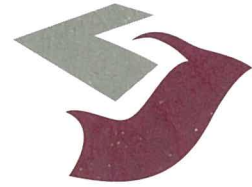


SUCCESS SECURITIES LIMITED

實德證券有限公司

A member of Success Universe Group
實德環球集團成員



SUCCESS

CLIENT AGREEMENT – INDIVIDUAL / JOINT A/C 客戶協議書 – 個人 / 聯名

Account Name

客戶名稱： _____

Account No.

戶口號碼： _____

Opening Date

開戶日期： _____

AE Name

客戶主任姓名： _____

AE No.

客戶主任編號： _____

開戶文件檢索表
Checklist for Account Opening

請確保附下列文件 Please check the following documents are attached

- 所有戶口持有人的身份證／護照核證副本
Certified true copy of HKID Card/Passport of all the Account Holder(s)
 - 最近三個月內之住址／永久地址證明及通訊地址證明(如適用)之正本／核證副本(任何公用服務帳單，銀行結單或其他實德認可的文件)
Certified True Copy of Residential/Permanent Address Proof and Correspondence Address Proof (if appropriate) within the last three months (any public utility bills, bank statements or other proof acceptable to SSL)
 - 已填妥的W-8BEN表格。若是聯名戶口，每位戶口持有人必須分別填寫W-8BEN表格
Completed W-8BEN Form. For Joint Account, each Account Holder has to fill in W-8BEN Form separately.
- * 除上述文件外，實德有權因應情況需要，要求客戶提交額外文件。
Apart from the above documents, SSL shall have the right to request additional documents from Clients if necessary.

客戶資料附錄
Client Information Statement
(個人 Individual / 聯名 Joint A/C)

第一部份：戶口資料 Part 1 : Account Information

戶口種類 Account Type :	<input type="checkbox"/> 現金證券戶口 Cash Securities A/C	<input type="checkbox"/> 保證金證券戶口 Margin Securities A/C
客戶種類 Client Type :	<input type="checkbox"/> 個人 Individual A/C <input type="checkbox"/> 聯名 Joint A/C	關係 Relationship
附加服務 Additional Services :	<input type="checkbox"/> 互聯網證券交易 Internet Securities Trading <input type="checkbox"/> 人民幣證券交易 Renminbi Denominated Securities Trading <input type="checkbox"/> 海外證券交易 Overseas Securities Trading <input type="checkbox"/> 結構性或衍生產品交易 Structured or Derivative Products Trading	

第二部份：客戶資料 Part 2 : Client's Information

如屬聯名戶口，第二名戶口持有人亦須提供以下資料，該份資料將附加在本客戶協議書內。 If it is a joint account, Account Holder (2) should also provide the following information which will be attached to this Client Agreement.

(1) 個人資料 Personal Information

客戶中文姓名 Client's Chinese Name	客戶英文姓名 Client's English Name
配偶中文姓名 Spouse's Chinese Name	配偶英文姓名 Spouse's English Name
香港身份證 / 護照號碼 H.K.I.D. Card / Passport No.	出生日期 Date of Birth
國籍 Nationality	住宅電話號碼 Residential Tel. No.
手提電話號碼 Mobile Tel. No.	電郵地址 E-mail Address
住址 Residential Address	
永久地址 Permanent Address (如與住址不同 if different from the residential address) 請另附永久地址證明 please provide additional permanent address proof	

(2) 教育程度 Education Level

小學或以下 Primary or below 中學 Secondary 大專或以上 Tertiary or above 其他 Others: _____

(3) 工作資料 Job Details

職業 / 職位 Occupation / Title	行業 / 業務性質 Industry / Business Nature
僱主名稱 Name of Employer	公司電話號碼 Office Tel. No.
公司地址 Company Address	
客戶是否持有該公司的股權 / 權益? Does Client hold any shares or interests in the Company?	
<input type="checkbox"/> 是 Yes 身份 Capacity: _____	
<input type="checkbox"/> 否 No	

(4) 財政狀況 Financial Situation			
<u>資產 / 資金來源 Source of Wealth / Funds :</u>			
<input type="checkbox"/> 薪金 Salary	<input type="checkbox"/> 佣金 Commission	<input type="checkbox"/> 租金 Rent	<input type="checkbox"/> 股息 / 利息 Dividend / Interest
<input type="checkbox"/> 業務溢利 Business Profit	<input type="checkbox"/> 儲蓄 Savings	<input type="checkbox"/> 家用 Household Income	<input type="checkbox"/> 退休金 Retirement Pension
<input type="checkbox"/> 按揭 / 借貸 Mortgage / Loan	<input type="checkbox"/> 無 Nil	<input type="checkbox"/> 其他 Others: _____	
<u>年收入(港幣) Annual Income (HK\$):</u>			
<input type="checkbox"/> 100,000 或以下 or less	<input type="checkbox"/> 100,001 – 200,000	<input type="checkbox"/> 200,001 – 500,000	<input type="checkbox"/> 500,001 – 1,000,000
<input type="checkbox"/> 1,000,000 以上 above			
<u>總資產淨值(港幣) Total Net Asset Value (HK\$):</u>			
<input type="checkbox"/> 100,000 或以下 or less	<input type="checkbox"/> 100,001 – 500,000	<input type="checkbox"/> 500,001 – 1,000,000	<input type="checkbox"/> 1,000,001 – 2,000,000
<input type="checkbox"/> 2,000,001 – 5,000,000	<input type="checkbox"/> 5,000,001 – 10,000,000	<input type="checkbox"/> 10,000,000 以上 above	
<u>資產類別 Asset Type :</u>			
<input type="checkbox"/> 房地產 Land and Property	<input type="checkbox"/> 現金 / 存款 Cash / Deposit	<input type="checkbox"/> 遺產 Inheritance	<input type="checkbox"/> 基金 Funds
<input type="checkbox"/> 債券 Bonds / Debentures	<input type="checkbox"/> 外匯 Foreign Exchange	<input type="checkbox"/> 黃金 Gold	<input type="checkbox"/> 股票 Stocks
<input type="checkbox"/> 其他 Others: _____			
客戶是否破產或曾破產? Is Client bankrupt / ever bankrupt?			
<input type="checkbox"/> 是 Yes 相關日期及資料 Date and Details: _____			
<input type="checkbox"/> 否 No			
(5) 投資目標及經驗 Investment Target and Experience			
<u>投資目標 Investment Target</u>			
<input type="checkbox"/> 保本 Capital Preservation	<input type="checkbox"/> 收入 Income	<input type="checkbox"/> 增長 Growth	<input type="checkbox"/> 投機 Speculation
<u>證券交易投資經驗 Investment Experience in Securities Trading</u>			
<input type="checkbox"/> 無 None			
<input type="checkbox"/> 少於1年 Less than 1 year	<input type="checkbox"/> 1–2年 years	<input type="checkbox"/> 3–5年 years	<input type="checkbox"/> 5年以上 More than 5 years
<u>種類 Type</u>			
<input type="checkbox"/> 股票 Stocks	<input type="checkbox"/> 認股權証 Warrants	<input type="checkbox"/> 債券 Bonds	
<input type="checkbox"/> 牛熊証 Callable Bull / Bear Contracts (CBBC)	<input type="checkbox"/> 股票 / 市場掛鈎票據 Equity / Market-linked Notes		
<input type="checkbox"/> 期貨 / 期權 Futures / Options	<input type="checkbox"/> 基金 Investment Fund	<input type="checkbox"/> 交易所買賣基金 Exchange Traded Fund (ETF)	
<input type="checkbox"/> 其他 Others: _____			
<u>交易頻率 Frequency of Trade</u>			
<input type="checkbox"/> 每月少於3次交易 Less than 3 trades per month		<input type="checkbox"/> 每月4–9次交易 4–9 trades per month	
<input type="checkbox"/> 每月多於10次交易 Over 10 trades per month			
(6) 對結構性或衍生產品的認識 Knowledge of Structured or Derivative Products			
(i) 客戶對結構性或衍生產品有沒有認識?			
Does Client have any knowledge on structured or derivative products?			
<input type="checkbox"/> 有 Yes (請繼續回答下列的問題)		<input type="checkbox"/> 沒有 No	
(ii) 客戶從以下途徑認識結構性或衍生產品:			
Client acquires knowledge of structured or derivative products from the following ways :-			
<input type="checkbox"/> 接受結構性或衍生產品的培訓或修讀相關課程(請提供培訓或修讀課程之名稱及日期)			
Received training or attended courses or seminars on structured or derivative products (Please state the name of the courses / seminars and the date Client attended)			

<input type="checkbox"/> 現時的工作與結構性或衍生產品有關(請提供公司名稱、行業、業務性質、職位及在職日期/營業年期)			
Recent work of Client is related to structured or derivative products (please state the company name, industry / business nature, position and the employment of services period / operation of business period)			

<input type="checkbox"/> 客戶以往的工作經驗與結構性或衍生產品有關(請提供公司名稱、行業、業務性質、職位及在職日期/營業年期)			
Pervious work experience of the Client was related to structured or derivative products (please state the company name, industry / business nature, position and the employment of services period / operation of business period)			

<input type="checkbox"/> 客戶相關之交易經驗			
Client's related transaction experience			
以往三年大約共有多少宗結構性或衍生產品交易			
Approximate number of transactions in any structured or derivative products in the past three years			
<input type="checkbox"/> 1–5次 times	<input type="checkbox"/> 6–10次 times	<input type="checkbox"/> 超過10次 Over 10 times	
<input type="checkbox"/> 其他 Others: _____			

