



国际

東方證券(香港)有限公司
ORIENT SECURITIES (HONG KONG) LIMITED

客户帐号：
Account No.:

公司帐户申请书
(现金 / 保证金)

CORPORATE ACCOUNT APPLICATION FORM
(CASH / MARGIN)

请签署此资料表格前阅读有关的帐户协议及相关的附件
Please read the Account Agreement and the related schedules(s) before signing on this Information Form

公司帐户申请书

Corporate Account Application Form

(只供本行使用 For Official Use Only)

帐户类别 Type of Account: 只选择一项 Tick one only <input type="checkbox"/> 现金帐户 Cash Account <input type="checkbox"/> 保证金帐户 Margin Account	帐户号码 Account No.:
选择网上交易帐户 Internet Trading: <input type="checkbox"/> 是 Yes <input type="checkbox"/> 不是 No	开户日期 Date:

A. 公司资料 Company Information

1	公司名称 (英文) Company Name (English)		
2	公司名称 (中文) Company Name (Chinese)		
3	注册日期 Date of Incorporation	4	注册地点 Place of Incorporation
5	公司性质 Nature of Business	6	授权股本 Authorized Capital
		7	发行股本 Paid-up Capital
8	注册证书号码 Certificate of Incorporation No.	9	商业登记号码 Business Registration No.
10	注册地址 Registered address		
11	主要办事处地址 Principal business address		
12	办公室电话 Business Phone No.	13	传真号码 Fax No.
		14	电邮地址 E-mail address
15	股东 Shareholders		
	姓名 Name	地址 Address	百分比 (%) Percentage
	姓名 Name	地址 Address	百分比 (%) Percentage
	姓名 Name	地址 Address	百分比 (%) Percentage
	姓名 Name	地址 Address	百分比 (%) Percentage
16	董事 Directors		
	姓名 Name	身份证号码 / 护照 ID. Card / Passport	职位 Title
	姓名 Name	身份证号码 / 护照 ID. Card / Passport	职位 Title
	姓名 Name	身份证号码 / 护照 ID. Card / Passport	职位 Title
	姓名 Name	身份证号码 / 护照 ID. Card / Passport	职位 Title
	姓名 Name	身份证号码 / 护照 ID. Card / Passport	职位 Title
	姓名 Name	身份证号码 / 护照 ID. Card / Passport	职位 Title

B. 确认收取帐户电子结单 E-Statements Collection Confirmation

<input type="checkbox"/> 本人 / 吾等同意交易确认通知和帐户结单将透过电邮递送至我的电邮地址 I/We agreed that trading confirmations and statements to be sent to my/our E-MAIL address(es).	(如与A栏提供之电邮地址不同, if any difference in Company Information) _____
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C. 财务状况 Financial Situation

1	根据最近审计的账目, 盈利 / 亏损数额 Profit / loss after tax based on the latest audited accounts as at
	<input type="checkbox"/> 少于 Less than HK \$ 500,000 <input type="checkbox"/> HK \$ 500,001 - HK \$ 1,000,000 <input type="checkbox"/> HK \$ 1,000,001 - HK \$ 3,000,000 <input type="checkbox"/> 多于 Over HK \$ 3,000,000
2	根据最近的审计账目, 净资产 Net Asset based on the latest audited accounts as at
	<input type="checkbox"/> 少于 Less than HK \$ 1,000,000 <input type="checkbox"/> HK \$ 1,000,001 - HK \$ 5,000,000 <input type="checkbox"/> HK \$ 5,000,001 - HK \$ 10,000,000 <input type="checkbox"/> 多于 Over HK \$ 10,000,000
3	开户时可用作投资的流动资产 Amount of liquidity for investment at Account opening
	<input type="checkbox"/> 少于 Less than HK \$ 1,000,000 <input type="checkbox"/> HK \$ 1,000,001 - HK \$ 5,000,000 <input type="checkbox"/> HK \$ 5,000,001 - HK \$ 10,000,000 <input type="checkbox"/> 多于 Over HK \$ 10,000,000

