

Account Name 客戶名稱 _____

Account No. 客戶編號 _____

AE Code 客戶主任編號 _____



Jimei Securities Limited
集美證券有限公司

CE No. 證監會中央編號 ARM852

Cash Client's Agreement
現金客戶協議書

(Individual Client 個人客戶)

Account Opening Procedures for Cash Client

開設現金戶口須知

If client opens an individual or corporate cash account with Jimei Securities Limited, please complete and sign the following documents and provide the following supporting documents:

客戶如欲在集美證券有限公司開設個人或公司現金戶口，請簽妥下列表格及提供下列證明文件：

(A) For Individual Securities Trading Account 個人股票交易戶口
Please complete and sign the following documents 需簽署以下文件

- | | | |
|--------------------------|---|-----------------|
| <input type="checkbox"/> | 1) Client's Signature Card | 客戶戶口印鑑卡 |
| <input type="checkbox"/> | 2) Account Opening Information | 開戶資料 |
| <input type="checkbox"/> | 3) Authorization for Account Opening | 開戶授權書 |
| <input type="checkbox"/> | 4) Client Identity/Beneficiary (if necessary) | 客戶身份/受益人聲明(如需要) |
| <input type="checkbox"/> | 5) Cash Client's Agreement | 現金客戶協議書 |
| <input type="checkbox"/> | 6) Risk Disclosure Statement | 風險披露聲明書 |
| <input type="checkbox"/> | 7) Standing Authority-Pay/Transfer Fund | 常設授權書-支付/轉賬款項 |
| <input type="checkbox"/> | 8) Internet Trading Agreement (if necessary) | 互聯網證券交易協議書(如需要) |

Please provide the following supporting documents 需要提供文件

- | | | |
|--------------------------|---|-----------------|
| <input type="checkbox"/> | 1) Hong Kong Identity Card or Passport Copy | 香港身份証或護照影印本 |
| <input type="checkbox"/> | 2) Residential Proof (e.g. rates demand note) | 住址證明(例如差餉單) |
| <input type="checkbox"/> | 3) Bank Account Proof (e.g. bank statement) | 銀行戶口證明(例如銀行月結單) |

(B) For Corporate Account 公司股票戶口
Please complete and sign the following documents 需簽署以下文件

- | | | |
|--------------------------|---|-----------------|
| <input type="checkbox"/> | 1) Client's Signature Card | 客戶戶口印鑑卡 |
| <input type="checkbox"/> | 2) Account Opening Information | 開戶資料 |
| <input type="checkbox"/> | 3) Authorization for Account Opening | 開戶授權書 |
| <input type="checkbox"/> | 4) Client Identity/Beneficiary (if necessary) | 客戶身份/受益人聲明(如需要) |
| <input type="checkbox"/> | 5) Cash Client's Agreement | 現金客戶協議書 |
| <input type="checkbox"/> | 6) Risk Disclosure Statement | 風險披露聲明書 |
| <input type="checkbox"/> | 7) Standing Authority-Pay/Transfer Fund | 常設授權書-支付/轉賬款項 |
| <input type="checkbox"/> | 8) Internet Trading Agreement (if necessary) | 互聯網證券交易協議書(如需要) |

Please provide the following supporting documents 需要提供文件

- | | | |
|--------------------------|---|---------------------------------------|
| <input type="checkbox"/> | 1) A certified Extract of Board Resolution | 經認證之董事決議摘要 |
| <input type="checkbox"/> | 2) A certified copy of the Memorandum and Articles of Association of the Company (up-dated as appropriate) | 公司組織大綱及章程之認證副本(最新版本) |
| <input type="checkbox"/> | 3) A certified Audited Accounts for the latest financial year | 經認證之最近財政年度已經審核之賬目審報表 |
| <input type="checkbox"/> | 4) For Company incorporated in Hong Kong | 適用於香港註冊公司 |
| <input type="checkbox"/> | i) A certified copy of valid Business Registration Certificate | 經認證之商業登記證 |
| <input type="checkbox"/> | ii) A certified copy of Certificate of Incorporation | 經認證之公司註冊證 |
| <input type="checkbox"/> | iii) Certified copies of Forms D 1, D2 or D3, and latest Annual Return (with details of ultimate beneficial shareholders) | 經認證表格 D1, D2 或 D3 及最近公司年報(附有最終權股東的資料) |
| <input type="checkbox"/> | iv) Copies of Hong Kong Identity Cards/ Passport of all Authorized Persons and Shareholders | 獲授權人士及股東的香港身份證或護照副本 |
| <input type="checkbox"/> | 5) For Overseas Company only | 只適用於海外公司 |
| <input type="checkbox"/> | i) Certificate of Registration as Overseas Company issued by Hong Kong Companies Registry | 香港特別行政區公司註冊署發出的海外公司登記證明書 |
| <input type="checkbox"/> | ii) Registered Agent's Certificate | 海外註冊代理人之證書 |
| <input type="checkbox"/> | iii) Certificate of Good Standing | 海外公司註冊官簽發的良好記錄證書 |
| <input type="checkbox"/> | iv) Certified true copy of register of all directors | 經認證有關的董事委任記錄冊(摘自法定董事名冊) |

Client Account Opening Signature Card 客戶開戶印鑑卡

Account Name 戶口名稱		Account No. 戶口號碼
Name in English 英文名稱		
Name in Chinese 中文名稱		
Name of Client 簽署客戶名稱	ID Card/Passport No. 身份證/護照號碼	Client's Signature 客戶簽署
Name of Client 簽署客戶名稱	ID Card/Passport No. 身份證/護照號碼	Client's Signature 客戶簽署
Name of Client 簽署客戶名稱	ID Card/Passport No. 身份證/護照號碼	Client's Signature 客戶簽署
Name of Client 簽署客戶名稱	ID Card/Passport No. 身份證/護照號碼	Client's Signature 客戶簽署
Signing Instruction 簽署指示		

For Official Use Only 公司專用
Client's Signature Verified by : 客戶簽署核實 :

Account Opening Information 開戶資料

For Official Use Only 公司專用

Account No. 賬戶編號
Account Type 賬戶類別
Date of Opening 開戶日期

Name of Account 客戶名稱	Name in English 英文姓名	Name in Chinese 中文姓名		
I.D. Card/Passport No. 身份證/護照號碼	Sex 性別	Nationality 國籍	Date of Birth 出生日期	Age 年齡
Marital Status 婚姻狀況 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Single 未婚 <input type="checkbox"/> 其他 Other _____	Education Level 教育程度 <input type="checkbox"/> University or above 大學或以上 <input type="checkbox"/> Post Secondary 大專 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Others 其他 _____			
Residential Address (In BLOCK Letter) 住宅地址(請以正楷填寫)				Year of Residence 居住年數
Contact Telephone No. 聯絡電話號碼 Home 住宅 _____ Mobile Phone 手提電話 _____ Fax 傳真機 _____ Office Phone No. 公司電話 _____ Pager 傳呼機 _____ E-mail 電郵 _____				
<input type="checkbox"/> Owned 自置 <input type="checkbox"/> With Parents 與父母同住 <input type="checkbox"/> Relative's 親屬樓宇 <input type="checkbox"/> Quarters 宿舍 <input type="checkbox"/> Rented 租用 Monthly Rental 每月租金 _____ <input type="checkbox"/> Mortgaged 按揭 Monthly Installment 每月供款 _____				
Correspondence Address 通訊地址				
Employer's Name 任職公司名稱				
Employer's Address (In BLOCK Letter) 公司地址(請以正楷填寫)				
Nature of Business 業務性質	Position 職位		Year of Service 在職年數	
Bank Information 銀行資料 Bank Name 銀行名稱 _____ Bank Account No. 銀行賬戶號碼 _____ Bank Address 銀行地址 _____				
All Correspondence Send To 所有往來通訊請郵寄至 <input type="checkbox"/> Residential Address 住址 <input type="checkbox"/> Business Address 公司地址 <input type="checkbox"/> Correspondence Address 通訊地址 <input type="checkbox"/> E-Mail 電郵 (Monthly Statement cannot be sent by e-Mail 月結單不能以電郵發送)				
Client Declaration 客戶聲明 Client is an employee of Persons Licensed or Registered with Securities and Futures Commission 客戶是否證監會持牌或註冊人之僱員 <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 Client is our staff / a relative of our staff 客戶是否本公司之僱員或員工之親屬 <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 Client is the ultimate beneficiary owner of the account 客戶為本戶口之最終受益人 <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 Please specify ultimate owner identity by completing Schedule "A" 請填寫附件 "A" 說明最終受益人身份				
Introducer 介紹人				

To comply with Section 5.1 (a) of Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission, please complete the following questions 請提供以下資料以便符合證券及期貨事務監察委員會持牌人或註冊人操守準則內之 5.1(a)項要求

Annual Income (HK\$) 每年收入 (港幣)

Less than 少於 200,000 200,000 – 500,000 500,000 – 1,000,000 1,000,000 – 3,000,000 Over 多於 3,000,000

Total Assets Value Own (HK\$) 擁有總資產值 (港幣)