(7) 資料披露 Disclosure of Information	
(i) 請聲明客戶是否戶口的最終實益擁有人？ Please declare whether Client is the ultimate beneficial owner of this Account ? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	
(ii) 請聲明客戶是否美國公民或就稅務目的而言的居民或跟美國有什麼關係(例如在美國出生、擁有美國的住址 / 通訊地址(包括美國郵政信箱)或美國電話號碼)？ Please declare whether Client is a U.S. citizen or resident for U.S. for tax purposes or have any relationship with U.S. (e.g. born in U.S., have any U.S. residential/correspondence address (include U.S. post office box) or telephone number) ? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	
(iii) 請聲明客戶是否出任上市公司之高級職員 / 董事？ Please declare whether Client is a senior officer or director of any listed company whose shares are traded on any exchange or market ? <input type="checkbox"/> 是 Yes, 公司名稱 Company Name: _____ 股票編號 Stock Code: _____ <input type="checkbox"/> 否 No	
(iv) 請聲明客戶是否與本公司之其他客戶有關連？ Please declare whether Client is related with any other client of our Company ? <input type="checkbox"/> 是 Yes, 客戶名稱 Client's Name: _____ 戶口號碼 Account No.: _____ 關係 Relationship: _____ 客戶名稱 Client's Name: _____ 戶口號碼 Account No.: _____ 關係 Relationship: _____ 客戶名稱 Client's Name: _____ 戶口號碼 Account No.: _____ 關係 Relationship: _____ <input type="checkbox"/> 否 No	
(v) 請聲明客戶是否為香港證券及期貨事務監察委員會(「證監會」)之持牌人或受僱於證監會之註冊機構？ Please declare whether Client is licensed or registered with the Hong Kong Securities and Futures Commission or employed by a licensed corporation ? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No 如是，請提供中央註冊號碼、僱主名稱及僱主同意 閣下於本公司開戶之書面同意 If yes, please specify the CE no., the name of employer and submit an employer consent letter which provides consent to open account with our Company _____	
(vi) 請聲明客戶是否本公司或本集團的職員或代理人？ Please declare whether Client is a staff or agent of our Company or our Group of Companies ? <input type="checkbox"/> 是 Yes, 公司名稱 Company Name: _____ 部門 Department: _____ 職位 Position: _____ <input type="checkbox"/> 否 No	
(vii) 請聲明客戶是否本公司、本集團董事、職員或代理人之關連人士(例如屬夫婦、父母、子女、兄弟姊妹關係)？ Please declare whether Client has any relationship with the directors, employees or agents of our Company or our Group of Companies (e.g. in the relationship of couple, parents, children, siblings) ? <input type="checkbox"/> 是 Yes, 公司名稱 Company Name: _____ 姓名 Name: _____ 職位 Position: _____ 關係 Relationship: _____ 公司名稱 Company Name: _____ 姓名 Name: _____ 職位 Position: _____ 關係 Relationship: _____ 公司名稱 Company Name: _____ 姓名 Name: _____ 職位 Position: _____ 關係 Relationship: _____ <input type="checkbox"/> 否 No	

第三部份：通訊方法 Part 3: Communication Methods

1. 日結單寄往客戶的 Daily Statement to be sent to Client's :
 住址 Residential Address 公司地址 Company Address 電郵地址 E-mail Address
 其他通訊地址 Other Correspondence Address

2. 月結單及其他通訊寄往客戶的 Monthly Statement and other communications to be sent to Client's :
 住址 Residential Address 公司地址 Company Address 電郵地址 E-mail Address
 其他通訊地址 Other Correspondence Address

備註 Note :

- 如客戶選擇以電郵方式接收結單，客戶承諾會經常查閱電郵，且當電郵一經發出，客戶將被視作已收到該結單。
If Client chooses to receive the statements by e-mail, Client undertakes to check e-mails regularly and Client will be deemed to have received the statements by e-mail at the time of transmission to him / her.
- 客戶須就選用的通訊地址提供該地址證明正本或核證副本。
Client should provide the ORIGINAL or Certified True Copy of the address proof for the chosen correspondence address.

第四部份：交收銀行帳戶資料 Part 4 : Settlement Bank Account Information

此帳戶將用作交收銀行帳戶，而實德發出之支票將依據以下帳戶名稱。
 This account will be used as the settlement bank account and the cheque issued by SSL will be accorded to the account name below.

