

To: Hani Securities (H.K.) Limited
致: 恒利證券(香港)有限公司

香港德輔道中七十一號永安集團大廈四〇二室
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Registered with the Securities and Futures Commission (“SFC”) as a securities dealer and an exchange participant of Hong Kong Exchanges and Clearing Limited (HKEx).
為證券及期貨事務監察委員會(「證監會」)註冊的證券商以及香港交易及結算所有限公司(「香港交易所」)交易所參與者。

統一現金客戶協議書
UNIFORM CASH CLIENT’S AGREEMENT

I/We _____ request you to operate a cash securities trading account (the “Account”) for me/us on the following terms and conditions:-

本人 / 吾等(請填寫姓名/名稱) _____ 茲要求 閣下根據下列條款及條件為本人 / 吾等運作一個現金證券買賣戶口(「戶口」):

1 The Account
戶口

1.1 I/We confirm that the information provided in the Account Opening Information Form is complete and accurate. I/We will inform you of any changes to that information. You are authorized to conduct credit enquiries on me/us to verify the information provided.

本人 / 吾等確認「開戶資料表格」所載資料均屬完整及正確。倘該等資料有任何變更,本人 / 吾等將會通知 閣下。本人 / 吾等特此授權 閣下對本人 / 吾等的信用進行查詢,以核實上述表格所載資料。

1.2 You will keep information relating to my/our Account confidential, but may provide any such information to the Stock Exchange of Hong Kong (the “Exchange”) and the SFC to comply with their requirements or requests for information.

閣下將會對本人 / 吾等戶口的有關資料予以保密,但 閣下可以根據香港聯合交易所有限公司(「聯交所」)及證監會的規定或應其要求,將該等資料提供予聯交所及證監會。

2 Laws and rules
法例及規則

All transactions in securities which you effect on my/our instructions (“Transaction”) shall be effected in accordance with all laws, rules and regulatory directions applying to you. This includes the rules of the Exchange and of the Hong Kong Securities Clearing Company Limited (the “Clearing House”). All actions taken by you in accordance with such laws, rules and directions shall be binding on me/us.

閣下按本人 / 吾等的指示而進行的一切證券交易(「交易」),須根據適用於 閣下的一切法例、規則和監管指示的規定而進行。這方面的規定包括聯交所及香港中央結算有限公司(「香港結算」)的規則。 閣下根據該等法例、規則及指示而採取的所有行動均對本人 / 吾等具有約束力。

3 Transactions
交易

3.1 You will act as my/our agent in effecting Transactions unless you indicate (in the contract note for the relevant Transaction or otherwise) that you are acting as principal.

除 閣下(在有關交易的成交單或其他合約單據內)註明以自己本身名義進行交易外, 閣下將以本人 / 吾等的代理人身份進行交易。

3.2 I/We will notify you when a sale order relates to securities which I/we do not own. I.e. involves short selling.

倘沽盤是有關非由本人 / 吾等擁有的證券,即涉及賣空交易,本人 / 吾等將會通知 閣下。

3.3 On all Transactions, I/we will pay your commissions and charges, as notified to me/us, as well as applicable levies imposed by HKEx, and all applicable stamp duties. You may deduct such commissions, charges, levies and duties from the Account.

本人 / 吾等會就所有交易支付 閣下通知本人 / 吾等的佣金和收費,繳付香港交易所徵收的適用徵費,並繳納所有有關的印花稅。 閣下可以從戶口中扣除該等佣金、收費、徵費及稅項。

3.4 Unless otherwise agreed, in respect of each Transaction, unless you are already holding cash or securities on my/our behalf to settle the Transaction, I/we will

就每一宗交易,除另有協議外或除非 閣下已代本人 / 吾等持有現金或證券供交易交收之用,否則本人 / 吾等將會在 閣下就該項交易通知本人 / 吾等的期限之前

- Pay you cleared funds or deliver to you securities in deliverable form or
向 閣下交付可即時動用的資金或可交付的證券,或

- Otherwise ensure that you have received such funds or securities
以其他方式確保閣下收到此等資金或證券。

by such time as you have notified me/us in relation to that Transaction. If I/we fail to do so, you may
倘本人 / 吾等未能這樣做，閣下可以

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

3.5 I/We will be responsible to you for any losses and expenses resulting from my/our settlement failures.
本人 / 吾等將會負擔閣下因本人 / 吾等未能進行交收而引起的任何損失及開支。

3.6 I/We agree to pay interest in all overdue balances (including interest arising after a judgment debt is obtained against me/us) at such rates and on such other terms as you have notified me/us from time to time.
本人 / 吾等同意就所有逾期未付款項(包括對本人 / 吾等裁定的欠債務所引起的利息)按閣下不時知本人 / 吾等的利率及其他條款支付利息。

3.7 In the case of a purchase Transaction, if the selling broker fails to deliver on the settlement date and you have to purchase securities to settle the Transaction, I/we shall not be responsible to you for the costs of such purchase.
就買入交易而言，倘賣方經紀未能於交收日內交付證券，導致閣下須買入證券進行交收，本人 / 吾等毋須為買入該等證券的費用向閣下負責。

