

# CLIENT AGREEMENT

## (CORPORATE CASH TRADING)

Exchange Participant of the Stock Exchange of Hong Kong Limited and Licensed Corporation with the Securities and Futures Commission

Corporate Account Opening Documents and Terms and Conditions of Cash Trading Agreement

## Client Information Form - Corporate Account

### 客戶資料表 — 公司帳戶

#### Company Information 公司資料

Name of Company (English/Chinese) 公司名稱 (英文/中文)	Account Name (if different from "Company Name") 帳戶名稱 (如有別於公司名稱)
<input type="text"/>	<input type="text"/>
Business Registration No. in Hong Kong 香港商業登記號碼	Certificate of Incorporation No: 註冊成立證書號碼
<input type="text"/>	<input type="text"/>
Nature of Business 業務性質	Date and Country of Incorporation 註冊日期及國家
<input type="text"/>	<input type="text"/>
Business Phone No. 辦事處電話	Address of Registered Office in Country of Incorporation 在成立國家之註冊地址
<input type="text"/>	<input type="text"/>
Phone No. of Contact person 聯絡人電話	<input type="text"/>
<input type="text"/>	<input type="text"/>
Email Address 電郵地址	Business Address (if different from Registered Office Address) 辦事處地址 (如有別於註冊地址)
<input type="text"/>	<input type="text"/>
Facsimile No. 傳真號碼	<input type="text"/>
<input type="text"/>	<input type="text"/>

#### Communication Method (for Statements and Notices) 通訊方式(用作發送結單及通知)

Statement 結單  Email 電郵  Post to Registered Address 郵寄至註冊地址  Post to Business Address 郵寄至辦事處地址

Notice 通知  Post to Registered Address 郵寄至註冊地址  Post to Business Address 郵寄至辦事處地址

#### Corporate Structure 公司結構

Particular of major shareholders whose shareholding is 10% or above (Not applicable to Public Listed Companies)  
持有百分之十或以上股權的主要股東資料 (上市公司除外)

Name(s) of Shareholder 股東名稱	Address 地址	% of Shareholding 所持股份
1. <input type="text"/>	1. <input type="text"/>	1. <input type="text"/>
2. <input type="text"/>	2. <input type="text"/>	2. <input type="text"/>
3. <input type="text"/>	3. <input type="text"/>	3. <input type="text"/>

#### Particular of Directors of the Company 公司董事資料

Name(s) of Director 董事名稱	Address 地址
1. <input type="text"/>	1. <input type="text"/>
2. <input type="text"/>	2. <input type="text"/>
3. <input type="text"/>	3. <input type="text"/>

(If there is insufficient space to complete, please continue on a separate sheet. 如空位不敷應用，請另加紙填寫。)

## Disclosure of Identify 相關身份披露

1. Is any of the above-mentioned shareholders/directors of the Client, the Client's authorised persons, the person ultimately responsible for giving instructions for the Account(s) or the ultimate beneficial owner(s) of the Account(s) (in each case, a "Relevant Person"), a director, an employee or a representative of any intermediary under the Securities and Futures Ordinance?

客戶上述的任何股東/董事、客戶的獲授權人、最終負責就帳戶發出指示的人士或帳戶最終實益擁有人（統稱為「相關人士」）是否為《證券及期貨條例》之下任何中介人的董事、僱員或代表？

No 否

Yes\*, please provide the name of the Relevant Person 是\*，請列出相關人士的名稱 \_\_\_\_\_

Name of the intermediary 中介人名稱 \_\_\_\_\_

Position held at intermediary 在中介人處擔任的職位 \_\_\_\_\_

\*Please attach a consent letter of account opening from the intermediary. 請附上該中介人發出之開戶同意書。

2. Is any of the above-mentioned shareholders/directors of the Client, the Client's authorised persons, the person ultimately responsible for giving instructions for the Account(s) or the ultimate beneficial owner(s) of the Account(s), a relative of any employee of Sanston Financial Group Limited or its group companies?

客戶上述的任何股東/董事、客戶的獲授權人、最終負責就帳戶發出指示的人士或帳戶最終實益擁有人是否與萬富金融集團有限公司或其集團公司之任何職員有親屬關係？

No 否

Yes\*, please provide the name of the employee and relationship with the employee 是\*，請列出該職員名稱及與此人之關係 \_\_\_\_\_

## Authorised Person(s) 獲授權人

The following person(s) is /are authorised on behalf of the Company to give written and/or oral instructions in relation to the trading of the account: 本公司授權以下人士以書面和/或口頭指示在本帳戶進行交易事宜：

Name (English and Chinese) 名稱（英文及中文）	HKID No./Passport No. and Country of Issue 香港身份證號碼/護照號碼及簽發國家	Contact Number 聯絡電話	Specimen Signature 授權簽名樣本
1. _____	1. _____	1. _____	1. _____
2. _____	2. _____	2. _____	2. _____
3. _____	3. _____	3. _____	3. _____

(If there is insufficient space to complete, please continue on a separate sheet. 如空位不敷應用，請另加紙填寫。)

Please attach a Letter of Authorisation and an Information Statement of the Authorised Person for each of the Authorised Person(s) mentioned above. 請就上述每位獲授權人附上授權書及獲授權人資料表。

## Financial Background of the Company 公司財務狀況

Authorised Share Capital (in HK\$) 法定資本（以港幣計算）	_____ shares of Authorised 法定股份; HK\$_____ 港幣/each share 每股
Paid up Capital (in HK\$) 繳足資本（以港幣計算）	_____ shares of Outstanding 已發行股份; HK\$_____ 港幣/each share 每股

Net Asset Value (in HK\$) 資產淨值（以港幣計算）

≤ \$100,000  > \$100,000 - \$1,000,000  > \$1,000,000 - \$5,000,000  > \$5,000,000

Any Latest Financial Accounts Record provided? 有否提供最近的財務帳目記錄？

Yes 有  No 沒有

## Payment Method (for fund withdrawal) 付款方式（用作資金提取）

Cheque 支票

Deposit in Bank (please complete the bank details in the next section) 存入銀行（請填寫下一個部份之銀行資料）

Telegraphic Transfer (charges shall be borne by the account holder) 電匯（費用由帳戶持有人支付）

## Bank Details 銀行資料

Name of Bank Account Holder 銀行帳戶持有人名稱

Account No. 帳戶號碼

Name of Bank 銀行名稱

Account Type 帳戶類別

Savings Account 儲蓄帳戶 or 或  Current Account 往來帳戶

## Investment Objective and Experience 投資目標及經驗

Investment Objective 投資目標

Aggressive 進取  Growth 增長  Conservative 保守

Others (Please specify) 其他 (請闡明) \_\_\_\_\_

## Investment Experience 投資經驗

Securities Trading 證券交易  No 沒有/  Yes 有 \_\_\_\_\_ year(s)年 approx. value 價值約HK\$ \_\_\_\_\_ 港元

Commodity Futures Trading 商品期貨交易  No 沒有/  Yes 有 \_\_\_\_\_ year(s)年 approx. value 價值約HK\$ \_\_\_\_\_ 港元

Futures/Options Trading 期貨及期權交易  No 沒有/  Yes 有 \_\_\_\_\_ year(s)年 approx. value 價值約HK\$ \_\_\_\_\_ 港元

Forex Trading 外匯交易  No 沒有/  Yes 有 \_\_\_\_\_ year(s)年 approx. value 價值約HK\$ \_\_\_\_\_ 港元

Bullion Trading 貴金屬交易  No 沒有/  Yes 有 \_\_\_\_\_ year(s)年 approx. value 價值約HK\$ \_\_\_\_\_ 港元

Real Estate/ Property Trading 房地產/物業交易  No 沒有/  Yes 有 \_\_\_\_\_ year(s)年 approx. value 價值約HK\$ \_\_\_\_\_ 港元

## Identity of Person(s) Ultimately Responsible for Originating the Instructions in relation to a Transaction 最終負責發出交易指示人士的身份

The person who is ultimately responsible for originating the instructions in relation to a transaction is 最終負責發出交易指示的人士是 \_\_\_\_\_

HKID/Passport No. and country of issue 香港身份證/護照號碼及簽發國家 \_\_\_\_\_

Address 地址 \_\_\_\_\_

Occupation 職業 \_\_\_\_\_

Relationship between the Account Holder(s) and the person who is ultimately responsible for originating the instructions in relation to a transaction

帳戶持有人與最終負責發出交易指示人士之關係 \_\_\_\_\_

## Identity of Ultimate Beneficial Owner(s) of the Account 帳戶最終實益擁有人的身份

The name(s) of ultimate beneficial owner(s) who stand(s) to gain the commercial or economic benefit of the transaction and/or bear its commercial or economic risk 將會從交易取得商業或經濟利益及/或承擔其商業或經濟風險之最終實益擁有人之名稱 \_\_\_\_\_

HKID/Passport No. and country of issue 香港身份證/護照號碼及簽發國家 \_\_\_\_\_

Address 地址 \_\_\_\_\_

Occupation 職業 \_\_\_\_\_

Relationship between the Account Holder(s) and the ultimate beneficial owner 帳戶持有人與最終實益擁有人之關係 \_\_\_\_\_

**Declaration, Undertaking, Authorisation and Execution 聲明、承諾、授權及執行**

I/We declare and acknowledge that:

本人/吾等聲明及確認:

1. I/We confirm that all information written on the Client Information Form is true, complete and correct, and that your company is entitled to rely fully on such information and representations for all purposes, unless you receive notice in writing of any change. You are authorised at any time to contact anyone, including my banks, brokers or any credit agency, for purposes of verifying the information provided in this application.

本人/吾等確認客戶資料表所載之資料乃真實、完整及正確，除非貴公司接獲關於任何變更的書面通知，否則貴公司有權就一切目的全面信賴該等資料及聲明。貴公司獲授權隨時聯絡任何人士，包括本人的銀行、經紀或任何信用調查機構，以查對此申請表所提供之資料。

2. I/We declare that I/we have the necessary power and authority to carry out the Agreement in all aspects without limitation.

