

东方证券(香港)有限公司 (CE: AVD362)
Orient Securities (Hong Kong) Limited

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Letter of Undertaking Regarding Access to Japan Market Stock Trading
日本市场证券交易承诺书

The Financial Instruments and Exchange Act (“FIEA”) provides regulations related to securities trading and prohibits insider trading, market manipulation and other unfair acts. Please complete, sign and return this document to Orient Securities (Hong Kong) Limited (“OSHK”) in order to access the Japan stock market.

《金融商品取引法》规管关于证券交易及禁止内幕交易、市场操控及其他不正当行为。如欲进入日本证券市场，请填写妥、签署并交回本文件予东方证券(香港)有限公司(「东方证券(香港)」)。

1. I/We have read and understood the explanation on prohibited trading published by the Japan Exchange Group, Inc. (“JPX”) at <https://www.jpx.co.jp/english/regulation/ensuring/preventing/index.html>.
我 / 我们已阅读并明白日本交易所集团(「日交所」)于 <https://www.jpx.co.jp/english/regulation/ensuring/preventing/index.html> 刊登关于禁止交易的说明。
2. With reference to prevention of Insider Trading, I am/We are not a “Company Insiders” (会社関係者) (as defined in Article 166 of Financial Instruments and Exchange Act) of any company listed and traded in Japan, and will immediately notify OSHK if there are any changes.
关于禁止内幕交易，我/我们并非任何于日本上市并交易的公司的「会社関係者」(按照《金融商品取引法》第166条所订)，并在有改变时会立刻通知东方证券(香港)。
3. With reference to prevention of Insider Trading, when I/we place an order to OSHK, I/we confirm that the transaction is not based on insider information.
关于禁止内幕交易，我/我们确认当我/我们向东方证券(香港)发出交易指示时，有关交易并非基于内幕消息。
4. With reference to prevention of Market Manipulation, when I/we place an order to OSHK, I/we confirm that the transaction does not fall under the category of Market Manipulation.
关于禁止市场操控，我/我们确认当我/我们向东方证券(香港)发出交易指示时，有关交易并不属于市场操控类别。
5. I/We will closely follow surveys, alerts, warnings, enquiries etc. from OSHK concerning transactions conducted by me/us.
我/我们会密切跟进东方证券(香港)就我/我们进行的交易所发出的调查、警示、警告、查询等。
6. I/We accept and agree that OSHK can, at its full discretion, restrict the acceptance of my/our orders, in whole or in part, without the need to provide any prior notice or explanation.
我/我们接受并同意东方证券(香港)有全权酌情决定权限制接纳我/我们全部或部份的指示而无事前通知或提供理由。
7. I/We fully understand the purpose of regulations concerning unfair trading.
我/我们完全明白关于不正当交易的监管目的。
8. (If I/We place order on behalf of my/our client(s)) With reference to prevention of Insider Trading, my /our client(s) is/are not a “Company Insiders” (会社関係者) (as defined in Article 166 of Financial Instruments and Exchange Act) of any company listed and traded in Japan, and will immediately notify OSHK if there are any changes.
(假如我/我们代表我/我们的客户发出指示) 关于禁止内幕交易，我/我们的客户并非任何于日本上市并交易的公司的「会社関係者」(按照《金融商品取引法》第166条所订)，并在有改变时会实时通知东方证券(香港)。
9. (If I/We place order on behalf of my/our clients) With reference to Market Manipulation, my/our sales and marketing department conducts regular monitoring and trading reviews to check whether any transactions executed by my/our customers fall under the category of Market Manipulation.
(假如我/我们代表我/我们的客户发出指示) 关于禁止市场操控，我/我们的销售及市场部门执行定期监控及交易审查以检查我/我们的客户执行的交易是否属于市场操控类别。

10. (If I/We place order on behalf of my/our clients) My/Our monitoring system and prevention measures for unfair trading are as follows:

(假如我/我们代表我/我们的客户发出指示) 我/我们的不正当交易监察制度及防范措施如下:

- Name of the Department overseeing firm's compliance with regulatory requirements and investigation of suspicious transactions

负责监察机构遵从法规要求及调查可疑交易的部门名称

-
- Name of the Manager of the Department overseeing Trade Execution

监察交易执行的部门主管名称

-
- Names of other relevant person(s)/department(s). Please provide details

其他相关人员/部门的名称。请提供详情

11. I/We and my /our client(s) fully understand that under the Financial Instruments and Exchange Act, persons with interest in or affiliated with a listed company/ies, who has acquired important facts concerning the company/ies, etc. is strictly prohibited from trading regulated securities of such listed companies before their public disclosure.

我/我们及我/我们的客户完全明白按照《金融商品取引法》，与上市公司有利益关系或与之有关联的人士，而其已获得有关公司的重要事实的，在该等人士作公开披露前，严禁交易该等上市公司的受规管证券。

Client Name

客户名称: _____

Account No.

账户号码: _____

Signature

客户签署: _____

Date

日期: _____

For internal use only 内部专用

Signature verified by

核对签字:

Handled by

经办人:

Checked by

复核人: