

MARGIN CLIENT'S AGREEMENT

保證金客戶協議書

THIS AGREEMENT is made on the _____ day of _____
本協議訂於 _____ 年 _____ 月 _____ 日

BETWEEN SINCERE SECURITIES LIMITED, an Exchange Participant of The Stock Exchange of Hong Kong Limited (“the Exchange”) and a registered securities dealer with the Securities and Futures Commission with CE No. ABH659 (licensed under the Securities and Futures Ordinance for Type 1, Type 4 and Type 9 regulated activities (for Type 9 regulated activity, Sincere Securities Limited shall not provide a service of managing a portfolio of futures contracts for another person) under the Securities and Futures Ordinance) (hereinafter referred to as the “Broker”) whose registered office is located at 9/F, Cosco Tower, 183 Queen’s Road Central, Hong Kong and
本協議由訊匯證券有限公司—香港聯合交易所有限公司(「聯交所」)之交易所參與者及於證監會註冊之證券交商 CE 編號: ABH659 (根據證券及期貨條例就第 1、4 及 9 類受規管活動 (就第 9 類受規管活動, 不得為他人提供管理期貨合約投資組合的服務) 獲發牌) (下稱「經紀」), 其註冊辦事處設於香港香港中環皇后大道中 183 號中遠大廈 9 樓與

(hereinafter referred to as the “Client”) (下稱「客戶」) 訂立。

WHEREAS (鑒於)

- (1) When a stockbroker provides a customer with credit facilities in respect of transactions in securities effected by the stockbroker on behalf of the customer, the account which the stockbroker establishes with the customer to record such transactions is said to be margin securities trading account (“margin account”);
當證券經紀向客戶就代表客戶進行之證券買賣提供信貸安排, 而證券經紀為客戶開立以記錄該等買賣之, 稱為保證金買賣戶口(下稱「保證金戶口」);
- (2) The Client is desirous of opening one or more margin 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保證金戶口, 用以進行證券買賣; 及
- (3) The Broker agrees that he will open and maintain such margin account(s) and act as an agent for the Client in 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)保證金戶口, 並以客戶之代理人身份, 根據本協議之條款及細則, 進行證券買賣

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

1. The Account (戶口)

- 1.1 This Agreement sets out the terms and conditions to which the Client shall be subject upon the Client opening a margin account (“Account”) with the Broker in relation to transactions carried out in connection therewith.
本協議訂定客戶於經紀處開立保證金戶口, 並以該戶口進行交易時所必須遵行之條款及細則。
- 1.2 The Client confirms that the information contained in the “Client Information Statement” or otherwise supplied by or on behalf of the Client to the Broker in connection with the opening of the account is complete, true and correct. 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「客戶資料表」內所載資料, 或以其他方法由客戶或客戶代表向經紀提供之有關資料皆整、真實及正確。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。
- 1.3 Whilst the Client expects the Broker to keep confidential all matters relating to the Client’s Account, the Client hereby expressly agrees that the Broker may, if requested by the Exchange, the Securities and Futures Commission and other lawful authorities, provide to the Exchange, the Securities and Futures Commission and such other lawful authorities details of the Client’s Account, in order to assist the Exchange, the Securities and Futures Commission and such other lawful authorities with any investigation or enquiry it/they is/are undertaking.
雖然客戶預期經紀保持一切客戶戶口資料機密, 唯客戶仍明確同意經紀可於聯交所、證券及期貨事務監察委員(「證監會」)及其他合法機構要求下, 向聯交所、證監會及其他合法機構提供客戶之戶口詳情, 以協助聯交所、證監會及其他合法機構作任何調查或查詢。

2. Laws and Rules (法例及規則)

All transactions in securities made for or on behalf of the Client in Hong Kong shall be subject to the relevant provisions of the constitution, rules, regulations, bye-laws, customs and usages of the Exchange and the Hong Kong Securities Clearing Company Limited (“HKSCC”) and of the Laws of Hong Kong as amended from time to time. The Rules of the Exchange and HKSCC, in particular those rules which relate to trading and settlement, shall be binding on both the Broker and the Client in respect of transactions concluded on the instructions of the Client.

一切為或代表客戶在香港進行之證券交易，須受香港聯合交易所有限公司(「聯交所」)及香港中央結算有限公司(「結算公司」)之憲章、規則、規例、附例、習俗及慣例中有關之規定約束，亦受制於不時修訂之香港法例。依客戶指示達成之一切交易，聯交所及結算公司之規則(尤其有關交易及交收之規則)對經紀及客戶均具約束力。

3. Transactions (交易)

3.1 All transactions executed on instructions of the Client (whether) on the floor of the Exchange shall be subject to a transaction levy and any other levies that the Exchange from time to time may impose. The Broker is authorized to collect any such levies in accordance with the Rules prescribed by the Exchange from time to time.

依客戶指示(不論是否)在聯交所大堂完成之一切交易須付交易徵費及由聯交所不時徵收之任何其他費用。經紀獲授權根據聯交所不時指定之規則收取該等徵費。

3.2 The Client shall on demand pay the Broker commissions on purchases, sales and other transactions for the Account at such rate as the Broker may from time to time have notified it, together with all stamp duties, bank charges, transfer fees, Interest and other expenses in respect of or connected with the Account or any transaction thereof or any securities therein. The Broker is authorized to deduct such amount from the Account.

客戶在接獲通知時須按經紀不時知會之收費率向經紀支付戶口所進行買入、賣出及其他交易之佣金，連同就戶口或戶口之任何交易或其中任何證券或因此而須繳付之一切印花稅、銀行收費、轉讓費、利息及其他費用。客戶現授權經紀由戶口內扣除有關款項。

3.3 Notwithstanding anything herein contained, the Broker shall be entitled, at its absolute discretion, to refuse to accept any of the Client’s instruction and shall not be obliged to give any reason for such refusal.

儘管須遵行本協議所載之條款及細則，經紀將有權在其全權決定下拒絕接納客戶之任何指示，且毋須就此給予任何理由。

3.4 In the event that the Broker commits a default as defined in the Securities and Futures (Investor Compensation – Claims) Rules and the Client thereby sustains a loss, the Client understands that the right to claim under the Investor Compensation Fund established under the Securities and Futures Ordinance (Cap 571) will be restricted to the extent provided for therein.

若經紀觸犯證券及期貨(投資者賠償一申索)規則定義的違責情況下，以及客戶因而遭受損失時，客戶明白根據香港法例第 571 章《證券及期貨條例》而成立之投資者賠償基金提出索償之權利，僅限於該條例所規定之範圍。

3.5 The Client shall on demand from the Broker make payments of deposits or margins in cash, securities or otherwise in amounts agreed with the Broker or which may be required by the rules of any exchange or market of which the Broker is a member.

The Client shall be granted credit facilities up to such percentage as may be agreed from time to time of the market value of the collateral maintained with the Broker.

In case the market value of the collateral drops, the Client is required to make additional margin deposits immediately upon demand by Broker and in any event, before the close of business of the day on which such margin call is made.

客戶須應經紀之要求、或按經紀所屬之任何交易所或市場之規則，以現金、證券或其他與經紀議定之價值支付按金或保證金。客戶將獲授予不時議定相當於由經紀持有抵押品市值某一百分率之信貸融資。若抵押品市值下跌，客戶需要在經紀的要求下馬上增加保證金並無論如何須在經紀作出要求當天的收市前支付。

3.6 By reason of physical restraints on the Exchange and rapid changes in the prices of securities that frequently take place, there may, on occasions, be a delay in making prices or in dealing. The Broker may not after using reasonable endeavours be able to trade at the prices quoted at any specific time. The Broker is not liable for any loss arising by reason of its failing, or being unable, to comply with any terms of the Client’s order. Where the Broker is unable after using reasonable endeavours to perform any order in full, the Broker is entitled to effect partial performance only without prior reference to the Client’s confirmation.

基於對聯交所之實質限制及經常出現證券價格之急速起跌，在若干情況下討價或交易可能會有所延。經紀在作出合理嘗試後可能無法按任何指定時間所報價格成交。經紀毋須因未能或無法遵照客戶指示之任何虧損負責。倘經紀在作出合理嘗試後無法全面執行指示，經紀有權在未取得客戶事先確認前執行部份指示。

3.7 The Client acknowledges that any sale or purchase of securities effected by the Broker pursuant to the

Client's instructions is not resulted from the selection or advice in the selection of such securities by the Broker, but a result of the Client's judgment and decision.

客戶知悉由經紀依據客戶之指示進行之任何證券賣出或買入，並非根據經紀對證券之選擇或選擇之建議而賣出或買入，而是客戶根據本身之判斷及決定作出。

- 3.8 The Broker may take the opposite position to the Client's order whether it is on the Broker's own account or on behalf of its other clients.

經紀可進行與客戶指示相對之買賣交易，而不論有關買賣為經紀本身戶口或代表其他客戶進行。

- 3.9 The Client admits that the Broker may in its course of business possess information relating to securities and the Broker shall have no duty to disclose to the Client any such information.

客戶承認經紀於經紀業務中可能持有關於證券之資料，經紀並無責任向客戶披露任何有關資料。

- 3.10 Unless otherwise agreed, the Client agrees that when the Broker has executed a purchase or sale transaction on the Client's behalf, the Client will by the due settlement date make payment to the Broker against delivery of or credit to the Client's Account for purchased securities, or make good delivery of sold securities to the Broker against payment, as the case may be.

除非另協議，客戶同意當經紀代客戶進行一宗買入賣出之交易時，客戶將在到期交收日，就買入之證券付款予經紀，或記賬入客戶之戶口，或收到經紀之款項時，送交賣出之證券，按情況而定。

- 3.11 In the event that the Broker has to obtain securities, which the Broker has purchased on behalf of the Client, in the open market, following the failure of the selling broker to deliver on the settlement date, the Broker will be responsible for any difference in price and all incidental expenses in connection with such open market purchase.

若經紀代表客戶購入證券，而由於賣方經紀未能於交收日內進行交收而須從公開市場上購買證券，經紀須負擔該等公開市場購入所涉及之差價及有關之支出。

- 3.12 The Client undertakes to pay interest to the Broker in respect of any debit balance on the Account or any amount otherwise owing to the Broker at any time at such rate as may be specified from time to time by the Broker or failing any such specification at a rate equivalent to 3.5% per annum above the best lending rate quoted by The Hongkong and Shanghai Banking Corporation Limited from time to time and payable on the last day of each calendar month or upon any demand being made by the Broker.

客戶承諾就保證金戶口之任何借方結餘或於任何時候欠經紀之任何款項接經紀不時指定之利率，或如無指定利率，則按相等於香港上海匯豐銀行有限公司不時所報最優惠放貸利率加三厘半之利率，向經紀支付利息，而有關利息須於每月最後一天或在經紀要求時支付。

4. Safekeeping of Securities (證券的保管)

- 4.1 Any securities which are held by the Broker for safekeeping may, at the Broker's discretion

由經紀寄存妥為保管的任何證券，經紀可以酌情決定：

- (a) (in the case of registrable securities) be registered in the name of the Client or in the name of the nominee of the Broker and the Broker and/or the Broker's nominee shall be under no responsibility to forward any notices, proxies or other documents or communications in respect of the securities to the Client; or

(如屬可註冊證券) 以客戶的名義或以經紀的代理人名義註冊，而經紀及/或經紀的代理人毋須將有關證券的通告、委任代理書或其他文件或通訊轉交客戶；或

- (b) be deposited in safe custody in a designated account with the banker(s) of the Broker or with any other institution, which provides facilities for the safe custody of documents. In the case of securities in Hong Kong, such institution shall be acceptable to the Securities and Futures Commission as a provider of safe custody services.

保管/存放於經紀之銀行或其他提供保管文件服務之機構之指定戶口，或如證券為香港證券，則該等機構需被證監會所接受。

- 4.2 If, in relation to any securities deposited with the Broker which are not registered in the Client's name any dividends or other distributions or benefits accrue in respect of such securities, the Client's account with the Broker shall be credited (or payment made to the Client as may be agreed) with the proportion of such benefit equal to the proportion of the total number or amount of relative securities which shall comprise securities held on behalf of Client.

客戶寄存於經紀處而未以客戶姓名註冊之證券，若產生股息或其他的派發或利益，經紀須根據代表客戶持有之有關證券數目或數額、按比例將該等利益存入客戶戶口內(或協議向客戶支付有關款項)。

- 4.3 If, in relation to any securities deposited with the Broker which are not registered in the name of the Client,

any loss is suffered by Broker there from, the margin account may be debited (or payment made by the Client as may be agreed) with the proportion of such loss equal to the proportion of the total number or amount of relative securities which shall comprise securities held on behalf of the Client.