本人/吾等聲明本人/吾等擁有所需之能力和權力無限制地去執行本合約的各方面。

3. The natural person signing the Agreement at the place provided for signature of the Client as well as all persons (if any) signing the Client Agreement purportedly on behalf of the Client jointly and severally warrant that such signatory(ies) has/have full authority to enter into the Agreement on behalf of the Client and that the Agreement shall bind the Client as a corporation in all respect and shall indemnify and save the Broker harmless from all losses arising out of or in connection with the Agreement in the event of any breach of this warranty.

本合約內在客戶簽署之位置上簽署的人士或所有代表客戶簽署合約的人士，在此共同地和各別地保證該簽署人擁有所需權力去代表客戶簽署合約，本合約將對公司客戶具約束力，如本保證被違反而經紀因本合約招致損失或遭受與本合約有關的損失，上述簽署人應彌償經紀並使其不受損害。

4. Any of the above mentioned authorised signer is hereby authorised individually, without counter-signature or co-signature to deal with the Broker on behalf of the Client and specifically but without limitation to the following:

任何上述之獲授權簽署者特此個別地獲得授權，在毋須加簽或同簽的情況下，代表客戶透過經紀進行交易，具體地包括但不限於下列各項：

- to buy, sell and otherwise through the Broker deal in securities on margin or otherwise (including short sales);  
以保險金或其他方式(包括賣空)買賣證券或透過經紀以其他方式進行證券交易；
- to receive on behalf of the Client demands, notices, confirmations, reports, statements of accounts and communications of every kind;  
代表客戶收取各種要求書、通知、確認書、報告、帳戶結單和通訊；
- to receive on behalf of the Client money, securities and property of every kind, and to dispose of the same;  
代表客戶收取和變賣款項、股票和任何財物；
- to make on behalf of the Client any agreement relating to any of foregoing matters and to terminate or modify the same or waive any of the provisions thereof; and  
代表客戶就上述任何事宜作出任何協議，終止或修改該協議或免除其任何條款；及
- generally to deal with the Broker on behalf of the Client.  
代表客戶一般地與經紀進行交易。

5. I/We have read and accepted the terms and conditions of the Agreement relating to trading in securities. I/We confirm my/our understanding of the terms and conditions of the Agreement, the Risk Disclosure Statement as set out in the Agreement and the contents of the Agreement relating to trading in securities have been duly explained to me/us in a language that I/we understand.

本人/吾等已詳閱並同意本合約內有關證券買賣的條款及細則。本人/吾等確認本人/吾等明白本合約的條款及細則，以及本合約列明的風險披露聲明書，而本合約中有關證券買賣的內容已按本人/吾等明白的語言向本人/吾等解釋清楚。

6. I/We declare that I/we have been advised to read the terms and conditions of the Agreement, the Risk Disclosure Statement and the Personal Data (Privacy) Ordinance Circular carefully, ask questions and take independent advice if I/we wish.

本人/吾等聲明本人/吾等已被建議詳細閱讀本合約的條款及細則、風險披露聲明書和個人資料(私隱)條例通告，並可據本人/吾等意欲提出問題或尋求獨立意見。

7. I/We have carefully considered the Risk Disclosure Statement and the Disclaimers, and I/we recognise that trading in securities involves a high degree of risk. Considering my/our financial position and investment objective, I/we confirm that I/we am/are financially able to assume such risks and to sustain any losses resulting from such trading and voluntarily confirm that trading in securities is a suitable trading vehicle for me/us.

本人/吾等已仔細考慮風險披露聲明書及免責聲明，及本人/吾等了解進行證券買賣所涉及之高風險。考慮到本人/吾等的財務狀況和投資目標，本人/吾等確認本人/吾等之財政能承擔該交易帶來之風險和承受其帶來之任何損失，亦自願確認證券買賣是一項對本人/吾等合適的買賣方式。

8. I/We understand and agree that the provisions of the terms and conditions of Agreement and the Personal Data (Privacy) Ordinance Circular may be amended, supplemented or revised from time to time by the Broker by way of notice and I/we recognise that I/we may at any time ask for a copy of each of the up-to-date Agreement and Personal Data (Privacy) Ordinance Circular for perusal.

本人/吾等明白和同意，本合約的條款及細則和個人資料(私隱)條例通告可被經紀不時以通知方式作出變更、補充或修改，本人/吾等明瞭本人/吾等可隨時索取一份經過更新的本合約和個人資料(私隱)條例通告。

9. I/We acknowledge and confirm that I/we must (i) observe any possible tax consequences and (ii) comply with any legal requirements and foreign exchange restrictions or exchange control requirements which might be applicable under the laws of the countries of my/our incorporation, citizenship, residence and/or domicile and which might be relevant to the purchase, holding or disposal of securities.

本人/吾等知悉及確認本人/吾等必須遵守本人/吾等登記註冊國、國籍國、居住國及或居籍國的法律之下可能適用的與購買、持有及沽售證券相關的 (i) 可能產生的任何稅務後果及 (ii) 法律規定及外匯限制或管制規定。

Name of Company 公司名稱

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Was hereto affixed pursuant to its board resolution

A certified true copy of which is attached hereto

已依據其董事會決議在此蓋章

在此附上已經核證為實的副本

Name of Authorised Signatory 獲授權人名稱

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Authorised Signature(s) with company chop

獲授權簽名及公司印章

In the presence of 見證人：

Name of Witness\* 見證人名稱\*

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Profession/Occupation 專業/職業

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Name of Company 公司名稱

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Signature of Witness

見證人簽署

Company Address 公司地址

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Acknowledged and Accepted by

SANSTON FINANCIAL GROUP LIMITED

經由萬富金融集團有限公司承認及接納

Authorised Signature(s) with Company Stamp

獲授權簽名及公司印章

Dated \_\_\_\_\_ of \_\_\_\_\_ of \_\_\_\_\_  
日期 day(日) month(月) year(年)

\*Note 備註：

Witness should be a licensed or registered person, an affiliate of a licensed or registered person, a Justice of the Peace, or a professional person such as a branch manager of a bank, certified public accountant, lawyer or notary public.

見證人應為持牌或註冊人士、持牌或註冊人士的聯絡人士、太平紳士或專業人士，例如銀行分行經理、執業會計師、律師或公證人。

## Risk Disclosure Statement

### 風險披露聲明書

The following risk disclosure statement are provided pursuant to the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission:

以下的風險披露聲明書是根據 證券及期貨事務監察委員會持牌人或註冊人操守準則 的要求予以提供：

#### 1. RISK OF SECURITIES TRADING 證券交易的風險

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 losses will be incurred rather than profit made as a result of buying and selling securities.

證券價格有時可能會非常波動。證券價格可升可跌，甚至變成毫無價值，買賣證券未必一定能夠賺取利潤，反而可能會招致損失。

#### 2. RISK OF TRADING GROWTH ENTERPRISE MARKET STOCKS 買賣創業板股份的風險

Growth Enterprise Market (GEM) stocks 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 stocks may be very volatile and illiquid.

創業板股份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。創業板股份可能非常波動及流通性很低。

You 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.

你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 stocks may only be found on the internet website operated by The Stock Exchange of Hong Kong Limited. GEM companies are usually not required to issue paid announcements in gazetted newspapers.

有關創業板股份的最新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。

You should seek independent professional advice if you are uncertain of or have not understood any aspect of this risk disclosure statement or the nature and risks involved in trading of GEM stocks.

假如你對本風險披露聲明書的內容或創業板市場的性質及在創業板買賣的股份所涉風險有不明白之處，應尋求獨立的專業意見。

#### 3. RISKS OF CLIENT ASSETS RECEIVED OR HELD OUTSIDE HONG KONG 在香港以外地方收取或持有的客戶資產的風險

Client assets received or held by the licensed or registered person 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 therein. Consequently, such client assets may not enjoy the same protection as that conferred on client assets received or held in Hong Kong.

持牌人或註冊人在香港以外地方收取或持有的客戶資產，是受到有關的海外司法管轄區的適用法律及規例所監管的。這些法律及規例與（證券及期貨條例）（香港法例第571章）及根據該條例制訂的規則可能有所不同。因此，有關客戶資產將可能不會享有賦予在香港收取或持有的客戶資產的相同保障。

#### 4. RISK OF TRADING NASDAQ-AMEX SECURITIES AT THE STOCK EXCHANGE OF HONG KONG LIMITED

在香港聯合交易所有限公司買賣納斯達克 - 美國證券交易所證券的風險

The securities under the Nasdaq-Amex Pilot Program ("PP") are aimed at sophisticated investors. You should consult a licensed or registered person and become familiarised with the PP before trading in the PP securities. You should be aware that the PP securities are not regulated as a primary or secondary listing on the Main Board or the Growth Enterprise Market of the Stock Exchange of Hong Kong Limited. 按照納斯達克 - 美國證券交易所試驗計劃（「試驗計劃」）掛牌買賣的證券是為熟悉投資技巧的投資者而設的，你在買賣該項試驗計劃的證券之前，應先諮詢有關持牌人或註冊人的意見和熟悉該項試驗計劃。你應知悉，按照該項試驗計劃掛牌買賣的證券並非以香港聯合交易所有限公司的主板或創業板作第一或第二上市的證券類別加以監管。

#### 5. RISK OF PROVIDING AN AUTHORITY TO HOLD MAIL OR TO DIRECT MAIL TO THIRD PARTIES

提供代存郵件或將郵件轉交第三方的授權書的風險

If you provide the licensed or registered person with an authority to hold mail or to direct mail to third parties, it is important for you to promptly collect in person all contract notes and statements of your account and review them in detail to ensure that any anomalies or mistakes can be



detected in a timely fashion.

假如你向持牌人或註冊人提供授權書，允許他代存郵件或將郵件轉交予第三方，那麼你便須盡速親身收取所有關於你帳戶的成交單據及結單，並加以詳細閱讀，以確保可及時察覺到任何差異或錯誤。

#### 6. ADDITIONAL TRADING RISKS 其他買賣風險

Deposited cash and property - You should familiarise yourself with the protections given to money or other property you deposit for domestic and foreign transactions, particularly in the event of a firm insolvency or bankruptcy. The extent to which you may recover your money or property may be governed by specific legislation or local rules. In some jurisdictions, property which had been specifically identifiable as your own will be pro-rated in the same manner as cash for purposes of distribution in the event of a shortfall.