Less than 少於 500,000 500,000 – 1,000,000 1,000,000 – 4,000,000 4,000,000 – 8,000,000 Over 多於 8,000,000

Investment Objective 投資目標

Long Term 長期 Medium Term 中期 Short Term 短期 Speculation 投機 Hedging 對沖 Conservative 穩健

Investment Experience 投資經驗

Stock/Warrant 股票/認股權證 _____year(s) 年 Option/Future 期權/期貨 _____year(s) 年
 Forex/Bullion 外匯/貴金屬 _____year(s) 年 Others 其他 _____year(s) 年

NOTES 註：

1. The attached authorization for Account Opening and Cash Client Agreement in relation to the operation of the Account must be signed by the client.
客戶必須簽署本開戶資料所附有關作賬戶的開戶授權書及現金客戶協議書。
2. If client is not the ultimate person or entity and/or beneficiary originating instructions and/or reaping gain or bearing risk of Transaction in the Account, please complete Schedule “A” hereto.
客戶如非是最後買賣指示的來源及/或受益人，承受此賬戶得益風險，請填寫錄“A”。
3. Any instruction bearing any one or more of the specimen signatures of the authorized persons will be binding on the client.
任何指示若由一式或多過一式上述有效獲授權人士的簽署者對客戶是有法律約束性。
4. Client is drawn to Notice on Personal in Schedule “B” hereto.
客戶請閱讀附錄“B”個人資料告示。
5. Joint Account Holders are each required to complete separately.
聯名客戶請分別填寫一份。

Certify Information provided above is correct 確認以上資料正確

Client's signature 客戶簽署

Client Name 客戶姓名 _____

Date 日期 _____

For Joint Account Opening 供聯名戶口使用

Personal Information

Name of Account 客戶名稱		Name in English 英文姓名		Name in Chinese 中文姓名	
I.D. Card/Passport No. 身份證/護照號碼		Sex 性別	Nationality 國籍	Date of Birth 出生日期	Age 年齡
Marital Status 婚姻狀況 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Single 未婚 <input type="checkbox"/> 其他 Other _____		Education Level 教育程度 <input type="checkbox"/> University or above 大學或以上 <input type="checkbox"/> Post Secondary 大專 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Others 其他 _____			
Residential Address (In BLOCK Letter) 住宅地址(請以中文正楷填寫)					Year of Residence 在上址居住年數
Contact Telephone No. 聯絡電話號碼					
Home 住宅 _____		Mobile Phone 手提電話 _____			
Fax 傳真機 _____		Office Phone No. 公司電話 _____			
Pager 傳呼機 _____		E-mail 電郵 _____			
<input type="checkbox"/> Owned 自置 <input type="checkbox"/> With Parents 與父母同住 <input type="checkbox"/> Relative's 親屬樓宇 <input type="checkbox"/> Quarters 宿舍 <input type="checkbox"/> Rented 租用 Monthly Rental 每月租金 _____ <input type="checkbox"/> Mortgaged 按揭 Monthly Installment 每月供款 _____					
Correspondence Address 通訊地址					
Employer's Name 任職公司名稱					
Employer's Address (In BLOCK Letter) 公司地址(請以正楷填寫)					
Nature of Business 業務性質		Position 職位		Year of Service 在職年數	
Bank Information 銀行資料					
Bank Name 銀行名稱 _____		Bank Account No. 銀行賬戶號碼 _____			
Bank Address 銀行地址 _____					
All Correspondence Send To 所有往來通訊請郵寄至					
<input type="checkbox"/> Residential Address 住址		<input type="checkbox"/> Business Address 公司地址			
<input type="checkbox"/> Correspondence Address 通訊地址		<input type="checkbox"/> E-Mail 電郵 (Monthly Statement cannot be sent by e-Mail 月結單不能以電郵發送)			
Client Declaration 客戶聲明					
Client is an employee of Persons Licensed or Registered with Securities and Futures Commission 客戶是否證監會持牌或註冊人之僱員 <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否					
Client is our staff / a relative of our staff 客戶是否本公司之僱員或員工之親屬 <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否					
Client is the ultimate beneficiary owner of the account 客戶為本戶口之最終受益人 <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 Please specify ultimate owner identity by completing Schedule "A" 請填寫附件 "A" 說明最終受益人身份					
Introducer 介紹人					
To comply with Section 5.1 (a) of Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission, please complete the following questions 請提供以下資料以便符合證券及期貨事務監察委員會持牌人或註冊人操守準則內之 5.1(a)項要求					

Annual Income (HK\$) 每年收入 (港幣)					
<input type="checkbox"/> Less than 少於 200,000	<input type="checkbox"/> 200,000 – 500,000	<input type="checkbox"/> 500,000 – 1,000,000	<input type="checkbox"/> 1,000,000 – 3,000,000	<input type="checkbox"/> Over 多於 3,000,000	
Total Assets Value Own (HK\$) 擁有總資產值 (港幣)					
<input type="checkbox"/> Less than 少於 500,000	<input type="checkbox"/> 500,000 – 1,000,000	<input type="checkbox"/> 1,000,000 – 4,000,000	<input type="checkbox"/> 4,000,000 – 8,000,000	<input type="checkbox"/> Over 多於 8,000,000	
Investment Objective 投資目標					
<input type="checkbox"/> Long Term 長期	<input type="checkbox"/> Medium Term 中期	<input type="checkbox"/> Short Term 短期	<input type="checkbox"/> Speculation 投機	<input type="checkbox"/> Hedging 對沖	<input type="checkbox"/> Conservative 穩健
Investment Experience 投資經驗					
<input type="checkbox"/> Stock/Warrant 股票/認股權證	_____year(s) 年	<input type="checkbox"/> Option/Future 期權/期貨	_____year(s) 年		
<input type="checkbox"/> Forex/Bullion 外匯/貴金屬	_____year(s) 年	<input type="checkbox"/> Others 其他	_____	_____year(s) 年	

NOTES 註

- The attached authorization for Account Opening and Cash Client Agreement in relation to the operation of the Account must be signed by the client.
客戶必須簽署本開戶資料所附有關作賬戶的開戶授權書及現金客戶協議書。
- If client is not the ultimate person or entity and/or beneficiary originating instructions and/or reaping gain or bearing risk of Transaction in the Account, please complete Schedule "A" hereto.
客戶如非是最後買賣指示的來源及/或受益人，承受此賬戶得益風險，請填寫錄 "A"。
- Any instruction bearing any one or more of the specimen signatures of the authorized persons will be binding on the client.
任何指示若由一式或多過一式上述有效獲授權人士的簽署者對客戶是有法律約束性。
- Client is drawn to Notice on Personal in Schedule "B" hereto.
客戶請閱讀附錄 "B" 個人資料告示。
- Joint Account Holders are each required to complete separately.
聯名客戶請分別填寫一份。

Certify Information provided above is correct 確認以上資料正確

Client's signature 客戶簽署

Client Name 客戶姓名 _____

Date 日期 _____

Joint Account Authority Instruction 聯名賬戶授權指示

- Instruction(s) on this joint name account will be valid when sign jointly by the account holders.
本聯名賬戶操作指示必須由賬戶持有人共同簽署方可有。
- Instruction(s) on this joint name account will be valid when signed by any of the account holders.
本聯名賬戶操作指示可由任何一位賬戶持有人簽署生效。

Confirmation of the above-mentioned account operation instruction 確認上述聯名賬戶之操作授權指示

Client's signature 客戶簽署

Client's signature 客戶簽署

Client Name 客戶名稱 _____

Client Name 客戶名稱 _____

ID/Passport Number 身份証/護照號碼 _____

ID/Passport Number 身份証/護照號碼 _____

Date 日期 _____

Date 日期 _____

For Official Use Only 公司專用			
Name of AE 客戶主任姓名		Know of Client 對客戶認	
Introducer 介紹人	Documentation checked 文件查核	Compliance Checked 合規查核	RO Approval 負責人批核
Brokerage 佣金	Trading Limit 交易額度		Interest Rate 利率
Min. Brokerage 最低佣金			

AUTHORIZATION FOR ACCOUNT OPENING 開戶授權書

To : Jimei Securities Limited
集美證券有限公司

Date 日期 _____

CE No. / 證監會中央編號 ARM852

Dear Sir,
敬啟者：

1. I/We hereby authorize and request you to open and maintain a cash securities trading account (“the Account”) in name of me/us for the purchases, sales, holdings of and any other dealings in securities as I/we may instruct you as my/our agent to effect from time to time on my/our behalf. The Account shall be maintained and all such purchases, sales, holdings of and any other dealings in securities shall be effected subject to and in accordance with the provisions of the authorization for Account Opening and the Cash Client’s Agreement (“the Agreement”). I/We confirm and acknowledge that the Agreement forms an integral part of the authorization for Account Opening. I/We acknowledge receipt of a signed copy of the Agreement.
本人(等)授權要求貴公司為本人(等)以本人(等)名義開立並操作一個現金證券交易賬戶(下稱“賬戶”)，以執行本人(等)不時的指示由貴公司以代理人身份為本人(等)購入、賣出、保管或處理各類證券。有關賬戶之運作須受本開戶授權書及現金客戶協議書規限，本人(等)確認現金客戶協議書為本開戶授權書組成一部份，並確認已收訖一份已簽署的現金客戶協議書。
2. For the purpose of opening the Account, I/we enclose the duly completed and signed Account Opening Information, Cash Client Agreement, my/our copies of Hong Kong Identify Cards and recent 3 months residential address proof.
為開立上述賬戶，本人(等)現附上一份已填寫及簽署的客戶開戶資料、現金客戶協議書、身份證影印本及最近 3 個月的住址證明文件。
3. I/We warrant that the information set out in the Accounting Opening Information is true and correct and that you are entitled to reply fully on such information to act on my/our behalf unless and until you received notice of any change from me/us in accordance with the provision of the Agreement. I/We undertake to advise you promptly of any material change to such information.
本人(等)保證客戶開戶資料內所載資料均屬真實及正確，貴公司在未收到本人(等)根據現金客戶協議書規定發出資料變更通知前，貴公司有權依據該等資料行事，若該資料有變更，本人(等)即儘快通知貴公司。
4. I/We confirm that:-
本人(等)茲確認：-
 - (a) the individuals whose names listed in the Account Opening Information are persons (“Authorized Persons”) authorized on my/our behalf to give your oral, telephone or written instructions:-
在開戶資料所列舉之人士為已獲本人(等)授權之人士(“獲授權人士”)，有權代表本人(等)以口頭、電話或書面就上述事宜發出指示：-
 - (i) in relation to the operation of the Account; and
對賬戶之運作；及
 - (ii) to effect purchases, sales, holdings and other dealings in Securities and transfer of funds:
就買賣、保管或處理證券及資金的轉移；
 - (b) the signature set opposite the name of each of the authorized persons is his genuine signature and, in the case of written instructions, such signature operates as the specimen signature of each of such authorized Persons; and
在個別獲授權人士名字欄旁之簽名為該人士之簽名，若有書面指示，該等簽名即是該等獲授權人士之真實簽字印鑑；及
 - (c) the information set out in the Account Opening Information is true, complete and accurate.
開戶資料內開列之資料均屬真實、完整及正確。
5. I/We acknowledge that, subject always to your discretion not accept or act on any instructions given by me/us to you for purchases, sales, holdings and any other instructions of dealings in securities as my/our agent from time to time as provided in the Agreement, you shall be entitled to reply and act on any such instructions given or apparently, to your satisfaction, given from time to time on my/our behalf, in the case of both oral, telephone and written instructions by any one of the authorized Persons.
本人(等)再次確認貴公司可根據現金客戶協議書之條款有完全之酌情權不接納作本人(等)之代理人以執行本人(等)之買賣證券、保管或處理各類證券交易等指示，但 貴公司有權根據獲授權人之口頭、電話或書面指示，執行指示。
6. Where we are joint account holders, upon the death of any one of us and in the absence of written notice to the contrary from any one of us or the legal representative(s) of any of us, you are entitled to treat the authorization for Account Opening as remaining in force.
若賬戶為聯名戶，而其任何一名持有人逝世及在貴公司接獲其餘之持有人或法定代表之書面通知前，貴公司有權視此開戶授權書為持續有效。
7. I/We agree that all confirmations and statements in relation to the Account issued by you or me/us pursuant to the Agreement shall be conclusive and binding on me/us.
本人(等)同意有關賬戶之一切確認書及結單對本人(等)絕對約束力。
8. I/We elect for all trading in securities to be conducted by you as my/our agent on my/our behalf on the cash basis.
本人(等)選擇以現金形式經貴公司代理人進行證券買賣。
9. I/We declare that the contents of the Account Opening Information, Authorization for Account Opening and the Agreement have been duly explained to me/us in a language (English or Chinese) that I/we understand and I/we agree to be bound by the provision thereof.
本人(等)在此聲明此開戶資料，開戶授權書及現金客戶協議之內容已經向本人(等)以其明瞭之語言(英文或中文)解釋，本人(等)並同意接受該等條款及內容之約束。

Client Signature 客戶簽署

Client Name 客戶姓名 _____

Date 日期 _____

SCHEDULE 附錄"A"**Client Identity/Beneficiary****客戶身份/受益人聲明**

(Under paragraph 5. of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission ("SFC"))
 [根據證券及期貨事務監察委員會(「證監會」)持牌人或註冊人操守準則第5段]

- (a) Identity of the person(s) or entity ultimately responsible for originating instructions in relation to transaction to be conducted through the Account

最終負責就該賬戶進行交易引發指示的人士身份-

Name 姓名/名稱	ID. Card No. Passport 身份證/護照	Occupation 職業	Address 地址	Tel No. 電話號碼

- (b) Identity of the ultimate beneficiary(ies): 最終受益人身份:

Name of Person(s) or entity who stand(s) to gain the commercial or economic benefit and/or to bear the Commercial or economic risk of transactions in the Account (If the same as (a)above, please state "as Above"):

最終獲得賬戶買賣所得商業或經濟利益及/或承受有關風險的人士或實體如與第(a)項相同，請填寫「同上」:-

Name 姓名/名稱	ID. Card No. Passport 身份證/護照	Occupation 職業	Address 地址	Tel No. 電話號碼

I/We do hereby declare that to the best of my/our knowledge and belief the above information is true and correct and can be relied upon by you in the satisfaction of your obligations. I/We also undertake to notify you in writing in case of any change of information in regard to above item (a) and (b).

本人(等)謹此聲明盡本人(等)/本公司所知及所信上述資料屬真實及為正確無誤。貴公司可依賴此等資料以履行其義務。此外，凡上述第(a)及第(b)項資料如有任何更改，本人(等)/本公司謹此承諾致函通知貴公司。

Client Signature 客戶簽署

NOTE 註:

1. Copies of the relevant identification documents to be retained for verification.
保留有關證明文件之副本作核實之用
2. In relation to an investment fund (e.g. a mutual fund, unit trust, pooled retirement scheme, European CIS Company, etc.) or discretionary account, the "entity" referred to in paragraph 5.(d) of Code of Conduct for Persons Registered with SFC is the investment fund or account and the manager of that investment fund or account
就投資基金(例如互惠基金、單位信託、集資退休金計劃、歐洲式集合投資計劃公司等)或委託賬戶而言證券及期貨事務監察委員會註冊人操守準則第 5.(d) 段所提述的“實體”資料是指該投資基金或賬戶及該投資基金或賬戶的經理的資料。

Jimei Securities Limited ("the Company")
集美證券有限公司 ("本公司")

NOTICE ON PERSONAL DATA
個人資料告示

This notice is given pursuant to the Personal Data (Privacy) Ordinance (Cap. 486 of the Laws of Hong Kong Special Administrative Region) ("Ordinance") in relation to the supply of clients personal data to the Company for the opening or maintaining of client account(s) the Account for securities trading and related services with the Company.

此告示是依照香港特別行政區法例第 486 章個人資料(私隱)條例("條例")作出的。它是關於客戶在本公司開立或持續操作賬戶("賬戶")以作證券買賣及有關服務時向本公司提供個人資料的告示。

1 Purposes of Collection 收集目的

The personal data provided by client to the Company and in any documentation which comes into existence as a result of client's opening or maintaining of the Account with the Company, will be used by the Company for the following purposes:

客戶因在本公司開立或持續操作賬戶而向本公司及在任何文件所提供的個人資料將被本公司作為下列用途:

- (a) activities relating to the processing of client's application to open and maintain the Account, including but not limited to conducting credit reporting through credit report agencies both in Hong Kong Special Administrative Region ("HKSAR") and overseas, or the processing of clients application for grant of credit or margin facilities by the Company or the maintaining and the review of such credit or margin facilities (if applicable);
與處理客戶申請開立及持續操作賬戶有關事宜, 包括但不限於透過本港及海外的信貸報告或處理客戶向本公司申請給予信貸或「孖展」安排(如適用)
- (b) activities relating to purchasing, selling, investing, exchanging, acquiring, holding, disposing of and generally dealing in and with all kinds of securities on behalf of client; and
代購買、出售、投資、交易、收購、保管、處置及辦理各種證券等有關事宜;及
- (c) maintenance of particulars and data in compliance with the statutes and subsidiary legislation which are enacted and effective in HKSAR relating to securities business and transactions and also in compliance with the codes of the Securities and Futures Commission ("SFC"), the rules and regulations of The Stock Exchange of Hong Kong Limited ("the Exchange") and Hong Kong Securities Clearing Company Limited ("the Clearing House").
保存有關資料, 以符合本港所制訂有關證券交易的條例及附屬規例、證券及期貨事務監察委員會("證監會")的守則, 以及香港聯合交易所有限公司("聯交所")香港中央結算有限公司("中央結算")的規則及規例。

2 The Obligation to Provide Personal Data 提供個人資料的責任

2.1 It is obligatory for client to supply the personal data as required by the Company. If client fails to supply the required personal data, the Company may refuse to open or maintain the Account or may refuse to provide services to client.

