## **Client Money and Client Securities Standing Authority**

To: UOB Kay Hian (Hong Kong) Limited 6/F, Harcourt House, 39 Gloucester Road, Hong Kong

Attention: Data Management Team

### Authority under Securities and Futures (Client Money) Rules

This letter of authority covers money held or received by you in Hong Kong in one or more segregated account(s) on my/our behalf ("Money").

Unless otherwise defined, all the terms used in this authorization letter shall have the same meanings as in the Securities and Futures Ordinance and the Securities and Futures (Client Money) Rules as amended from time to time. Segregated account(s) include any account(s) designed as client account(s) established and maintained in or outside Hong Kong.

In order for UOBKH to comply with the Securities and Futures (Client Money) Rules for transfer of my/our money, this letter authorizes you to:

- 1. combine or consolidate any or all segregated accounts of any name whatsoever and either individually or jointly with others, maintained by UOB Kay Hian (Hong Kong) Limited and/or Limited and/or any of its subsidiaries and affiliates from time to time ("UOBKH") and you may transfer any sum of Monies to and between such segregated account(s) to satisfy my/our obligations or liabilities to any member of the UOBKH Group, whether such obligations and liabilities are actual, contingent, primary or collateral, secured or unsecured, or joint or several; and
- 2. transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by member of the UOBKH Group; and/or
- transfer Monies interchangeably between the segregated accounts opened and maintained by UOBKH and the segregated accounts opened and maintained by UOBKH with any broker(s) and/or clearing house(s) (whether in Hong Kong or overseas).

### **Authority under Securities and Futures (Client Securities) Rules**

This letter also authorizes you to:

- 1. deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provided to you;
- deposit my/our securities collateral to or with (1) any person in accordance with the rules and regulations of The Stock Exchange of Hong Kong Limited (the "Exchange") or (2) any person in accordance with rules and regulations of the Hong Kong Securities Clearing Company Limited ("HKSCC") or (3) any person of a class specified in the rules of the Securities and Futures Commission (for the purposes of section 148 of the Securities and Futures Ordinance (Chapter 571 of the Laws of Hong Kong));
- deposit any of my/our securities collateral with Hong Kong Securities Clearing Company Limited ("HKSCC") as collateral for the discharge and satisfaction
  of your settlement obligations and liabilities. I/We understand that HKSCC will have a first fixed charge over my/our securities to the extent of your
  obligations and liabilities;
- 4. deposit my/our securities collateral with the SEHK Options Clearing House Limited as collateral in respect of UOB Kay Hian (Hong Kong) Limited's transactions in or relating to options contracts;
- 5. deposit any of my/our securities collateral with any other recognised 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; and
- 6. do all acts and things which are necessary for or incidental to the performance of the above activities or any of them.

You may do any of these things without giving me/us notice. This authority is given without prejudice to other authorities or rights which UOBKH Group may have in relation to dealing in Monies or Securities in the segregated accounts.

This authority will be expired in 12 months, it may be revoked by giving you written notice addressed to the Business Development and Client Services Department. Such notice shall take effect upon the expiry of 14 days from the date of your actual receipt of such notice. I/We understand that this authority shall be deemed to be renewed on a continuing basis without my/our written consent if you issue me/us a written reminder at least 14 days prior to the expiry date of this authority, and I/we do not object to such deemed renewal before such expiry date.

In the event of any difference in interpretation or meaning between the Chinese and English version of this authority, I/we agree that the English version shall prevail.

I/We have read and understand and accept the contents of this letter.

Customer Signature:		
Account Name:		
ID/Passport No.:		
Account Number:	-001/-001M / -001F / -001S*	(please delete as appropriate)
Date:		

# 客戶款項及客戶證券常設授權

致: 大華繼顯(香港)有限公司 香港告士打道 39 號夏愨大廈 6 樓 資料管理部收

## 根據《證券及期貨(客戶款項)規則》所設立的常設授權

本授權書涵蓋爾等為本人/吾等在香港收取或持有並存放於一個或多個獨立賬戶內的款項(下稱「款項」)。

除非另有說明,本授權書之名詞與《證券及期貨條例》及《證券及期貨(客戶款項)規則》不時修訂之定義具有相同意思。獨立賬戶包括在香港或香港以外地方設立及維持並標明為客戶賬戶之任何賬戶。

為使大華繼顯遵守《證券及期貨(客戶款項)規則》以轉移本人/吾等之款項,本授權書授權爾等:

- 1. 組合或合併爾等或大華繼顯(香港)有限公司及/或大華繼顯期貨(香港)有限公司及/或其任何附屬公司及聯繫公司(下稱「大華繼顯」)所維持的任何或全部獨立賬戶,此等組合或合併活動可以個別地或與其他賬戶聯合進行,爾等可將該等獨立賬戶內任何數額之款項作出轉移,以解除本人/吾等對大華繼顯內任何成員的義務或法律責任,不論此等義務和法律責任是確實或或然的、原有或附帶的、有抵押或無抵押的、共同或分別的;及
- 2. 從大華繼顯任何成員於任何時候維持的任何獨立賬戶之間來回調動任何數額之款項;及/或
- 3. 從大華繼顯設立及維持的獨立賬戶及於任何經紀人及/或結算公司(不論香港或海外)維持的獨立賬戶,來回調動任何數額之款項。

### 根據《證券及期貨(客戶證券)規則》所設立的常設授權

本授權書亦授權爾等:

- 1. 將任何本人/吾等的證券抵押品存放於認可財務機構,作為該機構提供大華繼顯財務通融之抵押品;
- 2. 將本人/吾等證券抵押品存放於(1) 根據香港聯合交易所有限公司(「聯交所」)規則及規例下的任何人士或(2) 根據香港中央結算有限公司(「香港結算」)規則及規例下的任何人士或(3) 根據證券及期貨事務監察委員會規則下所載述有關類別的任何人士(就香港法例第 571 章證券及期貨條例第 148 條而言);
- 3. 將本人/吾等證券抵押品存放於香港結算,作為該機構之抵押品,以履行並完成大華繼顯的結算責任。本人/吾等明白中央結算因應大華繼顯的責任和義務而對本人/吾等的證券設定第一固定押記;
- 4. 將本人/吾等證券抵押品存放於聯交所期權結算所有限公司,作為大華繼顯(香港)有限公司的有關期權合約的抵押品;
- 5. 將任何本人/吾等的證券抵押品存於任何其他的認可結算所或任何其他獲發牌或獲註冊進行證券交易的中介人,作為解除大華繼顯在交收上的責任 和義務和清償大華繼顯在交收上的法律責任的抵押品;及
- 6. 將進行履行上述活動或其中任何活動必須或附帶的所有行為及事情。

爾等可不向本人/吾等發出通知而採取上述行動。此賦予爾等之授權並不損害大華繼顯可享有有關處理該等獨立賬戶內款項的其他授權或權利。

本授權書有效期為 12 個月。本人/吾等可以向爾等客戶服務部發出書面通知,撤回本授權書。該等通知之生效日期為爾等真正收到該等通知後之 14 日起計。本人/吾等明白爾等若在本授權書的有效期屆滿前 14 日之前,向本人/吾等發出書面通知,提醒本人/吾等本授權書即將屆滿,而本人/吾等沒有在此授權屆滿前反對此授權續期,本授權書應當作在不需要本人/吾等的書面同意下按持續的基準已被續期。

倘若本授權書的中文本與英文本在解釋或意義方面有任何歧義,本人/吾等同意應以英文本為準。

本人/吾等閱讀、明白及同意本授權書的內容。

客戶簽署:		_
賬戶名稱:		_
身份証/護照號碼:		_
賬戶號碼:	-001/-001M / -001F / -001S*	_(請刪去不適用者
日期:		