存放的現金及財產，如果你為在本地或海外進行的交易存放款項或其他財產，你應瞭解清楚該等款項或財產會獲得哪些保障，特別是在有關商號破產或無力償債時的保障。至於能追討多少款項或財產一事，可能須受限於具體法例規定或當地的規則。在某些司法管轄區，收回的款項或財產如有不足之數，則可認定屬於你的財產將會如現金般按比例分配予你。

Commission and other charges - Before you begin to trade, you should obtain a clear explanation of all commission, fees and other charges for which you may be liable. These charges will affect your net profit (if any) or increase your loss.

佣金及其他收費-在開始交易之前，你先要清楚瞭解你必須繳付的所有佣金、費用或其他收費。這些費用將直接影響你可獲得的淨利潤(如有)或增加你的虧損。

Transactions in other jurisdictions - Transactions on markets in other jurisdictions, including markets formally linked to a domestic market, may expose you to additional risk. Such markets may be subject to regulations which may offer different or diminished investor protection. Before you trade, you should enquire about any rules relevant to your particular transactions in those jurisdictions. Your local regulatory authority will be unable to compel the enforcement of the rules of regulatory authorities or markets in other jurisdictions where your transactions have been effected. You should ask for details about the type of redress available in both your home jurisdiction and other relevant jurisdictions before you start to trade.

在其他司法管轄區進行交易-在其他司法管轄區的市場(包括與本地市場有正式連繫的市場)進行交易，或會涉及額外的風險，根據這些市場的規例，投資者享有的保障程度可能有所不同，甚或有所下降。在進行交易前，你應先行查明在那些司法管轄區有關你將進行的該項交易的所有規則。你本身所在地的監管機構，對於你已執行的交易所在地的所屬司法管轄區的監管機構或市場，將不能迫使它們執行有關的規則。有鑑於此，在進行交易之前，你應先查詢你本地區所屬的司法管轄區及其他有關司法管轄區可提供哪種補救措施的詳情。

Currency risks - The profit or loss in transactions in foreign currency-denominated assets (whether they are traded in your 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 assets to another currency.

貨幣風險 - 以外幣計算的資產買賣所帶來的利潤或招致的虧損(不論交易是否在你本身所在的司法管轄區或其他地區進行)，均會在需要將資產的貨幣單位兌換成另一種貨幣時受到匯率波動的影響。

## Declaration by Licensed Representative

持牌代表聲明

I have provided the risk disclosure statement and fully explained the contents of the relevant risk disclosure statement to \_\_\_\_\_ (Name of client(s)) in a language which the client fully understands and have invited the client to read the risk disclosure statement, ask questions and take independent advice if the client so wishes.

本人按客戶明白的語言向 \_\_\_\_\_ (客戶名稱) 提供風險披露聲明書及全面解釋風險披露聲明書的內容, 並已邀請客戶閱讀該風險披露聲明書, 提出問題及徵求獨立意見 (如客戶有此意願)。

\_\_\_\_\_  
Signed by licensed representative 持牌代表簽署

\_\_\_\_\_  
Name of licensed representative (in block letters) 持牌代表名稱(正楷)

\_\_\_\_\_  
CE number 中央編號

Date 日期: \_\_\_\_\_

## Certified Extract of Board Resolution

Name of Company: \_\_\_\_\_ ("the Company")

Registered Office: \_\_\_\_\_

Business Address: \_\_\_\_\_

To: Sanston Financial Group Limited ("Sanston")

At a Meeting of the Directors of the Company duly convened and held at \_\_\_\_\_

on the \_\_\_ day of \_\_\_\_\_, notice of which was duly given to the Directors of the Company and at which a quorum was present and acting throughout, the following Resolutions were duly passed and are now in full force and effect. -

1. That any \_\_\_\_\_ Director(s) and/or \_\_\_\_\_

\_\_\_\_\_ be and are hereby authorised and empowered on behalf of the Company to open any securities dealing Account(s) with Sanston Financial Group Limited ("Sanston") and to give Sanston such instruction and/or to sign any document and/or to do any act or thing as may be necessary or expedient for the operation and maintenance of such Account(s) and, in particular, but without prejudice to the generality of the foregoing, such persons be and are hereby empowered on behalf of the Company to authorise and approve any transaction in securities; to give written or oral instructions to Sanston with respect to any such transactions or any matter concerning the Company's Account(s); to bind the Company in the carrying out of any contract, arrangement or transactions which shall be entered into by any such person on behalf of the Company with or through Sanston; to pay by cheque or draft drawn upon the funds of the Company or by any other means such sums as may be necessary in connection with any of the Company's Accounts; to deliver securities to Sanston; upon presentation of written instruction, to order the transfer or delivery thereof to any other person, and to order the transfer of the securities to any name selected by any such person; to affix the Company's Common Seal to any instruments, documents or agreements, including, without limitation to, any charge on shares and similar securities which may at any time or from time to time require to be executed by the Company in favour of Sanston as security for the Company's obligations and liabilities to Sanston or otherwise; to charge any shares or similar securities to Sanston or to pledge the certificates or title deeds therefore to Sanston; to endorse any securities in order to pass title thereto; to direct the sale or exercise of any rights with respect to any securities; to withdraw from any securities and funds that may from time to time be carried by Sanston for the account of the Company; to sign for the Company releases, powers of attorney and other instruments or documents in connection with any of the Company's Accounts and to agree to any terms or conditions to control any such Account; upon presentation of written instruction, to direct Sanston to surrender any securities to the proper agent or party for the purpose of effecting any exchange or conversion, or for the purpose of deposit with any protective or similar committee, or otherwise; to accept delivery of any securities; to appoint any other person or persons to do any and all things which any of the said person or persons is hereby authorised or empowered to do; and generally to do and/or take any and all action necessary in connection with any of the Company's Account(s) or considered desirable by such persons in connection therewith.

2. That Sanston be supplied immediately with an up-to-date copy of the Company's Memorandum and Articles of Association and/or other constitutional documents, as applicable and with a copy of each amending Resolution of the shareholders or the Directors (as the case may be) as soon as the same has been passed.
3. That Sanston be supplied immediately with a list of the names and specimen signatures of the Directors and any other person(s) authorised by Resolution in clause 1 above to sign and act on behalf of and bind the Company, that Sanston be informed forthwith by the Chairman of the Board of Directors of the Company in writing of any changes thereto and that Sanston be and is hereby authorised and entitled to act upon any such information until and subject to the receipt of additional information and/or any variation thereto from the Chairman or other authorised Directors of the Company in writing.
4. That an extract of any Resolution of the shareholders or the Directors (as the case may be) if purporting to be certified as true and complete and in accordance with the constitutional documents of the Company and any and all applicable laws and regulations by the Chairman of the meeting at which such Resolution was passed shall, as between Sanston and the Company, be conclusive evidence of the passing of such Resolution.
5. That an agreement, in the form produced to the Meeting, to be entered into by the Company with Sanston, setting out, inter alias, a mandate letter and the terms and conditions for the opening, maintenance and operation of the Company's securities dealing Account(s) with Sanston, be and is hereby approved, and that such agreement be executed in accordance with Resolution clause 1 above for and or behalf of and so as to bind the Company.

6. That a copy of these Resolutions, certified by the Chairman of the Meeting, be delivered to Sanston and remain in full force and effect subject to any amending Resolutions which may be passed by the shareholders or Directors from time to time, and a copy thereof, certified by the Chairman of the Meeting, shall have been received by Sanston.

**I, the undersigned, HEREBY CERTIFY that-**

- (a) the foregoing is a true copy of the Board Resolutions of the Company as entered in the Minute Book of the Company and which were duly passed at a meeting of the Board of Directors of the Company dated \_\_\_\_\_ (the "Meeting") in accordance with the Memorandum and Articles of Association and/or other constitutional documents, as applicable, of the Company and which are in compliance with any and all applicable legal and regulatory requirements relating to the Company;
- (b) I was present at, and took the chair of the Meeting; and
- (c) the list of names of the Directors and other persons (if any) authorised to open and operate the securities dealing Account(s) on behalf of the Company, their specimen signatures and (if applicable) the specimen impression of the Company's chop, as supplied to you, are correct and genuine.

Dated the \_\_\_\_\_ day of \_\_\_\_\_

\_\_\_\_\_  
Chairman of the Meeting

Date:

Sanston Financial Group Limited  
Unit 2812, 28/F The Center  
99 Queen's Road Central  
Hong Kong

Dear Sir/Madam,

**Re: Letter of Guarantee**

I/We, \_\_\_\_\_ of HKID / Passport / CI/ BR No. \_\_\_\_\_, hereby agree and confirm that I/we will irrevocably and unconditionally undertake and guarantee to Sanston Financial Group Limited ("Sanston") as follows:

- 1) the prompt and punctual payment to Sanston by the Client, \_\_\_\_\_, of all sums of monies whether of principal, interest or otherwise, due and payable on demand by you;
- 2) if default shall be made by the Client as stated in Clause 1 above in payment of any or all the monies owed to Sanston, I/we will as the guarantor, undertake to pay to Sanston any and all the monies owed and all other expenses and costs including but not limited to the interests and legal expenses and cost for enforcing this security;
- 3) I/we will continue to indemnify Sanston against all losses, damages, cost and expenses or otherwise which may be incurred by Sanston as a result of default being made by the Client as stated in Clause 1 above.

This guarantee shall be a continuing guarantee and my/our obligations shall not be discharged or released until the whole of the monies shall have been paid in full, notwithstanding any rule of law or equity to the contrary.

The terms and conditions shall be governed by and construed in all respects in accordance with the laws of Hong Kong SAR. The parties hereto hereby submit to the non-exclusive jurisdiction of the Hong Kong courts.

\_\_\_\_\_  
Signature(s) /Authorised Signature(s)

Witnessed by:

\_\_\_\_\_  
Signature  
Name:  
HKID/ Passport No.:

## Terms and Conditions of Cash Trading Agreement

### 現金交易之條款及細則

These terms and conditions set out the rights and obligations of you (the “Client”) and us, Sanston Financial Group Limited (the “Broker”), in connection with the operation of your cash account(s) opened or to be opened with us for dealing in purchase and/or sale of Securities. All the terms and conditions below are legally binding, therefore please read them carefully or seek independent legal professional advice before you agree to be bound by them.