客戶有責任向本公司提供所需的個人資料。如客戶未有提供所需個人資料, 本公司可拒絕為客戶開立或持續操作賬戶或提供有關的服務。

2.2 When providing any personal data to the Company, please ensure that the data is accurate having regard to client's obligations under the Ordinance.

鑒於客戶在條例下的責任, 當向本公司提供個人資料時, 客戶須確認所提供的資料正確。

3 Disclosure of Information 資料的披露

3.1 The Company may, as it deems necessary, disclose to its agents or nominees, associates, individuals or corporations dealing with securities, futures and options clearing and the Company's auditors such information as it requires to operate client's account or execute client's orders relating to the activities described in 1 (b) above.

本公司如認為有需要, 可向處理證券、期貨及期權結算的代理人或代名人、聯系入、個人或法團及本公司的核數師披露客戶開設賬戶的資料以運作客戶賬戶或執行上述 1(b)所提及的事宜。

3.2 In compliance with any statute and subsidiary legislation which are enacted and effective in HKSAR relating to securities business and transactions and also in compliance with the codes of SFC, the rules and regulations of the Exchange and the Clearing House, the personal data provided by client may be disclosed to the Exchange and the Clearing House, SFC and any financial regulator as defined in the Ordinance, government bodies, other regulatory authorities, individuals or corporations who have the right to such data and information as prescribed by law.

為符合本港所制定有關證券交易的條例及附屬規例, 證監會的守則, 以及聯交所及中央結算的規則, 客戶所提供的個人資料, 本公司可向聯交所及中央結算, 證監會及條例所界定的財經監管機構, 根據法律有權查閱該等資料的政府部門, 其他監管機構, 個人或法團等披露。

4 Access to Personal Data 查閱個人資料

In accordance with the terms of the Ordinance, client may request access to the personal data supplied by client and may request the Company to correct any inaccurate data. The Company shall be entitled to charge a reasonable fee for processing of any data access request

根據條例的規定, 客戶可向本公司要求查閱及更改不正確的個人資料。本公司有權向客戶收取合理費用以便處理有關要求。

5 Enquiries 查詢

Enquiries concerning the personal data provided by client to the Company, including the request for access and corrections, should be addressed to:

如客戶對向本公司提供的個人資料有任何疑問, 包括查閱及改正該等個人資料, 可致函:-

Data Protection Officer 資料保護主任收

Jimei Securities Limited

集美證券有限公司

Unit 3908-13, COSCO Tower, 183 Queen's Road Central, Hong Kong
香港皇后大道中 183 號中遠大廈 39 樓 3908-13 室

Tel. No. 電話號碼 : 2500 6800 Fax No. 傳真號碼 : 2907 6318

4 Order and Order Recording 買賣指示及電話記錄買賣指示

- 4.1 You may accept instructions from me/us for order of Transaction by telephone or in writing sent by facsimile or by post. You may also accept instructions in your prescribed order form signed by me/us in your presence. In all cases, you shall time-stamp such instructions in the order as they are received.
貴公司可接納本人(等)用電話、圖文傳真或郵遞方式發出之書面指示買賣證券。貴公司亦可接納本人(等)親臨貴公司辦公室填寫 貴公司的買賣證券指示表格。全部的指示，貴公司將以其次序前後蓋上時間印章。
- 4.2 I/we declare that you shall not be liable for delay in acting or for any inaccuracy, interruption, error or delay or failure in transmission of my/our instructions by facsimile unless there is fraud or willful default on your part.
本人(等)聲明，除非貴公司欺詐或蓄意失責，否則貴公司無須因延遲執行，或本人(等)透過圖文傳真方式發出的指示在傳送上出現誤差、干擾、出錯、延遲或未能傳達而負責。
- 4.3 In the event of receipt of conflicting instructions you may refuse to act on any of the instructions until you have received unequivocal instructions.
倘若貴公司收到互相抵觸的指示時，貴公司可拒絕執行任何此等指示，直至接到明確的指示為止。
- 4.4 You may, in your absolute discretion, refuse to accept instructions without giving any reason therefore but shall not in any circumstances whatsoever be liable for loss of profit, damages, liability, cost or expenses suffered or incurred by me/us arising out of such refusal
貴公司有絕對酌情權決定拒絕本人(等)的指示而無須對此作出解釋，並且無須在任何情況下對此拒絕所引致本人(等)失去的盈利、損失、經濟責任、支出或費用作出負責。
- 4.5 You may record telephone conversation in connection with receiving orders and instructions through your telephone recording system. I/we acknowledge that such records are your sole property and it will be accepted as final and conclusive evidence of the orders or instructions given in case of disputes.
本人(等)同意貴公司可由貴公司的電話錄音系統記錄電話交談中有關買賣指示。本人(等)承認該記錄由貴公司擁有，並接受如有糾紛時，此錄音為最後及最終之買賣指示/授權證據。
- 4.6 Where a discrepancy occurs between instructions given by telephone or facsimile and any other means, including any subsequent written confirmation, your record of the telephone instruction or facsimile instructions shall prevail
凡經電話或圖文傳真發出的指示，與後來以書面發出的指示在意義上有差異時，則須以貴公司的電話錄音或收到的圖文傳真指示記錄為準。

5. Client Identity/Ultimate Beneficiary 客戶身份/最終受益人

- 5.1 Subject to the provisions herein, I/we shall, in respect of transaction in which I/we are not acting as principal, immediately upon demand by you inform SFC and/or the Exchange of the identity, address and contact details of:
在符合本協議書中條文的規定下，凡有關本人(等)並非以主事人或最終受益人之身份進行的交易，本人(等)將應貴公司的要求即時向證監會及/或聯交所提供受益人下列資料
- (i) the person or entity ultimately responsible for originating the instruction in relation to the relevant transaction; and
最終負責引發有關交易的指示的人士或實體的身份、地址及聯絡詳情；及
 - (ii) the person or entity that stands to gain the commercial or economic benefit of the relevant transaction and/or bear its commercial or economic risk,
會獲取有關交易的商業或經濟利益或須承擔其商業或經濟風險的人士或實體的身份、地址及聯絡詳情，
- And, in case of an entity, the investment fund or account, the manager of that entity, the investment fund or account
並且，如實體是投資基金或賬戶，則提供該投資基金或賬戶的經理人資料。

- 5.2 I/We hereby declare that if I/we are not the true owner/ultimate beneficiary or originator of instructions of the Account, I/we will complete Schedule "A" as attached to the Account Opening Information.
本人(等)茲聲明如若本人(等)非是賬戶的主事人或最終受益人，本人(等)須填寫開戶資料的附錄"A"。

6. Safekeeping of Securities 證券的保管

- 6.1 Any securities which are held by you or your associated entity for safekeeping may, at your discretion:-
寄存貴公司或貴公司的有聯繫實體妥為保管的任何證券，貴公司可以酌情決定：-
- (i) be deposited in safe custody in a segregated account which is designated as a trust account or client account established and maintained in Hong Kong by you or your associated entity with the Clearing House, an authorized financial institution, a custodian approved by the SFC or another intermediaries licensed for dealing in securities; or
存放於貴公司或貴公司的有聯繫實體在中央結算、認可財務機構、獲香港證券及期貨事務監察委員會核准的保管人或另一獲發牌進行證券交易的中介人處開立的獨立賬戶作穩妥保管，而該賬戶是指定為信託賬戶或客戶賬戶並由貴公司或貴公司的有聯繫實體為持有貴公司的證券目的而在香港開立及維持的；或
 - (ii) in the case of registrable securities, be registered in my/our name or in the name of you or your associated entity.
如屬認可註冊證券以本人(等)的名稱或以貴公司或貴公司的有聯繫實體名稱登記。
- 6.2 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(等)的名義登記，貴公司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(等)與貴公司的協議存記入本人(等)的賬戶或支付予或轉賬予本人(等)。倘該等證券屬於貴公司代客戶持有較大數量的同一證券的一部份，本人(等)有權按本人(等)所佔的比例獲得該等證券的利益。
- 6.3 You do not have my/our written authority under section 148 of the Securities and Futures Ordinance to:-
本人(等)並無根據【證券及期貨條例】第 148 條以書面授權貴公司。-
- (i) deposit any of my/our securities with an authorized financial 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(等)的任何證券存放在認可財務機構，作為貴公司所獲墊支或貸款的抵押品，或者存放在中央結算，作為履行貴公司在結算系統下之責任的抵押品；
 - (ii) borrow or lend any of my/our securities; and/or
借貸本人(等)的任何證券；及/或
 - (iii) 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(等)的任何證券之持有權(交由本人(等)持有或按本人(等)的指示放棄持有權除外)。
- 6.4 You are not bound to deliver securities belonging to me/us bearing serial numbers identical with those transferred to me/us so long as the securities delivered are of the same class, nominal amount and rank pari passu with those originally transferred subject always to any capital re-organization which may have occurred in the meantime.

