

**常设授权 - 客户证券（证券保证金账户客户如未能提供此授权书，我司只会提供证券现金帐户服务）**

**Standing Authority - Client Securities (If Securities Margin Account Client fails to provide this authorization letter, only Securities Cash Account service will be provided)**

致: 东方证券(香港)有限公司  
To: Orient Securities (Hong Kong) Limited  
东方期货(香港)有限公司  
Orient Futures (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

(共同及个别地,「贵公司」、「东方(香港)」、「你」、「你的」、「你们」、「你们的」)  
(Collectively and individually, "Company", "Orient (HK)", "you", "your")

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及证券抵押品。  
This letter of Standing Authority covers all securities and securities collateral 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. 在符合《证券及期货(客户证券)规则》的前提下, 依据贵公司与第三方订立的证券借贷协议及/或证券回购协议(为免生疑问, 包括但不限于, 相当于国际证券借贷协会全球证券借贷主协议(「全球证券借贷主协议」)及/或等同或类似于国际资本市场协会全球回购主协议(「全球回购主协议」)运用任何本人/我们的证券或证券抵押品(为免生疑问, 包括但不限于股票、债券和票据以及其他类型的固定收益证券);  
apply any of my/our securities or securities collateral, for the avoidance of doubt, including but not limited to shares, bonds, notes and other types of fixed income securities, pursuant to a securities borrowing and lending agreement and/or a securities repurchases agreement (for the avoidance of doubt, including but not limited to, any such agreement equivalent to or similar to the International Securities Lending Association's Global Master Securities Lending Agreement (the "GMSLA") and/or equivalent to or similar to the International Capital Market Association's Global Master Repurchase Agreement (the "GMRA")) between you and a third party, subject to compliance with the Securities and Futures (Client Securities) Rules;
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 provide 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.

我/我们获悉及确认贵公司有将客户的证券及证券抵押品再质押的做法。  
I/We hereby acknowledge, and confirm having been informed by you, that you have the practice of repledging clients' securities and securities collateral.

本人/我们明白现时并无任何法例规定本人/我们必须签署此授权书; 然而, 贵公司可能需要此授权书, 以便例如向本人/我们提供保证金贷款或获许将有关本人/我们的证券或证券抵押品借出予第三方或作为抵押品存放于第三方。本人/我们亦明白倘若本人/我们签署此授权书, 而本人/我们的证券或证券抵押品已借出予或存放于第三方, 该等第三方将对本人/我们的证券或证券抵押品具有留置权或作出押记。虽然贵公司根据本人/我们的授权而借出或存放属于本人/我们的证券或证券抵押品须对本人/我们负责, 但贵公司的失责行为可能会导致本人/我们损失本人/我们的证券或证券抵押品。本人/我们同意并确认贵公司及其有联系实体有权收取及保留任何由于处理本人/我们的证券或证券抵押品所产生的任何报酬、收入、回佣或其他利益而无须向本人/我们负责。  
I/We understand that I am/we are not required by any law to sign this authority, but it may be required by you, for example, to facilitate margin lending to me/us or to allow my/our securities or securities collateral to be lent to or deposited as collateral with third parties. I/We also understand that if I/we sign this authority and my/our securities or securities collateral are lent to or deposited with third parties, those third parties will have a lien or charge on my/our securities or securities collateral. Although you are responsible to me/us for securities or securities collateral lent or deposited under my/our authority, a default by you could result in the loss of my/our securities or securities collateral. I/We agree and confirm that you and your associated entities shall be entitled to receive and retain for your or their own benefit and not be accountable to me/us for any remuneration, income, rebates or other benefits resulting from any dealing with my/our securities or securities collateral.

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.

**[本页其余部分刻意留为空白; 下接签名页]**  
**[Remainder of Page Intentionally Left Blank; Signature Page Follows]**

客户签署 Client's Signature(s) :

账户持有人/第一账户持有人签署

**Signed by the Account Holder/ Primary Account Holder:**

X

客戶姓名 Client's Name: \_\_\_\_\_

日期 Date: \_\_\_\_\_

第二账户持有人签署 (如适用)

**Signed by the Secondary Account Holder (if applicable):**

X

客戶姓名 Client's Name: \_\_\_\_\_

日期 Date: \_\_\_\_\_

[本页其余部分刻意留为空白]  
[Remainder of Page Intentionally Left Blank]