4 Safekeeping of securities 證券的保管

4.1 Any securities which are held by you for safekeeping may, at your discretion
由閣下寄存妥為保管的任何證券，閣下可以酌情決定：

- (in the case of registrable securities) be registered in my/our name or in the name of your nominee; or
(如屬可註證券)以本人 / 吾等的名義或以閣下的代理人名義註冊；或
- be deposited in safe custody in a designated account with your bankers 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 SFC as a provider of safe custody services.
存放於閣下的往來銀行或提供文件保管設施的任何其他機構妥為保管。如屬香港的證券，該機構應為證監會認可的提供保管服務機構。

4.2 Where securities are not registered in my/our name, any dividends or other benefits arising in respect of such securities shall, when received by you, be credited to my/our Account or paid or transferred to me/us, as agreed with you. Where the securities form part of a larger holding of identical securities held for your clients, I/we shall be entitled to the same share of the benefits arising on the holding as my/our share of the total holding.
倘證券未以本人 / 吾等的名義註冊，閣下於收到該等證券所獲派的任何股息或其他利益時，須按本人 / 吾等與閣下的協議記入本人 / 吾等的戶口或支付予或轉賬予本人 / 吾等。倘該等證券屬於閣下代客持有較大數量的同一證券的一部份，本人 / 吾等有權按本人 / 吾等所佔的比例獲得該等證券的利益。

4.3 You do not have my/our written authority under section 81(3) of the Securities Ordinance to:-
本人 / 吾等並無根據《證券條例》第 81(3)條以書面授權閣下：

- deposit any of my/our securities with a banking institution as collateral for an advance or loan made to you, or with the Clearing House as collateral for the discharge of your obligations under the clearing system
將本人 / 吾等的任何證券存放在銀行業機構，作為閣下所獲墊支或貸款的抵押品，或者存放在香港結算，作為履行閣下在結算系統下之責任的抵押品
- borrow or lend any of my/our securities
借貸本人 / 吾等的任何證券
- otherwise part with possession (except to me/us or on my/our instructions) of any of my/our securities for any purpose.
基於任何目的以其他方式放棄本人 / 吾等的任何證券之持有權(交由本人 / 吾等持有或按本人 / 吾等的指示放棄持有權除外)。

5 Cash held for me/us 代本人 / 吾等保管的現金

Any cash held for me/us, other than cash received by you in respect of Transactions and which is on-paid for settlement purposes or to me/us, shall be credited to a client trust account maintained with a licensed bank as requires by applicable laws from time to time.
代本人 / 吾等保管的現金須依照適用法律不時的規定，存放於一家持牌銀行所開立的一個客戶信託賬戶內(此等現金不包括閣下就交易取得，而且須為交收而轉付或轉付予本人 / 吾等的現金)。

6 Risk Disclosure Statement

風險披露聲明書

I/We acknowledge that the price of securities can and does fluctuate, and any individual security may experience upwards or downwards movements, and may even become valueless. There is an inherent risk that losses may be incurred rather than profit made as a result of buying and selling securities. I/We also acknowledge that there may be risks in leaving securities in your safekeeping. For example, if you are holding my/our securities and you become insolvent, I/we may experience significant delay in recovering the securities. These are risks that I/we am/are prepared to accept.

本人 / 吾等知道證券價格可能及必定會波動，任何個別證券的價格皆可上升或下跌，甚至可能變成毫無價值。買賣證券不一定獲利，而且存在著可能損失的風險。本人 / 吾等也知道將證券交給閣下保管可能存在風險。例如當閣下持有本人 / 吾等的證券而閣下無力償債時，本人 / 吾等取回證券的時間可能受到嚴重阻延。本人 / 吾等願意承擔此等風險。

7 General 一般規定

- 7.1 All securities held for my/our Account shall be subject to a general lien in your favour, for the performance of my/our obligations to you arising in respect of dealing in securities for me/us.
所有本人 / 吾人戶口內的證券均受制於閣下的全面留置權，以確保本人 / 吾等履行對閣下代本人 / 吾等買賣證券而產生的責任。
- 7.2 If you fail to meet your obligations to me/us pursuant to this Agreement, I/we shall have a right to claim under the Compensation Fund Established under the Securities Ordinance, subject to the terms of the Compensation Fund from time to time.
倘閣下沒有依照本協議書的規定履行對本人 / 吾等的責任，本人 / 吾等有權向根據《證券條例》成立的賠償基金索償，惟須受賠償基金不時的條款制約。
- 7.3 You will notify me/us of material changes in respect of your business which may affect the services you provide to me/us.
倘閣下的業務有重大變更，並且可能影響閣下為本人 / 吾等提供的服務，閣下將會通知本人 / 吾等。
- 7.4 I/We confirm that I/we have read and agree to the terms of this Agreement, which have been explained to me/us in a language that I/we understand.
本人 / 吾等確認本人 / 吾等已詳閱並同意本協議書的條款，而且該等條款已經以本人 / 吾等明白的語言向本人解釋。
- 7.5 This Agreement is governed by, and may be enforced in accordance with, the laws of the Hong Kong Special Administrative Region.
本協議書受香港特別行政區法律管轄，並且可以根據香港特別行政區法律執行。

SIGNED by
簽署

Authorized Signature. Business Chop
授權簽名 / 公司印章

In the presence of
見證人

Witness Name:
見證人姓名

Address:
地址

Occupation:
職業

[Witness Signature]
[見證人簽名]

Acknowledged and accepted by

HANI SECURITIES (H.K.) LIMITED

經由恒利證券(香港)有限公司承認及接納

Authorized Signature/Business Chop
授權簽名 / 公司印章

如中英文本有歧異，以英文本為準。