



MARKETSENSE SECURITIES LTD

友盈證券有限公司

(A member of Marketsense Financial Holdings Ltd.)

Overseas Securities Trading Application Form

海外證券交易申請表

Account Name 帳戶名稱: _____ **Account No.** 帳戶號碼: _____

I/We hereby confirm to apply for activating the trading service for overseas securities markets. I/We hereby agree that Marketsense Securities Limited ("MSL") makes a final and uncontestable decision and amends or terminates the trading service based on my/our account information and relevant rules and laws, without prior notice and is not liable for any liability or claim in any format.

本人/吾等確認申請海外證券市場的交易服務。本人/吾等同意友盈證券有限公司("友盈證券")可在不予通知情況下，根據本人/吾等戶口資料和相關法規，就更改或終止有關交易服務作出最終和不可抗辯的決定，而友盈證券不需承擔任何形式的責任或賠償。

I/We hereby confirm that the market(s) specified below should be included:

本人/吾等確認以下指明的市場須包括在內:

I/We agree to inform MSL within 30 days upon any changes in nationality / citizenship / tax residency status / address. I/We shall fully indemnify and hold harmless MSL from and against all claims, damages, losses, costs and expenses whatsoever incurred as a result of such non-compliance or omission.

本人/吾等承諾若本人/吾等的國籍、公民身份、稅務居民資格，或地址有所變更，會於三十日內主動通知友盈證券。本人/吾等亦同意悉數對友盈證券因本人/吾等違規或遺漏而蒙受的任何索償、損害、損失、費用及開支作出彌償，並保證其利益不受損害。

I/We acknowledge and understand that client assets received or held by MSL outside Hong Kong are subject to the applicable laws and regulations of the relevant overseas jurisdiction which may be different from the Securities and Futures Ordinance (Cap.571) and the rules made thereunder. Consequently, such client assets may not enjoy the same protection as that conferred on client assets received or held in Hong Kong.

本人/吾等確認及明白友盈證券在香港以外地方收取或持有的客戶資產，是受到有關海外司法管轄區的適用法律及規例所監管的。這些法律及規例與《證券及期貨條例》(第 571 章)及根據該條例制訂的規則可能有所不同。因此，有關客戶資產可能不會享有賦予在香港收取或持有的客戶資產獲賦予的相同保障。

Client Signature(s) Company Chop (if applicable)

客戶簽署 公司蓋章 (如適用)

Date

日期

OFFICIAL USE ONLY 只供本公司使用	RO	CS	Settlement	Checker
Acknowledged by				
Client signature verified by				
Input to BOS system by				

15/F, Siu On Centre, 188 Lockhart Road, Wan Chai, Hong Kong

香港灣仔駱克道 188 號兆安中心 15 樓

Tel. No. 電話號碼 : (852) 3900 0018

Fax No. 傳真號碼 : (852) 3900 0010

Ver.2020_06

STANDING AUTHORITY
常設授權書

To: MARKETSENSE SECURITIES LIMITED
致: 友盈證券有限公司
15/F, Siu On Centre, 188 Lockhart Road, Wan Chai, Hong Kong.
香港灣仔駱克道 88 號兆安中心 15 樓

STANDING AUTHORITY UNDER SECURITIES & FUTURE (CLIENT MONEY) RULES

根據《證券及期貨(客戶款項)規則》所設立的常設授權

This Standing Authority covers money held or received by Marketsense Securities Limited ("MSL") in Hong Kong (Including any interest derived from the holding of the money which does not belong to MSL) in one or more segregated account(s) on my/our behalf (the "Monies").

本授權涵蓋友盈證券有限公司(「友盈證券」)為本人/吾等在香港收取或持有並存放一個或多個獨立帳戶內之款項(包括因持有並非屬於友盈證券之款項而產生之利息)(下稱「款項」)。

Unless otherwise defined or the context requires otherwise, all the terms used in this standing authority 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.

