

Great Bay Securities Limited
Room 2526-2536, 25/F., Sun Hung Kai Centre,
30 Harbour Road, Wanchai
Hong Kong

Dear Client (A/C No.: _____),

In consideration of agreeing to continue to the Company's margin securities service _____ (name of the Client) (the "Client") securities trading services, margin facilities, loans, advances, credits, other financial accommodation and related services pursuant to an agreement between you and the Client, the terms of which are contained in your General Terms and Conditions, Additional Terms for Securities Trading, Additional Terms for Margin Securities Trading, as the same are amended from time to time (the "Agreement") (receipt of a copy whereof is hereby acknowledged), the undersigned hereby agrees as follows:

鑒於本人同意或持續按照貴行與本人訂立之協議、貴行之一般條款、證券買賣附加條款、孖展證券買賣附加條款內載之條款及其所不時修訂之版本(「協議」)(現謹認收其副本)向 _____ (客戶姓名)(「客戶」)提供證券買賣服務、孖展貸款、貸款、其他財務貸款及相關服務，本保證金帳戶之附加條款簽署人謹同意如下附加條款：

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ADDITIONAL TERMS FOR MARGIN ACCOUNT

保證金帳戶之附加條款

1. APPLICATION OF THE ADDITIONAL TERMS

本附加條款之適用

- 1.1 All provisions in these Additional Terms for Margin Account apply to Margin Accounts.
條款之所有條文適用於保證金帳戶。
- 1.2 The Client shall open and maintain a Margin Account with the Broker subject to the General Terms and Conditions and these Additional Terms for Margin Account and the Additional Terms for Electronic Trading Service (if applicable) and the Additional Terms for New Listing of Securities (if applicable).
客戶須根據一般條款及本保證金帳戶之附加條款及電子交易服務之附加條款(如適用)及新上市證券之附加條款(如適用)與經紀開立及維持保證金帳戶。

2. MARGIN FACILITY

保證金融資

- 2.1 The Margin Facility is extended by the Broker to the Client for financing the trading of securities in Margin Account on the Additional Terms for Margin Accounts and any other terms and conditions which may be indicated by the Broker to the Client from time to time.
依據本協議條款及任何由經紀向客戶不時指明的條款及條項，經紀向客戶為買賣證券而提供保證金融資。
- 2.2 The Broker is authorized by the Client to draw on the Margin Facility to settle any amounts due to the Broker in respect of purchase of securities and to finance continued holding of securities, the payment of commission, interest and any other expenses incidental to the operation of the Margin Account and any other sums owing to the Broker. The Margin Facility is repayable on demand and the Broker may, in its absolute

discretion, vary the terms in this Clause 2 or terminate the Margin Facility at any time it thinks fit. The Broker is not obliged in any way to provide financial accommodation to the Client. For the avoidance of doubt, if a debit balance arises in any Margin Account, the Broker shall not be, nor shall the Broker be deemed to be, obliged to make available or continue to make available any financial accommodation. In particular, but without limitation, the fact that the Broker permits a debit balance to arise in any Margin Account so debited shall not imply any obligation on the part of the Broker to advance monies or incur any obligation on the Client's behalf on any subsequent occasion, but without prejudice to the obligations of the Client in respect of any debit balance which the Broker does permit to arise.

客戶授權經紀可動用該融資，用作購買證券及繼續持有證券或支付佣金或與保證金有關帳戶運作而引致的費用或其他欠經紀的款項。該融資須於要求下清還，而經紀有絕對的酌情權更改本第2條的有關條款或於任何經紀覺得適當的時候終止該融資。經紀並無責任向客戶提供財務協助。為避免疑問，如果客戶的任何保證金賬戶出示借方結餘，經紀無義務而且不應被視為有義務提供或繼續提供任何財務通融。尤其是(但不限於)，經紀允許任何保證金賬戶出現借方結餘，不代表經紀有任何義務在任何隨後的情況下提供墊款或代客戶承擔任何義務，而客戶對經紀所允許出現的任何借方結餘應有的義務不因此而受影響。

- 2.3 The Client shall provide and maintain adequate Collateral and provide such additional Collateral in the manner and within the time limit specified by the Broker for the compliance with the margin requirements set by the Broker. The Broker in its absolute discretion determines the amount, type and form, manner of delivery, calculation basis of permissible value and timing of the delivery of the required Collateral. The Broker may change the margin requirements at any time in its absolute discretion without prior notice to the Client. Any failure of the Client in providing the required Collateral in Clauses 2.3 or 2.4 or 2.5, constitutes an Event of Default and the Broker is entitled to dispose of any of the Collateral without prior notice to the Client.

