

客户证券常设授权

Standing Authority - Client Securities

致: 东方证券(香港)有限公司 (证监会持牌法团编号: AVD362)
Orient Securities (Hong Kong) Limited (CE No.: AVD362)

香港中环皇后大道中 100 号 28-29 楼
28/F-29/F, 100 Queen's Road Central, Central, Hong Kong

敬启者 Dear Sir/Madam

根据《证券及期货(客户证券)规则》所设立的常设授权 Standing Authorities under Securities and Futures (Client Securities) Rules

本常设授权书是有关一切由贵公司代表本人/我们购入或持有之证券。

This letter of Standing Authority covers all securities purchased or held by you on my/our behalf.

本常设授权书, 根据《证券及期货(客户证券)规则》第 7 条的规定, 授权贵公司:

Pursuant to Section 7 of the Securities and Futures (Client Securities) Rules, this letter authorizes you to:

1. 依据证券借贷协议运用任何本人/我们的证券或证券抵押品;
apply any of my/our securities or securities collateral to a securities borrowing and lending agreement;
2. 将任何本人/我们的证券抵押品存放于认可财务机构, 作为提供予贵公司的财务通融的抵押品; 及/或
deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provided to you; and/or
3. 将任何本人/我们的证券抵押品存放于认可结算所或另一获发牌或获注册进行证券交易的中介人, 作为解除贵公司在交收上的义务和清偿贵公司在交收上的法律责任的抵押品, 而无须通知本人/我们; 及/或
deposit any of my/our securities collateral with a recognized clearing house or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of your settlement obligations and liabilities, without notice to me/us; and/or
4. 将证券或证券抵押品存放于期权结算公司, 作为因本人/我们向贵公司发出的指示而进行的交易所买卖期权活动的期权结算公司抵押品; 及/或
To deposit the securities or securities collateral with the SEOCH as SEOCH Collateral in respect of Exchange Traded Options Business resulting from my/our instructions to you; and/or
5. 按贵公司同意之条款但受制于适用的监管规则, 将本人/我们之证券及/或证券抵押品存入在香港或其它地方的任何一个或多个保管人及/或结算所或于它们间互相转移; 及/或
deposit or transfer my/our Securities and/or Securities Collateral with or to or interchangeably between any custodian(s) and/or clearing house(s), whether in Hong Kong or elsewhere, upon such terms as may be agreed by you but subject to applicable Regulatory Rules; and/or
6. 如果贵公司在证券交易过程中为本人/我们提供财务通融或在贵公司获发牌或注册以进行的任何其他受规管活动过程中亦为本人/我们提供财务通融, 按照以上第 1 至 5 项运用、存入或以其它形式处理本人/我们之任何证券抵押品。
apply, deposit or otherwise deal with any of my/our Securities Collateral in accordance with the above items 1 to 5 if you provides financial accommodation to me/us in the course of dealing in securities or also provides financial accommodation to me/us in the course of any other regulated activity for which you are licensed or registered.

本人/我们明白认可结算所或其它获发牌或获注册进行证券交易的中介人, 将因应贵公司在交收上的责任及债务而对本人/我们的证券抵押品设定为第一固定押记。

I/We understand that the recognized clearing house or the intermediary licensed or registered for dealing in securities will have a first fixed charge over my/our securities collateral to the extent of your settlement obligations and liabilities.

本授权书并不涉及就贵公司借、贷或存放本人/我们任何证券而须支付或收取的任何代价。任何代价均须由本人/我们与贵公司另行签约订明。

This standing authority does not cover any consideration I/We must pay or be paid for your borrowing, lending, or depositing any of my/our securities. Any consideration must be set in a separate agreement between us.

贵公司须向本人/我们负责偿还有关根据本授权书而作出借、贷或存放之证券。

You are accountable to me/us for the return of any securities borrowed, lent, or deposited under this authority.

本人/我们明白本人/我们的证券可能受制于第三者之权利, 贵公司可于全数抵偿该等权利后, 方将本人/我们的证券退回本人/我们。

I/We understand that a third party may have rights to my/our securities, which you must satisfy before my/our securities can be returned to me/us.


本常设授权书以本函件日期起计十二个月内有效, 并可于下列情况予以续期, 每次续期的有效期为十二个月: 本人/我们以书面形式同意续期; 或贵公司于授权有效期届满前不少于十四日向本人/我们发出书面通知, 而本人/我们于授权有效期届满前未有提出反对续期。本人/我们有权随时以三十天书面通知贵公司撤销此常设授权书。

This authority is valid for a period of 12 months from the date hereof and may be renewed for subsequent periods of 12 months either with my/our written consent or if I am/we are given a written notice from you at least 14 days prior to the expiry of such authority and do not object to the renewal of such authority before its expiry. This authority may be revoked at any time on giving 30 days prior written notice to you.

本函件已全部向本人/我们解释清楚, 并已被提醒可寻求独立意见。本人/我们明白本函件的内容。

This letter has been fully explained to me/us and I/we have been advised to seek independent advice, and I/we understand the contents of this letter.

客户签署 Client's Signature(s):



客户姓名 Client's Name: _____

证券帐户号码 Securities Account No: _____

股票期权帐户号码 Stock Option Account No: _____

日期 Date: _____