D. 投资经验 Investment Experience

1	客户是否已有下列投资经验 Does the client have the following investment experience
	<input type="checkbox"/> 香港上市股票 HK Listed Stocks <input type="checkbox"/> 金银 Bullion <input type="checkbox"/> 基金 Funds <input type="checkbox"/> 香港期货和期权 HK Futures & Options <input type="checkbox"/> 外汇及商品 Forex & Commodity <input type="checkbox"/> 其他 Others _____
2	投资目的 Investment Objective
	<input type="checkbox"/> 保本 Capital Preservation <input type="checkbox"/> 股息回报 Dividend Yield <input type="checkbox"/> 资本增值 Capital Gain <input type="checkbox"/> 对冲 Hedging <input type="checkbox"/> 投机 Speculation
3	投资经验年期 Years of Experience in Investment
	<input type="checkbox"/> 没有 Nil <input type="checkbox"/> 一至五年 1-5 years <input type="checkbox"/> 五至十年 5-10 years <input type="checkbox"/> 超过十年 Over 10 years

E. 银行资料 Bank Reference

银行帐户纪录 BANK ACCOUNT RECORD	
除客户另行指示外, 客户的款项将会被转入下列银行帐户 Unless otherwise instructed by Client, all funds payable to Client will be credited to the following bank account	
银行 Bank	帐户名称 Account Name
_____	_____
分行 Branch	帐户号码 Account Number
_____	_____
帐户类别 Account Type(s) <input type="checkbox"/> 储蓄 Saving <input type="checkbox"/> 往来 Current <input type="checkbox"/> 其他 Others	

F. 获授权人仕 Authorized Persons

本公司现授权下列____位人士代表本公司以书面或口头发出与本帐户有关的指示。

The following person(s) is or are authorized on behalf of the Company to give written and / or oral instructions. Instruction require any ____ of the authorized persons signing jointly

姓名 Name	身份证/ 护照号码 ID. Card / Passport No.	职位 Position	联络电话 Tel. No.	签名式样 Specimen Signature

G. 衍生产品的认识 Knowledge Of Derivatives

1	<p>阁下以往曾否有买卖结构性或衍生产品的经验?</p> <p>Do you ever have any trading experience in structured or derivative product(s)?</p> <p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p>
2	<p>阁下曾否在以往三年内执行过五宗或以上结构性或衍生产品交易? (不论是否在交易所买卖的交易)</p> <p>Have you executed five or more transactions in structured or derivative products within the past three years? (Whether traded on an Exchange or not)</p> <p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p>
3	<p>阁下曾否接受有关结构性或衍生产品的培训或相关课程?</p> <p>Have you ever attended any courses or seminars on structured or derivative product(s)?</p> <p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p>
4	<p>阁下现时或以往的工作经验是否与结构性或衍生产品有关?</p> <p>Has any of your current or past work experience been related to structured or derivative product(s)?</p> <p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p> <p>雇主名称Name of employer: _____ 在职日期Relevant employment period: _____</p>
5	<p>本人确认已仔细阅读及完全明白，由东方证券(香港)有限公司提供，并以本人所选择之语言(英文或中文)的「就在交易所买卖的衍生产品所附带的风险作出解释」。本人并愿意承担交易相关衍生产品所带来的潜在风险。</p> <p>I acknowledge that I have read and fully understood the document entitled "Explanation of Risks Associated with Exchange-Traded Derivative Products" provided by Orient Securities (Hong Kong) Limited in a language of my choice (English or Chinese). I am willing to accept the risks associated with trading derivative product(s).</p> <p><input type="checkbox"/> 同意 Agreed <input type="checkbox"/> 不同意 Disagreed</p>

H. 客戶聲明 Client Statement

1	公司是否相關帳戶的最終收益所有者？ Is the company the ultimate beneficial owner(s) in relation to the Account? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No 帳戶的最終實益擁有人是 The ultimate beneficial owner(s) is / are 姓名 Name _____ 護照 / 身份證號碼 / 簽發地點 Passport / ID No. / Place of issue _____ 地址 Address _____
2	貴公司是否有任何董事或股東是根據證監條例登記之持牌法團之雇員？ Is there any of the company's director or shareholder an employee of a licensed corporation under the Securities and Futures Ordinance? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No * 有關持牌法團名稱是 The name of the related licensed corporation is _____
3	公司是否有董事或股東是東方證券香港有限公司或其聯營公司的雇員 / 代理人？ Is there any of the company's director or shareholders an employee or agent of Orient Securities (Hong Kong) Limit or its associated companies? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No 職員 / 代理人的名稱 Name of employee / agent _____ 關係 Relationship _____
4	客戶的公司集團內任何成員是否本公司客戶？ Is there any member of your Group of Companies a client of Orient Securities (Hong Kong) Limit? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No 帳戶名稱 Account Name _____ 帳戶編號 Account No. _____
5	公司有否股東是本公司的保證金客戶而又單獨或與配偶共同控制本公司的公司保證金客戶 35% 或以上股票權？ Any of your shareholders, either alone or with his / her spouse in control of 35% or more of your voting rights of a company which is margin client of Orient Securities (Hong Kong) Limit? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No 帳戶名稱 Account Name _____ 帳戶編號 Account No. _____