銀行帳戶紀錄(只供存款用途) Banking Account Record (For funds deposit only)

貨幣 Currency	銀行 Bank	帳戶名稱 Account Name	帳戶號碼 Account No.	帳戶類別 Type of Account
港幣 HKD				<input type="checkbox"/> 儲蓄 Savings <input type="checkbox"/> 往來 Current <input type="checkbox"/> 其他 Others
港幣 HKD				<input type="checkbox"/> 儲蓄 Savings <input type="checkbox"/> 往來 Current <input type="checkbox"/> 其他 Others
人民幣 RMB				<input type="checkbox"/> 儲蓄 Savings <input type="checkbox"/> 往來 Current <input type="checkbox"/> 其他 Others
其他 Others				<input type="checkbox"/> 儲蓄 Savings <input type="checkbox"/> 往來 Current <input type="checkbox"/> 其他 Others

第五部份：客戶聲明 Part 5 : Client's Declaration

第一部份 Part 1

1. 本人 / 吾等茲聲明本人 / 吾等是戶口的最終實益擁有人及在此「客戶資料附錄」所載資料全部為真實，完整及正確。除非實德證券有限公司（「實德」）接到更改有關「客戶資料附錄」內容的書面通知，否則實德有權完全依賴此等資料及申述作一切用途。實德有權可隨時就核對上述資料文件所提供之資料事宜，與任何人包括本人 / 吾等之銀行，經紀或任何信用調查機構進行查詢。
I/We represent that I/We are the ultimate beneficial owner of the Account and the information provided in the "Client Information Statement" is true, complete and correct. Success Securities Limited ("SSL") is entitled to rely fully on such information and representations for all purposes, unless they receive notice in writing of any change thereof. SSL shall have the right at any time to contact anyone, including my/our banks, brokers or any credit agency, for the purpose of verifying the information provided on the above documents.
2. 此「客戶資料附錄」不時受實德「證券買賣條款及條件」及任何附錄（如適用）約束。該等條款及條件已經以本人 / 吾等選擇及明白的語言向本人 / 吾等解釋。本人 / 吾等確認已閱讀及明白實德「證券買賣條款及條件」的內容並且同意及確認上述條款及條件。實德有權不時修改及補充上述條款及條件並向本人 / 吾等發出通知。本人 / 吾等亦同意受該等經修改及 / 或補充的條款及條件所約束。
This Client Information Statement is subject to the SSL "Terms and Conditions For Securities Trading" and any Addendum (if applicable) from time to time. The terms and conditions thereof have been explained to me/us in a language that I/we choose and understand. I/We confirm that I/we have read and understood SSL "Terms and Conditions For Securities Trading" and I/we agree and confirm the above terms and conditions. SSL shall have the right to amend and supplement the above terms and conditions from time to time by giving me/us notice of such amendment and I/we also agree to such amendment and supplement.
3. 本人 / 吾等須按照「入數資料」文件上的程序將有關的金額存入或轉帳到實德指定的銀行帳戶以交收有關的投資產品。
I/We shall follow the procedures as stated in the document "Bank-in Particulars" when I/we transfer / deposit funds into SSL's designated bank account for settlement of the related investment product(s).
4. 本人 / 吾等明白實德有最終接納開戶與否之權利。
I/We understand that the opening of the Account is subject to the final acceptance of SSL.

第二部份 Part 2 戶口運作 Account Operation

1. 交易授權 Trading Authorization

適用於個人戶口 Applicable to Individual Account

本人在實德所開立及維持的戶口可根據本人的指示作交易。

My account opened and maintained with SSL can be operated on my dealing instructions.

或 or

適用於聯名戶口 Applicable to Joint Account

吾等在實德所開立及維持的戶口可根據下列任何戶口持有人的買賣指示。吾等茲聲明對吾等中的任何一人或聲稱由吾等中的任何一人所發出之任何買賣指示承擔全部責任，並會就實德因吾等中的任何一人之任何行為或不為而引致一切賠償、費用及開支向實德作出全部彌償。

Our account opened and maintained with SSL can be operated on the dealing instructions of any one of the following account holders. We hereby declare that we will be fully responsible for any dealing instructions given or purported to be given by any one of us and will fully indemnify SSL against all damages, losses, costs and expenses whatsoever incurred as a result of any act or omission of any one of us.

2. 戶口運作 Account Operation

適用於個人戶口 Applicable to Individual Account

以下簽名乃本人之有效簽名。實德可根據署列下列簽名式樣的指示來運作本人之戶口。

The signature appears below is valid. SSL can operate my Account for instructions bearing the following specimen signature.

或 or

適用於聯名戶口 Applicable to Joint Account

在不抵觸上述交易授權的情況下，以下簽名乃吾等之有效簽名。實德可根據下列的簽名指示來運作有關吾等戶口之其他事宜。吾等茲聲明對吾等中的任何一人或聲稱由吾等中的任何一人所發出之任何指示承擔全部責任，並會就實德因吾等中的任何一人之任何行為或不為而引致一切賠償、費用及開支向實德作出全部彌償。

Subject to the above trading authorization, the signatures appear below are valid. SSL can operate any other business of our Account according to the following signature instruction. We hereby declare that we will be fully responsible for any instructions given or purported to be given by any one of us and will fully indemnify SSL against all damages, losses, costs and expenses whatsoever incurred as a result of any act or omission of any one of us.

署列下列任何一個簽名式樣的指示皆為有效。

Instructions bearing any of the following specimen signatures shall be valid.

署列下列兩個聯名簽署式樣的指示才為有效。

Instructions bearing the following two joint specimen signatures shall be valid.

(見本客戶聲明的簽名部份 Please refer to the signature part of this Client's Declaration)

第三部份 Part 3 風險披露 Risk Disclosure

本人 / 吾等已經由 _____ (中央編號 : _____) (持牌代表) 以本人 / 吾等選擇的語言，全部清楚解釋實德「證券買賣條款及條件」內買賣投資產品的《風險披露聲明》的內容，並已明白其內容。

I/We confirm that the contents of the "Risk Disclosure Statements" for dealing in Securities contained in the SSL "Terms and Conditions For Securities Trading" have been fully explained by _____ (CE No. : _____) (Licensed Representative) in a language which I/we choose. I/We also understand the content thereof.

第四部份 Part 4 使用個人資料作直接促銷 Use of Personal Data in Direct Marketing

實德可使用本人 / 吾等的資料及 / 或提供本人 / 吾等的資料予任何實德的聯營公司(「聯營公司」，即指現時或日後，任何直接或間接與實德有關之公司)作直接促銷(包括本人 / 吾等的姓名、聯絡詳情、投資組合資料、交易模式及財務背景可被用於直接促銷實德及 / 或其聯營公司的投資及有關財務產品及服務(包括研究報告及特別優惠))。若本人 / 吾等不願意實德使用及 / 或轉送本人 / 吾等的個人資料作直接促銷，本人 / 吾等可行使拒絕此安排的權利，而且無須就此支付任何費用。

SSL intends to use my/our data and/or provide my/our data to its Affiliates ("Affiliates", i.e. any company in which it is, now or hereafter, directly or indirectly related to SSL) in direct marketing (includes the name, contact details, portfolio information, transaction pattern and financial background of me/us may be used in direct marketing of investment or financial related products and services of SSL and/or its Affiliates (including research reports and special offers)). If I/we do not wish SSL to use and/or transfer my/our personal data for use in direct marketing, I/we may, without charge, exercise the right to opt-out.

- 本人 / 吾等同意上述，實德可使用及/或轉送本人 / 吾等的個人資料作出直接促銷。
I/We **agree** to the above, SSL can use and/or transfer my/our personal data in **direct marketing**.
- 本人 / 吾等反對上述，實德不可使用及/或轉送本人 / 吾等的個人資料作出的直接促銷。
I/We **object** to the above, SSL cannot use and/or transfer my/our personal data in **direct marketing**.

本人 / 吾等亦已經獲邀請提出問題及徵求獨立的意見(如有此意願)。

I/We also have been invited to ask questions and take independent advice if I/we wish.

倘此裡的中文本與英文本有任何不一致之處，必須以英文本為準。

In the event of any inconsistency between the Chinese version and English version herein, the English version shall prevail.



個人戶口持有人/聯名戶口第一持有人簽署
Signature of the Individual Account Holder/
Account Holder (1) of Joint Account



聯名戶口第二持有人簽署
Signature of the Account Holder (2) of Joint Account

客戶姓名(正楷)
Client's Name (Block Letters) :

客戶姓名(正楷)
Client's Name (Block Letters) :

客戶香港身份證/護照號碼
Client's H.K.I.D. Card/Passport No. :

客戶香港身份證/護照號碼
Client's H.K.I.D. Card/Passport No. :

日期 Date :

日期 Date :

見證於 In the presence of:

見證人簽署 Signature of Witness

見證人姓名 Name of Witness :

見證人香港身份證 / 護照號碼 H.K.I.D Card / Passport No. of Witness :

日期 Date :

由實德證券有限公司接納
Accepted by Success Securities Limited
For and on behalf of Success Securities Limited

授權簽署 Authorized signatory

日期 Date : _____

第六部份：核證 Part 6 : Certification

如本協議書和其他開戶文件並非在實德的持牌代表或僱員面前簽署或本協議書及其他開戶文件並非連同恰當的支票*一起遞交，須填寫以下部份和應由指定人士，包括其他證監會持牌人或註冊人、太平紳士或專業人士例如銀行分行經理、執業會計師、律師或公證人加以簽署核證。

To be completed where this Agreement and the other account opening documents are not executed in the presence of a licensed representative or an employee of SSL or this Agreement and the other account opening documents are not submitted with an appropriate cheque*, a specified person, including any SFC licensed or registered person, a Justice of the Peace, or a professional person such as a branch manager of a bank, certified public accountant, lawyer or notary public should be required to sign below.

本人(姓名如下)謹此核證客戶簽署本協議書及有關的開戶文件及查看有關的身份證明文件。

I, named below, certify the signing of this Agreement and the related account opening documents by the Client and sighting of related identity documents.

姓名 Name :

職業 Profession :

日期 Date :

聯絡電話 Contact Tel. :

聯絡地址 Contact Address :

*客戶在香港的持牌銀行開立的帳戶並由客戶所簽發的劃線支票(該支票的簽名須與本協議書上的客戶簽名相符並載有客戶在其身份證明文件上所顯示的姓名)，而該支票抬頭人須為「實德證券有限公司」及其數額不得少於10,000港元，客戶被批核的新戶口必須待支票兌現後才可使用。

A crossed cheque bearing Client's name as shown in the Client's identity document with the same signature as shown in this Agreement and drawn on the Client's account with a licensed bank in Hong Kong in favour of "Success Securities Limited" for not less than HK\$10,000. The approved new account will not be activated until the cheque is cleared.

第七部份：持牌代表人聲明 Part 7 : Declaration by Licensed Representative

本人 _____ (姓名)持有中央編號 _____ 確認已於下列地址按客戶選擇的語言版本，為其提供及解釋實德證券有限公司的「證券買賣條款及條件」(包括《風險披露聲明》)，本人並已邀請客戶閱讀該等條款及條件、提出問題及徵求獨立意見(如有此意願)。

I, _____ (Name) with CE No. _____ confirm that I have provided the "Terms and Conditions For Securities Trading" of Success Securities Limited (including the "Risk Disclosure Statements") and explained the terms thereof to the Client at the following address in the language chosen by the Client and that I have invited the Client to read the same, to ask question and to seek independent advice if he or she wish.

- 香港灣仔港灣道23號鷹君中心16樓1603-07室 Suite 1603-7, 16/F., Great Eagle Centre, 23 Harbour Road, Wanchai, Hong Kong.
- 香港干諾道中111號永安中心9樓901-906及911-912室 Room 901-906 & 911-912, 9/F., Wing On Centre, 111 Connaught Road Central, Hong Kong.
- 其他地址 Other Location: _____

倘以上的中文本與英文本有任何不一致之處，必須以英文本為準。

In the event of any inconsistency between the Chinese version and English version, the English version shall prevail.

持牌代表簽署 Signed by Licensed Representative

日期 Date

(只適用於保證金證券戶口客戶 For Margin Securities Account Client Only)

致：實德證券有限公司
To: Success Securities Limited

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

本常設授權是有關處置本人 / 吾等證券或證券抵押品，詳列如下：
This standing authority is in respect of the treatment of my/our securities or securities collateral as set out below :

除非另有說明，本常設授權之名詞與《證券及期貨條例》和《證券及期貨(客戶證券)規則》不時修訂之定義具有相同意思。
Unless otherwise defined, the terms used in this standing authority shall have the same meanings as in the Securities and Futures Ordinance and Securities and Futures (Client Securities) Rules as amended from time to time.

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

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

貴公司可不向本人 / 吾等發出通知而採取上述行動。本人 / 吾等確認本常設授權不影響貴公司為解除由本人 / 吾等或代本人 / 吾等對貴公司、貴公司之聯營公司或第三者所負的法律責任，而處置或促使貴公司的聯營公司處置本人 / 吾等之證券或證券抵押品的權利。
You may do any of these things without giving me/us notice. I/We acknowledge that this standing authority shall not affect your right to dispose or initiate a disposal by your affiliates of my/our securities or securities collateral in settlement of any liability owed by or on behalf of me/us to you, the affiliates or a third person.

此賦予貴公司之授權乃鑑於貴公司同意繼續維持本人 / 吾等之證券保證金戶口。
This standing authority is given to you in consideration of your agreeing to continue to maintain the securities margin account(s) for me /us.

本人 / 吾等明白本人 / 吾等的證券可能受制於第三者之權利，貴公司須全數抵償該等權利後，方可將本人 / 吾等的證券退回給本人 / 吾等。
I/We understand that a third party may have rights to my/our securities, which you must satisfy before my/our securities can be returned to me/us.

本常設授權的有效期最多為12個月至本年12月31日。本人 / 吾等明白本人 / 吾等可以向貴公司發出書面通知，撤回本常設授權。該等通知之生效日期為貴公司真正收到該等通知後之14日起計。
This standing authority is valid for a period of not more than 12 months until 31- December this year. I/We understand that this standing authority may be revoked by giving you written notice. Such notice shall take effect upon the expiry of 14 days from the date of your actual receipt of such notice.

本人 / 吾等明白貴公司若在本常設授權有效期屆滿前的最少14日之前，向本人 / 吾等發出書面通知，提醒本人 / 吾等本常設授權即將屆滿，而本人 / 吾等沒有在此授權屆滿前反對此授權續期，本常設授權應當作在不需要本人 / 吾等的書面同意下按持續的基準已被續期。
I/We understand that this standing authority may be deemed to be renewed on a continuing basis without my/our consent if you issue me/us a written reminder at least 14 days prior to the expiry date of this standing authority, and I/we do not object to such deemed renewal before such expiry date.

倘若本常設授權的中文本與英文本在釋義或涵義方面有任何差異，本人 / 吾等同意應以英文本為準。
In the event of any difference in interpretation or meaning between the Chinese version and English version of this standing authority, I/we agree that the English version shall prevail.

本人 / 吾等確認就本常設授權的內容及貴公司的轉按政策已獲得由 _____ (中央編號： _____) (持牌代表)向本人 / 吾等全部解釋清楚，並且本人 / 吾等明白及同意本常設授權的內容。
I/We acknowledge that this standing authority and re-pledging practice of your Company has been fully explained to me/us by _____ (CE No.: _____) (Licensed Representative) and I/we understand and agree with the contents of this standing authority.



客戶簽署 Client's Signature

日期 Date

致：實德證券有限公司
To: Success Securities Limited

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

本常設授權涵蓋一切由貴公司代表本人 / 吾等收取或持有之有關海外交易之客戶款項(「款項」)。

This standing authority covers all client money received or held by you on my/our behalf in relation to my/our foreign transactions ("Monies").

除非另有說明，本常設授權之名詞與《證券及期貨條例》和《證券及期貨(客戶款項)規則》不時修訂之定義具有相同意思。

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

本常設授權書授權貴公司酌情動用款項的全部或部份作下列用途，而無須事先給予本人 / 吾等任何通知或取得本人 / 吾等的確認及 / 或指示：

This standing authority authorizes you, in your sole discretion, without having to provide me/us with any prior notice or to obtain the prior confirmation of me/us and/or direction, to receive and/or hold the whole or any part of the Monies in the following manners:

1. 將全部或任何數額之款項支付 / 轉帳至位於香港或其他地方的別家證券經紀的客戶帳戶，以應付交收或本人 / 吾等該經紀所要履行的財務責任；
to pay/transfer the whole or any sum of Monies to the client account(s) of other securities broker(s) in Hong Kong or elsewhere for meeting the settlement or my/our financial obligations in my/our securities trading in Hong Kong or elsewhere through that broker(s);
2. 將貴公司在香港為本人 / 吾等所持有或收到的全部或任何數額之款項支付 / 轉帳至香港以外的帳戶；及
to pay/transfer the whole or any sum of Monies held or received by you in Hong Kong to the account(s) outside Hong Kong; and
3. 將本人 / 吾等的全部或任何數額之款項兌換至任何貨幣並根據貴公司所定下的兌換率作出對該貨幣之換算以交收或應付履行本人 / 吾等所要履行的財務責任。
to exchange the whole or any sum of Monies into any other currency(ies) at the rate of exchange conclusively determined by you to be applicable for meeting the settlement and/or my/our financial obligations.

本常設授權並不損害貴公司可有有關處理該等獨立帳戶內本人 / 吾等的款項的其他授權或權利。

This authority is given without prejudice to other authorities or rights which you may have in relation to dealing in my/our money in the segregated accounts.

此賦予貴公司之授權乃鑑於貴公司同意繼續維持本人 / 吾等之交易戶口作海外證券買賣。

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

本常設授權的有效期限最多為12個月至本年12月31日。本人 / 吾等明白本人 / 吾等可以向貴公司發出書面通知，撤回本常設授權。該等通知之生效日期為貴公司真正收到該等通知後之14日起計。

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

本人 / 吾等明白貴公司若在本常設授權有效期屆滿前的最少14日之前，向本人 / 吾等發出書面通知，提醒本人 / 吾等本常設授權即將屆滿，而本人 / 吾等沒有在此授權屆滿前反對此授權續期，本常設授權應當作在不需要本人 / 吾等的書面同意下按持續的基準已被續期。I/We understand that this standing authority may be deemed to be renewed on a continuing basis without my/our consent if you issue to me/us a written reminder at least 14 days prior to the expiry date of this standing authority, and I/we do not object to such deemed renewal before such expiry date.

倘若本常設授權的中文本與英文本在釋義或涵義方面有任何差異，本人 / 吾等同意應以英文本為準。

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

本人 / 吾等確認就本常設授權的內容已獲得由 _____ (中央編號： _____) (持牌代表) 向本人 / 吾等全部解釋清楚，並且本人 / 吾等明白及同意本常設授權的內容。

I/We acknowledge that this standing authority has been fully explained to me/us by _____ (CE No.: _____) (Licensed Representative) and I/we understand and agree with the contents of this standing authority.



客戶簽署 Client's Signature

日期 Date

只適用於客戶於實德集團開設多於一個帳戶
Applicable to Clients opening more than one account in Success Group

致：實德證券有限公司
To: Success Securities Limited

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

本常設授權涵蓋一切由貴公司代表本人 / 吾等收取或持有之客戶款項(「款項」)。
This standing authority covers all client money received or held by you on my/our behalf ("Monies").

除非另有說明，本常設授權之名詞與《證券及期貨條例》和《證券及期貨(客戶款項)規則》不時修訂之定義具有相同意思。
Unless otherwise defined, the terms used in this standing authority shall have the same meanings as in the Securities and Futures Ordinance and Securities and Futures (Client Money) Rules as amended from time to time.

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

1. 組合或合併實德證券有限公司及 / 或實德期貨及外匯有限公司及 / 或其任何有聯繫實體、附屬公司及 / 或聯繫公司(以下簡稱為「實德集團」)所維持的任何或全部獨立帳戶，此等組合或合併活動可以個別地或與其他帳戶聯合進行，貴公司可將該等獨立帳戶內任何數額之款項作出轉移，以解除本人 / 吾等對實德集團的義務或法律責任，不論此等義務和法律責任是確實或或然的、原有或附帶的、有抵押或無抵押的、共同或分別的；及
combine or consolidate any or all segregated accounts, of any nature whatsoever and either individually or jointly with others, maintained by Success Securities Limited and/or Success Futures and Foreign Exchange Limited and/or any of its associated entities, subsidiaries and/or affiliates (hereinafter referred to as "Success Group") and you may transfer any sum of Monies to and between such segregated account(s) to satisfy my/our obligations or liabilities to Success Group, whether such obligations and liabilities are actual or contingent, primary or collateral, secured or unsecured, or joint or several; and
2. 從實德集團任何成員於任何時候為本人 / 吾等所維持的任何獨立帳戶之間來回調動任何數額之款項。
transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by me/us with any member of the Success Group.

貴公司可不向本人 / 吾等發出通知而採取上述行動。
You may do any of these things without giving me/us notice.

本常設授權並不損害貴公司可有有關處理該等獨立帳戶內款項的其他授權或權利。
This authority is given without prejudice to other authorities or rights which you may have in relation to dealing in Monies in the segregated accounts.

此賦予貴公司之授權乃鑑於貴公司同意繼續維持本人 / 吾等之證券 / 期貨 / 外匯交易戶口。
This standing authority is given to you in consideration of your agreeing to continue to maintain the securities/futures/foreign exchange trading account(s) for me/us.

本常設授權的有效期限最多為12個月至本年12月31日。本人 / 吾等明白本人 / 吾等可以向貴公司發出書面通知，撤回本常設授權。該等通知之生效日期為貴公司真正收到該等通知後之14日起計。
This standing authority is valid for a period of not more than 12 months until 31-December this year. I/We understand that this standing authority may be revoked by giving you written notice. Such notice shall take effect upon the expiry of 14 days from the date of actual receipt of such notice by you.

本人 / 吾等明白貴公司若在本常設授權有效期屆滿前的最少14日之前，向本人 / 吾等發出書面通知，提醒本人 / 吾等本常設授權即將屆滿，而本人 / 吾等沒有在此授權屆滿前反對此授權續期，本常設授權應當作在不需要本人 / 吾等的書面同意下按持續的基準已被續期。
I/We understand that this standing authority may be deemed to be renewed on a continuing basis without my/our consent if you issue to me/us a written reminder at least 14 days prior to the expiry date of this standing authority, and I/we do not object to such deemed renewal before such expiry date.

倘若本常設授權的中文本與英文本在釋義或涵義方面有任何差異，本人 / 吾等同意應以英文本為準。
In the event of any difference in interpretation or meaning between the Chinese and English versions of this standing authority, I/we agree that the English version shall prevail.

本人 / 吾等確認就本常設授權的內容已獲得由_____ (中央編號：_____) (持牌代表)向本人 / 吾等全部解釋清楚，並且本人 / 吾等明白及同意本常設授權的內容。

I/We acknowledge that this standing authority has been fully explained to me/us by _____ (CE No.: _____) (Licensed Representative) and I/we understand and agree with the contents of this standing authority.



客戶簽署 Client's Signature

日期 Date

本公司專用 **For Office Use Only** :

由客戶主任填寫 **Filled in by A.E. :**

客戶主任姓名

Name of A.E. : _____

客戶主任編號

A.E. Code : _____

與客戶相識年期

How long does the A.E. know the Client : _____

文件查核 **Document checked by:**

文件核對經手人

Document Checked By : _____

簽署

Signature : _____

日期

Date: _____

開戶批准 **Account Opening approved by :**

批准人姓名

Approved By : _____

簽署

Signature : _____

日期

Date : _____

附註 Remarks :

買賣結構性或衍生產品 Trading of Structured or Derivative Products:

批准 Approved

拒絕 Rejected