本條款及細則就閣下(客戶)使用於萬富金融集團有限公司(「萬富」,「經紀」)已開立或即將開立的交易帳戶,依據現金交易方式處理證券買賣,列出閣下和經紀各自的權利和義務。以下所有條款及細則均具有法律約束力,故此閣下在同意接受該等條款和細則約束前,請先仔細閱讀清楚及徵求獨立的法律專業意見。

### Interpretation 釋義

In this Agreement, unless the context requires 在本合約中,除非下文另有規定,否則:

“Account” means anyone or more cash trading account(s) opened, maintained and operated by the Client with Sanston Financial Group Limited from time to time for use in connection with the purchases, sales, holdings or other dealing in Securities and other financial products effected through Sanston Financial Group Limited on behalf of the Client;

「帳戶」指已在萬富開立、維持及運作的一個或以上的現金交易帳戶,用以透過萬富代表客戶進行證券及其他金融產品的買賣或持有或其他交易;

“Agreement” means these terms and conditions, Risk Disclosure Statement, the circular to Client relating to Personal Data (Privacy) Ordinance, and Client Information Form which shall be read together as one agreement as original executed or thereafter may from time to time be amended or supplemented;

「本合約」指本條款及細則、風險披露聲明書、個人資料(私隱)條例客戶通告及客戶資料表(上述文件應合併理解為原來簽訂的或其後不時修訂或補充的一份協議);

“Broker” means Sanston Financial Group Limited;

「經紀」指萬富金融集團有限公司

“Client” means any individual, firm or company under the Account whose particulars are set out in the Client Information Form;

「客戶」指任何個人、公司或商行的帳戶,其資料詳載於客戶資料表;

“Client Information Form” means the form to open an account duly completed and signed by the Client(s) as well as all those documents furnished by the Client(s) in support of the application for opening an account with the Broker;

「客戶資料表」指客戶填寫及簽署的開立交易帳戶之表格,並

包括客戶向開經紀申請開立帳戶而提供的所有文件;

“Exchange” means The Stock Exchange of Hong Kong Limited or, where applicable, any other stock exchanges outside HongKong;

「交易所」指香港聯合交易所有限公司,或如適用,香港境外的任何其他證券交易所;

“Hong Kong” means the Hong Kong Special Administrative Region of the People’s Republic of China;

「香港」指中華人民共和國香港特別行政區;

“Instructions” means instructions given by the Client(s), which in any way relate to the conduct of purchases, sales, holdings or other dealings in Securities and other financial products effected through Sanston Financial Group Limited on behalf of the Client(s), arising out of and/or are in connection with the Account, whether such instructions are given orally, in writing, by facsimile, telex and/or by electronic means;

「指示」指客戶發出的在任何方面有關萬富代表客戶進行的證券及其他金融產品買賣或持有的指示。該等指示因帳戶而產生及或與帳戶有關,可以口頭、書面、傳真、電傳及或電子方式發出;

“Licensed Corporation” means Sanston Financial Group Limited, which is a licensed corporation (CE No.AOR964 ), licensed by the SFC under the Securities and Futures Ordinance to carry out the regulated activities, including dealing in securities;

「持牌集團」指萬富金融集團有限公司,一家獲發牌公司中央(編號:AOR964),其已獲證券及期貨事務監察委員會根據證券及期貨條例發牌照進行規管活動,包括證券交易;

“Securities” include the meaning in Schedule I of the Securities and Futures Ordinance, but to leave no room for doubt, shall also include warrants, B shares, unlisted

securities (including mutual funds), securities to be listed on the Exchange and securities listed and/or traded on any Exchange;

「證券」《包括證券及期貨條例》附表之涵義，但為免產生疑問，亦包括認股權證、B股、非上市證券（包括互惠基金）、將於交易所上市的證券及在任何交易所上市及或買賣的證券；

“Securities and Futures Ordinance” means the Securities and Futures Ordinance (Chapter 571) and any subsidiary legislation made thereunder of the laws of Hong Kong as the same may be from time to time amended or re-enacted;

「證券及期貨條例」指不時修訂或重新制定立法的《證券及期貨條例》(香港法例第571章) 及根據該等香港法例制定的任何附屬法例；

“SFC” means the Securities and Futures Commission.

「證監會」指證券及期貨監察委員會；

“Trading Service” means any facility provided or to be provided by the Broker from time to time under this Agreement which enables the Client to give Instructions relating to any transaction, and send or receive other information services via telecommunications media including through the use of mobile phones or telecommunications devices as the Broker may from time to time prescribe);

「交易服務」指經紀在本合約之下不時已提供或將提供的任何便利，使客戶能夠透過電訊媒介（包括透過使用無線電話或經紀可能不時指定的其他電訊裝置），發出有關任何交易的指示並且發送或接收其他資訊服務；

Words importing the singular shall include the plural and vice versa.

單數詞亦包括其眾數詞義，反之亦然。



## Whereas 鑒於

1. The Client is desirous of opening one or more cash accounts with the Broker for the purpose of trading in Securities; and 客戶欲於經紀處開立一個或多個現金帳戶，用以進行證券買賣；及
2. The Broker agrees that it will open and maintain such cash account(s) and act as an agent for the Client(s) in the purchase and sale of securities subject to the terms and conditions of this Agreement. 經紀同意開立及維持該(等)現金帳戶，並以客戶之代理人身份，根據本合約之條款，進行證券買賣。

## NOW IT IS HEREBY AGREED as follows: 現雙方協議如下:

### 1. The Account 帳戶

- 1.1 The Client confirms that the information provided in the account opening documents is complete and accurate. The Client will inform the Broker of any changes to that information promptly. The Broker is authorised to conduct credit enquires on the Client to verify the information provided. 客戶確認「開戶文件」所載資料均屬完整及正確。倘該等資料有任何變更，客戶將會通知經紀。客戶特此授權經紀對客戶的信用進行查詢，以核實上述表格所載資料。
- 1.2 Whilst the Client expects the Broker to keep confidential all matters relating to their account, the Client hereby expressly agrees that the Broker may be required to disclose their details to the relevant exchanges, the SFC, government agencies, or to any persons pursuant to any court orders or statutory provisions. The Broker will comply with such requests without further notices to or consent from the Client. 雖然客戶預期經紀對有關其帳戶的所有事宜保密，但客戶特此明確同意經紀可能有需要根據任何法院命令或成文法規而向有關機構如交易所、證監會、政府當局或任何人，將客戶資料披露。經紀將毋須知會客戶或取得客戶的同意而遵守上述要求。

### 2. Laws and Rules 法例及規則

- 2.1 All transactions with respect to securities made for and on the Client's behalf in Hong Kong or elsewhere shall be subject to the constitution, by-laws, rules, rulings, regulations, transaction levies, customs and usage prevailing from time to time of the exchange or market and its clearing house, if any, where made (including, without limitation, with respect to trading and settlement) and to all laws, regulations and orders of any governmental or regulatory authorities that may be applicable from time to time. For the avoidance of doubt, transactions executed on the Client's instructions on

the Exchange or any stock exchange in another country shall be subject to a transaction levy and any other levies that the Exchange or the relevant overseas stock exchange from time to time may impose and the Broker is hereby authorised to collect any such levies in accordance with the rules prescribed by the Exchange or the relevant overseas stock exchange from time to time and the Rules of the Exchange and the Hong Kong Securities Clearing Company Limited and the rules of the relevant overseas stock exchange and clearing house (in the event that the transactions is executed on a stock exchange in another country), in particular those rules which relate to trading and settlement shall be binding on the Client and the Broker in respect of transactions concluded on the Client's instructions.

一切為或代表客戶在香港或其他地方進行之證券交易，須受有關交易所或市場及(如有)其結算公司當時適用之章程、附例、規則、判令、規例、交易徵費、常規及價例約束(包括但不限於有關交易及交收之規則)，並須遵守政府或監管機構不時頒佈之所有適用法例，規則及法令之規定為免引起疑問，依客戶指示在交易所或其他國家的證券交易所之交易須繳付交易徵費及由交易所或上述證券交易所不時徵收的任何其他費用。經紀謹此獲授權根據交易所或有關的海外證券交易所不時指定之規則收取該等徵費。有關依客戶指示達成之一切交易，交易所及香港結算有限公司及其他國家有關證券交易所及結算所(倘若該等交易為在其他國家的證券交易所所進行)之規則(尤其有關交易及結算之規則)，對經紀及客戶均具約束力。

- 2.2 If any provisions of this Agreement are or should become inconsistent with any present or future law, rule or regulation of the Exchange and/or any Exchange or any other relevant authority or body having jurisdiction over the subject matter of this Agreement, such provision shall be deemed to be rescinded or modified in accordance with any such law, rule or regulation. In all other respects, this Agreement shall continue and remain in full force and effect.

若任何在本合約列出之條文是或者變成與任何現行或將來之法律、交易所及/或任何交易所或任何其它對本合約的內容有司法管轄權的有關主管機構或團體之規則或規例有任何不符，該條文應被視作已撤銷或按任何該等法例、規則或規例而被修改。在所有其它方面，本合約仍繼續及維持十足效力及作用。

### 3. Transactions 交易

- 3.1 The Broker will act as the Client's agent in effecting transactions unless the Broker indicates (in the contract note for the relevant transaction or otherwise) that it is acting as principal. 除非經紀在有關交易的成交單據或其他合約單據內註明以自己本身名義進行交易，否則經紀將以客戶代理人身份進行交易。



3.2 The Client undertakes to inform the Broker when a sell order is in respect of securities which the Client does not own i.e. a short sale. The Client acknowledges at the Broker may be prohibited by applicable laws or regulations from executing such orders on its behalf.

客戶承諾當一個沽盤是有關客戶不擁有的證券時，即賣空，客戶會通知經紀。客戶知經紀受適用法律及規例下，可能被禁止代客戶執行該指示。

3.3 Unless otherwise agreed, in respect of each transaction, unless the Broker is already holding cash or securities on the Client's behalf to settle the transaction, the Client shall 除另有協定外，就每一宗交易，除非經紀代客戶已經持有現金或證券供交易交收之用，否則客戶須在經紀就該項交易通知客戶之時

- pay the Broker cleared funds or deliver to it securities in deliverable form; or  
向經紀交付可即時動用的資金或可以交付的證券，或
- otherwise ensure that the Broker has received such funds or securities  
以其他方式確保經紀已收到此等資金或證券

by such time as the Broker has notified the Client in relation to that transaction. If the Client fails to do so, the Broker may 倘客戶未能這樣做，經紀可以

- in the case of a purchase transaction, sell the purchased securities; and  
出售買入的證券 (如屬買入交易) ; 及
- in the case of a sale transaction, borrow and/or purchase securities in order to settle the transaction.  
借入及或買入證券以進行交易的交收 (如屬賣出交易) 。

3.4 The Client shall be responsible to the Broker for any losses and expenses resulting from settlement failures.

客戶須負擔經紀因客戶未能進行交收而引起的任何損失及開支。

3.5 The Client agrees to pay interest on all overdue balances (including interest arising after a judgment debt is obtained against the Client) at such rates and on such other terms as the Broker has notified the Client from time to time. The Broker may vary the interest rate from time to time without further notice to or consent from the Client.

客戶同意就所有逾期未付款項(包括對客戶裁定的欠付債務所引起的利息)，按經紀不時通知客戶的利率及其他條款支付利息。經紀可以不時更改利率而毋須知會客戶或取得客戶的同意。

3.6 The Client acknowledges that the Broker does not guarantee the delivery by the selling broker of any securities purchased on the Client's Instructions. In the event of a purchase transaction, if the selling broker fails to deliver on the settlement date and the Broker has to purchase relevant

securities to settle the transaction, the Client shall only be responsible for paying the originally contracted purchase prices of the relevant securities and the Broker will be responsible for any additional price and all incidental expenses in connection with the subsequent purchase.

客戶知悉經紀未能確保賣方經紀可就客戶買入證券指示交付證券，就買入交易而言，倘賣方經紀未能於交收日內交付證券。致使經紀須買入有關證券以完成交易的交收，客戶只須為買入該等證券原本的費用向經紀負責，經紀須負擔隨後買入該等證券的額外價格及所有附帶的支出。

#### 4. Set off, Lien and Combination of Accounts 抵銷、留置及帳戶合併

4.1 In addition and without prejudice any general liens, rights of setoff or other similar rights to which the Broker may be entitled under the existing laws or this Agreement, all securities, receivables, monies and other property of the Client (held by the Client either individually or jointly with others) held by or in the possession of the Broker at any time shall be subject to a general lien in favour of the Broker as continuing security to offset and discharge all of the Client's obligations arising from the transactions to the Broker and any companies or body corporate which are the Broker's direct or indirect holding companies, subsidiaries or affiliated companies in Hong Kong or elsewhere (the "Broker's Group Company").

除了凡是經紀依據現時法律或本合約享有的一般留置權、抵銷權或其他類似權利，且在不影響前述一般留置權、抵銷權或其他類似權利的前提下，凡經紀在任何時候持有的或在經紀手中的(由客戶獨自擁有或與他人共同擁有的)客戶的任何證券、應收款、資金及其他財產，均已以持續擔保方式在其上設定了有利於本公司之一般留置權，以抵銷及履行因交易而產生的客戶對經紀及有關其位於香港或其他地方的直接或間接控股公司、附屬公司或關聯公司(「集團公司」)的義務。

4.2 In addition and without prejudice to any general liens or other similar rights which the Broker may be entitled under law or this Agreement, the Broker for itself and as agent for any of its Group Company, at any time without notice to the Client, may combine or consolidate any or all accounts and either individually or jointly with others. with the Broker or any of its Group Company and the Broker may set off or transfer any monies, securities or other property in any such accounts to satisfy obligations or liabilities of the Client to the Broker or any of its Group Company, whether such obligations and liabilities are actual or contingent, primary or collateral, secured or unsecured, or joint or several.

除了凡是經紀依據法律或本合約享有的一般留置權或其他類似權利，且在不影響前述一般留置權或其他類似權利的前提下，經紀為了其自己 (並以代理人身份為其集團公司)，在任何時候均可在不通

在任何時候均可在不通知客戶的情形下，將客戶在經紀或其集團公司處開設之任何或所有帳戶（不論是個人的還是與其他人聯名的）進行合併或整合，經紀可以進行抵銷或轉移任何前述帳戶項下任何資金，證券或其他財產，以履行客戶對經紀或其集團公司的義務或債務，不論這些義務和債務是實有還是或有的，不論是主義務、主債務還是從義務、從債務，不論是有抵押的還是無抵押的，不論是共同的還是各別的。

4.3 Without limiting or modifying the general provisions of this Agreement but subject to applicable laws and regulations, the Broker may, without notice, transfer all or any such or properties interchangeably between the accounts of the Broker and its Group Company.

在受適用法律、規例及不限制也不修改本合約一般性條文前提下，凡屬任何帳戶和其集團公司任何其他帳戶之間可以互換的任何或所有證券或財產，經紀可不發出通知就予以轉移。

## 5. Commission and Expenses 佣金與支出

5.1 The Client shall on demand pay the Broker commission on purchase, sale and other transactions for the Account at such rates as the Broker may, from time to time, have notified the Client. The Broker shall be entitled to debit the Account with all commission payable pursuant to this clause together with all stamp duties, charges, transfer fees, registration fees, interest, levies, trading fee and other expenses in respect of or in connection with the Account or any Securities held in or for the Account.

客戶同意在要求下即時交付予經紀為帳戶進行買入、賣出及其他交易而徵收之佣金，該佣金按經紀不時通知客戶的收費率計算。經紀有權從帳戶中提取款項以支付根據本條款應付的所有佣金及支付與帳戶或與帳戶所持之任何證券有關的一切印花稅、收費、過戶費、登記費、利息、徵費及其他支出。

5.2 The Client acknowledges and agrees that the Broker shall, at its absolute discretion, be entitled to solicit, accept and retain any benefit in connection with any transaction effected with any person for the Client pursuant to the Terms and Conditions of this Agreement, including any commission, rebates or similar payments received in connection therewith, and rebates from standard commissions charged by brokers or other agents to their clients.

客戶知悉及同意經紀可以行使其絕對酌情權，有權索取、接受及保留任何為客戶按照本合約條款並受其條件約束而與任何人士完成之任何交易有關之利益，包括為此等交易而收取的任何佣金、回佣或類似的款項。以及其他經紀或其他代理人向其客戶收取的標準佣金內回扣的金錢。

## 6. Safekeeping of Securities 證券的保管

6.1 Any securities which are held by the Broker for safekeeping may, as soon as reasonably practicable:

由經紀寄存為保管的任何證券，在合理地切實可行的範圍內盡速：

- (in the case of registrable securities) be registered in the Client's name or in the name of the Broker's associated entity (as defined in the Securities and Futures Ordinance); or

《如屬可註冊證券》以客戶的名義或以經紀的聯繫實體名義註冊(定義已在<證券及期貨條例>的釋義條文內界定)；或

- be deposited in Hong Kong into a segregated account, designated as a trust/client account and established and maintained by the Broker or its associated entity (as defined in the Securities and Futures Ordinance) in Hong Kong for the purpose of holding the client securities with any authorised financial institution, or any approved custodian by SFC, or any intermediaries licensed for dealing in securities.

存放於經紀或其聯繫實體定義已在《證券及期貨條例》的釋義條文內界定在香港開立及維持指定為信託帳戶或客戶帳戶的獨立帳戶，該機構應為證監會認可財務機構或核准保管人或獲發牌進行證券交易的中介人。

6.2 Where securities are not registered in the Client's name, any dividends or other benefits arising in respect of such securities shall, when received by the Broker, be credited to the Client's Account or paid to the Client, as agreed with the Broker, where the securities form part of a larger holding of identical securities held for the Broker's clients, the Client shall be entitled to the same share of the benefits arising from the holdings of the total holding. All amounts as deemed payable by the Broker arising from such division shall be conclusive.

倘若證券非以客戶的名義註冊，經紀於收到該等證券所獲派的任何股息或其他利益時，須按客戶與經紀的協議記入客戶的帳戶或支付予或轉予客戶。倘若該等證券屬於經紀代客戶持有較大數量的同一證券的一部份，客戶有權按客戶所佔的比例獲得該等證券的利益。因上述分配而被視為經紀須付的一切款項是最終的款項。

6.3 The Client authorises the Broker to dispose of the securities held under the Account in settlement of any liability owed by or on behalf of the Client to the Broker, its nominee or any third party.

客戶授權經紀處理其帳戶內之證券，以履行由客戶或代客戶對經紀，其代名人或其他第三者負有的任何責任。

## 7. Cash held for Client 代客戶保管的現金

7.1 Any cash held for the Client, other than cash received by the Broker in respect of transactions and which is paid for settlement purposes or to the Client, shall be credited to a client trust account maintained with a licensed bank as required by applicable laws from time to time.

代客戶保管的現金須依照適用法律不時的規定，存放於一家持牌銀行所開立的一個客戶信託帳戶內（此等現金不包括經紀交易取得，而且須為交收而轉付或轉付予客戶的現金）。

7.2 The Client hereby agrees that the Broker shall be entitled to receive for its own benefit all sums derived by way of interest on all amounts held in the Account for and/or on account of the Client.

客戶茲同意經紀有權為本身利益收取在帳戶中所有為及/或代客戶持有的款項所產生的全部利息款額。

## 8. Client Identity Rules 客戶身份規則

If the Client effects transactions for account of their clients, whether on a discretionary or nondiscretionary basis, and whether as agent or by entering into matching transactions as principal with their clients, the Client hereby agrees that, in relation to a transaction where the Broker has received enquiry from the Exchange and/or the SFC (the "Hong Kong Regulators"), the following provision shall apply:

若客戶是為其客戶進行交易，不論是否受客戶全權委託、以代理人身份抑或以當事人身份與其客戶進行對盤交易，客戶同意就經紀接獲交易所及或證監會（「香港監管機構」）查詢的交易而言，須遵守下列規定：

- i) Subject to as provided below, the Client will immediately upon request by the Broker (which request shall include the relevant contact details of the Hong Kong Regulators), inform the relevant Hong Kong Regulators of the identity address, occupation and contact details of the client for whose account the transaction was effected (or, in the case of a back to back principal transaction the counterparty with whom the Client(s) is/are transacting) and (so far as known to the Client) of the person with the ultimate beneficial interest in the transaction. The Client shall also inform the Hong Kong Regulators of the identity, address, occupation and contact details of any third party (if different from the client/the ultimate beneficiary) who originated the transaction.

在符合下列規定的情況下，客戶須按經紀要求（此要求應包括香港監管機構的聯絡詳情），立即知會香港監管機構有關所進行交易之帳戶所屬客戶（或如該交易乃背對背交易，則客戶的交易對手）及（據客戶所知）該宗交易的最終受益人的身份、地址、職業及聯絡資料，客戶亦須知會香港監管機構任何發起有關交易的第三者的（如與客戶最終受益人不同者）的身份、地址、職業及聯絡資料。

- ii) If the Client effected the transaction for a collective investment scheme, discretionary account or discretionary trust, the Client shall immediately upon request by the Broker (which request shall include the relevant contact details of the Hong Kong Regulators), inform the Hong Kong Regulatory of the identity, address and contact details of the person who, on behalf of the scheme, account or trust, instructed Client to effect the transaction. In addition, the Client shall immediately inform the Broker when his discretion in respect of any transaction effected for such scheme, fund, account or trust has been overridden and, upon request by the Broker, immediately inform the Hong Kong Regulators of the identity, address, occupation and contact details of the person(s) who gave the overriding instructions. 若客戶是為集體投資計劃、全權委託帳戶或全權信託進行交易，客戶須按經紀要求該要求應包括香港監管機構的聯絡詳情，立即知會香港監管機構有關該計劃、帳戶或信託的身份、地址及聯絡資料及（如適用）有關該名代表該計劃、帳戶或信託向客戶發出交易指示的人士的身份、地址、職業及聯絡資料。同時，客戶在其全權委託計劃、帳戶或信託進行投資的權力已予撤銷時，須盡快通知經紀。客戶在其全權委託計劃、帳戶或信託進行投資的權力已予撤銷的情況時，客戶須按經紀要求，立即知會香港監管機構有關該名或多名曾向客戶發出撤銷指示的人士的身份、地址、職業及聯絡資料。

- iii) Without prejudice to the above, if the Client is aware that his client is acting as intermediary for the underlying clients ("Ultimate Client"), and the Client does not know the identity, address, occupation and contact details of the Ultimate Client, the Client confirms that: (i) he has arrangements in place with his client which entitle the Client to obtain such information from his client immediately upon request; and (ii) he will, on request from the Broker, promptly request such information from the client on whose instructions the transaction was effected, and provide the information to the Hong Kong Regulators immediately upon receipt.

在不損害以上協議之前提下，若客戶知悉其客戶乃以中介人身份為其相關客戶進行交易（「最終客戶」），而客戶並不知道有關交易所涉及的最終客戶之身份、地址、職業及聯絡資料，則客戶須確認 (i) 客戶須與其客戶作出安排，讓客戶有權在要求時立即向其客戶取得該資料；及 (ii) 客戶將於經紀就有關交易提出要求時，立即要求其發出交易指示的客戶提供該資料，及在收到客戶之資料後即呈予香港監管機構。

- iv) The Client confirms that, where necessary, he has obtained all consents or waivers from his own clients

or other relevant persons, to release to the Hong Kong Regulators the information referred to above.

客戶確認在有需要的情况下已取得其客戶或其他關聯人士的同意或豁免，提供以上所提及的資料及呈交予香港監管機構。

The provisions of this Clause 8 shall continue in effect notwithstanding the termination of this Agreement.

第8項條款即使在本合約終止後仍然繼續生效。

## 9. Communications 通知

9.1 All notices, demands, statements and any other communications and documents (collectively "Communication") required or permitted to be given to the Client may be sent by hand, post, facsimile, telephone or electronic mail to the address for communication specified in the Client Information Form or as notified to the Broker from time to time. All Communication shall be deemed to have been received by the Client (i) 48 hours after posting domestically if sent by post and (ii) at the time of transmission from the Broker if delivered by facsimile, telephone or electronic mail and no such Communication needs to be signed on behalf of the Broker. Every transaction indicated or referred to in communication given by the Broker shall be deemed as conclusive and ratified and confirmed by the Client unless Broker receives from the Client written notice to the contrary in the manner as aforementioned, within seven (7) business days from the time communication is given. The Broker shall in no circumstances be held responsible for delays or failure in transmission of instruction due to breakdown of communication facilities or for any other matter beyond reasonable control of the Broker.

需要或准許給予客戶的所有通知、要求、結單與其他通訊及文件(統稱「通訊」)可以專人送遞、郵遞、傳真、電話或電子郵件方式送交至「客戶資料表」指定的或不時通知經紀的地址、傳真或電話號碼或電子郵件地址。所有通訊 (i) 若以郵遞方式送交，當於發送48小時後收訖，及 (ii) 若以傳真、電話或電子郵件方式發出，則當作於經已傳送之時收訖，而通訊並不需要經紀的授權簽署。除非經紀收到客戶以本段所述的方式在經紀發出之任何通訊之7個營業日內以書面通知提出反對，否則該等通訊及每一帳戶結單上所顯示或提及的每項交易，將被客戶視為確實、已追究及確認。若因通訊設備故障或任何其他經紀無法合理控制之事情而導致傳送指令之工作有所延誤或失誤，經紀在任何情況下毋須負責。

9.2 The Broker shall be entitled to assume, without further investigation or enquiry, that any Communication which on the face of it appears to have been forwarded by either the Client or its agent, has in fact been sent by either the Client or its agent, as the case may be. The facsimile copy of any Communication shall have the same force as the original.

經紀將有權假設，而不需作出進一步的調查或詢問，若客戶或其代

理人所傳送的任何通訊表面上看來是由客戶或其代理人發出的，該等通訊便可被認作確實是由客戶或其代理人(視情況而定)所傳送的。任何通訊的傳真副本與其正本具有同等效力。

9.3 The Client confirms and agrees that the information contained in the "Client Information Form" or otherwise supplied by or on behalf of the Client to the Broker in connection with the opening an account is complete, true and correct and will inform the Broker of any material changes to such information as soon as possible. The Broker is entitled to rely on such information until written notice from the Client of any changes therein has been received.

客戶確認並同意，「客戶資料表」內所載的資料，或由客戶或代表客戶就開立帳戶向經紀提供的其他資料皆為完整、真實及正確及如有重大的變更，將會儘快通知經紀。經紀有權倚賴此等資料，直至收到客戶書面通知有任何變更為止。

9.4 The Broker will notify the Client of any material changes: 倘若經紀的業務有重大的變更如:

- (i) the name and address of the business of the Broker;
- (ii) the licensing status of the Broker with the SFC and the Broker's CE number;
- (iii) the description of the nature of services provided by the Broker;
- (iv) the description of the remuneration payable to the Broker and the basis for such payment.

- (i) 經紀之名稱及業務地址；
- (ii) 經紀於證監會之持牌狀況及經紀之中央編號；
- (iii) 經紀所提供之服務性質的描述；
- (iv) 支付給經紀之報酬的描述及給予該款項的準則，經紀將會通知客戶。

## 10. Limitation of Liability, Indemnity and Ratification 法律責任範圍、彌償保證和追認規定

10.1 The Broker makes no representation or warranty of any kind, expressed, implied or statutory regarding the Trading Service or the information or materials via the Trading Service. To the fullest extent permitted by law, the Broker hereby expressly excludes and disclaims any condition, representation, warranty or responsibility of any kind relating to the Trading Service and/ or such information and materials, whether express or implied, by statute or otherwise, including without limitation any such condition, representation, warranty or responsibility regarding the title, fitness for a particular purpose, merchantability or standard of quality of the Trading Service and/ or such information and materials, that they will be accurate or free of errors or omissions,



that they will not infringe any third party rights, that they will be available and uninterrupted at any particular time, adhere to any particular performance standards or that any instruction to or information requested via the Trading Service will be acted upon, delivered to or received by the Client in any time or at all. 經紀並不就交易服務所載或提述的或以其他方式透過交易服務提供的資料或資訊作出任何性質的明示、默示或法定的陳述或保證。在法律允許的最大範圍內，經紀特此明示地排除及卸棄有關交易服務及或上述資料及資訊的任何性質的任何條件、陳述、保證或責任（不論是明示或默示的，根據法規或其他規定的），包括（但不限於）有關下列各項的任何條件、陳述、保證或責任有關交易服務及或上述資料及資訊的所有權、就某特定用途的適用性、可商售性或品質標準其將是準確或沒有錯誤或遺漏，其將不會侵犯任何第三方權利，其可在任何特定時間不受干擾地提供使用，其符合任何特定的性能標準，或者透過交易服務發出的任何指示或要求的資料將於任何時候得到遵照辦理、交付予客戶或由客戶收到。

10.2 The information and materials provided via the Trading Service is provided for information only and should not be used as a basis for making business decisions. Any advice or information provided via the Trading Service should not be relied upon without consulting primary sources of information and obtaining specific professional advice. The Broker accepts no liability for any loss or damage arising directly or indirectly from action taken, or not taken, in reliance on information or materials provided via the Trading Service. In particular, no warranty is given that economic reporting information, materials or data is accurate, reliable or up to date.

透過交易服務提供的資料及資訊僅供參考之用，不應用作為商業決定的根據。在未諮詢資料的主要來源並取得具體的專業意見的情況下，不應倚賴透過交易服務提供的任何意見或資料。如果因倚賴透過交易服務提供的資料或資訊採取或不採取行動而直接或間接引致任何損失或損害，經紀概不承擔任何法律責任。尤其是，經紀並不保證財經報導資料、資訊或數據是準確、可靠或最新的。

10.3 To the fullest extent permitted by law, the Broker shall not be liable for any loss or damage arising directly or indirectly (including special, incidental or consequential loss or damage) from the Client's use of Trading Service including any loss, damage or expense arising from, but not limited to, any defect, error, fault, mistake or inaccuracy with information provided via Trading Service, or due to any unavailability of the Trading Service or any contents therein where such loss or damage is caused by the Client's negligence; by the Client's failure to comply with this Agreement; or by any reason or circumstance beyond the Broker's control.

在法律允許的最大範圍內，對於客戶使用交易服務而直接或間接引致的任何損失或損害（包括特殊，附帶或相應而產生的損失或損害），包括（但不限於）因透過交易提供的資料的任何缺陷、錯誤、故障、過失或不準確性或者因交易服務或其任何內容未能提供使用而引致的任何

損害或開支而該等損失或損害是由於客戶的疏忽、客戶不遵守本合約或經紀不能合理控制的任何原因情況造成的，經紀概不承擔法律責任。

10.4 The Broker does not guarantee that any communications from or via the Trading Service and/or via other means will be sent to the Client or received by the Broker nor does the Broker warrant the privacy and/or security of such communications during transmission.

經紀不保證來自或透過交易服務及/或透過其他方法發出任何通訊將會送達到給客戶或由經紀收到，亦不就該等通訊在傳送期間的私隱及/或安全作任何保證。

10.5 The Client acknowledged that there are risks inherent in using the Trading Service but agrees that the benefits justify these risks and the Client waives any claim the Client might have against the Broker because of:

客戶確認使用交易服務存在固有風險，但客戶同意相對於其利益而言，承擔這些風險是值得的，而且客戶放棄客戶因下述情況而可能對經紀提出的任何申索：

- i) any failure of systems or equipment (whether or not provided by the Broker) including telecommunications services and facilities or any computer virus or similar problems;  
任何系統或設備（包括電訊服務及設施）的任何故障，不論該等系統或設備是否由經紀提供，或任何電腦病毒或類似問題；
- ii) the Broker's acceptance of any unauthorised instructions which appear (or which the Broker reasonably believes) to be from the Client;  
經紀接受任何看似（或經紀有理由相信）是由客戶發出的指示，儘管該等指示是未經授權的。
- iii) delays in the implementation of Instructions to the extent that such was outside the Broker's control;  
延誤執行指示，但僅以因經紀不能控制的範圍為限；
- iv) delays in delivery or availability of, or failure to deliver or make available, or any interruption or unauthorised access of, any part of the Trading Service to the extent that such was outside the Broker's control;  
延誤交付或提供或者未交付或提供交易服務的任何部分，或者任何干擾或未經授權進入交易的任何部分，但僅以因經紀不能控制的範圍為限；
- v) delays in despatch or delivery of, or failure to despatch or deliver, or unauthorised interception, corruption or loss of, any notice or information provided or requested via the Trading Service or any inaccuracy, error or omission in or from such notice or in or from any information contained in any such

notice to the extent that such was outside the Broker's control;

延誤發出或交付或者未發出或交付透過交易服務規定或要求的任何通知或資料或者未經授權而截取、毀壞或遺失任何該等通知或資料，或者任何上述通知或該等通知所載的任何資料的任何不準確性、錯誤或遺漏，但僅以因經紀不能控制的範圍為限；

- vi) the Client's failure to use the Trading Service in accordance with this Agreement or any relevant agreement between the Broker and the Client;

客戶未能按本合約或客戶與經紀訂立的任何有關協議使用交易服務；

- vii) the Client's reliance, use or otherwise acting upon any information or materials provided via the Trading Service.

客戶依據或使用透過交易服務提供的任何資料或資訊，或者以其他方式按照該等資料或資訊行事。

- 10.6 The Broker shall not be liable for any loss incurred by the Client, directly or indirectly, with respect to the Account or trading in Securities due to government restrictions, suspension of trading, wars, strikes or any other event beyond the control of the Broker.

對於由政府限制、暫停交易、戰爭、罷工或經紀控制範圍以外的任何其他事件而使客戶就帳戶或證券交易直接或間接招致的任何損失，經紀概不負責。

## 11. Suspensions and Termination 暫止或終止

- 11.1 If in the Broker's opinion, the Client has breached any material terms of this Agreement; or any of the Client's representations, warranties or undertakings to the Broker was or became incorrect in any material aspect; or the Client has defaulted in respect of any transactions with the Broker or its Group Company; or any warrant or order of attachment or distress or equivalent order is issued against any of the Client's accounts with the Broker or its Group Company or a petition in bankruptcy is filed against the Client, or an order is made or resolution passed for the Client's voluntary or compulsory winding up; or a meeting is convened to consider a resolution that the Client should be so wound up, all amounts owing by the Client to the Broker or its Group Company together with interest will become immediately payable without further notice on demand and the Broker will be entitled at its absolute discretion without prejudice to sell or realise all or an part of the Client's securities or assets held by the Broker or its Group Company and satisfy all of the Client's obligations towards the Broker or its Group Company

with the net sale proceeds after deducting all fees, commissions, expenses and costs thereof; and/or withdraw or cancel all of the Client's open order instructions; and/or close out any/all of the Client's open positions; and/or exercise any of the Broker's rights under this Agreement. The Broker and its Group Company shall not be liable for any loss originated as a consequence of taking the above actions and, due to the Client's default, the Client may suffer whereas the price obtained by the Broker for the above actions will be conclusive.

若經紀認為客戶已經違反本合約之任何主要條款或客戶之前向經紀對任何要項所作之陳述、保證或承諾在任何重大方面為不正確或其後變成不正確，或客戶曾經對透過經紀或其集團公司的交易出現失責，或客戶在經紀或其集團公司開設的帳戶遭人發出任何財物扣押令或封查或同等的命令；或針對客戶提出破產申請，或為客戶的自願或強迫清盤作出命令或通過決議或已召開會議審議一項指稱客戶應予以清盤的決議的情況下，客戶欠下經紀或其集團公司所有款項連利息計算在內，並在不需要任何進一步通知或要求下立即清還。而且，經紀可即時行使絕對酌情權及在不損害其擁有的任何權利的情況下沽售或套現由經紀為客戶或經紀之集團公司保管的全部部分證券或資產，並將所得的淨出售款項(在扣除所有有關費用、佣金、支出及/或成本後)用以履行客戶對經紀或其集團公司的義務。此外，經紀可取消客戶的任何仍未執行的買賣指示及/或為客戶平倉，及/或行使經紀在本合約所賦予之任何權利。經紀或其集團公司毋須因客戶之失責而導致經紀或其集團公司在採取上述之行動時而使客戶蒙受任何損失負責；並因上述行動所取得的價位具最終決定效力。

- 11.2 The Broker reserves the right at any time and from time to time, without having to give any reason or explanation, to suspend the operation of the Account and/or any services to the Client under this Agreement.

經紀保留權利，可於任何時間不時暫時終止帳戶運作及/或暫時終止根據本合約向客戶提供的服務，並毋須給予任何理由或解釋。

- 11.3 In the event of such termination by the Broker, the Broker shall not be liable to the Client for any claims, losses or anticipated profit which may be suffered or benefited by the Client arising out of, pursuant to or connected with such termination.

倘經紀作出上述終止，經紀無須就客戶因該項終止所引起，根據該項終止或與之有關而遭受或獲益之任何申索，損失或預計利潤向客戶負責。

- 11.4 Termination of the Agreement shall be without prejudice to the accrued rights of the parties, and any obligations of the parties contained in any provision hereof which may already have arisen prior to the termination.

本合約之終止並不影響在終止之前可能已產生的雙方的累算權利以及本合約條文所載雙方的任何義務。

11.5 The rights and obligations of the Client and the Broker in respect of the Account may be terminated by at least seven (7) business days' written notice given at any time by the Client to the Broker (or vice versa) without prejudice to any rights, powers or duties of the Broker or the Client in connection with the Account prior to receipt of such notice, and such rights, powers and duties will subject under the terms of this Agreement until they are discharged in full.

客戶及經紀對有關帳戶之權利或義務，客戶均可於任何時間向經紀（反之亦然）發出面書通知，載明該權利或義務於最少個營業日後終止，且收訖有關通知之前不損經紀或客戶對有關帳戶的任何權利、權力或職責。上述權利、權力或職責，將會根據本合約的條款繼續有效，直至全部履行為止。

## 12. General 一般規定

12.1 If the Broker fails to meet its obligations to Client pursuant to this Agreement, Client may have a right to claim under the Investor Compensation Fund established under the Securities and Futures Ordinance, subject to the terms of the Investor Compensation Fund from time to time.

倘經紀沒有依照本合約的規定履行對客戶的責任，客戶可根據〈證券及期貨條例〉成立的投資者賠償基金索償，惟須受投資者賠償基金不時的條款所制約。

12.2 To the extent permitted by law, the Broker may from time to time amend any of the terms and conditions of this Agreement without prior notice to or approval from the Client and such amendments shall come into effect immediately upon Client's deemed receipt of the Broker's notice. The Client acknowledges and agrees that if Client does not accept any amendments as notified by the Broker from time to time, the Client shall have the option to terminate this Agreement by giving written notice to the Broker. Unless otherwise stated, an amendment to any provision of this Agreement shall not affect the other provisions of this Agreement.

在法律容許之範圍內，經紀可不時修訂本合約之任何條件及細則，毋須事前通知客戶或取得客戶批准，該等修訂於客戶被視作接獲經紀之通告時立即生效，客戶得悉及同意倘客戶不接受經紀不時通知之任何修訂，客戶將有權選擇以書面形式通知經紀終止本合約。除非另行說明，否則本合約任何條文之修訂均不影響本合約的其他條文。

12.3 The headings for each provision, clause or terms of this Agreement are merely descriptive and shall not be deemed to modify or qualify any of the rights or obligations set forth in each of such provision, clause or term.

本合約每項規定，條文或條款的標題僅屬說明性質，不得被視為更改或限制每一該等規定、條文或條款所列的任何權利或義務。

12.4 The Client may not assign, transfer or amend this Agreement or otherwise dispose of rights or obligations hereunder without the prior written consent of the Broker. The Broker may assign, transfer or otherwise dispose of all or any of its rights or obligations to any other person as it thinks fit. All the provisions of the Agreement and all instructions given to the Broker under this Agreement shall survive any changes or successions in the Broker's business and shall be binding upon the Client's successors and permitted assigns.

未經經紀事先書面同意，客戶不得轉讓、轉移、修訂本合約或以其他方式處置本合約之下的權利或義務。經紀可向其認為合適的任何其他人轉讓、轉移或以其他方式處置其全部或任何權利或義務。本合約的所有條文以及根據本合約給予經紀的所有指示應在經紀業務的任何變更或繼承之後仍然有效，並對客戶的繼承人和核准受讓人具有約束力。

12.5 Each of the provisions of this Agreement is severable and distinct from the other and, if one or more of such provisions is or becomes illegal, invalid or unenforceable, the remaining provisions shall not be affected in any way.

本合約各個條款均可以分割，並互相獨立。如有一個或以上條款屬於或變成不合法、無效或不能強制執行，其餘條款均不在任何方面受影響。

12.6 Client confirms that Client has read and understood the terms and conditions of this Agreement, which have been explained to Client in a language that Client understands, and agrees to be bound by them.

客戶確認已詳閱及明白本合約的條款及細則，並同意受其約束，而且該等條款已經以客戶明白的語言向客戶解釋。

12.7 In the event of any difference in interpretation or meaning between the Chinese and English version of this Agreement, Client agrees that the English version shall prevail.

如本合約中英兩種語文版本的釋義或涵義之間有不一致，客戶同意以英文版本為準。

12.8 The rights, powers, remedies and privileges in this Agreement are cumulative and not exclusive of any rights, powers, remedies and privileges provided by law.

本合約的權利、權力、補救方法和特權是累積的，並不排除法律規定的任何權利、權力、補救方法和特權。

12.9 This Agreement is governed by, and may be enforced in accordance with the laws of Hong Kong.

本合約受香港法律管轄，並且可以根據香港法律執行。

12.10 The Client hereby irrevocably submits to the non-exclusive jurisdiction of the courts of Hong Kong in relation to all matters arising from this Agreement.

對於因本合約而引起的一切事宜，客戶特此不可撤銷地服從香港法院的非專屬司法管轄權。

## Circular to Clients Relating to Personal Data (Privacy) Ordinance (the “Ordinance”) 關於《個人資料(私隱)條例》(『條例』)客戶通告

- From time to time, it is necessary for clients to supply the Group with data in connection with the opening or continuation of accounts and the establishment or continuation of credit facilities or provision of securities brokerage, nominee and investment advisory service. At the same time, some of the data are collected pursuant to laws, regulations, rules or codes binding on the Broker or any Broker’s Group Company.

客戶需不時地向本集團提供與開設或維持帳戶、開設或維持貸款融資或者與證券經紀、股票託管和投資諮詢服務有關的資料。同時，有一部份資料是根據對經紀或經紀之集團公司具約束力的法律、規定、規則或守則加以收集的。
- Failure to supply such data may result in the Broker being unable to open or continue accounts or establish or continue credit facilities or provide securities brokerage, nominee and investment advisory services.

如客戶未能提供該等資料，則經紀將無法代客戶開設或維持帳戶，或開設或維持貸款融資，或提供證券經紀、股票託管和投資諮詢服務。
- It is also the case that the data are collected from clients in the ordinary course of the continuation of the business relationship. 所有資料均以維持正常業務聯繫的需要而向客戶收集的。
- The purposes for which data relating to a client may be used are as follows:-  
與客戶有關的資料主要有如下用途：

  - the daily operation of the services and credit facilities provided to clients;  
為客戶提供日常運作服務和貸款融資服務，
  - conducting credit checks;  
進行信貸檢查；
  - assisting other financial institutions to conduct credit checks;  
協助其它財務機構進行信貸檢查；
  - designing financial services or related products for clients’ use;  
根據客戶的需要設計有關的財務服務或相關產品；
  - marketing financial services or related products;  
推廣上述的金融服務和相關產品；
  - determining the amount of indebtedness owed to or by client;  
確定欠付客戶或客戶欠付的債務款額；
  - collection of amount outstanding from clients and those providing security for clients’ obligation;  
向客戶或為客戶責任提供擔保的人士收回虧欠的款項；
  - meeting the requirements to make disclosure under the requirements of any laws, regulations, rules, codes binding on the Broker or any Broker’s Group Company;  
根據對經紀或經紀之集團公司具約束力的法律、規定、規則或守則的要求作出披露；及
  - purposes ancillary or relating thereto.  
其它附帶或相關用途。
- Data held by the Broker relating to a client will be kept confidential but the Broker may provide such information to the following parties within or outside Hong Kong to the extent permitted by law:  
經紀持有的客戶資料將會保密，經紀僅會於法律允許範圍下向下列香港以內或以外人士提供客戶資料。

  - any agent, contractor or third party service provider who provides administrative, telecommunications, computer, payment or securities clearing, printing or other services to the Broker in connection with the operation of its business;  
向經紀提供與業務活動有關的管理、電訊、電腦、款項或證券結算、印刷或其它服務的任何代理人、合約商或者第三方服務提供者；
  - any other companies within the Broker’s Group Company, including the parent company;  
經紀之集團公司內的任何其它公司，包括母公司；
  - any other person under a duty of confidentiality to the Broker including a company of the Broker’s Group Company which has undertaken to keep such information confidential;  
遵守經紀保密原則的任何其他人，包括已承諾將上述資料保密的經紀之集團公司；
  - any financial institution with which the client has or proposes to have dealings;  
客戶與之有業務往來或即將有業務往來的任何金融機構；
  - any actual or proposed assignee of the Broker or participant or sub-participant or transferee of the Broker’s rights in respect of the client;  
經紀的任何實際或建議承讓人，或者與客戶相關的經紀權益參與人或次參與人或轉讓人；
  - any other person when we are compelled to make disclosure under the requirements of any laws binding on the Broker or any of Broker’s Group Company;  
根據對經紀或經紀之集團公司具約束力的法律要求必須向其作出披露的任何其他人士；
  - any person with the client’s express or implied consent;  
經客戶明示或默示同意的任何人士；



- any person in the event that the Broker's interests require disclosure.

經紀因本身利益需要而必須對其作出披露的任何人士。

6. In the course of performing our duties, the Broker may, as permitted by law, match, compare, transfer or exchange any personal data provided by the client, or hereafter obtained, for these or any other purposes by the Broker, with data held by government bodies, other regulatory authorities, corporations, organisations or individuals in Hong Kong or overseas for the purpose of verifying those data.

在履行本身的業務活動過程中，經紀可能在法律允許的範圍內，把客戶所提供的或經紀其後為此目的或其它目的所獲得的客戶個人資料與香港及海外的政府機構、其它監管機構、公司、組織或個人所持的資料進行校對、比較、轉移或交換、以便確認該等資料的可靠性。

7. Under and in accordance with the terms of the Ordinance, any individual:-

在符合條例之條款的情況下及按照條例的條款，任何人士：

- has the right to check whether the Broker holds data about him/her and the right of access to such data;  
有權查詢經紀是否持有他/她的資料並有權取得該等資料；
- has the right to require the Broker to correct any data relating to him/her which is inaccurate;  
有權要求經紀更改有關他/她的不正確資料；及。
- has the right to ascertain the Broker's policies and practices in relation to data and to be informed of the kind of personal data held by the Broker.  
有權查詢經紀擁有該些資料的政策和應用範圍，並可了解經紀所持有的個人資料的種類。

8. In accordance with the terms of the Ordinance, the Broker has the right to charge a reasonable fee for the processing of any data access request.

在符合條例之條款情況下，經紀有權對資料查詢人士收取合理的費用。

9. The person to whom requests for access to data or correction of data or for information regarding policies and practices and kinds of personal data held are to be addressed is as follows: 任何人士如欲查詢資料或更正資料或查詢有關政策和應用範圍以及個人資料的種類等資料，請隨時致函。

The Data Protection Officer  
Sanston Financial Group Limited  
Unit 2812, 28/F  
The Center  
99 Queen's Road Central  
Hong Kong

**Reference : Funds Deposit Procedure**

Kindly deposit funds made payable to “Sanston Financial Group Limited” via one of the following methods below :

- 1) Direct cash deposit / transfer
- 2) By crossed cheque
- 3) Remittance /Telegraphic Transfer (T.T.)
- 4) CHATs (HK only)

into any of our Bank accounts as follows :

**Bank Name** : Hong Kong and Shanghai Banking Corporation Limited  
**Account Number** : 400-795241-838  
**Address** : Grand Millennium Plaza 181 Queen’s Road Central, Hong Kong  
**Bank Code** : 004  
**SWIFT Code** : HSBCHKHCHK  
**Currency** : HKD, USD, SGD

**Bank Name** : Hang Seng Bank Limited  
**Account Number** : 787-081942-883  
**Bank Address** : 83 Des Voeux Road Central, Hong Kong  
**Bank Code** : 024  
**SWIFT Code** : HASEHKHH  
**CHIPS No** : 010522  
**Currency** : HKD, USD, SGD

**Bank Name** : Bank of China (Hong Kong) Limited  
**Account Number** : 012-916-0-077989-4  
**Bank Address** : 1 Garden Road, Hong Kong  
**Bank Code** : 012  
**SWIFT Code** : BKCHHKHXXX  
**CHIPS Code** : 0326 (USA Only/ SWIFT: BKCHUS33XXX)  
**Currency** : HKD, USD, SGD

**Bank Name** : CIMB Bank  
**Account Number** : 1408-1208020-05-7  
**Bank Address** : Menara Bumiputra-Commerce 11 Jalan Raja Laut, 50350 Kuala Lumpur. Malaysia  
**SWIFT Code** : CIBBMYKL  
**Currency** : MYR

In order for us to credit your deposit into your trading account, kindly provide to us the proof of deposit by :

- 1) Fax to 2169-0816 (Please include your name and your Sanston Financial Group Limited trading account number)
- 2) Email to your Account Executive, the scanned copy of your proof of deposit.