有關任何寄存於經紀處而未以客戶姓名註冊之證券，若經紀須承受任何損失，則根據代表客戶持有之有關證券數目或數額，按比例在客戶之保證金戶口內扣除(或協議由客戶支付有關款項)。

- 4.4 The Client authorizes and agrees that in respect of securities (collateral) deposited with the Broker, or with another person to facilitate the provision of any financial accommodation by the Broker, or on behalf of the Broker and for a period of not more than 12 months from the date of the Authorization Letter from the Client to the Broker, the Broker may:

存入經紀或其他人作為經紀之融資貸款撥備之證券(抵押品)，客戶授權並同意款額，在由客戶給予經紀的保證金客戶授權書的簽署日起計不多於12個月內，在經紀自由酌情權下，可以：

- (a) deposit the relevant securities (collateral) with financial institutions as collateral for any financial accommodation provided to the Broker; or
將有關證券(抵押品)存入金融機構作為為經紀提供的融資貸款提供的抵押;或
- (b) lend or deposit the securities (collateral) to any person (in accordance with the Securities and Futures Ordinance and its rules and other applicable laws and regulations); or
(根據證券及期貨條例及其規則及其他適用的法律及規則)借出或存入證券(抵押品)給任何人;或
- (c) deposit the securities (collateral) with clearing houses as collateral for the discharge and satisfaction of the Broker's clearing obligation and liabilities and
將證券(抵押品)存入交易所作為經紀之結清責任的抵押;或
- (d) apply any of the Client securities or securities collateral pursuant to a securities borrowing and ending agreement.
依據證券借貸協議運用任何客戶的證券或證券抵押品。

Such authority may be renewed in writing at the Broker's discretion for one or more further periods not more than 12 months unless objected to in writing by the Client. Such authorization will be deemed to have been renewed if at least 14 days prior to the expiry of the authorization, the Broker gives a written notice to the Client, reminding the Client of its impending expiry and informing the Client that unless the Client objects, it will be renewed upon expiry upon the same terms and conditions as specified in the authorization. Where the authorization is deemed to have been renewed, the Broker will give a written confirmation of the renewal of the authorization to the Client within 1 week after the date of expiry. The authorization shall remain in full force and effect until the Broker receives written notice of revocation from the Client and such written notice shall take effect upon the expiry of 14 days from the date of the Broker's actual receipt of such notice.

除客戶以書面反對外，該等授權可以以書面方式續延或一次或多次進一步續延但每次期限不能超過12個月。該等授權將為當作已續期，如在該等授權的有效期屆滿前的14日之前，經紀向客戶發出書面通知，提醒客戶該授權的有效期即將屆滿，並通知客戶除非他提出反對，否則該授權會在屆滿時按該授權指明的相同條款及條件續期，當該授權當作已續期，在該授權屆滿日期後的1星期內，經紀將把該授權續期的確認書給予客戶。

該授權將保持有效直到經紀收到由客戶發出之書面撤銷通知。該等通知之生效日期為經紀真正收到該等通知後之14日起計。

5. Cash Held for the Client (代客戶保管的現金)

Any cash held for the Client, other than cash received by the Broker in respect of transactions and which is on-paid for settlement purposes or to the Client, shall be credited to a client trust account maintained with a licensed bank(s) as required by applicable laws from time to time. Unless otherwise agreed between the Client and the Broker, any interest accrued on such monies shall be retained by the Broker.

代客戶保管的現金須依照適用法律不時的規定，存放於持牌銀行所開立的一個客戶信託賬戶內（此等現金不包括經紀就交易取得，而且須為交收而轉付或轉付予客戶的現金）。除非經紀與客戶之間另有協議，該等款項應得之利息將屬經紀所保留。

6. Event of Default (違約事項)

All of the obligations of the Client to the Broker shall immediately become due and payable on demand by the broker upon the happening of any of the following events:

當任何下列事項發生時，客戶對經紀之所有債務將會立即到期及按經紀提出要求時立即償還一切結欠之款項：

- (a) Failure by the Client to perform any of the terms of this or any other agreement between the Broker and the Client;
客戶未能履行與經紀之間，簽訂之本協議或任何其他協議之任何條款；
- (b) The levy or enforcement of any attachment, execution or other process against the Client, or against any of the accounts of the Client with the Broker;

對客戶，或客戶於經紀設立之任何戶口作扣押、被法庭判決執行令或其他程序；

- (c) Any representation or warranty made by the Client to the Broker in this Agreement or in any other document being or becoming incorrect;
客戶對經紀於本協議或任何其他文件所作出之代表及保證為不正確；
- (d) Any consent, authorization or board resolution required by the Client to enter into this Agreement being wholly or partly revoked, suspended, terminated or ceased to remain in full force and effect;
or
規定客戶與經紀達成本協議或任何其他協議之同意書、授權或董事會決議被全部或部份撤銷、終止、解除或不再具有十足效力及作用；或
- (e) The filing of a petition in bankruptcy, winding up or the commencement of other analogous proceeding against the Client.
針對客戶展開申請破產或結業或類似法律程序。

7. Default and Enforcement (違約及執行)

7.1 Unless otherwise agreed, the Client agrees that should the Client fail to make such payment or delivery of securities by the due settlement date as mentioned above, the Broker is hereby authorized:
除非另有協議，客戶同意當客戶在到期交收日不能如上文所述支付款項或送交證券時，授權經紀：

- (a) in the case of a purchase transaction, to transfer or sell any such purchased securities, or other securities held for the Account to satisfy the Client's obligations to the Broker; or
若為買入交易，轉讓或賣出任何該等買入證券，或戶口持有之其他證券，以履行客戶對經紀之責任；或
- (b) in the case of a sale transaction, to borrow and/or purchase such sold securities to satisfy the Client's obligations to the Broker.

The Client hereby acknowledges that the Client will be responsible to the Broker for any loss, costs fees and expenses in connection with the Client's failure to meet the Client's obligations by due settlement dates as described above.

若為賣出交易，借入及／或買入該等沽出證券，以履行客戶對經紀之責任。現客戶確認，客戶將就客戶不能如上文所述在到期交收日履行客戶之責任，向經紀負任何有關之損失、成本、費用及開支。

7.2 If the Client commits a default in payment on demand of the deposits or margins or any other sums payable to the Broker, on the due date therefore, or otherwise fails to comply with any of the terms herein contained, without prejudice to any other rights the Broker may have, the Broker shall have the right to close the margin account(s) without notice to the Client, and to dispose any or all securities held for or on behalf of the Client and to apply the proceeds thereof and any cash deposit(s) to pay Broker all outstanding balances owing to Broker. The Client will remain liable for any resulting deficit in the account and interest charged on the account. On the other hand, if there are monies remaining after such application, it shall be refunded to the Client.

如客戶未能於經紀要求之限期前繳付按金或保證金，或任何本合約規定須付予經紀之款項，或未有遵行本合約之任何條款，在不影響經紀可能享有的任何其他權利的情況下，經紀有權毋須通知客戶而結束保證金戶口，並處置任何或一切為或代表客戶持有之證券，將出售所得款項或任何現金按金，用以清償一切未付還經紀之餘數，客戶將為其賬戶內因此而出現的任何虧欠數額及將繳付的利息負責。相反，如清償後尚有餘款，則須退還予客戶。

7.3 The Client undertakes to indemnify the Broker and its officers, employees and agents for any loss, cost, claim, liability or expense arising out of or connected with any breach by the Client of the Client's obligations hereunder including any costs reasonably and necessarily incurred by the Broker in collecting any debts due to the Broker or in connection with the closure of the Account.

客戶承諾償付經紀及其職員、僱員及代理人任何因客戶違背其在本合約之責任而引致或涉及之任何損失、費用、索償、責任或開支；包括經紀於收取欠款或因結束保證金戶口而在合理及需要之情況下引起之任何費用。

8. Set-Off (抵銷)

8.1 The Client hereby irrevocably directs the Broker to set-off and withhold from and apply any securities, receivables and monies held in or for the Account against and in whole or partial payment of any sum or liability owed by the Client to the Broker.

客戶現向經紀作出不可撤回之指示，以保證金戶口所持之任何應收款項或金錢抵銷、扣除及利用該等證券、應收款項或金錢，以全數或部份支付客戶欠經紀之任何款項或負債。

8.2 The Broker may at any time combine or consolidate the Account with any other accounts held by the Client with the Broker and set-off any sum standing to the credit of any one or more such accounts against any obligations or liabilities of whatsoever nature owing to the Broker in respect of such

accounts.

經紀可隨時將保證金戶口與客戶在經紀處持有之任何其他戶口結合或合併，將任何一個或以上該等戶口貸方之任何款額抵銷或轉讓該等款額以清償任何其他戶口欠經紀不論任何性質之債務或負債。

9. Representations, Warranties and Undertakings (陳述、保證及承諾)

9.1 The Client hereby warrants and represents and undertakes to the Broker in the following terms:
客戶在此向經紀保證、陳述及承諾如下：

- (a) The Client is acting as principal and not trading on behalf of any other person unless the Broker is notified otherwise in writing;
客戶現在是以主事人的身分，而並不是代表任何其他人進行交易，除非客戶以書面形式向經紀作出知會；
- (b) The terms and conditions herein and their performance and the obligations contained herein do not and will not
此等條款及其履行及於此等條款所列的責任不會及將不會：
 - (i) contravene any existing applicable law, statute, ordinance, rule or regulation or any judgment, decree or permit to which the Client is subject or any provisions of the Client's memorandum and articles of association or bye-laws (if applicable); or
違反任何現行適用的法律、法規、條例、規例或客戶需遵守的法庭判決、法令或許可，或違反客戶的公司章程條文或附例（如適用）；或
 - (ii) conflict with or result in any breach of the terms of or constitute any default under any agreement or other instrument to which the Client is a party or is subject or by which any of the Client's property is bound;
違反任何客戶為締約一方或需遵從或對客戶資產有影響的任何合約或文件或對該等合約或文件構成失責；
- (c) The Client is, except as previously disclosed in writing to the Broker, not an officer or employee of exchange, board of trade, clearing house, bank or trust company, or an affiliate of any dealer in securities, or any introducing broker, or an officer, partner, director or employee of any securities broker or dealer;
除非客戶已另行以書面向經紀申報，客戶並非任何交易所、交易委員會、結算所、銀行或信託公司員工或辦事人員，或任何證券商的聯屬人，或任何引薦經紀，或任何證券經紀或交易商的辦事人員、合伙人、董事或員工；
- (d) The Client is the person ultimately responsible for originating the instructions in relation to and the person that stands to gain the commercial or economic benefit of each transaction in the Account and/ or bear the commercial or economic risk (except where such other person(s) or entity has been disclosed to the Broker in the Client Information Statement or other written notice to the Broker).
客戶是最終負責發出有關指示的人（仕）；對保證金戶口內的每宗交易而言，客戶是將會從該宗交易取得商業或經濟利益及／或承擔其商業或經濟風險的人（仕）（在客戶資料表向經紀所披露或向經紀以書面形式作出申報的人（仕）或實體除外）。

9.2 The above representations and warranties shall be deemed to be repeated immediately before each instruction is given or executed.

以上的陳述及保證將會被視為在發出每項指示或執行每項指示前已再次重複作出。

10. Client Data (客戶資料)

The Client confirms that the Broker has duly informed and explained to the Client and that the Client has read and understood the accompanying "Notice to Clients and Other Individuals relating to the Personal Data (Privacy) Ordinance" before furnishing to the Broker personal data relating to the Client. The Client consents to the use of such data and all personal data which may be or have been previously supplied, if any, to the Broker for the purpose of discharging all or any of its functions described in the said "Notice to Clients and Other Individuals relating to the Personal Data (Privacy) Ordinance" and for any other purposes directly related to those purposes.