貴公司交回本人(等)的證券，其編號不須與轉讓予本人(等)的證券編號相符，只要該等證券是同類型，而市值相等及其權益與原本轉讓予本人(等)的證券相同，當然除了受其間資本重組另有規定外。

7. Monies in the Account 賬戶中的款項

7.1 Any cash which are received or held by you on my/our behalf, other than cash received by you in respect of Transaction and which is on-paid for settlement purpose or payable to me/us, shall be credited to one or more segregated accounts, each of which shall be designated as a trust account or client account, established and maintained in Hong Kong with an authorized financial institution or any other person approved by the SFC. Subject to mutual agreement between the parties hereto, no interest is payable.

由 貴公司代本人(等)在香港收取或持有的現金，除了貴公司收取本人(等)的現金作為交易的交收之用或轉付予本人(等)之外，須存入在認可財務機構或監察委員會批准的任何其他人土處所開立的一個或多於一個的獨立賬戶內，而每個該等賬戶均須指定為信託賬戶或客戶賬戶並在香港開立及維持。除非雙方另有共同協議外，無須支付此賬戶內產生的利息款項。

7.2 Payment to the Account shall constitute payment to me/us for all purposes.

貴公司支付入賬戶的款項得作為達到對本人(等)款項支付的目的。

8. Set-off and lien 抵銷及留置權

In addition and without prejudice to any general lens, rights of set-off or other similar rights to which you may be entitled under laws or the Agreement, all securities, receivables, monies and other property of me/us (held by me/us either individually or jointly with others) held by or in the possession of you at any time shall be subject to a general lien in your favour as continuing security to offset and discharge all of my/our obligations, arising from the Transaction and/or my/our obligations in the Agreement.

在不損害貴公司依照法律或本協議所附加應享有之一般留置權、抵銷權或相關權利前提下，對於本人(等)交由貴公司代管或在貴公司內存放之所有證券、應收賬、款項及其他財產(不論是本人(等)個人或與其他人士聯名所有)權益，貴公司均享有一般留置權，作為持續的抵押，用以抵銷及履行本人(等)因進行證券買賣而對貴公司負上的所有責任。

9. Miscellaneous 一般規定

9.1 All securities held for my/our Account shall be subject to a general right of disposal in your favour, for the performance of my/our obligations to you arising in respect of dealing in securities for me/us. You may at any time, without prior notice to me/us, apply any credit balances (including amount payable to me/us arising from sale of securities) in any currencies to which I/we am/are at any time beneficially entitled on any accounts opened with you to set-off against any liabilities owed to you (including amount payable to you arising from the purchase of securities).

所有本人(等)戶口內的證券均受制於貴公司的全面處置權，以確保本人(等)履行貴公司代本人(等)買賣證券而產生的責任。貴公司可於任何時間而無須通知本人(等)，運用本人(等)於貴公司開設之任何戶口的任何幣值結餘(包括應向本人(等)因賣出證券而需支付的款項)抵銷任何本人(等)對貴公司之負債(包括本人(等)因買入證券而應向 貴公司支付的款項)。

9.2 If you fail to meet your obligations to me/us pursuant to this Agreement, I/we shall have a right to claim under the Investor Compensation Fund established under the Securities and Futures Ordinance, subject to the terms of the Investor Compensation Fund from time to time.

倘貴公司沒有依照本協議書的規定履行對本人(等)的責任，本人(等)有權向根據【證券及期貨條例】成立的投資者賠償基金索償，惟須受投資者賠償基金不時的條款制約。

9.3 If I/we embark on trading US Securities, I/we shall carefully read through the Information Documentation For Clients on Pilot Program For Trading US Securities issued by the Exchange.

若本人(等)開展買賣美國證券，本人(等)將會詳細閱讀聯交所發出予客戶參照的美國證券交易試驗計劃簡介。

9.4 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 (English or Chinese) that I/we understand.

本人(等)確認本人(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(等)明白的語言(英文或中文)向本人(等)解釋。

9.5 I/we acknowledge that decision regarding the Transaction are made by me/us at my/our discretion and risk and without reliance on any advice from you. You shall not owe me/us any duty to advice on the merits or suitability of any Transaction.

本人(等)承認所有證券買賣全由本人(等)決定及承擔風險，並沒有依賴貴公司的意見。貴公司並無責任向本人(等)提供各證券買賣的利好性或適合性。

9.6 I/We hereby agree that upon receipt of the relevant contract notes, daily statement, execution report, and monthly statement of the Account, or other advices, such daily contract notes, statement, execution of order and monthly statement of the Account or advices shall be conclusive and binding on me/us, unless I/we object to in writing within such period of time as may be specified by you from time to time.

本人(等)在收到有關該賬戶的買賣單、日結單、執行買賣報告及月結單或其他另類方式的通知之後，倘若本人(等)沒有在 貴公司規定的期間之內以書面提出異議，則該日結單、執行買賣報告及月結單或另類方式通知成為不可推翻，並對本人(等)有約束力。

9.7 The Account Opening Information, Authorization for Account Opening, Schedules and the Agreement will form one composite agreement

本協議書所指的開戶資料、開戶授權書及附錄為本協議書的整體部份。

9.8 I/we enter into Transaction in securities in a currency other than Hong Kong Dollar, I/we shall reimburse your exchange loss (if any) and bank charges fully on demand for all expenses incurred by you on converting any foreign currency into Hong Kong Dollar at the prevailing exchange rate at the time of the relevant Transaction.

若本人(等)用非香港貨幣進行證券買賣，本人(等)須按貴公司的通知，即時支付貴公司的外匯兌換損失(如有)及銀行服務費及任何因找換外匯成香港貨幣所引致的其他費用，找換外匯是以當日有關交易的外匯匯率計算。

10. Liability and Indemnity 責任及彌償

10.1 Neither you nor any of your directors, officers, employees or agents shall be liable to me/us for any direct, indirect or consequential loss or damage suffered by me/us arising out of or connected with any act or omission in relation to Transaction or any matters contemplated by the Agreement unless such loss results from your fraud, gross negligence or willful misconduct as proved.

貴公司或貴公司的任何董事、行政人員、僱員或代理人，均不需負責因本人(等)或涉及任何關乎本協議書範圍內之任何的操作或疏漏操作而蒙受任何直接、間接或後果性損失或損害，除非此等損失或損害是得到証實是上述人士之欺詐、嚴重疏忽或故意失當行為而引起者。

10.2 I/we undertake to keep you and your directors, officers, employees and agents indemnified against all claims, demands, actions, proceedings, damages, losses, costs and expenses incurred by you arising out of anything done or omitted pursuant to any instructions given by me/us or in relation to any Transaction or matters contemplated by the Agreement without prejudice to any lien, right to set off or other rights which you may have.

本人(等)承擔彌償貴公司董事、高級人員、僱員及代理人，根據本人(等)指示處理在本協議書範圍內的交易或任何任務而招致的所有針對貴公司及上述人士的申索、訴訟、法律程序、損害賠償、或損失、訴訟費及費用，而並不影響貴公司可行使的留置權、抵銷權利或其他權利。

11. Material Changes 重要變化

I/We hereby undertake to inform you in writing of any material changes in my/our Account Opening Information and you shall also undertake to inform me/us in writing of any material changes in your corporate particulars registration status, nature of services available, corporate management and your business which may

affect your services to me/us.

本人(等)承諾用書信通知貴公司本人(等)開戶資料的重要變化，而貴公司亦承諾用書信通知本人(等)有關貴公司會影響對本人(等)服務的公司資料，在證監會的註冊身份，可提供客戶的服務、酬勞費用及業務等變化。

12 Personal Data (Privacy) 個人資料(保密)

12.1 Whilst I/we expect you to keep confidential all matters relating to the Account, I/we hereby expressly authorize you to provide to the SFC or the Exchange or the Clearing House or any other regulatory authorities in any investigation or enquiry it is undertaking.

雖然本人(等)預期貴公司將予該賬戶有關之事情保密，本人(等)謹此明確同意如應證監會或聯交所或中央結算或監管機構之要求，貴公司可向彼等提供賬戶之詳細資料，以使協助彼等進行的調查或詢問。

12.2 I/We hereby declare that I/we have read the Notice on Personal Data pursuant to the Personal Data (Privacy) Ordinance referred to in Schedule "B" as attached to the Authorization for Account Opening.

本人(等)在此聲明本人(等)已詳閱關於開戶授權書的附錄"B"根據個人資料(私隱)條例發出的個人資料通告。

13. Term 有效期

The Agreement will come into effect on the date when anyone of your directors signs the Agreement. The Account will not be closed unless in accordance with clause 14.

本協議書在貴公司之任何一名董事簽署之日起開始生效，有效期持續至該賬戶按照條款 14 之規定被終止。

14. Termination 終止

14.1 The Account may be closed by you or by me/us at any time and for any reason forthwith upon written notice being given to the other party in accordance with clause 15 hereunder provided that all acts performed by you in accordance with my/our instructions prior to either party receiving written notice of such termination shall be valid and binding on me/us.

不論任何原因，任何一方一旦遵照條款 15 之規定向對方發出書面通知，賬戶即時結束。惟所有貴公司在任何一方收到此書面結束通知前已依據本人(等)之指示而執行之任務，仍然有效及對本人(等)有約束力。

14.2 Upon termination all monies owing from me/us to you shall immediately become due and payable and subject to payment of all such monies, you are Authorized to deliver as soon as reasonably practicable any securities held in you or your agent's or nominee's name to me/us.

一旦本協議書終止，所有本人(等)欠負的債項即時變為到期應付。在繳清此等債項後，貴公司獲授權在合理切實可執行範圍內，盡速將該賬戶內以貴公司(或其代理人或代名人)名義持有之證券，交付本人(等)。

15. Notices 通告

15.1 All notices, demands and other communications and documents required to be given by you to me/us or by me/us to you in relation to the Account or connected therewith may be given by letter, telex, facsimile transmission, e-mail or telephone to the address or appropriate numbers.

所有涉及或與該賬戶有關而須由 貴公司發給本人(等)或本人(等)之通知書、追索書及其他傳訊及文件，均可以用書信、專用電報、圖文傳真、電郵或電話方式發送到該地址或適用號碼。

15.2 All notices, demand, communications and documents so sent by you to me/us shall be deemed to have been received by me/us and in case of telephone call when telephoned or message is left with a person who answered the telephone call at the correct telephone number stated, and, in case by letter sent locally the day following the day deposited in the mail or sent by airmail overseas 72 hours after dispatch and in case of telex or facsimile message or e-mail when the same is dispatched.

所有以上所述形式發出給本人(等)之通知書、追索書、通訊及文件，如屬使用電話通訊，則電話被接聽或留言予代接聽人，應被視為收到；如屬本地郵件，應被視為在交付郵遞後之整日收到；如屬海外郵遞，則在發送後 72 小時後收到；如屬專用電報、圖文傳真或電郵，則在發送時收到。

15.3 All notices, demands and other communications and documents sent by me/us to you shall not be effective until the same are actually received by you.

所有由本人(等)發出的通知書、追索書及其他傳訊及文件，由貴公司實際接收到始生效。

16. Amendments 修改

16.1 You shall be entitled to make such amendments, additions, deletions or variations to the Agreement, as you may consider necessary, and such amendments, additions, deletions, or variations shall take effect when such notice thereof is dispatched to me/us.

貴公司有權對本協議書作出認為必須的修改、增補、刪除或變更。而此等修改、增補、刪除或變更由該通知發送給本人(等)起生效。

16.2 No amendment made by you to the Agreement or by me/us to you in relation to the information supplied to you in the Authorization for Account Opening, herewith, such as Account Opening Information, and the Schedules thereto will affect any outstanding order or Transaction or any legal rights or obligations which may have arisen prior thereto.

貴公司對本協議書之條款所作之修改，及本人(等)向貴公司提供的關於本協議書之資料的修改，例如，開戶資料，均不影響任何修改前未完成之指示或買賣或已產生的法定權利或責任。

17. Severability 局限應用

Any term, stipulation, provision, or undertaking in the Agreement which is illegal, void, prohibited or unenforceable in any jurisdiction shall be ineffective only to the extent of such illegality, voidness, prohibition or unenforceability without invalidating the remaining hereof, and any such illegality, voidness, prohibition or unenforceability in any jurisdiction shall not invalidate or render illegal, void or unenforceable any such term, condition, stipulation, provision, covenant or undertaking in any other jurisdiction.

本合約中之條款、規定、條文、承擔，有對某一裁判權而言，為非法、無效、禁止實施或不能實施者，則在此等非法、無效、禁止實施或不能實施，祇局限於該裁判權範圍內，本合約之其他餘下者仍然有效。再且，上述情況不會導致此等條款、規定、條文、承擔等在另一裁判權範圍內非法、無效、禁止實施或不能實施。

18. Assignment 轉讓

18.1 The benefit and burden of the Agreement is personal to me/us and shall not be capable of assignment by me/us without your consent

本協議書範圍內之權益及責任，祇屬於本人(等)本身的權益及責任，未經貴公司同意，本人(等)不得將其轉讓予他人。

18.2 We agree that you may transfer your rights and obligations under the Agreement without my/our consent

本人(等)同意可轉讓貴公司在本協議書下的權利和義務而不須取得本人(等)的同意。

19. Risk Disclosure Statement 風險披露聲明書

19.1 I/We hereby understand 本人(等)明白 -

(1) that in respect of securities trading, the prices of securities can and does fluctuate, sometimes dramatically, and any individual security may experience

upwards or downwards movements, and may even become valueless and that there is an inherent risk that losses may be incurred rather than profit made as a result of buying and selling securities;

有關證券買賣，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(等)願意承擔此等風險；

(2) that in respect of trading Growth Enterprise Market (GEM) stocks:-

有關買賣創業板股份

(i) such stocks involve a high investment risk and, in particular, companies may list on GEM with neither a track record of profitability nor any obligation to forecast future profitability and GEM stocks may be very volatile and illiquid and that I/we shall make the decision to invest only after due and careful consideration;

此等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。本人(等)會在審慎及仔細考慮後，才作出有關的投資決定；

(ii) the greater risk profile and other characteristics of GEM mean that it is a market more suited to professional and other sophisticated investors;

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；

(iii) the current information on GEM stocks may only be found on the internet website operated by the Exchange and GEM Companies are usually not required to issue paid announcements in gazetted newspapers;

現時有關創業板股份的資料只可以在聯交所操作的互聯網網站上找到。創業板上市公司一般無須在憲報指定的報章刊登付費公告；

(iv) I/we should seek independent professional advice if I/we are uncertain of or have not understood any aspect of this risk disclosure statement or the nature and risks involved in trading of GEM stocks.

假如本人(等)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，應尋求獨立的專業意見。

(3) that there may be risks in leaving assets in your safekeeping, for example, if you are holding my/our assets and you become insolvent, I/we may experience significant delay in recovering the assets except in accordance with specific legislation or local rules or applicable laws and regulations of the relevant overseas jurisdiction (if held outside Hong Kong) which may be different from the Securities and Futures Ordinance (Cap. 571) and may possible be pro-rated in the same manner as cash for purposes of distribution in the event of a shortfall and these are risks that I/we are prepared to accept; 存放款項或其他財產與貴公司保管可能存在風險，若是貴公司持有該款項或財產而無力償債時，本人(等)將有被延誤回收該等款項或財產，可能須受限於具體法例規定或當地的規則(若是存放在香港以外)，而當地法例或規則不同於<證券及期貨條例(第 571 章)，只可收回按比例分配得來的款項或其他財產；

(4) that in respect of trading Nasdaq-Amex securities at the Exchange, the securities under the Nasdaq-Amex Pilot Program (PP) are aimed at sophisticated investors and that I/we shall consult my/our licensed or registered person and become familiarised with the PP before trading in the PP securities since the PP securities are not regulated as a primary or secondary listing on the Main Board or the Growth Enterprise Market of the Exchange; and

有關聯交所買賣美國證券，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。本人(等)在買賣該項試驗計劃的證券之前，會先諮詢持牌人或註冊人的意見和熟悉該項試驗計劃。本人(等)知悉，按照該項試驗計劃掛牌買賣的證券並非以聯交所的主板或創業板作第一或第二上市的證券類別加以監管；及

(5) that before I/we begin to trade, I/we should obtain a clear explanation of all commission, fees and other charges for which I/we will liable, since these charges will affect my/our net profit (if any) or increase my/our loss.

在開始交易之前，本人(等)先要清楚瞭解本人(等)必須繳付的所有佣金、費用或其他收費。這些費用將直接影響本人(等)可獲得的淨利潤(如有)或增加本人(等)的虧損。

20. Interpretation 釋義

In this Agreement unless the context otherwise requires:-

本合約中，除文意另有所指外:-

(1) The expression "I/we" or "me/us" or "my/our" wherever used shall in the case where the undersigned is an individual(s) include the undersigned and his executors and administrator where the undersigned are several individuals, include the several individuals and their respective executors and administrators and in the case where the undersigned is a sole proprietorship firm include the sole proprietor and his executors and administrators and his or their successors in the business and in the case of a partnership firm include the partners who are the partners of the firm at the time of this Agreement and their respective executors and administrators and any other person or persons who shall at any time hereafter be or have been a partner of and in the firm and his or their respective executors and administrators and the successors to such partnership business and where the undersigned is a company include such company and its successors and assigns.

本人(等)一詞，若指本協議簽署人是個人者，則包括其本人、其遺囑執行人及遺產管理人；若指眾人，則包括眾人及各自之遺囑執行人及遺產管理人；若指獨資經營商號，則包括該商號主人、其遺囑執行人及遺產管理人、其生意繼承人；若指合夥機構，則包括現時之各合夥人、各自之遺囑執行人及遺產管理人，尚有今後成為合夥人之其他人士及其遺囑執行人及遺產管理人，以及此等合夥生意之繼承人；若指有限公司，包括有限公司之繼承人及受讓人。

(2) "Securities" means all kinds of instruments commonly known as securities including, but not limited to, stocks, shares (listed or otherwise), warrants, debentures, unit trusts, mutual funds, bonds or notes of, or issued by, anybody, whether incorporated or unincorporated, or of any government or local government authority, as you may at your absolute discretion from time to time offer to deal in.

"證券"指各類普遍認為是證券的工具，包括但不限於股份、股票(上市及非上市者)，認股權證、債票、信託基金、互惠單位基金、債券或票據由註冊團體、非註冊團體或政府或當地政府發行，貴公司可不時提供與客戶買賣。

(3) Where the undersigned consists of more than one individual or where the undersigned is a firm consisting of two or more individuals, the agreements by and the liabilities of the undersigned hereunder shall be joint and several of such individuals.

若本合約簽署人由兩名或以上之個人組成，或為一間由兩名或以上人士開設之商號，則本合約涉及本合約簽署人之責任，須由此等人士個別及共同承擔責任。

(4) Words importing the singular number shall include the plural number and vice versa and words importing the masculine gender shall include the feminine gender and the neuter gender

凡表示單數之字眼包括複數含義，反之亦然；凡表示陽性之字眼亦包括陰性及中性含義。

(5) Words importing "persons" shall include limited company (including local and foreign).

字義上所指的"人"(若適用)亦包括有限公司(本港者或海外者)。

21. Law 法律

This Agreement is governed and construed in accordance with the laws of Hong Kong Special Administrative Region and the parties hereby irrevocably submit themselves to the jurisdiction of the Hong Kong Special Administrative Region.

本協議書受香港特別行政區法律管轄及以其作解釋，而雙方不得撤銷接受香港特別行政區法院的司法管轄。

IN WITNESS WHEREOF I/we hereto set my our hands hereto this _____ day of _____

茲見證本協議，本人(等)在此簽署於二零____年____月____日。

Personal /Joint Account Holder(s) 個人/聯名客戶

SIGNED by 簽署

SIGNED by 簽署

Client Name 客戶姓名 _____

ID. Card/Passport No. 身份證/護照號碼 _____

Client Name 客戶姓名 _____

ID. Card/Passport No. 身份證/護照號碼 _____

in the presence of 見證於

Witness Signature 見證人簽署

Witness Signature 見證人姓名: _____

Accepted by Jimei Securities Limited 集美證券有限公司接受及確認

SIGNED by 簽署

Authorized Signature 授權簽署

Authorized Signature 授權簽署人姓名 _____

Date 日期 _____

DECLARATION BY CLIENT
客戶聲明

The client acknowledges that the Risk Disclosure Statement was provided in a language of client's own choice (English or Chinese) and the client was invited to read the Risk Disclosure Statement, to ask questions and take independent advice if the client wishes.

客戶確認已按照客戶選擇的語言(英文或中文)獲得風險披露聲明及已獲邀閱讀該風險披露聲明、提出問題及徵求獨立的意見〔如客戶有此意願〕

***Signed by 簽署**

Name of client in block letters

客戶姓名(請用正楷字體填寫)_____

Date: 日期:_____

DECLARATION BY SFC LICENSED PERSON
證監會持牌人聲明

I, a licensed or registered person, declare that I have provided the above client with a copy of the Risk Disclosure Statement in a language of the client's choice (English or Chinese) and invited the client to read the Risk Disclosure Statement referred to in clause 19 of the Cash Client's Agreement, ask questions and take independent advice if the client so wishes.

本人，以註冊人身份，確認本人已按照上述客戶所選擇的語言(英文或中文)提供風險披露聲明及提示客戶閱讀現金客戶協議書條款第 19 條風險披露聲明，亦邀請客戶如有需要可以提出問題及徵求獨立的意見。

Signed by 簽署

Name of licensed or registered person in block letters

註冊人姓名〔請用正楷字體填寫〕_____

CE No.中央編號:

Date: 日期:

STANDING AUTHORITY
常設授權書
SECURITIES AND FUTURES (CLIENT MONEY) RULES
證券及期貨(客戶款項)規則

Account name 戶口名稱: _____

Account Number 賬戶號碼 _____

To: Jimei Securities Limited
致: 集美證券有限公司

CE No. 中央編號: ARM851

Pursuant to sections 5 (1 (c) and 8(1) of the Securities and Futures (Client Money) Rules made under section 149 of the Securities and Futures Ordinance (Cap 571), I/We hereby authorize and instruct you to deal, from time to time, with the money received from me/us, received on my/our behalf or held on my/our behalf, in the following manner:

根據證券及期貨條例(第 571 章) 149 條 5(1)(c)及 8(1)節有關證券及期貨(客戶款項)規則, 本人(等)特此授權及指示貴公司根據下列方式, 不時從本人(等)或代本人(等)收取的款項, 或不時代本人(等)持有款項:

Pay/Transfer the money to the following bank account(s):

將款項支付/轉往下列之銀行戶口

Name of bank 銀行名稱 _____

Bank account number 銀行戶口號碼 _____

Account name with bank 銀行戶口名稱 _____

The authority given herein shall remain valid for a period of 12 months commencing from the date of this notice (as state below). Upon expire of a period of 12 months as aforesaid, this authority shall, unless renewed according to the Securities and Futures (Client Money) Rules, become null and void. To renew it, I/we shall inform you in writing before its expiry. You may also remind me/us of the expiry and seek my/our consent to renew it two week before. If you do not receive my/our objection, it shall be renewed and you should confirm in writing to me/us. The authority given herein may be revoked by me/us by giving you not less than two Business Days notice in writing.

此授權書之有效期為本通告發出日(如下)起計 12 個月, 在本授權書的有效期 12 個月屆滿時, 除非已根據證券及期貨(客戶款項)規則續期, 否則本授權書將被視為失效。本人(等)可於授權書屆滿前更新, 貴公司亦會於授權書屆滿兩星期前通知本人(等)及徵求本人(等)同意更新, 若貴公司未有接獲本人(等)之反對, 授權書將會更新及發出信件以作確認。本授權書可在本人(等)給予不少於 2 個營業日的書面通知而被撤銷。

I/We hereby undertake to indemnify you against all costs, expenses, liabilities, losses or damages arising out of or suffered by you as a result of acting in accordance with my/our instructions herein.

本人(等)承諾, 對於貴公司按照本人(等)於此文中的指示而招致的費用、開支、負責、損失或損害, 本人(等)將使貴公司得到彌償並免受損害。

Authorized signatory(ies)客戶簽署

Date 日期

Notes 附言

1. In case of discrepancies between the English and Chinese versions, the English version shall prevail 中英文如有歧義, 以英文本為準。
2. This Standing Authority must be submitted in its original form for it to be effective. 本常設授權書須以正本繳交, 方可生效。
3. Do not delete or amend any part of this Form. 請勿刪除或塗改此表格上的任何部份。

Agreement for Internet Trading

互聯網證券交易協議書

To : Jimei Securities Limited
致：集美證券有限公司

Date 日期：_____

CE No. 中央編號：ARM852

Dear Sirs,
敬啟者：

I/We hereby authorize and request you to open and maintain an internet securities trading account ("the Account") in the name of me/us for the purchases, sales, holdings of and any other dealings in securities. The Account shall be maintained and all such purchases, sales, holdings of and any other dealings in securities shall be effected subject to and in accordance with the provisions of the Agreement for Internet Trading (Agreement") and the Cash and / or Margin Client's Agreement ("the Agreement(s)"). I/We confirm and acknowledge that the Supplemental Agreement forms an integral part of the Agreement(s).

本人(等)授權要求貴公司為本人(等)以本人(等)名義開立並操作一個互聯網證券交易賬戶(下稱“賬戶”)，以執行本人(等)不時購入、賣出、保管或處理各類證券。有關賬戶之運作須受本互聯網證券交易補充協議書(“補充協議書”)及現金及/或保證金客戶協議書(“客戶協議書”)規限，本人(等)確認補充協議書為客戶協議書組成之一部份。

I/We hereby agree to effect Transactions as hereinafter defined subject to the following terms and conditions of this Supplemental Agreement:-

本人(等)茲同意根據下列條件進行互聯網證券交易:-

1 The Account 賬戶

I/We warrant that the information set out in the Account Opening Information is true and correct and that you are entitled to rely fully on such information to act on my/our behalf unless and until you receive notice of any change from me/us in accordance with the provisions of the Agreement(s). I/We undertake to advise you promptly of any material change to such information.