客戶須在經紀指明的時限及方式提供及維持足夠的有關抵押品及提供該等額外的有關抵押品，以遵守經紀訂立的保證金規定。經紀有權行使其絕對酌情權，釐定所需有關抵押品的數額、種類及形式、交付的方式、計算可允許價值的基準及交付的時限。經紀可按其絕對酌情權在不須事先通知客戶情況下，不時更改保證金規定。如果客戶未能根據本第2.3或2.4或2.5條提供足夠的有關抵押品，這將會構成為失責事件，而無須給予客戶事先通知經紀有權處置有關抵押品。

- 2.4 The time for provision of Collateral and for payment of margin deposit is of the essence and if no time is stipulated by the Broker in making a demand for Collateral or margin deposit, the Client is required to comply with such demand within one hour from the time of making such demand (or in a shorter period if so required by the Broker). The Client also agrees to pay immediately in full on demand any amount owing under the Margin Facility. All initial and subsequent payments for margin deposits shall be made in cleared funds and in such currency and in such amounts as the Broker may in its sole direction require.

提供有關抵押品及保證金的時間為關鍵要素，如經紀提出要求有關抵押品或保證金時未有指明時限，客戶須在該要求時起計一小時內（或按經紀規定更早時限）遵守該要求。客戶亦同意於經紀要求時立即悉數償還因保證金融資欠下債項。所有就保證金的首筆及之後付款，一律應為即時可動用資金，且經紀有絕對酌情權規定貨幣種類及金額。

- 2.5 Notwithstanding Clauses 2.3 and 2.4, in the event that it is in the sole opinion of the Broker that it is impracticable for the Broker to make demand on the Client for additional Collateral pursuant to Clause 2.3, the Broker shall be deemed to have made such demand of additional Collateral in such form and amount as the Broker may determine

and such demand shall become immediately due and payable by the Client. The aforesaid impracticality may be due to the following (without limitation) rapid changes or development involving prospective changes:

縱然第2.3條及第2.4條已有規定，當經紀單方面認為按照第2.3條要求客戶提供額外有關抵押品實際上並不可行，經紀應被視作已經按照經紀決定的方式及／金額提出追收有關抵押品，而該等要求已經到期，客戶須即時支付。上文的實務上不可行的情況，是由於（包括但不限於）下列的急劇轉變或發展涉及預期的變化：

(A) in the local, national or international monetary, financial, economic or political conditions or foreign exchange controls which has resulted or is in the opinion of the Broker likely to result in a material or adverse fluctuation in the stock market, currency market, commodities or futures market in Hong Kong and/or overseas; or

本地、國家、國際金融體系、財經、經濟或政治環境或外匯管制的狀況，而此等已經或可能出現的轉變或發展已構成或經紀認為可能構成對香港及／或海外證券、外匯、商品期貨市場的重大或不良波動；或

(B) Which is or may be of a material adverse nature affecting the conditions of the Client or operations of the Margin Account.

此等已經或可能出現的轉變或發展已經或可能在性質上嚴重影響客戶的狀況或保證金有關帳戶的運作。

2.6 The Client shall pay interest on the outstanding amount of the Margin Facilities from time to time at such rate and in such manner as determined by the Broker from time to time. Interest will accrue on the outstanding amount of the Margin Facilities on daily basis and the accrued interest will be deducted from the Margin Account on a monthly basis and shall be payable at any time upon the demand made by the Broker.

客戶須就保證金融資下所不時欠負之款額以經紀不時釐定之利率及方式支付利息。利息將以保證金融資下所每日欠負之款額累計，而累計利息將會每月從保證金扣除，並且在經紀提出付款要求時，客戶須即時支付。

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3. CHARGE

押記

3.1 The Client, as beneficial owner of the Collateral, hereby charges in favour of the Broker in respect of all the Secured Obligations by way of first fixed charge all the Client's right, title, benefits and interests in and to the Collateral including any additional or substituted collateral and all dividends, interest paid or payable, rights, interests, money or other properties accruing or offering at any time by way of redemption, bonus, preference, options or otherwise on or in respect of the Collateral as continuing security for the payment and discharge of the Secured Obligations.