客戶確認經紀已適當向客戶通知及解釋，並且在向經紀提交有關客戶個人資料之前，客戶已經閱讀並明白隨本協議附上的“關於個人資料（私隱）條例（“條例”）致客戶及其他個別人士的通知”。客戶同意經紀使用可能或已經事先提供的該等資料及所有個人資料（如有）作為解除經紀在根據“關於個人資料（私隱）條例（“條例”）致客戶及其他個別人士的通知”中描述的所有或任何功能，及為與那些目的直接相連其他目的。

11. General (一般規定)

- 11.1 The Broker will notify the Client of material changes in respect of the Broker's business which may affect the services the Broker provides to the Client.
倘經紀的業務有重大變更，並且可能影響經紀為客戶提供的服務，經紀將會通知客戶。
- 11.2 The Client authorizes the Broker to conduct a credit enquiry or check on the Client for the purpose of ascertaining the financial situation and investment objectives of the Client.
客戶授權經紀進行對客戶之信用諮詢或查證，以確定客戶之財政狀況及投資目標。
- 11.3 The Broker is entitled at any time and from time to time at its absolute discretion vary, modify, add to or delete any terms and conditions herein and the Client agrees to be bound by such change and to observe perform and comply with such change. Upon notification to the Client of such change and the effective date of such change (including change which may have retrospective effect), the Client shall be bound by such change from such effective date. After notification being given, the operation of the Account by the Client (including but not limited to the checking of the balance, depositing or withdrawing or transferring of funds or securities to or from the Account) shall amount to acceptance by the Client that the Client has agreed to such change.
客戶知悉經紀不會接受客戶任何賣空指示。
- 11.4 Any notice required to be given by the Broker to the Client shall be deemed to have been so given if addressed to the Client or, where the Client consists of more than one person, any or each of them at the last known address of the recipient. Any notice delivered by the Broker personally shall be deemed to have been given at the time of delivery. Any notice despatched by the Broker by letter postage prepaid shall be deemed to have been given immediately after posting. Any notice sent by facsimile, by email or otherwise via the internet shall be deemed to have been given at the time of transmission.
經紀有權在任何時候有絕對酌情權變更、修訂、增補或刪除本協議任何條款及條件。客戶同意受該等變更的約束，並且遵守、履行及服從該等變更。在通知該等變更給客戶及在該等變更生效日後（包括可能有溯及既往效力之變更），客戶將自該生效日受該等變更之約束。在發出通知後，客戶對該帳戶之運作包括查詢餘額、向該帳戶存入，或從該帳戶取出或轉讓資金或證券，向經紀發出指令交易或買賣證券）將等於客戶已經同意該等變更。
- 11.5 Whenever any law or legislation shall be enacted or amended, or any rules regulations by-laws directions policy or policies shall be made by any lawful authority or under any law which shall be applicable to effect in any manner or be inconsistent with any of the provisions hereof, the provision(s) so affected shall be deemed to be modified or suspended, as the case may be, by such act, statute, ordinance, sub-legislation, by-law, rule, regulation or direction and all other provisions herein and the provisions so modified shall in all respect continue and be in full force and effect.
任何規定由經紀發出之通知若已寄往收件人之經紀所知最後之地址予客戶或客戶中任何一人均視為已經發出。任何由經紀派專人送達之通知須在送達時已視為發出。任何由經紀以預支郵費信件所發出之通知須郵寄後便視為已即時發出。任何以傳真、電郵或其他情況下通過互聯網所發出之通知須視為在傳送後已經發出。
- 11.6 Where the Client consists of more than one person, the liability of each of them shall be joint and several and references to the Client shall be construed as the context requires, to any or each of them. The Broker shall be entitled to deal separately with any of them including the discharge of any liabilities to any extent without affecting the liability of the others.
如因修改或制定任何法律、規則、規例、規章、指示或政策，使本協議條款在任何方面有影響或不相符合受影響之條款將被視為已被該等法令、條例、規章、規則、規例或指示修訂或暫停，並且本協議所有其他條及因此被修訂的條款將在所有方面繼續成立並且完全有效。
- 11.7 The provisions of this Agreement shall be binding on and enure to the benefit of the Broker's successors, assigns and personal representatives (where applicable). The Broker may assign all or a part only of the Broker's rights and obligations under this Agreement to any person without the Client's prior consent or approval. Without prejudice to the generality of the foregoing, the Broker may at any time assign the outstanding balance of the Account owing to the Broker to any contractual credit management organization or collection agent employed by the Broker for debt recovery proceeding.
倘客戶為一人以上，則各人須承擔共同及個別責任，且客戶一詞將按文義詮釋，包括任何一人或各人在內，而經紀將有權與其中任何人士個別往來交易，包括在任何程度上解除某人之責任而不影響其他人士應負之責任。
- 11.8 The Client confirms that the Client has read all the terms of this Agreement, which have been explained to Client in a language that the Client understands. The Client agrees and accepts all the terms and conditions herein.
本協議之條款將會對經紀之承繼人、受讓人及個人代表（如適用）有約束力及利益。經紀亦可在未經客戶之事先同意或批准，將本協議之全部或部份之權利或義務授予任何人。此外，經紀可隨時將經紀追討未償還款項之權力授予經紀僱用之收賬公司或中介人。

11.9 This Agreement is governed by and construed in accordance with the laws of the Hong Kong Special Administrative Region. The parties hereto irrevocably submit to the non-exclusive jurisdiction of the courts of the Hong Kong Special Administrative Region.
客戶確認客戶已詳閱本協議，其中內容亦全部以客戶明白之語文，向客戶解釋清楚。客戶贊成及同意本協議內之一切條款及細則。

12. RISK DISCLOSURE STATEMENT – SECURITIES TRADING (風險披露聲明書—證券交易)

The Client acknowledges that 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.

客戶知悉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。

13. RISK DISCLOSURE STATEMENT – MARGIN TRADING (風險披露聲明書—保證金買賣)

The Client acknowledges that the risk of loss in financing a transaction by deposit of collateral is significant. The Client may sustain losses in excess of the Client's cash and any other assets deposited as collateral with the Broker. Market conditions may make it impossible to execute contingent orders, such as "stop-loss" or "stop-limit" orders. The Client may be called upon at short notice to make additional margin deposits or interest payments. If the required margin deposits or interest payments are not made within the prescribed time, the Client's collateral may be liquidated without the Client's consent. Moreover, the Client will remain liable for any resulting deficit in the Client's account and interest charged on the Client's account. The Client should therefore carefully consider whether such a financing arrangement is suitable in light of the Client's own financial position and investment objectives.

客戶知悉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。

14. RISK DISCLOSURE STATEMENT – GROWTH ENTERPRISE MARKET ("GEM") (風險披露聲明書—創業板)

The Client acknowledges that 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.

客戶知悉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。

The Client understands that the Client 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.

客戶明白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。

The Client acknowledges that 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.

客戶知悉現時有關創業板股份的資料只可以在香港聯合交易所有限公司所操作的互聯網網站上找到。創業板上市公司一般毋須在憲報指定的報章刊登付費公告。

The Client understands that the Client should seek independent professional advice if the Client is uncertain of or have not understood any aspect of this risk disclosure statement or the nature and risks involved in trading of GEM stocks.

客戶明白假如對本風險披露聲明的內容或創業板市場的性質及在創業板買賣的股份所涉風險有不明白之處，應求尋獨立的專業意見。

15. RISK DISCLOSURE STATEMENT – RISK OF TRADING NASDAQ-AMEX SECURITIES AT THE STOCK EXCHANGE OF HONG KONG LIMITED (風險披露聲明書 – 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)

The Client acknowledges that the securities under the NASDAQ-Amex Pilot Program (PP) are aimed at sophisticated investors. The Client understands that the Client should consult the Broker and become familiarized with the PP before trading in the PP securities. The Client understands that the Client 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.

客戶知悉按照納斯達克－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。客戶明白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。客戶應知悉，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。

16. RISK DISCLOSURE STATEMENT – RISK OF PROVIDING AN AUTHORITY TO REPLEDGE CLIENT’S SECURITIES COLLATERAL ETC.

(風險披露聲明書 – 提供將客戶的證券抵押品等再質押的授權書的風險)

The Client acknowledges that there is risk if the Client provides the Broker with an authority that allows it to apply the Client’s securities or securities collateral pursuant to a securities borrowing and lending agreement, repledge the Client’s securities collateral for financial accommodation or deposit the Client’s securities collateral as collateral for the discharge and satisfaction of the Broker’s settlement obligations and liabilities.

客戶知悉向持牌人或註冊人提供授權書，容許其按照某份證券借貸協議書使用客戶的證券或證券抵押品、將客戶的證券抵押品再質押以取得財務通融，或將客戶的證券抵押品存放用以履行及清償其交收責任及債務的抵押品，存在一定風險。

If the Client’s securities or securities collateral are received or held by the Broker in Hong Kong, the above arrangement is allowed only if the Client consents in writing. Moreover, unless the Client is a professional investor, the Client’s authority must specify the period for which it is current and be limited to not more than 12 months. If the Client is a professional investor, these restrictions do not apply.

客戶知悉假如客戶的證券或證券抵押品是由持牌人或註冊人在香港收取或持有的，則上述安排僅限於客戶已就此給予書面同意的情況下方行有效。此外，除非客戶是專業投資者，客戶的授權書必須指明有效期，而該段有效期不得超逾12個月。

Additionally, the Client’s authority may be deemed to be renewed (i.e. without the Client’s written consent) if the Broker issues the Client a reminder at least 14 days prior to the expiry of the authority, and the Client does not object to such deemed renewal before the expiry date of the Client’s then existing authority.

The Client further acknowledges that the Client is not required by any law to sign these authorities. But an authority may be required by the Broker, for example, to facilitate margin lending to the Client or to allow the Client’s securities or securities collateral to be lent to or deposited as collateral with third parties. The Broker should explain to the Client the purposes for which one of these authorities is to be used.

若客戶是專業投資者，則有關限制並不適用。此外，客戶知悉假如客戶的持牌人或註冊人在有關授權的期限屆滿前最少14日向客戶發出有關授權將被視為已續期的提示，而客戶對於在有關授權的期限屆滿前以此方式將該授權延續不表示反對，則客戶的授權將會在沒有客戶的書面同意下被視為已續期。客戶知悉現時並無任何法例規定客戶必須簽署這些授權書。然而，持牌人或註冊人可能需要授權書，以便例如向客戶提供保證金貸款或獲准將客戶的證券或證券抵押品借出予第三方或作為抵押品存放於第三方。有關持牌人或註冊人應向客戶闡釋將為何種目的而使用授權書。

The Client acknowledges that if the Client signs one of these authorities and the Client’s securities or securities collateral are lent to or deposited with third parties, those third parties will have a lien or charge on the Client’s securities or securities collateral. Although the Broker is responsible to the Client for securities or securities collateral lent or deposited under the Client’s authority, a default by the Broker could result in the loss of the Client’s securities or securities collateral.

客戶知悉倘若客戶簽署授權書，而客戶的證券或證券抵押品已借出予或存放於第三方，該等第三方將對客戶的證券或證券抵押品具有留置權或作出押記。雖然有關持牌人或註冊人根據客戶的授權書而借出或存放屬於客戶的證券或證券抵押品須對客戶負責，但上述持牌人或註冊人的違責行為可能會導致客戶損失客戶的證券或證券抵押品。

The Client acknowledges that a cash account not involving securities borrowing and lending is available from most licensed or registered persons. The Client acknowledges that if the Client does not require margin facilities or does not wish the Client’s securities or securities collateral to be lent or pledged, do not sign the above authorities and/or the AUTHORIZATION LETTER and ask to open this type of cash account.

客戶知悉大多數持牌人或註冊人均提供不涉及證券借貸的現金帳戶。假如客戶毋需使用保證金貸款，或不希望本身證券或證券抵押品被借出或遭抵押，則切勿簽署上述的授權書及/或保證金客戶授權書，並應要求開立該等現金帳戶。

17. Declaration and Acknowledgement by Client (客戶聲明及確認)

17.1 The Client hereby confirms that the above risk disclosure statements were provided in a language of the Client’s choice; and the Client was invited to read the risk disclosure statements, to ask questions and take independent advice if the Client wishes.

客戶確認已獲按照客戶選擇的語言提供以上的風險披露聲明，及客戶已獲邀閱讀該等風險披露聲明、提出問題及徵求獨立的意見(如客戶有此意願)。

17.2 The Client hereby further confirms that the Client fully understands and agrees to be bound by this agreement and the Client has been invited to ask questions and take independent advice if the Client wishes.

客戶進一步確認客戶完全明白及願意接受本協議書的條文約束及客戶已獲邀提出問題及徵求獨立意見(如有此意願)。

Declaration by Representative of Sincere Securities Limited (由訊匯證券有限公司之代表作出聲明)

I, _____ (name of representative) of Sincere Securities Limited, (SFC) CE Number _____, have provided the risk disclosure statements in relation to Securities Trading, Margin Trading, Growth Enterprise Market, Risk of Trading Nasdaq-Amex Securities at The Stock Exchange of Hong Kong Limited and Risk of Providing an Authority to Repledge Client's Securities Collateral Etc. (stated on the Margin Client's Agreement) to _____ (name of Client) at _____ (address where declaration and acknowledgement by Client took place) in a language of the Client's choice; and have invited the Client to read the risk disclosure statements, ask questions and take independent advice if the Client wishes and I have also invited the Client to read the Margin Client's Agreement (in a language of the Client's choice) and have invited the Client to ask questions and take independent advice if the Client wishes.