本人(等)保證客戶開戶資料內所載資料均屬真實及正確，貴公司在未收到本人(等)根據現金及/或保證金客戶協議書規定發出的資料變更通知前，貴公司有權依據該等資料行事，若該等資料有變更，本人(等)即儘快通知貴公司。

2 Internet Securities Trading Service 互聯網證券交易

2.1 I/We shall use the internet securities trading service only in accordance with this Agreement

客戶只限於根據補充協議書及客戶協議書之有關條款使用互聯網證券交易服務。

2.2 I/We shall be the only authorized user of the internet securities trading service under the Account.

本人(等)是賬戶唯一有權使用互聯網證券交易服務的人。

2.3 I/We acknowledge that the internet securities trading service is proprietary to you. I/We warrant and undertake that I/we shall not, and shall not attempt to, tamper with, modify, decompile, reverse engineer or otherwise alter in any way, and shall not attempt to gain authorized access to, any part of the internet securities trading service. 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(等)承認此互聯網證券交易服務為貴公司所專有。本人(等)保證及承諾本人(等)不會和不試圖損壞、修改、逆彙編、或以其他方式改變互聯網證券交易服務的任何組成部份，也不試圖非法進入互聯網證券交易服務的任何組成部份。本人(等)保證在本人(等)知道有人作出上述行動時馬上通知貴公司。

2.4 I/We shall be responsible for the confidentiality and use of my/our customer ID and Password.

本人(等)有責任將本人(等)之登入號碼密碼及賬戶號碼保密，並對所作用等負責。

2.5 I/We agree immediately to notify you if I/we become aware of:-

本人(等)同意在獲悉以下事件後，隨即知會貴公司:-

- any loss or theft of my /our customer ID and Password ; or

本人(等)之賬戶號碼及密碼遭遺失或盜用；或

- any unauthorized use of any of my/our customer ID and Password, or of the internet securities trading service or any information; or

本人(等)之任何登入賬戶號碼及密碼，或互聯網證券交易服務或任何資料被非法使用；或

- any failure by me/us to receive a message that an order initiated by me/us through the internet securities trading service has been received and or executed through the internet securities trading service.

本人(等)未能獲取訊息，顯示經已接獲及/或執行本人(等)透過互聯網證券交易服務發出指令之訊息。

2.6 I/We shall be solely responsible for all instruction entered through the internet using my/our customer ID and Password.

本人(等)須自行負責使用本人(等)之賬戶及密碼的保密及使用。

2.7 I/We understand that you will not be liable to me/us if I/we am/are unable to access my/our account information or request a transaction through the internet service.

本人(等)明白貴公司不會對本人(等)不能存取本人(等)之賬戶資料及透過互聯網證券交易服務要求負責。

2.8 I/We shall not use or permit the use of the Information or any part hereof for any illegal purpose.

客戶不得使用或容許使用資訊或其任何部分作任何非法用途。

2.9 I/We shall not disseminate the information to third parties, and shall solely use the information or any part thereof for my/our own use or in the ordinary course of my/our own business.

本人(等)不得向第三方散播資訊，同時只容許本人(等)作本身的用途或在本身業務的正常過程中使用。

2.10 Electronic trading facilities are supported by computer-based component system for the order-routing, execution, matching, registration or clearing of trades. As with all facilities and systems, they are vulnerable to temporary disruption or failure. My/our ability to recover certain losses may be subject to limits on liability imposed by the system provider, the market, the clearing house and/or participant firms. Such limits may vary, I/we should ask the firm with which I/we deal for details in this respect.

電子交易的設施是以電腦組成系統來進行交易指示傳遞、執行、配對、登記或交易結算。然而，所有設施及系統均有可能會暫時中斷或失靈，而你就此所能獲得的賠償或會受制於系統供應商、市場、結算公司及/或參與者商號就其所承擔的責任所施加的限制。由於這些責任限制可以各有不同，本人

(等) 應向為本人(等) 進行交易的商號查詢這方面的詳情。

3 Laws and rules 法例及規則

If I/we place any orders to you outside Hong Kong, I/we agree to ensure and represent that such orders will have been given in compliance with any and all applicable law of the relevant jurisdiction from which my/our orders are given. I /We further agree that I/we shall consult, when, in doubt legal advisers of the relevant jurisdiction. I/We accept that there may be taxes or charges payable to relevant authorities in respect of any instructions and that you shall not be liable for any of such cost.

倘本人(等)向貴公司發出任何指令的地點為香港以外的地方，本人(等)同意確保及表明該等指令之發出將遵從於本人(等) 發出指令的有關司法管轄區的任何及一切適用法律，而本人(等)更同意本人(等)遇有疑問時，應於有關司法管轄區諮詢或取得法律及專業意見。本人(等) 同意支付就有關任何指示可能繳付之稅項或收費，貴公司並不須就該等費用負上任何責任。

4 Risk Disclosures Statements 風險披露聲明書

I/We hereby understand that:

本人(等) 明白:

- (1) due to unpredictable traffic congestion of the Internet, an inherently unreliable medium of communication and that such unreliability is beyond your control, there is a risk that communication over the Internet may be interrupted, delayed or accessed by unauthorized parties. Notwithstanding measures taken by you to minimize this risk, you accept no responsibility for any loss which may be incurred by me/us as a result of interruptions or delays or unauthorized access. I/We should not place any instruction with you over the Internet if I/we are not prepared to accept such risk.
於無法預計互聯網上的通訊量、故屬一個存在不可靠因素之通訊媒介，而該等不可靠因素亦非貴公司所能控制，互聯網上的通訊有可能中斷、延誤或被未經授權各方取得的風險。雖然貴公司採取措施將此一風險減至最低限度，對於本人(等)因中斷、延誤或未經授權取得的結果而使本人(等)招致任何損失，貴公司不承擔任何責任。倘若本人(等)不準備接受上述風險，本人(等)不應在互聯網上向貴公司作出任何指示。
- (2) trading on an electronic trading system may differ from trading on other electronic trading systems. If I/we may undertake transactions on an electronic 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 is either not executed according to my/our instructions or is not executed at all.
透過某個電子交易系統進行買賣，可能會與透過其他電子交易系統進行買賣有所不同。如果本人(等)透過某個電子交易系統進行買賣，便須承受該系統帶來的風險，包括有關系統硬件或軟件可能會失靈的風險。系統失靈可能會導致本人(等)的交易指示不能根據指示執行。
- (3) while you, the Stock Exchange of Hong Kong Limited (the "HKEX"), HongKong Securities Clearing Company Limited (the "HKSCC") and all related parties endeavour to ensure the accuracy and reliability of the information provided through the system, there is no guarantee that such information is accurate and reliable and that you, the HKEX, CCASS and related parties do not accept and liability (whether in text or contract or otherwise) for any loss or damage arising from any inaccuracies or omissions.
貴公司、香港聯合交易所有限公司("聯交所")、香港中央結算有限公司("中央結算") 及所有有關人士致力確保該系統所提供資料之準確性及可靠性，惟資料之準確性及可靠性並無保證，且貴公司、聯交所、中央結算及所有有關人士概不須就任何因不準確或錯漏所產生之任何損失或損毀承擔任何責任(不論以文本或合約或其他形式)。

5 Law 法律

This Agreement is governed and construed in accordance with the laws of Hong Kong Special Administrative Region and the parties hereby irrevocably submit themselves to the jurisdiction of Hong Kong Special Administrative Region.

本協議書受香港特別行政區法律管轄及以其他作解釋，而雙方不得撤銷接受香港特別行政區法院的司法管轄。

IN WITNESS WHEREOF I/we hereto set my/our hands hereto this day of

茲見證本協議，本人(等) 在此簽署於二零 年 月 日。

Personal /Joint Account Holder(s) 個人/聯名客戶

SIGNED by 簽署

SIGNED by 簽署

Client Name 客戶姓名 _____

ID. Card/Passport No. 身份證/護照號碼 _____

Client Name 客戶姓名 _____

ID. Card/Passport No. 身份證/護照號碼 _____

in the presence of 見證於

Witness Signature 見證人簽署

Witness Signature 見證人姓名: _____

Accepted by Jimei Securities Limited 集美證券有限公司接受及確認

SIGNED by 簽署

Authorized Signature 授權簽署

Authorized Signature 授權簽署人姓名 _____

Date 日期 _____

DECLARATION BY CLIENT
客戶聲明

The client acknowledges that the Risk Disclosure Statement was provided in a language of client's own choice (English or Chinese) and the client was invited to read the Risk Disclosure Statement, to ask questions and take independent advice if the client wishes.
客戶確認已按照客戶選擇的語言(英文或中文)獲得風險披露聲明及已獲邀閱讀該風險披露聲明、提出問題及徵求獨立 的意見〔如客戶有此意願〕

***Signed by 簽署**

Name of client in block letters

客戶姓名(請用正楷字體填寫) _____

Date: 日期: _____

DECLARATION BY SFC LICENSED PERSON
證監會持牌人聲明

I, a licensed or registered person, declare that I have provided the above client with a copy of the Risk Disclosure Statement in a language of the client's choice (English or Chinese) and invited the client to read the Risk Disclosure Statement referred to in cause 19 of the Cash Client's Agreement, ask questions and take independent advice if the client so wishes.

本人，以註冊人身份，確認本人已按照上述客戶所選擇的語言(英文或中文)提供風險披露聲明及提示客戶閱讀現金客戶協議書條款 19 風險披露聲明、亦邀請客戶如有需要可以提出問題及徵求獨立的意見。

***Signed by 簽署**

Name of licensed or registered person in block letters:

註冊人姓名〔請用正楷字體填寫〕 _____

CE No.中央編號:

Date: 日期: