

NOTICE OF CHANGE IN RELATION TO CLIENT AGREEMENT – APPENDIX I RISK DISCLOSURE STATEMENT AND ADDITIONAL RISK DISCLOSURE STATEMENT –  
RISKS ASSOCIATED WITH TRADING SECURITIES UNDER SHANGHAI-HONG KONG AND SHENZHEN-HONG KONG STOCK CONNECT

關於客戶協議書之更改通知 – 附錄一 風險披露聲明及附加風險披露聲明書 在滬港通及深港通下買賣證券的風險

With effective from 1 April 2019, the terms and conditions (Appendix I Risk Disclosure Statement and Additional Risk Disclosure Statement) will be revised and the changes are set out below:

由 2019 年 4 月 1 日起，客戶協議之條款及細則(附錄一 風險披露聲明及附加風險披露聲明書)將會作出修訂，更改列明如下：

Existing Clause number 原有條款項目	Revised Clause number 更新條款項目	Amendment(s) (new contents are underlined and deleted contents are marked with strikethrough lines) 修訂(新增內容以底線列明，刪除之內容以劃掉方式列明)
APPENDIX I RISK DISCLOSURE STATEMENT		
	15	<p><u>RISK OF ENTERING INTO OVER-THE-COUNTER DERIVATIVE TRANSACTIONS WITH AN UNLICENSED PERSON</u></p> <p><u>I/We understand that if I/we enter into over-the-counter derivative transactions with UOB Kay Hian Private Limited ( "<u>Counterparty</u>" ), it is important for me/us to note that the Counterparty is not licensed by the SFC and hence is not subject to the conduct and prudential supervision by the SFC.</u></p> <p><u>I/We acknowledge that the Counterparty is regulated by Monetary Authority of Singapore. Although the Counterparty is regulated by another regulatory body, the regulation of such regulatory body may be different from the regulation of the SFC, and the protection that I/we receive under the regulation of that regulatory body might not be the same as the protection that I/we would receive if the Counterparty were licensed by the SFC.</u></p> <p><u>I/We should cautiously consider whether it would be in my/our best interest to enter into over-the-counter derivative transactions with the Counterparty instead of a licensed corporation and seek independent professional advice when in doubt.</u></p> <p><u>與非持牌人訂立場外衍生工具交易的風險</u></p> <p><u>本人 / 吾等明白，假如本人 / 吾等與大華繼顯私人有限公司(「<u>對手方</u>」)訂立場外衍生工具交易，本人 / 吾等必須注意，對手方並無獲證監會發牌，因此不受證監會的操守及審慎監管。</u></p> <p><u>本人 / 吾等確認對手方受新加坡金融管理局監管，儘管對手方受另一家監管機構的監管，但該監管機構的監管可能與證監會的監管有所不同，而本人 / 吾等在該監管機構的監管下可獲得的保障，與本人 / 吾等在假如對手方獲證監會發牌的情況下所獲得的保障可能有所差別。</u></p> <p><u>本人 / 吾等應審慎考慮，與對手方 ( 而並非與持牌法團 ) 訂立場外衍生工具交易是否符合本人 / 吾等的最佳利益；如有疑問，本人 / 吾等應尋求獨立的專業意見。</u></p>
ADDITIONAL RISK DISCLOSURE STATEMENT - RISKS ASSOCIATED WITH TRADING SECURITIES UNDER SHANGHAI-HONG KONG AND SHENZHEN-HONG KONG STOCK CONNECT		
30	30	<p>Clause 30 is deleted:</p> <p><del>Short Selling – 賣空 Deleted 已刪除</del></p> <p><del>Covered short selling of China Connect Securities may become available in due course, provided that such covered short selling satisfies the requirements specified by the relevant Regulators. Short selling may be suspended where the volume of short selling in respect of the relevant China Connect Security exceeds the threshold(s) specified by the SEHK, and may be resumed if the SEHK so permits. However, naked short selling of China Connect Securities is prohibited. The investor shall be fully responsible for understanding and complying with short selling requirements in effect from time to time and for any consequences of non-compliance.</del></p> <p><del>UOBKH(HK)L will be required to file report to the SEHK providing details of the activities of each Short Selling Security and if there is any open short position of any Short Selling Security after the market close on the last CSC trading day of a calendar week that exceeds any of the following thresholds:-</del></p> <p><del>A. RMB25 million; or</del></p> <p><del>B. 0.02% of the total issued shares of the relevant Short Selling Security</del></p> <p><del>日後可以有擔保的形式賣空中港通證券，先決條件是有擔保賣空須符合相關規管機關指定的要求，在有關的中港通證券的賣空數量超過聯交所定下的限額的情況下，賣空活動可能會被暫停，而如聯交所准許，則可能會得以恢復，禁止無擔保賣空中港通證券，投資者須完全負責理解及遵照不時生效的賣空要求及不合規的任何後果。</del></p> <p><del>大華繼顯須向聯交所提交報告，闡述每隻賣空證券的活動詳情，以及在某周最後一個中證通交易日收市後，有否任何超出以下限額的未平倉的賣空證券：</del></p> <p><del>A. 人民幣 2,500 萬元；或</del></p> <p><del>B. 相關賣空證券的全部已發行股份的 0.02%。</del></p>

31	31	<p>Clause 31 is deleted:</p> <p><b>Stock Borrowing and Lending — 證券借貸-Deleted 已刪除</b></p> <p>Stock borrowing and lending are permitted for eligible China Connect Securities as specified by SSE and/or SZSE for the purposes of (a) covered short selling and (b) satisfying the Pre-Trade Checking requirement. Special China Connect Securities are not eligible for stock borrowing and lending for the purpose of covered short selling (but are eligible for the purpose of satisfying the Pre-Trade Checking requirement). SSE and/or SZSE will determine a list of eligible China Connect Securities for stock borrowing and lending. Stock borrowing and lending of eligible China Connect Securities will be subject to restrictions set by the SEHK and SSE and/or SZSE, including but not limited to the following:</p> <p>允許為(a)有擔保賣空及(b)滿足交易前檢查規定進行上交所及/或深交所指定的合資格中港通證券的證券借貸，就有擔保賣空而言，特別中港通證券不符合資格進行證券借貸（但就滿足交易前檢查規定而言符合資格），上交所及/或深交所將決定合資格進行證券借貸的中港通證券名單。合資格中港通證券的證券借貸將受制於聯交所及上交所及/或深交所訂下的限制，包括（但不限於）下列限制：</p> <p>(a) stock borrowing and lending agreements for the purpose of covered short selling shall have a duration of not more than one month; 有擔保賣空的證券借貸協議的持續期不得多於一個月；</p> <p>(b) stock borrowing and lending agreements for the purpose of satisfying the Pre-Trade Checking requirement shall have a duration of not more than one day (and roll-over is not permitted); 為滿足交易前檢查規定的證券借貸協議的持續期不得多於一日（且不得滾計）；</p> <p>(c) stock lending will be restricted to certain types of persons to be determined by SSE and/or SZSE; and 只有上交所及/或深交所決定的某類別人士可進行股份借出；及</p> <p>(d) stock borrowing and lending activities will be required to be reported to the SEHK. 證券借貸活動必須向聯交所彙報。</p> <p>Only certain persons are eligible to lend China Connect Securities in stock borrowing and lending arrangements concerning China Connect Securities. 只有某些人士在中港通的證券借貸安排下有資格貸出中港通證券。</p> <p>UOBKH(HK)L will be required to file a monthly report to the SEHK providing details of its stock borrowing and lending activities with respect to China Connect Securities. This may include (amongst others) details of the borrower, lender, amount of shares borrowed/lent, amount of shares outstanding and date of borrowing/returning. 大華繼顯須要每月向聯交所提交報告，提供關於其進行中港通證券的證券借貸活動的資料。這可能會包括（但不限於）借入方、貸出方、所借貸股份數量、尚欠股份數量及借貸日期的詳情。</p> <p>Where the prescribed proportion of stock borrowing and lending of any China Connect Security exceeds the limit prescribed by SSE and/or SZSE, SSE and/or SZSE may suspend stock borrowing and lending of such China Connect Security and require the SEHK Subsidiary to suspend placement of covered short selling orders relating to such China Connect Security. If and when the prescribed proportion of stock borrowing and lending falls below the prescribed limit, SSE and/or SZSE may resume stock borrowing and lending of such China Connect Security and notify the SEHK Subsidiary that it may resume acceptance of covered short selling orders relating to such China Connect Security. 當任何中港通證券的證券借貸訂明比例超出上交所及/或深交所訂定的上限時，上交所及/或深交所可暫停該中港通證券的證券借貸活動，並要求聯交所附屬公司暫停下達有關該中港通證券的有擔保賣空盤。倘若及當訂明的證券借貸比例下降至低於訂明的限額時，上交所及/或深交所可恢復該中港通證券的證券借貸活動，並通知聯交所附屬公司可以恢復接受有關該中港通證券的有擔保賣空指令。</p> <p>The investor is advised to refer to the relevant provisions from time to time governing stock borrowing and lending of China Connect Securities under the SEHK China Connect Rules and the Applicable laws and regulations. Neither UOBKH(HK)L nor any Related Person shall have any obligation to update the investor in respect of any suspension of stock borrowing and lending or any change to the relevant SEHK China Connect Rules or Applicable laws and regulations. 建議投資者查閱聯交所中港通規則和適用法例及規例不時有關中港通證券證券借貸的相關條款。大華繼顯及任何相關人士概無任何義務向投資者更新任何證券借貸的暫停或任何相關聯交所中港通規則或適用法例及規例的變更。</p>
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