本人，_____ (註冊代表姓名) _____ (職務) 及在證監會之 CE 編號 _____，經已於 _____ (客戶聲明及確認的地址)，按照客戶選擇的語言，向 _____ (客戶姓名) 提供陳述於保證金客戶協議書內關於證券交易的風險，保證金買賣的風險，買賣創業板股份的風險，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及提供將客戶的證券抵押品等再質押的授權書的風險的風險披露聲明及邀請客戶閱讀該等風險披露聲明，提出問題及徵求獨立的意見（如客戶有此意願）及本人已邀請客戶閱讀（按照客戶所選擇的語言的）保證金客戶協議書及邀請客戶提出問題及徵求獨立意見（如客戶有此意願）。

Signed by representative (註冊經紀代表簽署)

Date (日期): _____

CERTIFIED COPY OF RESOLUTIONS

RESOLUTIONS OF THE BOARD DIRECTORS OF _____
_____ (“Company”) duly and effectively passed in
accordance with the laws of _____ and with the Company’s constitution on
_____.

RESOLVED :

1. That *cash/margin securities dealing account(s) (“Account(s)”) be opened with Sincere Securities Limited (“Sincere”) subject to the terms and conditions in the account opening documents (“Documents”) as produced to the Meeting. Terms and expressions used in the Documents shall have the same meaning when used in these Resolutions.
2. That any _____ of the following persons (“Authorized Persons”) be and *is/are hereby authorized for and on behalf of the Company to execute and deliver the Documents, and to make, execute and deliver any other agreements, guarantees, authorization, security documents, acknowledgements, releases, assignments or other documents (including any written instructions to Sincere to buy, sell and deal in and with all kinds of Securities) in relation to the Account(s).

Name	Title	Specimen Signature
_____	_____	_____
_____	_____	_____
_____	_____	_____

3. That any of the Authorized Persons be and is authorized for and on behalf of the Company to give oral instructions to Sincere to buy, sell and deal in and with all kinds of Securities in respect of the Account(s).
4. That Sincere be informed from time to time by notice in writing of any change in the list of Authorized Persons and that Sincere be entitled to rely upon such notice until receipt by Sincere of such further notice.

CERTIFICATE

I, the undersigned, _____, hereby certify that the foregoing is a full, true and correct copy of the resolutions duly and regularly passed and adopted by the Board of Directors of the Company on the date stated therein; that the said resolutions appear in the minutes of the Company, and that the same have not been rescinded or modified and are now in full force and effect.

I, the undersigned, further certify that the Company is duly organized and existing, and has the power to take the action called for in the foregoing resolutions.

Date: _____



Director
Name:
Date:

*Delete where inapplicable

AUTHORIZATION LETTER (保證金客戶授權書)

To: **Sincere Securities Limited (訊匯證券有限公司)**
9/F, Cosco Tower, 183 Queen's Road Central, Hong Kong.
香港中環皇后大道中 183 號中遠大廈 9 樓

Dear Sirs

Authority under the Securities and Futures Ordinance and the Securities and Futures (Client Securities Rules) to apply, lend or deposit securities (collateral)

根據證券及期貨條例及證券及期貨(客戶證券)規則所提供有關運用、貸出或存放證券(抵押品)的常設授權

This letter of authority covers all securities purchased or held by you on my / our behalf or deposited with you (as collateral). 本授權書是有關一切由閣下代表本人／吾等購入或持有，或存於閣下(遞作為抵押品)之證券。

I/We 本人／吾等 _____ in full understanding the contents of this letter and authorize you to 完全明白本授權書的內容，並根據本授權書授權閣下：

1. deposit any of my/our securities (**collateral**) with an authorized institution (as defined by the Banking Ordinance) as collateral for financial accommodation provided to you;
將任何本人／吾等的證券(抵押品)存於一認可機構(根據《銀行條例》所作之定義)，作為該機構向閣下提供財務通融之抵押品；
2. lend or deposit any of my/our securities (**collateral**) to fulfill settlement obligations between the exchange participants of The Stock Exchange of Hong Kong Limited ("SEHK"). Any lending or depositing must be in accordance with the regulations of SEHK;
貸出或存放任何本人／吾等的證券(抵押品)，以完成香港聯合交易所有限公司(「聯交所」)的交易所參與者之間之交收責任。任何證券(抵押品)貸出或存放須依照聯交所規例進行；
3. deposit any of my/our securities (**collateral**) with Hong Kong Securities Clearing Company Limited ("HKSCC") as collateral for the discharge and satisfaction of your clearing obligations and liabilities under the General Rules of the Central Clearing and Settlement System. I/We understand that HKSCC will have a first fixed charge over my/our securities (**collateral**) to the extent of your obligations and liabilities. And
將任何本人／吾等的證券(抵押品)存於香港中央結算有限公司(「中央結算」)，作為該機構之抵押品，以履行並完成閣下(根據《中央結算系統一般規則》)之結算責任。本人／吾等明白中央結算因應閣下的責任而對本人／吾等的證券(抵押品)設定第一固定押記；及
4. apply any of my/our securities or securities collateral pursuant to a securities borrowing and lending agreement.
依據證券借貸協議運用任何本人／吾等的證券或證券抵押品。

You may do any of these things without giving me/us notice. I/We acknowledge that this authority shall not affect your right to dispose of my/our securities (collateral) in settlement of:

閣下可以做上述任何事情而毋須通知本人／吾等。本人／吾等確認本授權書不影響閣下為以下目的而處置本人／吾等的證券(抵押品)的權利：

1. my/our obligation to maintain the Margin (as defined in the Margin Client Agreement);
履行本人／吾等維持保證金的義務(根據《保證金客戶協議書》所作之定義)；
2. any of my/our liability to repay or discharge the financial accommodation provided by you;
履行本人／吾等付還或解除由閣下所提供的財務通融的法律責任；
3. any of my/our liability to settle a transaction in securities against which collateral has been provided by me/us; or
履行本人／吾等就某證券交易進行交收的法律責任，而本人／吾等已就該法律責任提供抵押品；或
4. any of my/our liability owed to you for dealing in securities which remains outstanding after you have disposed of all other assets designated as collateral for securing the settlement of that liability.
履行本人／吾等就證券交易而對閣下負有的法律責任，而該法律責任是指閣下已將指定作為保證履行該法律責任的抵押品的所有其他資產處置後仍未履行的法律責任。

This authority does not cover any consideration I/We must pay or be paid for your applying, lending or depositing any of my/our securities (collateral). Any consideration must be set in a separate agreement between us.

本授權書並不涉及就閣下運用、貸出或存放本人／吾等任何證券(抵押品)而須支付或收取的任何代價，任何代價均須由本人／吾等與閣下另行簽約訂明。

You are accountable to me/us for the return of any securities (collateral) applied, lent or deposited under this authority. 閣下仍須就根據本授權書運用、貸出或存放的任何證券(抵押品)的歸還本人/吾等負責。

I/We understand that a third party may have rights to my/our securities (collateral), which you must satisfy before my/our securities (collateral) can be returned to me/us.

本人/吾等明白本人/吾等的證券(抵押品)可能受制於第三者之權利，閣下須全數抵償該等權利後，方可將本人/吾等的證券(抵押品)退回本人/吾等。

This authority is valid for a period of 12 months from the date of this letter. This authority may be renewed in writing at our discretion for one or more further periods not more than 12 months unless objected to in writing by you. This authorization will be deemed to have been renewed if at least 14 days prior to the expiry of the authorization, we give a written notice to you, reminding you of its impending expiry and informing you that unless you object, it will be renewed upon expiry upon the same terms and conditions as specified in the authorization. Where the authorization is deemed to have been renewed, we will give a written confirmation of the renewal of the authorization to you within 1 week after the date of expiry. This authorization shall remain in full force and effect until we receive written notice of revocation from you and such written notice shall take effect upon the expiry of 14 days from the date of our actual receipt of such notice.

本授權書的有效期為十二個月，自簽署之日起計有效。除本人/吾等以書面反對外，本授權可以以書面方式續延或一次或多次進一步續延但每次期限不能超過12個月。本授權將為當作已續期，如在本授權的有效期屆滿前的14日之前，閣下向本人/吾等發出書面通知，提醒本人/吾等本授權的有效期即將屆滿，並通知本人/吾等除非本人/吾等提出反對，否則本授權會在屆滿時按本授權指明的相同條款及條件續期，當本授權當作已續期，在本授權屆滿日期後的1星期內，閣下將把本授權續期的確認書給予本人/吾等。本授權將保持有效直到閣下收到由本人/吾等發出之書面撤銷通知。該等通知之生效日期為閣下真正收到該等通知後之14日起計。

RISK DISCLOSURE STATEMENT – RISK OF PROVIDING AN AUTHORITY TO REPLEDGE CLIENT’S SECURITIES COLLATERAL ETC. (風險披露聲明—提供將客戶的證券抵押品等再質押的授權書的風險)

I/We acknowledge that there is risk if I/We provide you with an authority that allows you to apply the my/our securities or securities collateral pursuant to a securities borrowing and lending agreement, repledge my/our securities collateral for financial accommodation or deposit my/our securities collateral as collateral for the discharge and satisfaction of your settlement obligations and liabilities.

客戶知悉向持牌人或註冊人提供授權書，容許其按照某份證券借貸協議書使用客戶的證券或證券抵押品、將客戶的證券抵押品再質押以取得財務通融，或將客戶的證券抵押品存放用以履行及清償其交收責任及債務的抵押品，存在一定風險。

If my/our securities or securities collateral are received or held by you in Hong Kong, the above arrangement is allowed only if I/we consent in writing. Moreover, unless I/we am/are a professional investor, my/our authority must specify the period for which it is current and be limited to not more than 12 months. If I/we am/are a professional investor, these restrictions do not apply.

客戶知悉假如客戶的證券或證券抵押品是由持牌人或註冊人在香港收取或持有的，則上述安排僅限於客戶已就此給予書面同意的情况下方行有效。此外，除非客戶是專業投資者，客戶的授權書必須指明有效期，而該段有效期不得超過12個月。若客戶是專業投資者，則有關限制並不適用。

Additionally, my/our authority may be deemed to be renewed (i.e. without my/our written consent) if you issue me/us a reminder at least 14 days prior to the expiry of the authority, and I/we do not object to such deemed renewal before the expiry date of my/our then existing authority.

此外，客戶知悉假如客戶的持牌人或註冊人在有關授權的期限屆滿前最少14日向客戶發出有關授權將被視為已續期的提示，而客戶對於在有關授權的期限屆滿前以此方式將該授權延續不表示反對，則客戶的授權將會在沒有客戶的書面同意下被視為已續期。

I/We further acknowledge that I/we am/are not required by any law to sign these authorities. But an authority may be required by you, for example, to facilitate margin lending to me/us or to allow my/our securities or securities collateral to be lent to or deposited as collateral with third parties. You should explain to me/us the purposes for which one of these authorities is to be used.

客戶知悉現時並無任何法例規定客戶必須簽署這些授權書。然而，持牌人或註冊人可能需要授權書，以便例如向客戶提供保證金貸款或獲准將客戶的證券或證券抵押品借出予第三方或作為抵押品存放於第三方。有關持牌人或註冊人應向客戶闡釋將為何種目的而使用授權書。

I/We acknowledge that if I/we sign one of these authorities and my/our securities or securities collateral are lent to or deposited with third parties, those third parties will have a lien or charge on my/our securities or securities collateral. Although you are responsible to me/us for securities or securities collateral lent or deposited under my/our authority, a default by you could result in the loss of my/our securities or securities collateral.

客戶知悉倘若客戶簽署授權書，而客戶的證券或證券抵押品已借出予或存放於第三方，該等第三方將對客戶的證券或證券抵押品具有留置權或作出押記。雖然有關持牌人或註冊人根據客戶的授權書而借出或存放屬於客戶的證券或證券抵押品須對客戶負責，但上述持牌人或註冊人的違責行為可能會導致客戶損失客戶的證券或證券抵押品。

I/We acknowledge that a cash account not involving securities borrowing and lending is available from most licensed or registered persons. I/We acknowledge that if I/we do not require margin facilities or do not wish my/our securities or securities collateral to be lent or pledged, do not sign the above authorities and ask to open this type of cash account.