客戶以實益擁有人的身份，謹此以第一固定押記形式，向經紀抵押所有有關抵押品的各種權利、所有權、利益及權益。這些包括但不限於任何額外或被替代的財產或就該等財產或額外的或獲替代的財產的應累計或在任何時間透過贖回、分紅、優先權、選擇權或其他形式所提供的所有股息、已支付或需支付的利息、權利、權益、款項或財產，以作為持續的抵押品，以便償還有抵押債務。

3.2 The Charge is a continuing security notwithstanding any intermediate payment, settlement of the Margin Account or satisfaction of whole or any part of Secured Obligations and notwithstanding any closure and subsequent opening of such Margin Account.

即使客戶作出任何中期支付或清結保證金有關帳戶或全部或部份付清有抵押債務及即使客戶結束保證金帳戶及其後再重新開戶，押記將仍屬一項持續的抵押並仍有效力。

- 3.3 The Broker is entitled to exercise any voting right or other right in respect of the Collateral for the protection of the Broker's interest in the Collateral and the Client shall not exercise any right attaching to the Collateral in any manner which, in Broker's opinion, may be inconsistent with the obligations under this Agreement or prejudicial to the Broker's right in the Collateral.

經紀有權行使涉及有關抵押品的表決權及其他權利以保障其在有關抵押品的利益。倘若客戶行使其在有關抵押品的權利，會與其在本協議的義務有所矛盾，或在任何形式下可能會影響經紀就有關抵押的利益，客戶不得行使該權利。

- 3.4 Whenever there is any Secured Obligations, the Broker has the right, without prior notice or consent from the Client, to dispose of or otherwise deal with any part of the Collateral at its absolute discretion upon such terms and in such manner it thinks fit for settlement of the Secured Obligations to protect its interest, in particular for the Client's failure in meeting any call for Collateral or margin call made by the Broker or significant fluctuation in market prices. In event of any deficiency after the sale of Collateral, the Client shall make good and pay on demand to the Broker such deficiency.

只要仍有未償還的有抵押債務，經紀有權在未事先通知或獲得客戶同意前，行使其絕對酌情權以其認為適合的條款及方式為保障其利益，處置或以其他方法處理有關抵押品（任何部份或全部），用以償還有抵押債務，尤其客戶未能依經紀要求提供的有關抵押品時或市場價格發生重大波幅時。如出售有關抵押品後，仍有缺欠，客戶須即時向經紀支付，用以彌補該不足之數。

- 3.5 The Client shall pay or reimburse the Broker immediately upon demand all costs (including collection expenses and legal costs on a full indemnity basis) and expenses in connection with the enforcement or preservations of any right of the Broker under this Agreement.

客戶須按要求向經紀即時支付或償還所有與執行或保障經紀根據本協議享有的任何權力有關的費用（包括追數收費及以足額彌償為基準的法律費用）及開支。

- 3.6 Without prejudice to the generality of the foregoing, neither the Charge nor the amounts thereby secured will be affected in any way by:

在不影響上述的概括性原則下，押記或其所抵押的數額將不會受以下所述任何事物影響：

- (A) any other security, guarantee or indemnity now or hereafter held by the Broker in respect of the Secured Obligations;

就有抵押債務，經紀現時或將來所持有的任何其他抵押、擔保或彌償；

- (B) any variation or amendment to or waiver or release of any security, guarantee or indemnity or other document (including the Charge except to the extent of the relevant variation, amendment, waiver or release);

任何抵押、擔保或彌償或其他文件的任何其他修訂、更改、寬免或解除（包括押記，除有關的修改、修訂、寬免或解除外）；

- (C) the enforcement or absence of enforcement or release by the Broker of any security, guarantee or indemnity or other document (including the Charge);

經紀就任何抵押、擔保或彌償或其他文件（包括該押記）的強制執行或沒有強制執行或免除；

- (D) any time, indulgence, waiver or consent given to the Client or any other person whether by the Broker;

不論由經紀向客戶或其他人士所給予的時間、寬限、寬免或同意；

- (E) the making or absence of any demand for Collateral or payment of any sum payable under the Agreement made on the Client whether by the Broker or any other person;

不論由經紀或任何其他人士所作出或沒有作出根據本協議條款的任何提供有關抵押品或償還款項的要求；

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- (F) the insolvency, bankruptcy, death or insanity of the Client;
客戶的無償債能力、破產、死亡或精神不健全；
- (G) any amalgamation, merger or reconstruction that may be effected by the Broker with any other person or any sale or transfer of the whole or any part of the undertaking, property or assets of the Broker to any other person;
經紀與任何其他人進行合併、兼併或重組或向任何其他人出售或轉移經紀的全部或部份業務、財產或資產；
- (H) the existence of any claim, set-off or other right which the Client may have at any time against Broker or any other person;
在任何時候客戶對經紀或任何其他人所存在的任何申索、抵銷或其他權利；
- (I) any arrangement or compromise entered into by the Broker with Client or any other person;
經紀與客戶或任何其他人訂立的安排或妥協；
- (J) the illegality, invalidity or unenforceability of, or any defect in, any provision of any document relating to the Margin Facility or any security, guarantee or indemnity (including the Charge) or any of the rights or obligations of any of the parties under or in connection with any such document or any security, guarantee or indemnity (including the Charge), whether on the ground of ultra vires, not being in the interests of the relevant person or not having been duly authorized, executed or delivered by any person or for any other reason whatsoever;
涉及該融資的任何文件的條文或任何抵押、擔保或彌償（包括該押記）之下及有關的條文的不合法性，無效或未能執行或缺陷，不論原因是基於越權、不符合有關人士的利益或任何人未經妥善授權、未經妥善簽立或交付或因為任何其他的緣故；
- (K) any agreement, security, guarantee, indemnity, payment or other transaction which is capable of being avoided under or affected by any law relating to bankruptcy, insolvency or winding-up or any release, settlement or discharge given or made by the Client on the faith of any such agreement, security, guarantee, indemnity, payment or other transaction, and any such release, settlement or discharge shall be deemed to be limited accordingly; or
任何根據涉及破產、無償債能力或清盤的任何法律可以避免或受其影響的協議、抵押、擔保、彌償、支付或其他交易，或任何客戶依賴任何該等協議、抵押、擔保、彌償、支付或其他交易所提供或作出的免除、和解或解除，而任何該等免除、和解或解除因此須被視為受到限制；或
- (L) any other thing done or omitted or neglected to be done by the Broker or any other person or any other dealing, fact, matter or thing which, but for this provision, might operate to prejudice or affect the Client's liabilities under the terms of this Agreement governing the Margin Facility.
任何由經紀或任何其他人所作出或遺漏或忘記作出的事物或任何其他交易、事實、事宜或事物(如果不是因為本條文)可能在運作上損害或影響客戶在與保證金融資有關的本協議條款項下的責任。

4. SECURITIES IN THE ACCOUNT

帳戶中的證券

- 4.1 The securities collateral in the Account shall be treated and dealt with in compliance with the provisions of the SFO. In particular, the securities collateral which are listed or traded on market operated by SEHK or interests in an authorized collective investment scheme (as defined in the SFO) and are received or held in Hong Kong by the Broker ("Local Securities Collateral") shall be:

客戶於帳戶中的證券抵押品所獲取的對待及處理須符合《證券及期貨條例》的規定，尤其在聯交所營辦的市場上市或交易的證券抵押品或認可集體投資計劃的權益（根據《證券及期貨條例》定義）的證券抵押品且經紀於香港收取或持有該等證券（「本地證券抵押品」），有關證券將：

(A) deposited in safe custody in a segregated account which is designated as a trust account or client account and maintained by the Broker in Hong Kong with an authorized financial institution, a custodian approved by the SFC or another intermediary licensed for dealing in securities;

被存放於經紀在認可財務機構、獲證監會核准的保管人或另一獲發牌進行證券交易的中介人在香港開立及維持指定為信託帳戶或客戶帳戶的獨立帳戶作穩妥保管；或

(B) deposited in an account in the name of the Broker with an authorized financial institution, a custodian approved by the SFC or another intermediary licensed for dealing in securities; or

被存放於經紀以其名義在認可財務機構、獲證監會核准的保管人或另一獲發牌進行證券交易的中介人的帳戶；或

(C) registered in the name of the Client or the Broker.

以客戶或經紀的名稱登記。

4.2 In respect of any securities of the Client's Margin Account, whether the client uses margin loan or not, other than Local Securities Collateral to which the Securities and Futures (Client Securities) Rules are not applicable under Section 3 of the aforesaid Rules, the Client authorizes the Broker in its discretion to deposit, transfer, lend, pledge, repledge, repurchase or otherwise deal with such securities to any other parties in whatsoever manner and for any purpose (including without limitation as security for financial accommodation provided to the Broker) the Broker thinks fit.

就客戶保證金賬戶擁有的任何證券，（除本地證券抵押品，如根據《證券及期貨（客戶證券）規則》的第3條不適用，不論客戶是否使用保證金貸款）而言，客戶謹此授權經紀，可用其酌情權以其認為適合的任何方式及用途（包括但不限於作為提供予經紀之財務通融之抵押品），存放、轉讓、借出、質押、再質押、回購或其他方式處理客戶之該等證券。

4.3 Any securities collateral held by the Broker on behalf of the Client in the manner mentioned in Clauses 4.1 and 4.2 or otherwise shall be at the sole risk of the Client and the Broker has no obligation to insure the Client against any kind of risk. The Broker shall not be responsible for any losses, costs, damages, interests and charges arising from or in connection with such dealing of securities under the aforesaid clauses in the absence of bad faith or wilful default of or by the Broker.

客戶須單獨承擔經紀以第4.1條及第4.2條所述或其他方式代客戶持有的任何證券引致的風險，經紀概無責任替客戶就各類風險購買保險。經紀亦無須承擔按第4.1條及第4.2條中涉及第三者所引致之損失、費用或損害，包括不限於第三者的欺騙或疏忽所引致的損失。

4.4 For any securities of the Client deposited with the Broker not registered in the name of the Client, any dividend, distribution or benefits accrued in respect of such securities which are received by the Broker shall be credited to the Account (or payment made to the Client as may be agreed) subject to a reasonable administration fee charged by the Broker. For any securities forming part of a larger holding of identical securities which are held by the Broker for the Client and other persons, the Client is entitled to the same share of the benefits arising on the holding as the share of the Client of the total holding which is also subject to a reasonable administration fee charged by the Broker. The Broker shall not be responsible for any failure in making such distribution of any party which holds securities of the Client.

凡由經紀代客戶持有不以客戶的名義登記的證券抵押品並不是以客戶的名義登記，則任何就該等證券的應計股息、分派或利益將會由經紀代收，然後記入客戶的有關帳戶（或者按協定付款給客戶），經紀可就此收取合理行政費用。倘該等證券屬於經紀代客戶以及其他客戶持有較大數量的同一證券的一部份，客戶有權按其所佔的比例獲得該等證券的利益，經紀也可就此收取合理行政費用。倘持有客戶的證券以提供保管服務的其他人士未能作出有關的分配，經紀不須為此而負上任何責任。經紀亦可依照客戶事先的具體指示就該等證券代客戶行使表決權。

- 4.5 For so long as there exists any indebtedness to the Broker on the part of the Client, the Broker may refuse any withdrawal of securities collateral and the Client shall not without consent of the Broker withdraw any securities collateral.

只要客戶仍對經紀欠任何債項時，經紀有權拒絕客戶提取證券抵押品的要求，以及客戶在未獲經紀事先同意時，無權提取任何證券抵押品。

- 4.6 The Broker is not obliged to return the securities originally delivered or deposited by the Client but may return securities of the same class, denominations and nominal amount and ranking to the Client.

經紀不須向客戶交還客戶原先所交付或存放的證券，而只會向客戶交付還同一類別、面值、名義數額及等級的證券。

- 4.7 Without prejudice to any other rights and remedies available to the Broker, the Broker is authorized to dispose of any of the securities from time to time received from or held on behalf of the Client in settlement of any liability owed by the Client or on the Client's behalf to the Broker or a third person.

在不損害經紀可能擁有的其他權利和補救前提下，經紀獲授權處置不時由客戶收取或代客代持有的證券抵押品，以解除由客戶或代客戶對經紀或第三者所負的法律責任。

- 4.8 Without prejudice to any other right or remedy available to the Broker, the Client agrees to give the standing authority to the Broker to authorize the Broker to deal with the Local Securities Collateral from time to time received or held on the Client's behalf in one or more of the following ways (inter alia), namely to:

在不影響經紀任何其他權利或補救方法的原則下，客戶授權並同意經紀可以（其包括）下列一種或以上的方式去處理不時代客戶收取或持有的本地證券抵押品：

- (A) apply any of the Local Securities Collateral pursuant to a securities borrowing and lending agreement;

依據證券借貸協議運用任何客戶的本地證券抵押品；

- (B) deposit any of Local Securities Collateral with an authorized financial institution as collateral for financial accommodation provided to the Broker; or

將任何客戶的本地證券抵押品存放於認可財務機構，作為提供予經紀的財務通融的抵押品；
或

- (C) deposit any of Local Securities Collateral with (i) a recognized clearing house; or (ii) another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of the Broker's settlement obligations and liabilities.

將任何客戶的本地證券抵押品存放於 (i) 認可結算所；或 (ii) 另一獲發牌或獲註冊進行證券交易的中介人，作為解除經紀在交收上的義務和清償經紀在交收上的法律責任債務的抵押品。

Such authority shall remain valid for a period of twelve (12) months from the approval date of the opening of the Margin Account unless the Client gives not less than seven (7) business days' prior written notice to the Broker to revoke the same at any time, provided that no such revocation shall be effective if there is any indebtedness in the Margin Account. Such standing authority which is not revoked prior to its expiry may be renewed or shall be deemed to have been renewed in accordance with the relevant

rules made under the SFO. If the Client requests for revocation of such standing authority or the standing authority has not been renewed by the Client whom the Broker called upon to do so, the Broker reserves the right to terminate this Agreement and operations of the Margin Account and then the Client shall forthwith settle any indebtedness owing to the Broker.

除非客戶於任何時候給予經紀不少於七 (7) 個營業日的書面通知撤銷有關授權，此項授權由保證金帳戶的授權開戶開始起計十二 (12) 個月內有效；但假若保證金帳戶中的債項仍未解除，則該項撤銷將為無效。在有效期屆滿前沒有被撤銷的此項常設授權，可按照《證券及期貨條例》下的有關規則予以續期或當作已續期。倘若客戶要求撤銷有關授權，或經紀要求續期時，客戶沒有將常設授權加以續期時，經紀保留權利終止本協議及保證金帳戶的運作，而客戶必須立即清還欠經紀的債務。

- 4.9 Subject to the provisions of the SFO, the Client agrees that the Broker is entitled to retain for its own benefit and not accountable to the Client for any fee, income, rebate or other benefits resulting from any lending or deposit of the securities of the Client held in the Account with any third party for any purpose by the Broker.

證券及期貨條例容許的情況下，客戶同意經紀有權為其本身的益處保留及無須向客戶交代源自任何經紀向第三者為任何目的借出或存放客戶的證券所獲取的任何收費、收入、回佣或其他利益。

Appendix 1

附件1

8

1. SECURITIES DEPOSIT

股票存入

1.1 PHYSICAL SECURITIES DEPOSIT

實物股票存入

Client should fill and sign the Physical Securities Deposit Request Form to deposit physical securities. Client is required in person to deposit the physical securities, which is signed by the transferor at the back of the physical securities or the Form of Transfer, at our head office or branch. For security reason, mailing of securities by client which is not accepted. Our company does not charge on physical securities deposit, but HK Government will levies a transfer deed stamp duty of HKD 5.00 payable by the registered holder of the pertaining share certificate(s).

客戶可以通過填寫及簽署實物股票存貨表格來存入實物股票。客戶請于實物股票背面或於轉讓書上轉讓人簽署位置簽名並親身到本公司存入(基於安全問題，本公司不接受客戶郵遞股票)，而本公司不會收取任何股票存入之費用，每張新轉手紙需要由註冊股份持有人繳納轉手紙印花稅港幣5元予政府。

Client need to wait for 10 working days (starting from the day of securities deposit into CCASS) to withdraw the amount of selling the physical securities. Our company will also consider each individual client situation. The processing time shall be subject to the actual situation handled by the CCASS.

實物股票沽出後需十個工作天（由股票成功存入中央結算當日起）方可提款。本公司亦會根據客戶的情況作出特別考慮。辦理時長依照中央結算所處理實際情況為準。

1.2 SETTLEMENT INSTRUCTION

中央結算交收指示

Client can deposit non-physical securities through CCASS by Settlement Instruction (SI) and Investor Settlement Instruction (ISI).

客戶可以經過中央結算所存入非實物股票，存入非實物股票的途徑有二種，分別是交收指示(SI)和投資者交收指示(ISI)。

- The counterparty of the Settlement Instruction (SI) is bank or broker.
交收指示(SI)的交易對手是銀行或證券行。
- The counterparty of the Investor Settlement Instruction (ISI) is the CCASS investor account of the client.
投資者交收指示(ISI)的交易對手是客戶于中央結算的個人投資者戶口。

Client should fill and sign the Settlement Instructions (SI) / Investor Settlement Instruction (ISI) Request Form . Client should mark “R” (Receive Securities) at the Instruction Type and provide the information including the name, participant ID and contact information of the counterparty (for SI) / investor account number (for ISI), settlement date, stock code, stock name and quantity. Our company does not charge on non-physical securities deposit. Client need to remind the counterparty to handle the settlement instruction.

客戶需填寫及簽署本公司的中央結算交收指示 / 投資者交收指示表格，在表格上需於指示類別一欄注明“R”(收取股票)及寫明交易對手名稱、參與者戶口及聯絡方式(交收指示) / 個人投資者戶口號碼(投資者交收指示)、交收日期、股票號碼、股票名稱及數量。本公司不會收取任何非實物股票存入之費用。客戶亦需要提醒交易對手處理有關交收指示。

Our company will accept and process the instruction prior to 11:00am on the day. If instruction is received after 11:00am, it will process on next working day. Our company will contact the counterparty and/or client to verify and confirm the instruction. If our company fails to verify and confirm the instruction, the instruction will be delayed or cancelled. Please kindly refer settlement day to Appendix 2.

本公司在上午十一時前收到的交收指示，將於當日辦理；如于上午十一時後收到的指示則將於下一個工作天辦理。客戶遞表格後，本公司將聯絡相關證券行、銀行及/或客戶以核對及確認指示。如未能成功確認指示，該有關指示會被順延或被取消。交收日期請參照附件2。

2. SECURITIES WITHDRAWAL

股票提取

2.1 PHYSICAL SECURITIES WITHDRAWAL

實物股票提取

Client should fill and sign the Physical Securities Withdrawal Request Form to withdraw physical securities. Securities code, securities name, denomination and quantity should be stated clearly on the request form.

客戶可以通過填寫及簽署股票提單提取實物股。客戶在表格上需填寫提取股票的號碼、名稱、分拆數量及股數。

Handling charge for physical securities withdrawal is HKD 5.00 per lot (minimum charge HKD 30 for each securities). The process will be completed within 7 working days. Our

company will notify client to collect the physical securities in designated place via phone. The processing time shall be subject to the actual situation handled by CCASS.

實物股票提取手續費為每手港幣五元（每種股票最低收費為港幣三十元），提貨手續將於七個工作天內完成，本公司亦將以電話通知客戶到指定地點領取股票。辦理時長將依照中央結算所處理實際情況為準。

Client must self-collect the physical securities at designated place within notifying day. If client cannot pick up the physical securities within notifying day, our company will re-deposit the securities into CCASS. Handling fee will be charged again and the client is required to make another physical securities withdrawal instruction for those re-deposited securities.

客戶必須在受到通知當天親臨指定地點領取實物股票，如客戶未能在受到通知當天內領取股票，本公司將會把有關之股票退回中央結算系統證券存管處。當客戶再次提取股票時必須再次支付實物股票提取費及提交申請表格。

2.2 SETTLEMENT INSTRUCTION

中央結算交收指示

Client can withdraw non-physical securities through CCASS by Settlement Instruction (SI) and Investor Settlement Instruction (ISI).