I. 客户确认及承诺 Client Declaration and Acknowledgement

有关客户协议（包括条款及条件、保证金及现金交易帐户之条款及守则、风险披露声明书、个人资料（私隐）条例）客户通知）及数据准确性提供确认：

Acknowledgement regarding Client Agreement (including the Terms and Conditions of Cash Account, the Terms and Conditions of Margin Account, the Risk Disclosure Statements, the Circular Relating to Personal Data (Privacy) Ordinance and the Internet Securities Trading Agreement) and Accuracy of information provided:

本人/吾等声明及承认

I / We declare and acknowledge that:

- 1 本人 / 吾等确认收到客户协议副本；

I / We acknowledged receipt of a copy of the Client Agreement;

- 2 按本人 / 吾等所选择的语言（英文或中文）向本人 / 吾等提供客户协议；

The Client Agreement is provided to me / us in a language of my / our choice (English or Chinese);

- 3 本人 / 吾等获邀浏览客户协议内的风险披露声明书及互联网证券买卖协议，并提问及寻求独立意见（如本人 / 吾等欲进行）；

I/We have been invited to read the Risk Disclosure Statement in the Client Agreement and in the Internet Securities Trading Agreement, to ask questions and to take independent advice if I wish;

- 4 本人 / 吾等承认载于本客户资料表中的资料是真实和准确的。东方证券(香港)有限公司获授权随时联络任何人，包括客户的银行、经纪或任何信用调查机构，藉以核实本客户资料表中所提供的资料。

The information contained in this client information form is true and accurate. Orient Securities (Hong Kong) Limited is authorized at any time to contact anyone, including client's banks, brokers or any credit agency, for the purpose of verifying the information provided on this client information form; and

保证金帐户 Margin Account

依据《证券及期货条例》，若客户维持一个保证金帐户，该客户同意将存放于本公司之抵押品由协议签订日起计，为期十二个月，授权本公司：

Under the Securities and Futures Ordinance, in the case where the Client maintain a Margin Account, the Client hereby authorize, and agree that in respect of the Collateral deposited with the company by the Client and for the period of 12 months from the date of execution of this Agreement, the company shall be entitled to:

- 1 将任何有关证券抵押品存放于认可财务机构，作为提供予本公司的财务通融的抵押品：或

Deposit any of the Collateral with an authorized financial institution as collateral for any financial accommodation provided to the company; or

- 2 依据证券借贷协议运用任何有关证券抵押品：或

Apply any of the Collateral pursuant to a securities borrowing and lending agreement; or

- 3 将任何有关证券抵押品存放于 (i) 认可结算所或 (ii) 另一获香港证券及期货事务监察委员会发牌或注册进行证券交易的中介人，作为解除本公司在交收上的义务和清偿本公司在交收上的法律责任的抵押品。

Deposit the Collateral with (i) a recognized clearing house or (ii) another intermediary licensed or registered with the SFC for dealing in securities as collateral for the discharge and satisfaction of the company's settlement obligations and liabilities.

公司授权人签署及公司印章

Authorized Signature with Company Chop



姓名 Name _____

日期 Date _____

J. 见证人Witness

见证人姓名 Name of Witness	见证人签署 Signature of Witness
见证人职业 Occupation of Witness	

K. 持牌代表声明 Declaration by Licensed Representative

本人, _____ (持牌代表姓名, 请用正楷填写), 确认已经以客户选择的语言(英文或中文)提供了载于客户协议内的风险披露声明, 并且本人已经邀请客户阅读该风险披露声明, 提出有关问题及征求独立的意见。(如客户有此意愿)