除另有界定或文義另有所指外，本授權內之所有名詞，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涵義。

This Standing Authority authorizes MSL to, in MSL sole discretion and without having to provide me/us with any prior notice or to obtain any prior confirmation and/or direction from me/us, to:

本授權授權友盈證券按其酌情權，並在毋須事前給予本人/吾等任何通知或取得本人/吾等的確認及/或指示的情況下：

- (1) Combine or consolidate any or all segregated accounts of any name whatsoever and either individually or jointly with others, maintained by MSL for the purpose of satisfying our obligations or liabilities are actual or contingent, primary or collateral, secured or unsecured or joint or several;
合併或綜合友盈證券，即友盈證券以任何名義所維持的任何或全部獨立帳戶，此等組合或合併活動可以個別地或與其他帳戶聯合進行，以履行本人/吾等對友盈證券任何成員公司的義務或法律責任，無論此等義務或法律責任為確實或或然的、原有或附帶的、有抵押的或無抵押的、共同或分別的；
- (2) Transfer any sum of monies interchangeably between any of the segregated accounts maintained at any time by MSL;
從友盈證券於任何時間維持的任何獨立帳戶之間來回調動任何數額之款項；
- (3) Transfer any sum of Monies interchangeable between any of the segregated accounts maintained at any time by MSL and any segregated accounts maintained with counter-broker (whether in Hong Kong or overseas) upon or before any instructions have been given;
在指示發出或之前，從友盈證券於任何時間維持的獨立帳戶及於交易對手(不論香港或海外)維持的任何獨立帳戶，來回調動任何數額之款項；
- (4) Keep our Monies with overseas clearing firm(s) or broker(s) after trading to facilitate future trading or to transfer our Monies interchangeably between the segregated account(s) opened and maintained by MSL in Hong Kong and the segregated account(s) opened and maintained by MSL with any overseas clearing firm(s) or broker(s) outside Hong Kong;
於完成交易後，將本人/吾等之款項存放於海外清算行或券商，以便日後之交易，或將本人/吾等之款項於友盈證券於香港開立及維持之獨立帳戶及在友盈證券於任何海外清算行或券商開立及維持之獨立帳戶之間交替地轉移；
- (5) Exchange our Monies into any other currency(ies) at the rate of exchange conclusively determined MSL; and
可將帳戶內的款項以友盈證券最終確定的匯率兌換成任何其他貨幣；及
- (6) This Standing Authority is given to MSL in consideration of MSL agreeing to continue to maintain the relevant trading account(s) for me/us.
此賦予友盈證券之授權乃鑑於友盈證券同意繼續維持本人/吾等之相關交易帳戶。

This Standing Authority is given without prejudice to other authorities or rights which MSL may have in relation to dealing in the Monies in the segregated accounts.

此賦予友盈證券之授權並不損害友盈證券有關處理該等獨立帳戶內款項的其他授權或權利。

I/We acknowledge and understand that client money held by MSL outside Hong Kong are subject to the applicable laws and regulations of the relevant overseas jurisdiction which may be different from the Securities and Futures Ordinance and the rules made thereunder including the Securities and Futures (Client Money) Rules. Consequently, such client money may not enjoy the same protection as that conferred on client money held in Hong Kong.

本人/吾等確認及明白，友盈證券在香港以外地方收取或持有的客戶款項，是受到有關海外司法管轄區的適用法律及規例所監管的。這些法律及規例與《證券及期貨條例》及根據該條例制訂的規例(包括《證券及期貨(客戶款項)規則》)可能有所不同。因此，有關客戶款項將可能不會享有賦予在香港收取或持有的客戶款項的相同保障。

This Standing Authority is valid for a period of 12 months from the date of this letter. I/We understand that this Authority shall be deemed to be renewed on a continuing basis for another year without our written consent if you issue to me/us a written reminder at least 14 days prior to the expiry date of this Standing Authority, and I/we do not object to such deemed renewal before such expiry date. This Standing Authority may be revoked by me/us at any time by serving you a written notice to that effect. Such revocation shall not take effect until 2 business days subsequent to the actual receipt by MSL of such written notice and shall not affect any transactions undertaken by MSL pursuant to this Standing Authority prior to such revocation taking effect.

本授權由本函簽發之日起十二個月內有效。本人/吾等明白，若友盈證券於本授權的有效期限滿前十四天或以前，向本人/吾等發出書面通知，提醒本人/吾等本授權即將屆滿，而本人/吾等並沒有在本授權屆滿前對此授權續期作出反對，則本授權應當作在不需要本人/吾等書面的同意下按持續的基準被續期一年。本人/吾等可於任何時候以書面通知友盈證券以撤銷本授權。本授權將於友盈證券正式收到該書面通知後兩個工作天後正式撤銷。然而在此撤銷正式生效前，所有友盈證券按本授權所達成的任何交易均不受該項撤銷所影響。

In the event of any difference in interpretation or meaning between the English and Chinese version of this Standing Authority, the English version shall prevail. I/We confirm that this Standing Authority has been explained to me/us and I/we fully understand the contents of this Standing Authority and have sought, or have had the opportunity to seek, legal advice concerning its contents and effect.

如本授權中、英文本之解釋或意思有任何歧義，概以英文本為準。本人/吾等確認本人/吾等就本授權的內容獲得解釋，並且完全明白本授權的內容，或本人/吾等已經或曾被賦予機會，就本授權的內容及效力尋求法律顧問的意見。

Client Signature(s)

客戶簽署

Client Name

客戶名稱

Account No.

帳戶號碼

Date

日期

Personal Information Collection Statement Concerning China Connect Service

有關中華通交易服務收集個人資料聲明

Client Name

客戶姓名：

A/C No.

帳戶號碼：

I/We acknowledge and agree that in providing Marketsense Securities Limited's ("MSL") Shanghai Stock Connect and Shenzhen Stock Connect Northbound Trading Service ("China Connect Service") to me/us, I/we will be required to:

本人/吾等確認並同意，友盈證券有限公司（「友盈證券」）向本人/吾等提供滬股通及深股通北向交易服務時（「中華通交易服務」），本人/吾等將需要：

(i) tag each of my/our orders submitted to the China Stock Connect System ("CSC") with a Broker-to-Client Assigned Number ("BCAN") that is unique to me/us; and
就每個提交到中華證券通系統（"CSC"）的北向買賣盤，附加友盈證券為本人/吾等編派的一個唯一的券商客戶編碼（「券商客戶編碼」）；及

(ii) provide to the Stock Exchange of Hong Kong Limited ("SEHK") my/our assigned BCAN and my/our full name, the issuing country or jurisdiction of the identity document, the type of identity document and the number of the identity document ("Client Identification Data" or "CID") relating to me/us as the SEHK may request from time to time under the Rules of the Exchange.

按香港聯合交易所有限公司（「聯交所」）不時根據《交易所規則》的規定要求，向其提供本人/吾等指定的券商客戶編碼及本人/吾等的姓名、身份證明文件的簽發國家、身份證明文件的類別及身份證明文件的號碼（「客戶識別信息」）。

Without limitation to any notification MSL has given me/us or consent MSL has obtained from me/us in respect of the processing of my/our personal data in connection with my/our account and MSL's services to me/us, I/we acknowledge and agree that MSL may collect, store, use, disclose and transfer personal data relating to me/us as required as part of MSL's China Connect Service, including as follows:

包括但不限於友盈證券曾向本人/吾等作出的任何通知或友盈證券在處理本人/吾等帳戶或有關服務時已取得本人/吾等同意，以處理本人/吾等的個人資料情況下，本人/吾等確認並同意友盈證券在提供中華通交易服務予本人/吾等時，可能會收集、儲存、使用、披露及轉移本人/吾等的個人資料，當中包括：

(a) to disclose and transfer my/our BCAN and CID to the SEHK and the relevant SEHK Subsidiaries from time to time, including by indicating my/our BCAN when inputting a China Connect Order into the CSC, which will be further routed to the relevant China Connect Market Operator on a real-time basis;
不時向聯交所及其相關子公司披露及轉移本人/吾等的券商客戶編碼及客戶識別信息，包括在CSC輸入中華通買賣盤時，標示本人/吾等的券商客戶編碼，而該買賣盤將實時傳送至相關中華通市場營運者；

(b) to allow each of the SEHK and the relevant SEHK Subsidiaries to: (i) collect, use and store my/our BCAN, CID and any consolidated, validated and mapped BCANs and CID information provided by the relevant China Connect Clearing House (in the case of storage, by any of them or via Hong Kong Exchanges and Clearing Limited) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange; (ii) transfer such information to the relevant China Connect Market Operator

- (c) (directly or through the relevant China Connect Clearing House) from time to time for the purposes set out in (c) and (d) below; and (iii) disclose such information to the relevant regulators and law enforcement agencies in Hong Kong so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets;

同意聯交所及相關子公司 (i) 收集，使用及儲存本人/吾等的券商客戶編碼、客戶識別信息，及由相關中華通結算所提供的任何已綜合、核實及配對的券商客戶編碼及客戶識別信息的資料（由任何一方或透過香港交易所儲存），以用作市場監控和監察目的及執行《交易所規則》；(ii) 不時為以下(c)及(d)段所述目的將有關資料轉移予相關中華通市場營運者（直接或透過相關中華通結算所）；及 (iii) 向在香港的相關監管機構及執法機關披露此等資料，以協助他們履行有關香港金融市場的法定職能；

- (d) to allow the relevant China Connect Clearing House to: (i) collect, use and store my/our BCAN and CID to facilitate the consolidation and validation of BCANs and CID and the mapping of BCANs and CID with its investor identification database, and provide such consolidated, validated and mapped BCANs and CID information to the relevant China Connect Market Operator, the SEHK and the relevant SEHK Subsidiary; (ii) use my/our BCAN and CID for the performance of its regulatory functions of securities account management; and (iii) disclose such information to the Mainland regulatory authorities and law enforcement agencies having jurisdiction over it so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets; and

同意相關中華通結算所 (i) 收集，使用和儲存本人/吾等的券商客戶編碼及客戶識別信息，以便綜合及核實券商客戶編碼與客戶識別信息，並將此類信息與其本身的投資者身份數據庫進行配對，並將此類已綜合、核實及配對的券商客戶編碼與客戶識別信息資料提供予相關的中華通市場營運者、聯交所及其子公司；(ii) 使用本人/吾等的券商客戶編碼及客戶識別信息來協助其履行證券帳戶管理的監管職能；及 (iii) 向管轄相關中華通結算所的內地監管機構及執法機關披露此等資料，以助他們履行對內地金融市場的監管、監察及執法職能；及

- (e) to allow the relevant China Connect Market Operator to: (i) collect, use and store my/our BCAN and CID to facilitate their surveillance and monitoring of securities trading on the relevant China Connect Market through the use of the China Connect Service and enforcement of the rules of the relevant China Connect Market Operator; and (ii) disclose such information to the Mainland regulatory authorities and law enforcement agencies so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets.

同意相關中華通市場營運者 (i) 收集，使用和儲存本人/吾等的券商客戶編碼及客戶識別信息，以助其就相關中華通市場所進行的中華通證券交易進行監管與監察及執行相關中華通市場營運者的規則；及 (ii) 向內地的監管機構及執法機關披露此等資料，以助他們履行有關內地金融市場的監管、監察及執法職能。

By instructing MSL in respect of any transaction relating to China Connect Securities, I/we acknowledge and agree that MSL may use my/our personal data for the purposes of complying with the requirements of the SEHK and its rules as in force from time to time in connection with the China Connect Service. I/We also acknowledge that despite any subsequent purported withdrawal of consent by me/us, my/our personal data may continue to be stored, used, disclosed, transferred and otherwise processed for the above purposes, whether before or after such purported withdrawal of consent.

向友盈證券發出指示以進行與中華通證券有關的任何交易，本人/吾等確認並同意友盈證券可使用本人/吾等的個人資料，以遵守聯交所為中華通交易服務不時制定的規定及《交易所規則》。本人/吾等進一步確認及同意，儘管本人/吾等隨後可撤回同意，但本人/吾等的個人資料可繼續被儲存、使用、披露及轉移及以其他方式處理以達至上述目的，無論是在撤回同意之前還是之後。

Consequences of failing to provide Personal Data or Consent

未能提供個人資料或同意的後果

Failure to provide MSL with my/our personal data or consent as described above may mean that MSL will not, or no longer be able, as the case may be, to carry out my/our trading instructions or provide me/us with China Connect Service.

倘若本人/吾等未能向友盈證券提供本人/吾等的個人資料或上述同意，將可導致友盈證券不會或不能（視情況而定）執行本人/吾等的交易指示或向本人/吾等提供中華通交易服務。

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

倘若英文本與中文本在解釋或意義方面有任何歧義，本人/吾等同意應以英文版本為準。

Acknowledgement and Consent

客戶確認及同意

I/We acknowledge that I/we have read and understood the content of the Personal Information Collection Statement of MSL. By ticking the box below, I/we signify my/our consent for MSL to use my/our personal data.

on the terms of and for the purposes set out in the Personal Information Collection Statement.

本人/吾等確認本人/吾等已閱讀並明白友盈證券個人資料收集聲明的內容。通過鉤選以下方格，表示本人/吾等同意友盈證券可根據個人資料收集聲明中的條款和目的使用本人/吾等的個人資料。 201810VERSION

I/We agree to MSL's use of my/our personal data for the purposes set out in the Personal Information Collection Statement.

本人/吾等同意友盈證券將本人/吾等的個人資料用於個人資料收集聲明所載的目的。

Client Signature(s)

客戶簽署：

Date

日期：

OFFICIAL USE ONLY 只供本公司使用	RO	CS	Settlement	Checker
Acknowledged by				
Client signature verified by				
Input to BOS system by				