客戶知悉大多數持牌人或註冊人均提供不涉及證券借貸的現金帳戶。假如客戶毋需使用保證金貸款，或不希望本身證券或證券抵押品被借出或遭抵押，則切勿簽署上述的授權書，並應要求開立該等現金帳戶。

I/We acknowledge that you have explained to me/us the purposes for which the authorities in this Authorization Letter are to be used.

本人／吾等確認閣下已經向本人／吾等闡釋將為何種目的而使用本授權書。

Yours faithfully,

Client's Signature (客戶簽署): _____



Client's Name (客戶姓名): _____

Date (日期): _____

GUARANTEE

To: Sincere Securities Limited

1. I/We, _____ (Guarantor) at _____
_____ in consideration of
SINCERE SECURITIES LIMITED (hereinafter called “the Company”) which expression shall include and
extend to its successors and assigns) agreeing at my/our request to open and/or continue to maintain an account in
the name of _____ (name of
account holder) (hereinafter called “the Customer”) hereby unconditionally guarantee, undertake and agree with
the Company as principal obligor and not merely as surety on written demand by the Company:
- (a) to pay and discharge the following (hereinafter called the “Liabilities”):
 - (i) all liabilities incurred by the Company in connection with the Company’s dealings in securities on behalf of the Customer;
 - (ii) all monies now or hereafter paid to, for or on account of the Customer (whether alone or jointly with any other person) by the Company; and
 - (iii) all other liabilities of the Customer to the Company whatsoever, whether actual or contingent, present or future and including, without limitation, liabilities incurred as a guarantor or surety together with all interest thereon and commission, costs, charges and expenses chargeable by the Company against the Customer (including legal fees), from time to time remaining unpaid or undischarged,; and
 - (b) to pay all costs and expenses (on a full indemnity basis) arising out of or in connection with the recovery or attempted recovery by the Company of monies due to the Company under this Guarantee.
2. My/Our liability under this Guarantee shall extend to cover:
- (a) in the case of the death, bankruptcy or liquidation of the Customer, all sums which would have been owing to the Company by the Customer if such death had occurred or such bankruptcy or liquidation had commenced at the time when the Company received actual notice thereof and notwithstanding such death, bankruptcy or liquidation;
 - (b) all money obtained from or liabilities incurred to the Company notwithstanding that the incurring of such liabilities may have been invalid or in excess of the powers of the Customer or of any director, attorney, agent or other person purporting to act on behalf of the Customer and notwithstanding any other irregularity in the incurring of such liabilities;
 - (c) in the event of the discontinuance by any means of this Guarantee, all cheques, drafts, bills, notes and negotiable instruments drawn by or for the account of the Customer on the Company and purporting to be dated on or before the date when such discontinuance become known to the Company or (in the case of notice to discontinue given hereunder) took effect although presented to or paid by the Company after that date and all liabilities of the Customer to the Company at such date whether payable forthwith or at some future time and also all credits then established by the Company for the Customer.
3. If the Customer is an infant or under a disability or is an unincorporated body which is under no liability to discharge obligations undertaken or purported to be undertaken on its behalf this Guarantee shall be binding on me/us notwithstanding that fact as if I/we were the principal debtor(s).
4. If this Guarantee is given in respect of the liabilities of a firm it shall apply to all liabilities incurred until receipt by the Company of actual notice of dissolution of the firm but if there shall be any other change in the constitution of the firm this Guarantee shall continue and, in addition to securing the liabilities of the firm as constituted before the change, shall apply to the liabilities of the firm as constituted after such change.
5. The Company may at all times without prejudice to this Guarantee and without discharging or in any way affecting my/our liabilities hereunder:
- (a) determine, vary or increase any credit to the Customer;

- (b) grant to the Customer or to any other person any time or indulgence;
 - (c) renew any bills, notes or other negotiable instruments or securities;
 - (d) deal with, exchange, release, modify or abstain from perfecting or enforcing any securities or other guarantees or rights which the Company may now or hereafter have from or against the Customer or any other person;
 - (e) compound with the Customer or with any other person or guarantor.
6. This Guarantee shall not be affected by any failure on the Company's part to take any security or by the invalidity of any security taken. My/Our liability hereunder shall not be discharged or in any way affected by any act or omission on the part of the Company under or in relation to this Guarantee or by any course of dealing between the Company and us.
7. This Guarantee shall not be considered as satisfied or discharged by any intermediate payment or satisfaction of the whole or any part of the Liabilities or by any other matter or thing whatsoever but shall constitute and be a continuing guarantee to the Company and shall extend to cover the ultimate balance of the Liabilities and shall be binding upon me/us and my/our personal representative until the expiration of one month after the receipt by the Company from me/each of us or my/our personal representatives of notice in writing to discontinue it.
8. This Guarantee shall be in addition to and is not to be prejudiced by any other guarantee or other security whether by way of mortgage, charge, lien or otherwise which the Company may now or at any time hereafter have or hold from me/us, the Customer or any other party for all or any part of the Liabilities and on discharge by the payment or otherwise shall remain the property of the Company.
9. In the event of this Guarantee being determined or ceasing from any cause to be binding as a continuing guarantee on me/us or my/our personal representatives:
- (a) it shall be lawful for the Company to continue any account with the Customer notwithstanding such event and my/our liability or as the case may be the liability of my/our estate(s) for the amount of the Liabilities at the date this Guarantee is determined shall continue notwithstanding any subsequent payment to or drawing upon or advance by the Company by or to or for or on behalf of the Customer; and
 - (b) the Company may forthwith without thereby affecting its rights under this Guarantee open a new or separate account with the Customer and, if the Company does not open a new or separate account, the Company shall nevertheless be treated as if it had done so at the time (the "relevant time") that the Company received notice or became aware that this Guarantee had determined or ceased to be binding as a continuing guarantee and as from the relevant time all monies paid by or on behalf of the Customer shall be credited or be treated as having been credited to the new or separate account and shall on settlement of any claim in respect of this Guarantee not operate to reduce the amount due from the Customer at the relevant time or the interest thereon unless the person or persons paying in such monies shall at the time of payment direct the Company in writing to appropriate the sum specially to that purpose.
10. The Company shall be entitled at all times to place and keep in a separate or suspense account or accounts to the credit of me/us or, as the case may be, my/our personal representatives or to the credit of such other person as the Company may think fit any monies received under this Guarantee or as result of the exercise of any of its rights against the Customer or any other surety in respect of the Liabilities for so long and in such manner as the Company may determine without any intermediate obligation to apply the same or any part thereof in or towards the discharge of the Liabilities and the Company shall be entitled to prove against me/us as if any amount standing to the credit of such account had not been received. I/We hereby irrevocably waive any right of appropriation in respect of any sums paid by me/us or any one or more of us hereunder.
11. Until all the Liabilities have been fully paid and discharged (and notwithstanding that I/we may have discharged the amount of this Guarantee), I/we shall not take any step to enforce any right against the Customer or his/their representatives in respect of this Guarantee of any monies paid hereunder or prove in any bankruptcy, liquidation, administration, winding up or other proceeding having an effect equivalent thereto of the Customer (each of which proceedings are hereinafter called a "Liquidation") in respect thereof in competition with the Company or claim the benefit of any securities held by the Company.
12. I/We have not taken and, until the Liabilities have been discharged and satisfied in full, will not take without the Company's prior written consent any security (which for the purposes of this Clause shall include any promissory note, cheque or bills of exchange) from the Customer in connection with this Guarantee; and in the event of me/us or any one or more of us having taken or taking any security in contravention of this provision

I/we or such one or more of us will hold the same on trust for the Company as further security for the Company and will forthwith deposit the same and all documents relating thereto with the Company and I/we will account to the Company for all monies at any time received by me/us or such one or more of us in respect thereof.

13. Any settlement or discharge between me/us and/or any one of us and the Company shall be conditional upon no security (including without limitation, any guarantee) furnished or payment made to the Company by the Customer or any other person being avoided or reduced by virtue of any relevant statutory provisions or enactments relating to bankruptcy, winding up or liquidation or other proceeding having an equivalent effect to any of the foregoing for the time being in force in any jurisdiction and the Company shall be entitled to retain any security held in respect of my/our liability hereunder (hereinafter called the "Guarantee Security") until the expiration of the period or periods under such provisions or enactments within which such payment or security could be avoided or reduced and if within any such period the payment or security is so avoided or reduced the Company shall be entitled to retain the Guarantee Security or any part thereof for and during such further period as the Company in its entire discretion shall determine.
14. In any proceedings under or for any other purpose of this Guarantee a certificate signed by any officer or representative or the Company certifying the amount of the Liabilities shall be accepted by me/each of us and my/our respective legal representative(s) as conclusive evidence thereof.
15. I/We will pay and discharge the Liabilities in whatever currencies the Liabilities are entered in the books of the Company and if any other part of the Liabilities is entered in a different currency from any part or parts of the Liabilities I/we shall pay and discharge each part of the Liabilities in the currency in which such part is entered in the books of the Company and if any such payment or discharge is subject to any withholding or other tax, duty, levy, impost or charge imposed or levied by or on behalf of any government or any political subdivision or taxing authority thereof I/we shall pay to the Company such additional amounts as may be necessary to ensure the receipt by the Company of the full amount of the Liabilities.
16. I/We agree that in addition to any general lien, right to combine or consolidate accounts, set-off or other similar right to which the Company may be entitled by law the Company shall be entitled at any time and from time to time without notice to me/us to set off, transfer or apply all or any of the monies from time to time standing to the credit of any account in my/our names or the names of any one of us as the case may be with the Company (regardless of (i) the branch of the Company at which and/or (ii) the currency in which the account is maintained) in or towards the discharge of the Liabilities or any other of my/our obligations under this Guarantee.
17. (a) Any notice or demand hereunder by the Company to me/us shall be in writing and shall be deemed to have been sufficiently given if sent by prepaid (and, if posted to a place outside, Hong Kong, air mail) post to my/our address as appearing herein or to my/our registered office or last known address as I/we may from time to time have notified to the Company and any notice or demand so sent shall be deemed to have been served on the day following the date of posting if posted in Hong Kong to an address in Hong Kong and on the eighth day following posting if posted to or from a place outside Hong Kong and in proving such service it shall be sufficient to prove that the envelope containing the notice was properly addressed, stamped and posted.
(b) Any notice or correspondence sent by me/us to the Company shall only be deemed given to the Company upon actual receipt by the Company of such notice or correspondence addressing to the Company's managing director.
18. If any one or more of the provisions of this Guarantee or any part or parts thereof shall be declared or adjudged to be illegal, invalid or unenforceable under any applicable law, such illegality, invalidity or unenforceability shall not vitiate any other provisions of this Guarantee and this Guarantee shall be construed as if such illegal, invalid or unenforceable provisions were not contained herein.
19. (a) In this Guarantee wherever the context so requires or permits (1) where the Customer comprises two or more persons all references to the Customer shall be construed as references to all or any of such persons, (2) the singular shall include the plural and vice versa, (3) the expression "person" shall mean and include a company, society, corporation, firm or an individual and in the case of an individual his or her executors, administrators, committee, receiver or other person lawfully acting on behalf of every such person, (4) the expression "this Guarantee" shall be construed as including and extending to any separate or independent stipulation or agreement herein contained, and (5) any reference to any statutory provision or enactment shall be deemed to include a reference to any modification or re-enactment thereof for the time being in force.

(b) Where this Guarantee is signed by more than one party our liability hereunder shall be joint and several and every agreement and undertaking on our part shall be construed accordingly and all references to us in this Guarantee shall, where the context requires or permits be construed as references to all or any of us and the Company shall be liberty to release or discharge any of us from the liabilities of this Guarantee or to accept any composition from or make any other arrangements with any of us without releasing or discharging the other or others of us or otherwise prejudicing or affecting the rights and remedies of the Company against the other or others of us and no one of us shall be nor shall this Guarantee be released or discharged by death or the death of any other of us.

- 20. This Guarantee shall remain valid and binding for all purposes notwithstanding any change by amalgamation, consolidation or otherwise which may be made in the constitution of the company or corporation by which the business of the Company may from time to time be carried on and shall be available to the company carrying on that business for the time being.
- 21. This Guarantee is and will remain the property of the Company notwithstanding the payment in full of any claim or claims of the Company hereunder.
- 22. The Company may assign all or a part only of its rights under this Guarantee to any person without my/our prior consent or approval.
- 23. This Guarantee shall be governed by and construed in accordance with the laws of Hong Kong and I/we hereby submit to the non-exclusive jurisdiction of the Courts of Hong Kong.

Date: _____

Particulars of Guarantor:

Name : _____

ID Card No./Passport No. _____

Tel No. _____

SIGNED AND DELIVERED BY



Signature of Guarantor

Witnessed by:-

Name :

Title :

Signature of Witness

SINCERE SECURITIES LIMITED

訊匯證券有限公司

Notice to Guarantor (致擔保人之通知書)

To: _____ (Guarantor's Name 擔保人姓名)

We, SINCERE SECURITIES LIMITED, refer to proposed execution by you of the Guarantee ("the Guarantee") in our favour in connection with our providing or continuing services of securities dealing (including margin facility services) or other accommodation or services for so long as we may think fit to _____ (Client's Name 客戶姓名) ("the Client"), and inform you as follows:-

本行〔訊匯證券有限公司（以下簡稱「本行」）〕關於閣下就本行向_____（「客戶姓名」）提供或延續本行認為適當之證券買賣服務（包括保證金服務）或其他貸款或服務而建議簽訂發給本行之擔保（以下簡稱「該擔保書」），並通知閣下_____（擔保人姓名）如下：

1. You should seek independent legal advice prior to your execution of the Guarantee;
閣下應在簽訂該擔保書之前尋求獨立的法律意見；
2. Your liability under the Guarantee for the obligations of the Client to us is unlimited in respect of all monies owing by the Client to us from time to time plus interest and other charges and expenses specified in the Guarantee;
對客戶隨時所欠本行一切款項及其利息與該擔保書所指明之其他收費及開支，閣下須負無限責任；
3. All amounts that you are liable to pay under the Guarantee are payable on demand, irrespective of whether any steps have been or will be taken against the Client or any other person;
該擔保書下閣下負責之一切款項，一經要求即須支付，不論已否對客戶或任何其他人士採取行動亦然；
4. You would be called upon to make payments under the Guarantee if the Client fails to pay any of the amounts secured by the Guarantee; and
倘客戶並不支付該擔保書所擔保的任何款項，將要求閣下根據該擔保書支付；及
5. Your liability under the Guarantee will not be extinguished until all amounts secured are finally and effectively discharged.
在最終的及有效的清償該擔保書所擔保的全部款項之前，閣下在該擔保書下的責任將不會消除。

Please note that the above is for your information only and shall not prejudice any of our rights or remedies under the Guarantee. Neither our representative nor we is or has purported to act as your financial or legal adviser, and if you have any doubt, you should seek your own legal advice

謹請留意，上文所載僅供參考，且並不損及該擔保書下的本行任何權利或補償。本行或本行代表並無聲稱擔任閣下的財務或法律顧問，如有疑問，閣下應先行尋求法律意見。

SINCERE SECURITIES LIMITED
訊匯證券有限公司

Acknowledgment by Guarantor(擔保人之認收書)

To: **SINCERE SECURITIES LIMITED** (“the Company”)

致：訊匯證券有限公司（以下簡稱「貴行」）

I/We hereby acknowledge receipt of the above upper case NOTICE TO GUARANTOR (“the Notice”) at a meeting with a representative of the Company prior to my/our execution of the Guarantee described in the Notice. 本人／吾等特此承認於本人／吾等簽訂上文部分致擔保人之通知書（以下簡稱「此項通知書」）之前，與 貴行代表舉行會議上收到此項通知書。

I/We further confirm that: (1) I/We fully understand the content of the Notice; (2) I/We have been advised to seek my/own legal advice prior to the execution of the Guarantee; (3) I/We execute the Guarantee voluntarily and free from any duress, undue influence or misrepresentation.

本人／吾等進一步確認：(1)本人／吾等完全明白此項通知書之內容，(2)本人／吾等已獲通知於簽署該擔保書前，自行尋求法律意見，(3)本人／吾等自願簽署該擔保書並沒有任何威迫、不當干擾或失實陳述。

I/We further agree that the Chinese versions of the Notice and this Acknowledgment are for reference only and the English version shall govern for all purposes.

本人／吾等進一步同意，此項通知書及認收書之中文譯本只供參考，一切均以英文原文為準。

Date 日期:



Guarantor's Name & Signature(擔保人姓名及簽署)

Guarantor's Name & Signature(擔保人姓名及簽署)

Name & Signature of Witness(見證人姓名及簽署)

MARGIN LOAN FACILITY(保證金客戶信貸融通額)

Date (日期) : _____

Dear Sir/Madam

We have pleasure in extending to you a revolving margin loan facility (the "Facility") upon and subject to the following terms and conditions:- 本公司榮幸地批准保證金貸款予貴客戶，條件及限制如下

1. Lender (貸方): Sincere Securities Limited of 9/F, Cosco Tower, 183 Queen's Road Central, Hong Kong.
訊匯證券有限公司 (甲方)- 地址為香港中環皇后大道中 183 號中遠大廈 9 樓
2. Borrower (借方): _____ (Client's Name) (客戶姓名)- (乙方)
3. Account(s) No (戶口): _____ with us.
4. Facility (條件): A revolving margin loan facility line tentatively up to a limit of HK\$ _____ ("the Credit Limit"). The Facility may be repaid and reborrowed in whole or in part provided that the total amount outstanding from you to us together with the interest thereon shall not exceed the Credit Limit. We reserve the right to increase or reduce the Credit Limit at any time in our sole discretion. The Credit Limit is for reference only. It shall not in any way limit your liability to settle any amount(s) that may be outstanding from you to us arising from or in relation to your trading activities or otherwise.
一項暫時性的循環保證金貸款額為港幣_____。此項貸款可全數或部份償還或再借，但欠款總數加上應付之利息必須不能超過貸款之限額。甲方可單方面保留增加或減少貸款額之權利。貸款額只供參考之用，乙方債務及還款額不限及受制於乙方在上述戶口中交易買賣活動上之債款。
5. Purpose (目的): In connection with your dealing in securities through the Account(s) and/or to settle any outstanding balance in the Account(s) and/or to settle any amount that may be outstanding by you to us.
有關於上述戶口中的交易與/或交付任何在證券戶口上的存款與/或支付其他債項予甲方。
6. Drawdown(行使動用): Subject to availability of funds, the loan may be drawdown at any time during the Availability Period by yourselves or your authorized agent. We shall also have the authority to drawdown the facility on your behalf for the purpose of settling your trading activities through the Account(s). The loan will be advanced by transferring the relevant amount to any one of the above Account(s) directly. We reserve our right to reject any drawdown application hereunder.
在可使用的資金下，乙方或乙方經甲方批准的授權代表可在有效日期期間行使動用保證金貸款。甲方亦有權代乙方行使動用貸款額，轉入上述戶口，以作為收在上述戶口中的買賣活動。甲方可保留拒絕任何乙方行使動用貸款的申請。
7. Interest (利息): The rate of interest on the loan(s) shall be 3.5% p.a. above prime rate.
貸款之利率為優惠利率加三厘半。

For the purpose of this clause, the following terms shall have the following meaning:-
"prime rate" means the best lending rate from time to time quoted by The Hong Kong & Shanghai Banking Corporation Limited ("HSBC") for Hong Kong dollars.
優惠利率即由香港上海匯豐銀行所提供之港元最優惠利率。

If you fail to pay any sum when due or utilize any facility in excess of the maximum amount indicated above, we shall be entitled to charge and you shall on demand pay interest on such sum and at such rate as we shall in our absolute discretion think fit.
假若乙方未能於到期日償還所欠款項，或其貸款超越上述限額，甲方有權收取而乙方需繳付由甲方所釐定的利息。
8. Final Maturity Date : The date on which the Availability Period will expire.
(最後到期日) 即有效日期期滿。
9. Repayment (還款): All outstanding loans shall be repaid forthwith on demand and in any event no later than the Final Maturity Date unless extended by agreement between the parties.
所有欠款必須在甲方要求下與/或在最後到期日前償還，除非在雙方同意下延續期限。

10. Availability Period (有效日期) : This facility is valid for a period of 12 months from the date of this letter. This facility may be renewed in writing at our discretion for one or more further periods not more than 12 months unless objected to in writing by you. This facility will be deemed to have been renewed if at least 14 days prior to the expiry of the facility, we give a written notice to you, reminding you of its impending expiry and informing you that unless you object, it will be renewed upon expiry upon the same terms and conditions as specified in the facility. Where the facility is deemed to have been renewed, we will give a written confirmation of the renewal of the facility to you within 1 week after the date of expiry. This facility shall remain in full force and effect until we receive written notice of revocation from you and such written notice shall take effect upon the expiry of 14 days from the date of our actual receipt of such notice..

此協議書有效期為十二個月，自簽署之日起計有效。除本人／吾等以書面反對外，本協議書可以以書面方式續延或一次或多次進一步續延但每次期限不能超過 12 個月。如在本協議書的有效期限屆滿前的 14 日之前，閣下向本人／吾等發出書面通知，提醒本人／吾等本協議書的有效期限即將屆滿，並通知本人／吾等除非本人／吾等提出反對，否則本協議書會在屆滿時按本協議書指明的相同條款及條件續期，當本協議書當作已續期，在本協議書屆滿日期後的 1 星期內，閣下將把本協議書續期的確認書給予本人／吾等。本協議書將保持有效直到閣下收到由本人／吾等發出之書面撤銷通知。該等通知之生效日期為閣下真正收到該等通知後之 14 日起計。

11. Other Terms (其他條) : The terms set out in the Margin Client Agreement signed between us (“Client Agreement”) are deemed to be incorporated in so far as the terms therein are not inconsistent with the terms herein. For avoidance of doubt, the term “Account” shall include the Account set out in Clause 3 above with us for the purposes of this letter agreement and the Client Agreement.

乙方與甲方所簽訂之客戶協議內的條文與本協議之條文視為合併。為免避疑惑，此協議中的第三條條文所述的戶口與客戶協議書中的戶口為同一戶口。

12. Governing Law (法律效力) : This letter agreement shall be governed by and construed in accordance with the laws of Hong Kong and the parties hereto irrevocably submit to the non-exclusive jurisdiction of the Hong Kong Courts.

本協議產生的所有權利、義務及責任均受香港法律管轄，並按照香港法律解釋。雙方茲以不可撤回方式將所有因本協議而產生之事宜提交非專屬司法權之香港法院管轄。

Yours faithfully
For and on behalf of
Sincere Securities Limited
訊匯證券有限公司

Above terms and conditions are confirmed and accepted by me/us. I/We confirm that you have my/our authority to drawdown the loan(s) during the Availability Period singly for the purpose of settling the trading activities through the Account(s). Please transfer all loan amounts to the Account(s) set out in item 3 of this letter agreement above. I/We also hereby drawdown today on the facility line granted to me/us such sum as may be necessary to repay all current outstanding loan and interest thereon due by me/us to you on any account(s) whatsoever and direct you to apply such sum for repayment thereof.

本人／吾等証實及接受以上條文。本人／吾等証實甲方可單方面在有效日期內行使動用貸款以作為交收本人在上述戶口中的買賣活動。本人／吾等請將貸款轉入上述戶口。本人／吾等亦現即日行使動用甲批准的貸款在需要的情況下，償還本人／吾等在上列戶口的債務及利息。



Authorized Signatory: _____
(授權簽署)

Authorized Signatory : _____
(客戶簽署)

Client's Name : _____
(客戶姓名)

訊匯證券有限公司
SINCERE SECURITIES LIMITED

客戶資料表 (1) (公司戶口)
CLIENT INFORMATION STATEMENT (1) (CORPORATE)

Account No. 戶口號碼 : _____ (For official use only 本公司專用)

Account Opening Date 開戶日期 : _____ (For official use only 本公司專用)

1. Business Information 商業資料

Name of Client	(English 英文)		
客戶名稱	(Chinese 中文)		
Client Trading Name (if different) 客戶經營名稱 (如有異於上述)			
Nature of Entity (i.e. partnership, private limited company, A public listed company, etc.) 公司性質 (即: 合夥, 私人有限公司, 或上市公司等)			
Nature of business 業務性質			
Place and Date of Incorporation/Establishment 註冊地點及日期			
Company Incorporation No. 公司註冊號碼		Business Registration No. 商業登記號碼	
Authorized Share Capital 可發行股本		Issued Share Capital 已發行股本	
Registered office in country of incorporation/establishment 註冊地的註冊辦事處地址			
Principal place of business in Hong Kong (if different) 香港總辦事處地址 (如有異於上述)			
Name of Bank (銀行名稱): (* The bank account name must be the same as this securities account name) (銀行戶口名稱一定要與此股票戶口名稱相同)			Bank of Account No. (銀行戶口號碼):
E-mail address 電郵地址			

2. Particulars of Directors/Partners 董事/合夥人之概要

Name (English & Chinese) 姓名 (英文及中文)	ID/Passport No. 身份證/護照號碼	Tel No. 電話號碼

3. Authorized Person(s) 授權人

Name (English & Chinese) 姓名 (英文及中文)	ID/Passport No. 身份證/護照號碼	Tel No. 電話號碼

(1) Each of the above Authorized Person(s) is authorized to give verbal instructions in relation to the purchase or sale of securities for the Account(s) from time to time; and
以上任何一位授權人獲授權可不時對有關戶口之證券買賣作出口頭指示；及

(2) Any _____ of the above Authorized Person(s) is/are authorized to give written instruction *single/jointly relating to the operation of the Account(s) *and the financing facilities associated with the Account(s), including any withdrawal therefrom, and the drawing of the financing facilities.
以上任何 _____ 位授權人獲授權就戶口之運作*及有關之信貸安排，包括戶口的款項及信貸之提取作出書面指示。

Note 注意：(a) All unused spaces must be ruled off.
所有空白地方必須劃去。

(b) * Delete where inapplicable
* 刪去不合適的。

4. Financial Background 財政狀況

Estimated profit after tax of the Company based on the latest audited accounts as at _____ (Please choose one):
截止 _____ 經核數師作實之稅後利潤估值 (請選一項)

Less than (少於) HK\$100,000 HK\$100,001 – HK\$300,000 HK\$300,001 – HK\$500,000

HK\$500,001 – HK\$1,000,000 HK\$1,000,001 or more (或以上)

Net asset value used on the latest audited accounts as at _____ (Please choose one):
截止 _____ 經核數師作實之資產淨值 (請選一項)

Less than (少於) HK\$200,000 HK\$200,001 - HK\$500,000 HK\$500,001 - HK\$1,000,000

HK\$1,000,001 - HK\$5,000,000 HK\$5,000,001 or more (或以上)

5. Investment Experience 投資經驗

Please choose one or more: 請選擇下列一項或多項

Nil 沒有 Stocks 證券 Warrants 認權證 Options 期權 Futures 期貨

Others 其他 _____

6. Investment Objectives 投資目的

Please choose one or more: 請選擇下列一項或多項

Generating Income 賺取收入 Dividend yield 股息回報 Hedging 對沖

Capital appreciation 資本增值 Speculation 投機 Others 其他 _____

7. Identity of the ultimate beneficial owner(s) of the Account is: 戶口最終權益擁有人身份

The Client 本客戶

Please specify the individual who holds 10% or more of the ultimate beneficial interest of the Client below (not applicable to public listed company):

請註明擁有百分之十或以上公司最終權益之持有人（上市公司不用填寫）

Name 名稱	ID/Passport No. 身分證／護照號碼	Address 地址
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

Others 其他:

Name 名稱 _____

Address 地址 _____

ID/Passport No. _____
身分證／護照號碼

8. Related Account (with directors or employee) 關連戶口（與本公司董事或職員）

Do any of the Client's shareholders, directors, partners, Authorized Person(s), the person(s) ultimately responsible for giving instructions for the Account or the ultimate beneficial owner(s) of the Account ("Relevant Person(s)") have any relationship with the director(s) or employee(s) of Sincere Securities Limited?

貴公司之持有人、董事、合夥人、授權人、最終負責就戶口進行的交易發出指示之人士或戶口最終權益擁有人（「有關人仕」）與訊匯證券有限公司之董事或職員是否有親戚關係？

Yes 是

No 否

If yes, please state the information of the director or employee:

如是，請詳列該董事或職員之資料： .

Name 姓名： _____

Relationship 關係： Husband/Wife 丈夫／妻子

Father/Mother/Son/Daughter 父親／母親／兒子／女兒

Others 其他： _____

9. Related Margin Client (with other margin client) 相關保證金戶口

Do any of the Client's shareholders, directors, partners, Authorized Person(s), the person(s) ultimately responsible for giving instructions for the Account or the ultimate beneficial owner(s) of the Account ("Relevant Person(s)") have any of the following relationship with other margin clients of our Companies:-

(a) any margin client who is your spouse; or

(b) any margin client in which either you alone or with your spouse are in control of 35% or more of its voting rights

貴公司之持有人、董事、合夥人、授權人、最終負責就戶口進行的交易發出指示之人士或戶口最終權益擁有人（「有關人仕」）與本公司之其他保證金客戶是否有下列關係：

(a) 任何保證金客戶為你的配偶；或

(b) 任何你單獨或與配偶共同控制 35% 或以上的表決權的保證金客戶

Yes 是

No 否

If yes, please state the information of the relevant margin client(s):

如是，請詳列有關保證金客戶資料：

Client Name 客戶名稱： _____

Account No 戶口號碼： _____

Relationship 關係： _____

10. Disclosure of Identity (with other Registered Dealer) 相關身份披露 (與其他證券交易商)

Is the Client, any of its shareholders or directors, its partners, its Authorized Person(s), the person(s) ultimately responsible for giving instructions for the Account or the ultimate beneficial owners of the account ("Relevant Person(s)") a registered person, or a director or an employee of any registered person of the Securities and Futures Commission in Hong Kong?

貴公司、貴公司之持有人、董事、合夥人、授權人、最終負責就該戶口進行的交易發出指示之人士、或此戶口的最終權益擁有人(「有關人仕」)是否香港證券及期貨事務監察會的註冊人士、或註冊人士之董事或職員?

Yes 是

Name of the Relevant Person(s) (other than the Client): _____
除客戶本人外，有關人士之姓名

Name of registered person(s) 註冊人士名稱: _____

Position 職位: _____

No 否

11. Staff Account 職員戶口

Is any of the Client's shareholders, directors, partners, Authorized Person(s), the person(s) ultimately responsible for giving instructions for the account or the ultimate beneficial owners of the Account a director or an employee of Sincere Securities Limited?

貴公司之持有人、董事、合夥人、授權人、最終負責就戶口進行的交易發出指示之人士或戶口最終權益擁有人是否訊匯證券有限公司之董事或職員?

Yes 是

No 否

If yes, please state the information of yourself. 如是，請詳列閣下之資料。

Position Held 職位: _____

Department 部門: _____

AE Code (if any) 經紀代號 (如有): _____

12. Correspondence Address And Method of Service of Statement of Account 郵寄通訊地址及送遞方式

All postal communications including Statements of Account are to be sent to: 郵寄通訊 (包括戶口結算單) 寄往

(Please provide address proof of correspondence address – within 3 months e.g. bank statement, bill of electricity fee, rent & rates, etc.)

請提供 3 個月內的通訊地址之證明。例如：銀行月結單、電費單、差餉單、等等...)

Registered Office Address 住址

Business Address 商業地址

E-Mail Address 電郵地址

Others 其他: _____

Communications should be marked for the attention of _____

通訊應註明予

I/we would like to receive my Statement of Account by the following manner:

本人/吾等選擇以以下方式收取戶口結單:

By E-Mail 電郵

By Post & By E-Mail 郵寄及電郵

By Post 郵寄(at Correspondence Address 往通訊地址)

Note 注意:

This Client Information Statement must be accompanied by: 此客戶資料表必須連同以下文件

- 1) Copies of the identity card, or relevant sections of the passport of the Directors & Authorized Person(s)
董事及授權人士身分證或護照副本
- 2) Correspondence address proof 通訊地址證明
- 3) Business Registration Certificate, Certificate of Incorporation, Memorandum of Article of Association

Client Information Statement (2) 客戶資料表

Account No. 戶口號碼 : _____ Account Opening Date 開戶日期 _____
 (For official use only 本公司專用)

1 Personal Data 個人資料

Name of Client 客戶名稱	(English 英文)	
	(Chinese 中文)	
HK I.D. Card No./Passport No. (Country of Issue) 香港身份證/護照號碼 (發證國家)		Nationality 國籍
Home Address 住址		Home Tel No. 住址電話號碼
		Mobile Phone No. 手提電話號碼
Name of Bank (銀行名稱): (* The bank account name must be the same as this securities account name) (銀行戶口名稱一定要與此股票戶口名稱相同)		Bank of Account No. (銀行戶口號碼):
E-mail address 電郵地址		
Name of Employer (or if self employed, name of business) 僱主名稱 (若自僱, 請填業務名稱)	Occupation 職業	Position Held 職位
Business Address 商業地址		Tel No. 電話號碼

2 Joint Account Instruction 聯名戶口指示

每一聯名戶口持有人，謹請分別填寫一份客戶資料表、提供身份證或護照副本及住址證明。
 (For joint account, each joint account holder is required to fill in a separate Client Information Statement, provide a copy of the identity card or relevant section of the passport and address proof)

Operation Instruction of Joint Account: 聯名戶口操作指示

All dealing instructions, deposits and withdrawal instructions of the Account can be operated on the instructions of any _____ of the joint account holders.

所有聯名戶口之交易指示、提存 (包括股票及款項) 安排可根據其中 _____ 位戶口持有人之指示下運作。

3 Corporate Account Instruction 聯名戶口指示

Operation Instruction of Corporate Account:

All dealing instructions, deposits and withdrawal instructions of the Account can be operated on the instructions of any _____ of the following authorized signatory.

(1) Name: _____ Authorized Signature+
 HKID/Passport No. _____
 Position: _____

(2) Name: _____ Authorized Signature+
 HKID/Passport No. _____
 Position: _____

Company Chop Specimen

Declaration Of Client 客戶聲明

I/We represent that the information on this Client Information Statement is true, complete and correct and that the representations in the attached agreement are accurate. Sincere Securities Limited is entitled to rely fully on such information and representations for all purposes, unless they receive notice in writing of any change. The Company is authorized at any time to contact anyone, including my/our banks brokers or any credit agency, for the purpose of verifying the information provided on this Client Information Statement. I/We hereby undertake to notify Sincere Securities Limited in writing forthwith upon any material change(s) in the information provided herein.

本人/吾等茲聲明在客戶資料表所提供之資料全部為真實、完整及正確，而附上的協議一切內容皆為準確。除非訊匯證券有限公司接到更改有關本資料表內容的書面通知，否則訊匯證券有限公司有權完全依賴此等資料及聲明作一切用途。訊匯證券有限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、經紀或任何信用機構進行諮詢。本人/吾等承諾若所提供的資料有任何變更，本人/吾等會立即以書面通知訊匯證券有限公司。

Date (日期): _____

Client Name (客戶姓名):

)

)

)

)

Client Signature(客戶簽署)

Authorized Signature(s) &/or Business Chop

(授權簽署及商業印鑑)



Witnessed by (在見證人見證下簽署):

Witness Name (見證人姓名):

Title(職位):

Witness Signature(見證人簽署)

ACKNOWLEDGED AND ACCEPTED)

by an authorized signatory)

for and on behalf of)

SINCERE SECURITIES LIMITED)

(由訊匯證券有限公司)

之授權簽署人確認及接受代表簽署))

For and on behalf of

SINCERE SECURITIES LIMITED

訊匯證券有限公司

Authorized Signature (授權簽署)

ELECTRONIC STOCK TRADING SERVICES AGREEMENT
電子證券交易服務協議書

To: **Sincere Securities Limited (“SSL”)**
訊匯證券有限公司 (“訊匯”)
9/F, Cosco Tower, 183 Queen's Road Central, Hong Kong
香港中環皇后大道中 183 號中遠大廈 9 樓

Account No: 賬戶號碼	Date: 日期
Account Name: 客戶姓名	
e-mail address of client: 客戶電郵地址:	

(registered with the Securities and Futures Commission (“SFC”) as a securities dealer with CE No. ABH659 (licensed under the Securities and Futures Ordinance for Type 1, Type 4 and Type 9 regulated activities (for Type 9 regulated activity, Sincere Securities Limited shall not provide a service of managing a portfolio of futures contracts for another person) under the Securities and Futures Ordinance) and an Exchange Participant of The Stock Exchange of Hong Kong Limited (the “Exchange”))

(為證券及期貨事務監察委員會(「證監會」)註冊的證券商《CE 編號：ABH659》(根據證券及期貨條例就第 1、4 及 9 類受規管活動(就第 9 類受規管活動，不得為他人提供管理期貨合約投資組合的服務)獲發牌)以及香港聯合交易所有限公司(「聯交所」)交易所參與者)。

I/We _____ request you to provide Electronic Stock Trading Service for me/us on the following terms and conditions: -

本人/吾等 茲要求閣下根據下列條款及條件為本人/吾等提供電子證券交易服務：

1. THIS Electronic Stock Trading Services Agreement is supplemental to the Cash Client Agreement/Margin Client Agreement entered into by SSL and me/us, to which this Electronic Stock Trading Service Agreement is annexed whereby SSL agrees to provide to me/us Electronic Stock Trading Service which enables me/us to give electronic instructions and to obtain quotation and other information through internet that can connected to a telecommunication network (“Electronic Stock Trading Services”). Where any conflict arises between this Electronic Stock Trading Service Agreement and the Cash Client Agreement/Margin Client Agreement, the provision of the latter shall prevail.

本電子證券交易服務協議是附屬訊匯及本人/吾等簽訂的現金/保證金客戶協議，作為現金/保證金客戶協議的補充。訊匯同意向本人/吾等提供電子證券交易服務(以下稱電子證券交易服務)以便本人/吾等可透過互聯網發出電子指示並取得報價和其他資訊。若電子證券交易服務協議的條款與現金/保證金客戶協議的條文有任何衝突，概以後者的條文為準。

2. You may provide me/us with Electronic Stock Trading Services, and I/We hereby request the provision of such services, upon the items and conditions as embodied in this Agreements, as modified, as amended or expanded by any notice, letter, publication or such other document as may be issued from time to time by you.

閣下可根據本協議所載條款和條件為本人/吾等提供電子證券交易服務，且本人/吾等根據本協議所載條款和條件要求向本人/吾等提供上述服務，而上述條款和條件可由閣下不時發出的通知、信函、出版物或其他文件予以修訂、修改或擴展。

3. I/We may from time to time, instruct you, acting as my/our agent, to deposit, purchase and/or sell Securities for the Account(s) or otherwise deal with Securities, receivables or monies on behalf of me/us through the Electronic Stock Trading Services.

本人/吾等可以隨時指示閣下以本人/吾等之代理人的身份透過電子證券交易服務為賬戶(等) 存入、購買及/或出售證券或以其他方式代表本人/吾等處理證券、應收款或款項。

4. I/We agree that I/We shall be the only authorized user of the Electronic Stock Trading Services under this Agreement. I/We shall be wholly and solely responsible for the confidentiality, security and use of the Access Codes issued to me/us by you.

本人/吾等同意，本人/吾等為本協議項下電子證券交易服務之唯一授權使用者，將會對閣下發給的交易密碼之保密、安全和使用自行承擔全部責任。

5. I/We acknowledge and agree that I/We shall be wholly and solely responsible for all instructions entered through the Electronic Stock Trading Services. I/We further acknowledge that the Electronic Stock Trading Services, and the software comprised in them, are proprietary to you. I/We undertake and warrant that I/We shall not, and shall not attempt to, tamper with, modify, decompile, reverse engineer, damage, destroy or otherwise alter in any way, and shall not attempt to gain unauthorized access to, any part of the Electronic Stock Trading Services, and any of the software comprised in them. I/We agree that you shall be entitled to close any or all of the Account(s) immediately without notice to me/us, and I/We acknowledge that you may take legal action against me/us, if I/We at any time breach this warranty and undertaking or if you at any time reasonably suspect that I/We have breached the same. I/We undertake to notify you immediately if I/We become aware that any of the actions described above in this paragraph is being perpetrated by any other person.

本人/吾等承認並同意對透過電子證券交易服務發出的所有買賣指示自行承擔全部責任，並進一步承認電子證券交易服務以及構成上述服務的軟件均為閣下專有。本人/吾等承諾和保證不會和不會嘗試以任何其他方式改變、修改、破解編程、以反

向編程破解、破壞、毀壞或以其他方式更改電子證券交易服務以及構成上述服務的軟件的任何部分，亦不會嘗試在未獲授權的情況下使用上述任何部分服務。倘若本人/吾等在任何時間違反上述承諾和保證或閣下於任何時間合理懷疑本人/吾等已有上述違反時，本人/吾等同意閣下有權不經通知即時終止本人/吾等的任何和所有賬戶，本人/吾等亦承認閣下可對本人/吾等採取法律行動。本人/吾等承諾在知悉任何其他人士從事本段所載任何上述行動時，即時通知閣下。

6. You will not execute any trading orders of me/us until there are sufficient cleared funds, securities or other assets acceptable to you in my/our Account (s) to settle my/our transaction(s).
除非本人/吾等的賬戶(等)有足夠的已結算款項、證券或其他閣下所接受的資產以交收本人/吾等的交易，否則閣下不會執行本人/吾等的任何交易指示。
7. You will not be deemed to have received my/our instruction(s) or have executed my/our order(s) unless and until I/We is in receipt of your message acknowledging receipt or confirming execution of my/our orders, either electronically or by hard copy.
除非及直至本人/吾等已收到閣下以電子或書面形式發出的信息，表示收到或確認已執行本人/吾等的買賣指示，否則閣下不得被視為已收到或已執行本人/吾等的買賣指示。
8. I/We acknowledge and agree that, as a condition of using the Electronic Stock Trading Services to give instructions, I/We shall immediately notify you if:
本人/吾等承認並同意，作為使用電子證券交易服務發出買賣指示的一項條件，倘若發生下述事項，本人/吾等會即時通知閣下：
 - 8.1 An instruction has been placed through the Electronic Stock Trading Services and I/We have not received an instruction number or have not received an accurate acknowledgment of the instruction or of its execution (whether by hard copy, electronic or verbal means);
本人/吾等已經透過電子證券交易服務發出買賣指示，但並無收到指示編號或買賣指示或執行的準確確認（不論是以書面、電子還是口頭方式作出）；
 - 8.2 I/We have received acknowledgment (whether by hard copy, electronic or verbal means) of a transaction which I/We did not instruct or any similar conflict;
本人/吾等收到一項本人/吾等並無發出指示的交易確認（不論是以書面、電子還是口頭方式作出）或有類似衝突；
 - 8.3 I/We become aware of any of the acts stated in clause 5 being done or attempted by any person;
本人/吾等獲悉任何人士正在進行或嘗試進行第 5 條所述的任何行動；
 - 8.4 I/We become aware of any unauthorized use of my/our Access Codes; or
本人/吾等獲悉有未獲授權而使用本人/吾等交易密碼的情況；及
 - 8.5 I/We have difficulties with regard to the use of the Electronic Stock Trading Services.
本人/吾等在使用電子證券交易服務時遇到的困難。
9. I/We agree to review every order before entering it as it may not be possible to cancel my/our instruction once given.
本人/吾等同意在輸入每個買賣指示之前會加以覆核，因為買賣指示一經作出，便可能無法取消。
10. I/We agree that you shall not be liable for any loss I/We or any other person may suffer as a result of using or attempting to use the Electronic Stock Trading Services. I/We further undertake to indemnify you, on a full indemnity basis, on demand, for any loss or damage you may suffer as a result of the use of the Electronic Stock Trading Services, except for damages caused by wilful default or gross negligence on the part of you.
本人/吾等同意閣下不會就本人/吾等或任何其他人士使用或嘗試使用電子證券交易服務可能遭受的任何損失承擔責任。本人/吾等進一步承諾，對因使用電子證券交易服務可能使閣下遭受的任何損失或損害，於閣下要求時如數作出賠償，但因閣下故意失責違約或重大疏忽引起的損害除外。
11. I/We shall be aware that trading on an electronic trading system may differ from trading on other electronic trading systems. If I/We undertake transactions on an electronic stock trading system, I/We will be exposed to risks associated with the system including the failure of hardware and software. The result of any system failure may be that my/our order(s) are either not executed according to my/our instructions or is not executed at all.
本人/吾等獲悉經電子交易系統買賣，可能有別於其他電子交易系統之買賣。倘若本人/吾等承擔其於電子證券交易系統上所作出的交易，本人/吾等將會遭受系統上包括硬件及軟件之故障所涉及之風險，任何系統上之故障可能令本人/吾等發出的買賣指示全部或部分無法執行。
12. I/We acknowledge that Exchanges and certain associations may assert proprietary interests and rights over all market data they furnish to parties who disseminate such data and agree not to do any act which would constitute and infringement or encroachment of such rights or interests. I/We also understand that you do not guarantee the timeliness, sequence, accuracy or completeness of market data or any market information (including any information provided to me/us through the Electronic Stock Trading Services). You shall not be liable in any way for any loss arising from or caused by any (1) inaccuracy, error in or omission from any such data,

information or message; (2) any delay in the transmission or delivery thereof; (3) any suspension or congestion in communication; (4) any unavailability or interruption of any such data, message or information whether due to any act of you; or (5) by any forces beyond the control of you.

本人/吾等承認，該(等)交易所和一些機構對其等提供給數據傳送各方之一切市場數據擁有所有權益和權利，並同意不會採取任何可能對上述權益和權利構成侵權或侵犯的行動。本人/吾等亦理解閣下不會保證該等市場數據或任何市場資料(包括透過電子證券交易服務提供給本人/吾等的任何資料)的及時性、次序、準確性或完整性。閣下對下述事項所引起或造成之任何損失概不承擔任何責任; (1) 任何上述數據、資料或信息的不準確性、錯誤或遺漏; (2) 上述數據、資料或信息之傳送或交付延誤; (3) 通訊中斷或阻塞; (4) 不論是否由於閣下的行為所致之該等數據、資料或信息的無法提供或中斷; 或 (5) 閣下無法控制的外力。

13. **Declaration and Acknowledgement by Client (客戶聲明及確認)**

I/We hereby confirm that the above terms and conditions were provided in a language of my/our choice; and I/we was/were invited to read the terms and conditions to ask questions and take independent advice if I/we wish.

本人/吾等確認已獲按照本人/吾等選擇的語言提供以上的風險披露聲明，及本人/吾等已獲邀閱讀該等風險披露聲明、提出問題及徵求獨立的意見（如本人/吾等有此意願）。

Date (日期): _____

Client Name (客戶姓名):

)

)

)

)

Client Signature(客戶簽署)

Authorized Signature(s) &/or Business Chop(授權簽署及商業印鑑)



Witnessed by (在見證人見證下簽署):

Witness Name (見證人姓名):

Title(職位):

Witness Signature(見證人簽署)

ACKNOWLEDGED AND ACCEPTED)

by an authorized signatory)

for and on behalf of)

SINCERE SECURITIES LIMITED)

(由訊匯證券有限公司

之授權簽署人確認及接受代表簽署)

For and on behalf of

SINCERE SECURITIES LIMITED

訊匯證券有限公司

Authorized Signature (授權簽署)

OFFICIAL USE ONLY

Client Background

- Local Corporate A/C Overseas Corporate A/C Staff A/C
 Associate A/C Others Traders A/C

Checklist

<u>Cash A/C</u>	<u>Margin A/C</u>
<input type="checkbox"/> Client Agreement	<input type="checkbox"/> Client Agreement
<input type="checkbox"/> Client Information Statement	<input type="checkbox"/> Authorization Letter
<input type="checkbox"/> Board Resolution	<input type="checkbox"/> Client Information Statement
<input type="checkbox"/> ID/Passport Copy of Directors & Authorized Persons (verified by AE with signature)	<input type="checkbox"/> Margin Loan Facility x 2
<input type="checkbox"/> CI, MA	<input type="checkbox"/> ID/Passport Copy of Directors & Authorized Persons (verified by AE with signature)
<input type="checkbox"/> BR	<input type="checkbox"/> Board Resolution
<input type="checkbox"/> Correspondence address proof (within 3 months)	<input type="checkbox"/> CI, MA
<input type="checkbox"/> Financial proof (if any)	<input type="checkbox"/> BR
<input type="checkbox"/> Personal Guarantee	<input type="checkbox"/> Correspondence address proof (within 3 months)
	<input type="checkbox"/> Financial proof (if any)
	<input type="checkbox"/> Personal Guarantee
	<input type="checkbox"/>

Credit and Risk Control

Must be completed by AE:

AE Code: _____ AE Name: _____
Year of relationship with client: _____ months/years
Relationship between AE and client: _____
Confirmed & Signed by AE:

Date: _____

Completed by MD/ED

Margin Limit approval : HK\$ _____
Trading Limit approval : HK\$ _____
Interest rate : _____ % Commission rate : _____ %

Remarks : _____

Received by: _____ Complied by: _____ Approved by: _____ Processed by: _____
Marketing Dept. Compliance Dept. MD/ED Settlement Dept.
Date: _____ Date: _____ Date: _____ Date: _____