I, _____ (Print name of Licensed Representative) confirm that I have provided the Risk Disclosure Statements as set out in Client Agreement in a language (English or Chinese) of the Client's choice and that I have invited the Client to read the Risk Disclosure Statements, ask questions and take independent advice. (If the Client wishes)

(请用正楷填写 Please complete in block letters)

持牌代表姓名 Name of Licensed Representative	中央编号 CE No	持牌代表签署 Signature of Licensed Representative
_____	_____	_____

备注Remarks:	向客户确认日期 Date of Confirmation with Client:	确认时间 Confirmation Time:	内线 Ext:
_____	_____	_____	_____

经由东方证券(香港)有限公司承认及接纳

Acknowledged and Accepted By Orient Securities (Hong Kong) Limited

授权签名 / 公司印章 Authorized Signatory / Company Chop

日期 Date _____

注意事项 Note

- 请随本申请表附上全部帐户持有人之身份证副本。
Please attach an ID card copy of all account holders with this application.
- 请附上最近三个月内之地址证明文件。邮政信箱恕不接受。
Please enclose the address proof dated within the latest three months. P.O. Boxes are not accepted.
- 不能以第三者支票交收。
Third-party cheques cannot be used to settle any trading transaction.
- 客户须交给东方证券由客户在香港的持牌银行开立的帐户所签发(该签名须与此开户表格上的客户签名相符)并载有客户在身份证明文件上显示的姓名的个人支票, 而该支票抬头人须为「东方证券(香港)有限公司」及其数额不得少于港币壹万元。客户的新帐户必须待支票兑现后才可使用。
Client should send Orient Securities a personal cheque bearing his name shown in his identity document and drawn on his account with a licensed bank in Hong Kong with his same signature(s) as shown on this Form in favour of "Orient Securities (Hong Kong) Limited" for not less than HK\$10,000.00 (or such other amount as may be advised by Orient Securities). Client's new account will not be activated until the cheque is cleared.

L. 董事会决议摘录 (公司客户) Extract of Board Resolutions (Corporate Client)

客户名称 Client Name _____ (「本公司」) 于 _____ 年 _____ 月 _____

在(地点) _____ 正式召开董事会会议, 并决议事项如下:

Extract of minutes of a meeting of directors of the Company held at _____

on _____, the following resolutions were passed by the board of directors.

出席者Present: _____ 出席者Present: _____

出席者Present: _____ 出席者Present: _____

_____ 先生 / 女士为是次会议之主席

Mr. / Ms. _____ took the chairs of the meeting.

于东方证券 (香港) 有限公司开立帐户

Opening Account with Orient Securities (Hong Kong) Limited

于会上通过下列决议案:

IT IS RESOLVED THAT:

1. 本公司向经纪开立证券交易帐户 (「帐户」)
Open a securities trading account with Orient Securities (Hong Kong) Limited (the "Account")
2. 现特授权以下 _____ 位人士 (下称「获授权人」) 有权代表本公司就开立上述交易帐户一事向上述相关公司签署并提交履行文件, 并且建立、签署和履行就与上述有关公司维持上述交易帐户之任何其他协议书、担保书、授权书、抵押文件、确认书、解除文件、转让文件或其他文件; 并有权代表本公司就上述交易帐户给予上述相关公司书面指示购入、出售及处理任何有关产品。

That any _____ of the following person ("Authorized Persons") be and *is / are hereby authorized for and on behalf of our Company to execute and deliver the Documents, and to make, execute and deliver any other agreements, guarantees, authorizations, security documents, acknowledgements, releases, assignments or other documents, including any written instructions in relation to the Account(s) to the relevant Company to buy, sell and deal in and with all kinds of relevant products.

1	姓名 Name	香港身份证 / 护照号码 HKID. Card / Passport No.	签名式样 Specimen Signature
2	姓名 Name	香港身份证 / 护照号码 HKID. Card / Passport No.	签名式样 Specimen Signature
3	姓名 Name	香港身份证 / 护照号码 HKID. Card / Passport No.	签名式样 Specimen Signature
4	姓名 Name	香港身份证 / 护照号码 HKID. Card / Passport No.	签名式样 Specimen Signature

3. 当本公司变更任何上列的获授权人时, 定当以书面通知上述相关公司; 上述相关公司将按其书面通知内容办理, 直至另获新通知为止。
That the relevant Company be informed from time to time by notice in writing of any change in the above list of Authorized Persons and that the relevant Company be entitled to reply upon such notice until receipt of such further notice.

4. 提呈本会议之开户文件手册予以通过及批准, 并授权授权签字人签署该开户文件手册及其他有关开立帐户所需之一切文件。
The above persons be authorized to sign and confirm our acceptance to the terms set out in the Account Application Form and execute other necessary documents relating to the opening of the Account.

由于再无其他议案, 主席宣布散会。

There being no other business, the Chairman declared the meeting closed.

主席Chairman: _____

日期 Date: _____

M. 担保书

致： 东方证券(香港)有限公司
香港中环皇后大道中100号28-29楼

日期： _____

姓名： _____ (「担保人」)

担保人地址： _____

1. 基于贵经纪应本人/吾等要求向(客户姓名) _____ (「该客户」)于(日期) _____ 开立之证券交易帐户，进行证券买卖服务(以下称为「该服务」)，本人/吾等作为该客户的担保人不可撤回及无条件担保(「担保人」)，该客户将全数及准时向贵经纪支付该客户应付之所有款项或欠款(连利息)，包括追讨清还款项或欠款发生以全部赔偿为基准之律师费，并保证倘该客户由于任何原因无法根据上述证券客户协议之条款偿还任何有关款项时，则担保人将应贵经纪要求实时无条件向贵经纪偿还有关款项。
2. 此担保书规定担保人之全部份责任不会由于以下原因而解除或受到影响：(i) 贵经纪给予该客户时间或任何其他宽限，或根据该服务规定没收、持有、修改、延长、取消、解除、变卖或执行该客户债务之任何其他抵押，或与该客户达成重整、交易或和解，(ii) 有关该客户之任何法律限制或该客户无力偿债，(iii) 于该等信贷所规定该客户之服务或该服务并无责任、取消或不能履行，或(iv) 贵经纪采取或不采取任何其他行动或出现任何其他情况而原可解除此担保书所规定担保人之责任(因本条款而不能解除)贵经纪由于任何原因未能索取该客户根据该服务所明确规定该客户须支付之任何款项，则贵经纪可向担保人作为主要债务人而追收欠款。
3. 此担保书乃持续担保并一直维持有效，直至该客户全数支付该服务规定之任何所有款项为止。
4. 贵经纪可执行此担保书，事前无须向该客户提出任何要求或任何诉讼。而于经纪及担保人之间，担保人将视为主债务人。
5. 担保人谨此向贵经纪声明、保证并承诺，担保日前并无持有，将来亦不会在未经贵经纪书面同意下，接受或持有该客户或任何其他人士根据此担保书作为承担及债务保证之其他抵押，而倘担保日前或日后接受或持有任何有关抵押，则不论是否取得贵公司之书面同意，均须以信托形式代贵经纪保持任何时候获得有关抵押之同等权力及所有款项，并须实时将同等权力及款项连同有关文件交予贵公司。
6. 贵经纪根据任何裁决或任何法庭或其他令状，按照此担保书获得之款项概不可解除担保人所作之有关责任，除非直至贵经纪全数收取款项为止。
7. 贵经纪可使用担保人就其任何帐户在贵经纪有权获得之任何信贷结余，以支付到期及担保人根据此担保书应付之任何款项。
8. 倘贵经纪由于欺诈的优惠或任何其他原因，而支付用于扣减根据该服务之债务而收取之任何款项，则计算担保人之债务时，担保人被视作从来没有向贵经纪偿还有关款项而论。
9. 担保人谨此向贵经纪表示并保证担保人有权利订立此担保书并履行有关责任。担保人已细阅并明白此担保书之内容，并已就其效力寻求独立法律意见。
10. 经纪或其负责人出示声明，所申述客户欠负之金额，即作为欠负金额之最终凭证，担保人不得提出争议或要求出示任何文件或帐户账目以证明欠负金额。
11. 此担保书所赋予之保证乃额外保证，不可代替或以任何形式影响贵经纪就信贷而在日前或日后持有或接受该客户或任何其他人士之任何其他保证或担保，或受有关保证或担保影响。
12. 除非此担保书有明确之相反规定，否则时间对此担保书极为重要。贵经纪在不能或延迟行使此担保书之任何部份权利、权力或补偿，亦不可视为放弃追究担保人任何个别失责行为，亦不影响或损害贵经纪有关任何其他失责或日后其他同类或不同类之失责行为之权利、权力或补偿，且贵经纪行使此担保书任何权利、权力或补偿之任何一项或部份并不损害任何其他或进一步行使有关权利、权力或补偿之其他部份，亦不损害其行使任何其他权利、权力或补偿。
13. 倘此担保书任何条款之任何条款在任何时间根据任何司法权区法例属于或成为非法、无效或无法执行，则此担保书其他条款之合法性、有效性或可执行性，或有关条款根据任何其他司法权区法例之合法性、有效性或可执行性，无论如何均不会受到影响或损害。

14. 担保人不可转让此担保书之任何权利或责任。贵经纪则可根据该服务作出转让后, 将此担保书之任何权利转让予承让人。
15. 有关此担保书之各项通知均须以书面形式送交、邮递、传真或发出电邮予担保人或贵经纪各自在上文所列之地址。每份通知应在发出传真或电邮时(倘发出当日在收件人所在地并非工作日, 则在发出后下一个工作日), 或投递函件后两日被视为送达。
16. 倘担保人由超过一个法定团体组成, 则全部有关法定团体应共同及个别承担此担保书规定之担保人责任及义务。
17. 此担保书受香港特别行政区法例监管并按该等法例诠释, 担保人谨此接受香港法院的非专属司法管辖权的管辖。

担保人于上述日期签署承认本担保书

个人担保人

签署、盖印并送交)

姓 名:)

香港身份证号码/护照号码:)

签署

见证人姓名: _____

地 址: _____

职 业: _____

见证人签署

公司担保人

公司的法团公章于公司)

的董事及董事/秘书面前盖上。)

董事姓名:)

董事签署

董事/秘书姓名:)

董事/秘书签署

见证人姓名: _____

地 址: _____

职 业: _____

见证人签署

M. GUARANTEE LETTER

To: ORIENT SECURITIES (HONG KONG) LIMITED (the "Broker")

28F-29F, 100 Queen's Road Central, Central, Hong Kong

Date: _____

From: _____ (the "Guarantor")

Address of Guarantor: _____

1. In consideration of the Broker, at my/our request, making available to (name Of Client) _____ (the "Client") securities trading facilities by way of the Client Agreement dated _____ (such services hereinafter referred to as the "Facilities") I/we, the Guarantor irrevocably and unconditionally guarantee the full and punctual payment of ALL SUMS and indebtedness (including interest thereon) payable by the Client to the Broker together with costs and expenses for recovery thereof and legal costs on full indemnity basis and undertake that if for any reason the Client shall fail to pay any such sum in accordance with the terms and conditions of the said Client Agreement the Guarantor shall immediately on demand by the Broker unconditionally pay that sum together with interest to the Broker.
2. The Guarantor's liability under this Guarantee shall not be discharged in whole or in part or otherwise be affected in any way by reason of (regardless of whether or not any notification whatsoever is given to the Guarantor) (i) the Broker giving the Client time or any other concession or taking, holding, varying, extending, cancelling, releasing, realising or not enforcing any other security for the liabilities of the Client under the Facilities, or making any compromise, dealings or settlement with the Client or the Broker varying the Securities Trading Account Client Agreement with the Client, (ii) the Client's death, bankruptcy, liquidation, dissolution, receivership, ceasing business or any legal limitation or incapacity relating to the Client, (iii) the invalidity, annulment or unenforceability of the obligations of the Client under the Services or Facilities (iv) any other act or omission of the Broker or any other circumstances which but for this provision would have discharged the Guarantor from its obligations hereunder. Any monies expressed to be payable by the Client under the Facilities which may not be recoverable from the Client for any foregoing reason shall be recoverable by the Broker from the Guarantor as principal debtor.
3. This Guarantee is a continuing security and shall continue in effect until all sums whatsoever payable by the Client under the Facilities have been paid in full.
4. The Broker may enforce this Guarantee without first making demand on, or taking any proceeding against, the Client and that as between the Guarantor and the Broker, the Guarantor shall be deemed to be primary debtor.
5. The Guarantor hereby represents and warrants to and undertakes with the Broker that the Guarantor does not hold and will not hereafter, without the prior written consent of the Broker, take or hold on any account whatsoever any security from the Client or any other person for the obligations and liabilities of the Client hereunder, and in the event of the Guarantor now or hereafter taking or holding any such security, whether with or without the consent of the Broker, the Guarantor will hold their right to the same and all amounts at any time received in respect thereof in trust for the Broker and the Guarantor shall forthwith deposit the same and any documents relating thereto with the Broker.
6. No payment to the Broker under this Guarantee pursuant to any judgment or order of any court or otherwise shall operate to discharge the obligations of the Guarantor in respect of which it was made unless and until payment in full shall have been received by the Broker.
7. The Broker may apply any credit balance to which the Guarantor is entitled on any account of the Guarantor with the Broker in or towards satisfaction of any sum then due and payable from the Guarantor hereunder.
8. If any monies paid to the Broker in reduction of the indebtedness under the Facilities have to be repaid by the Broker on the ground of fraudulent preference or on any other ground, the liability of the Guarantor shall be computed as if such monies had never been paid to the Broker at all.
9. The Guarantor hereby represents and warrants to the Broker that it has power to enter into this Guarantee and to perform its obligations hereunder. The Guarantor has read and understood the contents of this Guarantee and has taken independent legal advice as to the effect hereof.
10. A statement by the Broker or its officer as to the amount of indebtedness owing by the Client shall be conclusive evidence of such amount owing and the Guarantor shall not dispute nor call for the production of any document, accounts or records for proof of such indebtedness.
11. The security conferred by this Guarantee is in addition to and not in substitution for and shall not in any way affect or be affected by any other security or guarantee which the Broker may now or hereafter hold or take from the Client or any other person in respect of the Facilities.
12. Save as may be expressly provided herein to the contrary, time shall be of the essence of this Guarantee. No failure or delay on the part of the Broker to exercise any right, power or remedy under this Guarantee shall operate as a waiver thereof nor shall a waiver by the Broker of any particular default by the Guarantor affect or prejudice the right, power or remedy of the Broker in respect of any other default or any subsequent default of the same or a different kind nor shall any single or partial exercise by the Broker of any right, power or remedy hereunder preclude any other or further exercise thereof or the exercise of any other right, power or remedy.
13. If at any time any provision of this Guarantee is or becomes illegal, invalid or unenforceable in any respect under the laws of any jurisdiction, neither the

legality, validity or enforceability of the remaining provisions of this Guarantee nor the legality, validity or enforceability of such provision under the laws of any other jurisdiction shall in any way be affected or impaired thereby.

14. The Guarantor may not assign any of its rights or obligations hereunder. The Broker may assign any of its rights hereunder to a person in favour of whom an assignment has been made under the Facilities.
15. Every notice under this Guarantee shall be in writing and may be given or made by post, facsimile or cable to the Guarantor or the Broker at their respective addresses given above. Every notice shall be deemed to have been received, in the case of a facsimile or cable at the time of despatch and in the case of a letter two days after its posting.
16. In the event of the Guarantor being made up of more than one legal entity, all such legal entities' liabilities and obligations as Guarantor hereunder shall be joint and several.
17. This Guarantee shall be governed by and construed in accordance with the laws of the Hong Kong Special Administrative Region and the Guarantor hereby submits to the non-exclusive jurisdiction of the Hong Kong courts.

IN WITNESS whereof the Guarantor has hereunto executed this Guarantee the day and year first above written.

INDIVIDUAL GUARANTOR

SIGNED, SEALED AND DELIVERED BY)

Name:)

HKID/Passport No.)

Signature

Witness's name: _____

Address: _____

Occupation: _____

Witness's signature

CORPORATE GUARANTOR

The Common Seal of the Guarantor was)

affixed in the presence of _____)

a director and)

a director/the Secretary)

Director

Director/Secretary

Witness's name: _____

Address: _____

Occupation: _____

Witness's signature

N. 电话、传真及电邮指示之授权 Telephone, Fax & Email Instruction

电话、传真及电邮指示之授权及赔偿事宜

AUTHORIZATION AND INDEMNITY IN RESPECT OF TELEPHONE, FAX & E-MAIL INSTRUCTION

本人(客户姓名: _____) 仅此授权你们按本人之「付款/转账指示」接受任何口头或书面指示, 不论该等指示是以电话、传真传递或电邮方式, 并授权你们按照指示采取行动, 本人于你们公司帐户内之款项支付予或转账至本人于 _____ 银行之帐户(帐户号码: _____)。你们依照任何声称由本人或本人之授权代表(们)如上述以电话、传真传递或以电邮方式所作出之口头或书面指示(合称「付款/转账指示」)而完成之交易, 不论有否已获本人授权, 知悉或同意, 对本人须具约束力。

I (Client Name(s): _____) hereby authorize you to accept and act on (but you are not obliged so to do) any instruction, oral or written, whether by telephone, facsimile transmission or e-mail regarding payment or transfer of funds from any of my account(s) with you to my account name of the bank _____ account No.: _____ upon my payment/transfer instruction. Any transaction effected by you on the basis of instructions, oral or written, given or purported to be given by me or my authorized representative(s) by telephone, facsimile transmission or e-mail as aforesaid (collectively referred to as "Payment/Transfer Instructions") shall be binding upon me whether made with or without my authority, knowledge or consent.

本人于此承诺会应你们要求, 并按你们认为需要之该种方式及于指定时间内, 签署因你们依照上述「付款/转账指示」完成任何交易后, 而需要完成授权手续之该等档。

I hereby undertake to upon you request such documents as you may require to complete the authorization of any transaction completed in accordance with the above Payment/Transfer Instructions in such manner and with such time limit as you may in your discretion require.

兹因你们同意按照上述授权而行事, 本人承诺于任何时间赔偿你们所有直接或间接因你们接受本人的「付款/转账指示」及按此行事而引致之诉讼、诉讼、索偿、损失、费用及支出。

In consideration of you agreeing to act in accordance with the above authorization, I undertake to keep you indemnified at all times against, and to save you harmless from, all actions, proceedings, claims, loss, damage, costs and expenses which may be brought against you or suffered or incurred by you and which shall have arisen either directly or indirectly out of in connection with your accepting my Payment/Transfer Instructions and acting thereon.

客户签署 Client's Signature(s):



客户姓名 Client Name _____

日期 Date _____

O. 常设授权—客户证券（保证金证券帐户客户必须签署此授权书）

Standing Authority—Client Securities (Margin securities account clients must sign this form)

致: 东方证券(香港)有限公司
Orient Securities (Hong Kong) Limited
香港中环皇后大道中100号28-29楼
28F-29F, 100 Queen's Road Central, Central, Hong Kong

敬启者 Dear Sir / Madam:

有关：常设授权书
Re : Standing Authority

本常设授权书是有关一切由贵公司代表本人购入或持有之证券。

This letter of standing authority covers all securities purchased or held by you on my 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：

1. 依据证券借贷协议运用任何本人的证券或证券抵押品；
2. 将任何本人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
3. 将任何本人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。

This letter authorizes you to :-

1. apply any of my securities or securities collateral to a securities borrowing and lending agreement;
2. deposit any of my securities collateral with an authorized financial institution as collateral for financial accommodation provided to you; and/or
3. deposit any of my 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, pursuant to Section 7 of the Securities and Futures (Client Securities) Rules.

本人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的证券抵押品设定为第一固定押记。

I understand that the recognized clearing house or the intermediary licensed or registered for dealing in securities will have a first fixed charge over my 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与贵公司另行签约订明。

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

贵公司须向本人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 for the return of any securities borrowed, lent, or deposited under this authority.

本人明白本人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，方将本人的证券退回本人。

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

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发出书面通知，而本人于授权有效期届满前未有提出反对续期。本人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 up to 12 months from the date hereof and may be renewed for subsequent periods of 12 months either with my written consent or if I am 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解释清楚，并已被提醒可寻求独立意见。本人明白本函件的内容。

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

客户签署 Client's Signature(s):



客户姓名 Client Name: _____

帐户号码 Account Number: _____

日期 Date: _____

只供本行使用 For Official Use Only 客户资料检验 Client Information Verified By		
职员姓名 Staff Name	职员签署 Staff Signature	日期 Date
信贷额及佣金 Credit Limit & Commission Charges		
最高信贷额 Max. Credit Limit	佣金收费 Commission Charges	其他 Others
备注 Remarks		

東方證券(香港)有限公司
ORIENT SECURITIES (HONG KONG) LIMITED

香港中环皇后大道中100号28-29楼
28F-29F, 100 Queen's Road Central, Central, Hong Kong
客服电话Tel: (852) 3519 1231
传真Fax: (852) 2259 9218