客戶可以經過中央結算所提取非實物股票，提取股票的途徑有二種，分別是交收指示(SI)和投資者交收指示(ISI)。

- The counterparty of the Settlement Instruction (SI) is bank or broker.
交收指示(SI)的交易對手是銀行或證券行。
- The counterparty of the Investor Settlement Instruction (ISI) is the CCASS investor account of the client.
投資者交收指示(ISI)的交易對手是客戶于中央結算的個人投資者戶口。

Client should fill and sign the Settlement Instructions (SI) / Investor Settlement Instruction (ISI) Request Form. Client should mark "D" (Deliver Securities) at the Instruction Type and provide the information including the participant ID and contact information of the counterparty (for SI), investor account number (for ISI), settlement date, stock code, stock name and quantity. The handling charge for SI is 0.1% of the previous day closing market value of the securities, minimum charge is HKD100 for each securities. Client need to remind the counterparty to handle the settlement instruction.

客戶需填寫及簽署中央結算交收指示/投資者交收指示表格，在表格上需於指示類別一欄注明“D”（提取股票）及寫明交易對手名稱、參與者戶口及聯絡方式（交收指示）、個人投資者戶口號碼（投資者交收指示）、交收日期、股票號碼、股票名稱及數量。交收指示手續費為股票上日收市價總值之0.1%，每隻股票最低收費為港幣\$100。客戶亦需要提醒交易對手處理有關交收指示。

Our company will accept and process the instruction prior to 11:00am on the day. Instruction is received after 11:00am, it will process on next working day. Our company will contact the counterparty and/or client to verify and confirm the instruction. If our company fails to verify and confirm the instruction, the instruction will be delayed or cancelled. Please kindly refer settlement day to Appendix 2.

本公司在上午十一時收到的指示，將於當日辦理；如于上午十一時後收到的指示則將於下一個工作天辦理。客戶遞表格後，本公司將聯絡相關證券行、銀行及/或客戶以核對及確認指示。如未能成功確認指示，該有關指示會被順延或被取消。交收日期請參照附件2。

APPENDIX 2

附件2

1. SETTLEMENT DAY

交收日期

INVESTMENT PRODUCTS 投資產品	SETTLEMENT DAY 交收日期
Hong Kong Stocks 香港證券	T+2
Global Stocks 環球證券	T+3
HK Commodities 香港期貨	T+1

2. PROCESSING TIME

辦理時間

ITEM 項目	HANDLING TIME UPON RECEIPT OF INSTRUCTION 收指示後之辦理時間
Cash Withdrawal - Local Bank 款項提取 - 本地銀行	before 11:00 am - will be processing on the same day 上午十一時正前 - 當日辦理
	after 11:00 am - will be processing on next working day 上午十一時正後 - 下一個工作天辦理
Cash Deposit 款項存入	before 11am - will be processing on the same day 上午十一時正前 - 當日辦理
	After 11am - will be processing on next working day 上午十一時正後 - 下一個工作天辦理
Cash Deposit - via remittance 款項存入 - 經電匯	before 11am - will be processing on the same day 上午十一時正前 - 當日辦理
Internal Fund transfer 內部戶口轉賬	before 11am - will be processing on the same day 上午十一時正前 - 當日辦理
Physical Securities Withdrawal 實物股票提取	will be processing within 7 working days 手續將於七個工作天內完成
SI Instruction - (Securities Withdrawal) 經中央結算公司轉倉 (股票提取)	before 11:00 am - will be processing on the same day 上午十一時正前 - 當日辦理
	after 11:00 am - will be processing on next working day 上午十一時正後 - 下一個工作天辦理
Physical Securities Deposit 實物股票存入	before 11:00 am - will be processing on the same day 上午十一時正前 - 當日辦理
SI Instruction - (Securities Deposit) 經中央結算公司轉倉 (股票存入)	before 11:00 am - will be processing on the same day 上午十一時正前 - 當日辦理
	after 11:00 am - will be processing on next working day 上午十一時正後 - 下一個工作天辦理

DATED this _____ day of _____

Client's Signature 客戶簽署

Signature of Witness
Name:
Position:
Address:

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Signature of Approver
Name:
Position:
Address: