

日期：

Date：

致：恒利證券(香港)有限公司

To：Hani Securities (H.K.) Limited

保證金買賣的風險

藉存放抵押品而為交易取得融資的虧損風險可能極大。你所蒙受的虧蝕可能會超過你存放於有關交易商或證券保證金融資人作為抵押品的現金及任何其他資產。市場情況可能使備用買賣指示，例如“止蝕”或“限價”指示無法執行。你可能會在短時間內被要求存入額外的保證金款項或繳付利息。假如你未能在指定的時間內支付所需的保證金款額或利息，你的抵押品可能會在未經你的同意下被出售。此外，你將要為你的帳戶內因此而出現的任何短欠數額及需繳付的利息負責。因此，你應根據本身的財政狀況及投資目標，仔細考慮這種融資安排是否適合你。

RISK OF MARGIN TRADING

The risk of loss in financing a transaction by deposit of collateral is significant. You may sustain losses in excess of your cash and any other assets deposited as collateral with the dealer or securities margin financier. Market conditions may make it impossible to execute contingent orders, such as “stop-loss” or “stop-limit” orders. You 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, your collateral may be liquidated without your consent. Moreover, you will remain liable for any resulting deficit in your account and interest charged on your account. You should therefore carefully consider whether such a financing arrangement is suitable in light of your own financial position and investment objectives.

孖展客戶戶口 – 客戶的承擔

本人/吾等完全明白投資證券存有內在的風險及孖展戶口可能因槓桿效應而導致風險增加。

本人/吾等亦明白及本人/吾等亦已完全同意在孖展戶口內的股票是本人/吾等用作借貸款項的抵押品。及該類股票可能存放在有牌的金融機構用來作本人/吾等所借貸款項的抵押品。

本人/吾等現作承擔及完全同意當最新的日結孖展戶口帳單(通常在當天交易日完結後列印)顯示“追收抵押品”或“追收按金”字樣時，即表示本人/吾等的孖展戶口日結帳情況發生變化，本人/吾等會在下一個交易日中午 12 點前將所謂“追收抵押品”或“追收按金”所顯示的等值款項存入貴行所指定的銀行戶口內。若然未能履行貴行要求，本人/吾等承諾及完全授權貴行將本人/吾等孖展戶口內所持有的股票以市價沽售，直至達到“追收抵押品”或“追收按金”的要求。

此承擔是不可撤消的，直至本人/吾等取消孖展客戶戶口及本人/吾等已完全還清所欠之款項。

MARGIN ACCOUNT – CLIENT’S UNDERTAKING

I/We fully understand the inherent risks in investing in securities, and that a margin account would greatly amplify those risks due to its leverage effect.

I/We further understand and I/We am/are in total agreement that my/our securities stock holdings in my/our margin account will be used as collaterals against any money I/we borrowed. And that such securities stock holdings will be deposited with authorised financial institutions to be used as collaterals against any money I/we borrowed against my/our account.

I/We hereby undertake and fully agree that whenever a “Margin Call” or “Call For Deposit” is issued by you or as shown in the latest daily margin account statement (usually printed at the end of the trading day), it means that my/our margin position has changed, and I/we will before 12:00pm on the next trading day deposit the said “Margin Call” or “Call For Deposit” amount into your bank account. Otherwise, I/we undertake and give you full permission to liquidate any securities stock holding in my/our account at the prevailing market price to satisfy the “Margin Call” or “Call For Deposit” amount.

This undertaking is irrevocable until I/we cancel my margin account and I/we have fully repaid any outstanding amount.

客戶 / Client

客戶經理見證 / Witness by Account Executive

姓名 / Name：

身份証號碼 / HKID：

戶口號碼 / A/C#：

姓名 / Name：