。

This standing authority authorizes you to 本常設授權書授權貴公司：

1. apply any of our securities or securities collateral in accordance to Terms and Conditions of Client Agreement of Margin client paragraph 19;
依據證券保證金客戶協議之條款及守則第 19 條，貴公司可運用任何吾等的證券或證券抵押品；
2. deposit any of our securities collateral with an authorized financial institution as collateral for financial accommodation provided to you;
將任何吾等的證券抵押品存放於認可財務機構，作為該機構向 貴公司提供財務通融之抵押品；
3. deposit any of our securities collateral with Hong Kong Securities Clearing Company Limited ("HKSCC") as collateral for the discharge and satisfaction of your settlement obligations and liabilities. We understand that HKSCC will have a first fixed charge over our securities to the extent of your obligations and liabilities;
將任何吾等的證券抵押品存放於香港中央結算有限公司(「中央結算」)，作為解除 貴公司在交收上的義務和清償 貴公司在交收上的法律責任的抵押品。吾等明白中央結算因應 貴公司的責任和義務而對吾等的證券設定第一固定押記；
4. deposit any of our securities collateral with any other recognized clearing house, or another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of your settlement obligations and liabilities; and
將任何吾等的證券抵押品存放於任何其他認可結算所或任何其他獲發牌或獲註冊進行證券交易的中介人，作為解除 貴公司在交收上的責任和義務和清償 貴公司在交收上的法律責任的抵押品；
5. apply or deposit any of our securities collateral in accordance with paragraphs 1,2,3, and/or 4 above if you provide financial accommodation to us in the course of dealing in securities and also provide financial accommodation to us in the course of any other regulated activity for which you are licensed or registered
如貴公司在進行證券交易及貴公司獲發牌或獲註冊進行的任何其他受規管活動的過程中向吾等提供財務通融，即可按照上述第(1)、第(2)、第(3)及/或第(4)段所述運用或存放任何吾等的證券抵押品。

You may do any of these things without giving us notice. We acknowledge that this standing authority shall not affect your right to dispose or initiate a disposal by our affiliates of our securities or securities collateral in settlement of any liability owned by or on behalf of us to you, the affiliates or a third person.

貴公司可不向吾等發出事前通知而採取上述行動。吾等確認本授權書不影響 貴公司為解除由吾等或代吾等對 貴公司、貴公司之聯繫實體或第三者所負的法律責任，而處置或促使 貴公司的聯繫實體處置吾等之證券或證券抵押品的權利。

This standing authority is given to you in consideration of your agreeing to continue to maintain the securities margin account(s) for us.

此賦予 貴公司之授權乃鑑於 貴公司同意繼續維持吾等之證券保證金帳戶。吾等明白吾等的證券可能受制於第三者之權利，貴公司須全數抵償該等權利後，方可將吾等的證券退回吾等。

We understand that a third party may have rights to our securities, which you must satisfy before our securities can be returned to us.

吾等明白吾等的證券可能受制於第三者之權利，貴公司須全數抵償該等權利後，方可將吾等的證券退回給吾等。

This standing authority is valid for a period of not more than 12 months until 31-December this year. We understand that this standing authority may be revoked by giving you written notice. Such notice shall take effect upon the expiry of 14 days from the date of your actual receipt of such notice.

本常設授權書的有效期為十二個月，自本授權書之日起計有效。吾等可以向 貴公司客戶服務部位於上述所列明之地址發出書面通知，撤回本授權書。該等通知之生效日期為 貴公司真正收到該等通知後之 14 日起計。

We understand that this standing authority may be deemed to be renewed on a continuing basis without our consent if you issue us a written reminder at least 14 days prior to the expiry date of this standing authority, and we do not object to such expiry date.

吾等明白 貴公司若在本常設授權書的有效期屆滿前 14 日之前，向吾等發出書面通知，提醒吾等本授權書即將屆滿，而吾等沒有在此授權屆滿前反對此授權續期，本授權書應當作在不需要吾等的書面同意下按持續的基準已被續期。

In the event of any difference in interpretation or meaning between the Chinese version and English version of this standing authority, we agree that the English version shall prevail.

倘若本授權書的中文本與英文本在解釋或意義方面有任何異議，吾等同意應以英文本為準。

We acknowledge that this standing authority and re-pledging practice of your Company has been fully explained to us and we understand and agree with the contents of this standing authority.

吾等就本常設授權書的內容及貴公司的轉按政策獲得解釋，並且吾等明白及同意本授權書的內容。

Client Signature 客戶簽署

Authorized Signature(s) and Business Chop 授權簽署及商業印章



Date 日期