

**114-02-2110**

**Standing Authority - Client Securities and Securities Collateral**

|    |   |
|----|---|
| To | <input type="checkbox"/> KGI Asia Limited |
|----|---|

|                 |  |
|-----------------|--|
| Date (dd/mm/yy) |  |
|-----------------|--|

**Account Information**

|                   |  |
|-------------------|--|
| * Account Number  |  |
| * Account Name    |  |
| (CAPITAL LETTERS) |  |

Instructions:

- Please mail the original form to **Operations Department** at the address above or submit it to one of our branches. Please note that fax copy, scan copy or photocopies are not accepted.

**Instruction Details**

I/We hereby authorize you and each associated entity (as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance) of yours for a period **commencing from the date of your approval to this authority up to and including the last day of the eleventh (11<sup>th</sup>) month next after the date of such approval** to deal with my/our securities and securities collateral from time to time received or held in Hong Kong by or on behalf of you or any associated entity of yours in one or more of the following ways without further notice to or consent from me/us:

- to apply any of the securities or securities collateral pursuant to a securities borrowing and lending agreement;
- to deposit any of the securities collateral with an authorized financial institution as collateral for financial accommodation provided to you;
- to deposit any of the securities collateral with any clearing house recognized by the Hong Kong Securities and Futures Commission or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of your settlement obligations and liabilities; and
- to treat and deal with the securities and securities collateral in such manner as you consider appropriate taking into account any applicable legal or regulatory requirement from time to time.

I/We hereby acknowledge, and confirm having been informed by you, that you have the practice of repledging clients' securities and securities collateral.

This authority may be renewed or shall be deemed to have been renewed in accordance with s.4(3) of the Securities and Futures (Client Securities) Rules but may be revoked by me/us by giving to you at least 5 business days' prior written notice of revocation.

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.

**Authorized Signature(s)**

**X**  
(All account holders of joint account must sign jointly.)

S.V.

|                   |  |
|-------------------|--|
| Signatory Name(s) |  |
|-------------------|--|

**FOR OFFICE USE ONLY**

|                                  |                                  |                                  |                                  |
|----------------------------------|----------------------------------|----------------------------------|----------------------------------|
| Signed by IR/CSO:                | Signed by SM:                    | Updated by OPP:                  | Checked by OPA:                  |
| Name:                      Date: | Name:                      Date: | Name:                      Date: | Name:                      Date: |

\* Mandatory Fields

**114-02-2110**
**常設授權書 - 客戶證券及證券抵押品**

|   |                                     |            |  |
|---|-------------------------------------|------------|--|
| 致 | <input type="checkbox"/> 凱基證券亞洲有限公司 | 日期 (日/月/年) |  |
|---|-------------------------------------|------------|--|

**● 帳戶資料**

|          |  |
|----------|--|
| * 帳戶號碼   |  |
| * 帳戶名稱   |  |
| (大寫英文字母) |  |

- 指示：
- 請將本表格之正本郵寄至以上地址並註明營運部收啟或親臨我們的分行遞交。請注意我們並不接受傳真、掃描或影印副本。
  - 中、英文版如有歧異，概以英文版為準。

**● 指示詳情**

我/我們同意並授權凱基證券亞洲有限公司(“凱基證券”)及其有聯繫實體(按《證券及期貨條例》附表 1 第 1 部之有關定義)可於你們批准本授權書當天開始直至及包括隨後第十一個月份的最後一天的期間內，以下列一種或多於一種方式處理不時由凱基證券或其任何有聯繫實體代我/ 我們在香港收取或持有的證券及證券抵押品，毋須進一步通知我/ 我們或取得我/ 我們的同意：

- 依據證券借貸協議運用任何有關證券或證券抵押品；
- 將任何有關證券抵押品存放於認可財務機構，作為提供予凱基證券的財務通融的抵押品；
- 將任何有關證券抵押品存放於獲香港證券及期貨事務監察委員會認可的結算所或另一獲發牌或獲註冊進行證券交易的中介人，作為解除凱基證券在交收上的義務和清償凱基證券在交收上的法律責任的抵押品；及
- 於顧及任何適用的法律或監管要求的情況下，以凱基證券認為適當的方式對待及處理有關證券及證券抵押品。

我/我們獲悉及確認你們有將客戶的證券及證券抵押品再質押的做法。

本授權書可根據《證券及期貨(客戶證券)規則》第 4 (3) 條的規定下予以續期或被當作已續期，惟我/我們可向凱基證券發出不少於 5 個工作天之事先書面通知以撤銷本授權書。

我/我們明白現時並無任何法例規定我/我們必須簽署此授權書；然而，凱基證券可能需要此授權書，以便例如向我/我們提供保證金貸款或獲許將有關我/我們的證券或證券抵押品借出予第三方或作為抵押品存放於第三方。我/我們亦明白倘若我/我們簽署此授權書，而我/我們的證券或證券抵押品已借出予或存放於第三方，該等第三方將對我/我們的證券或證券抵押品具有留置權或作出押記。雖然凱基證券根據我/我們的授權而借出或存放屬於我/我們的證券或證券抵押品須對我/我們負責，但凱基證券的失責行為可能會導致我/我們損失我/我們的證券或證券抵押品。我/我們同意並確認凱基證券及其有聯繫實體有權收取及保留任何由於處理我/我們的證券或證券抵押品所產生的任何報酬、收入、回佣或其他利益而無須向我/我們負責。

**客戶簽署**

**X**  
(所有聯名客戶必須簽署)



|       |  |
|-------|--|
| 簽署人姓名 |  |
|-------|--|

**FOR OFFICE USE ONLY**

|                              |                              |                              |                              |
|------------------------------|------------------------------|------------------------------|------------------------------|
| 營業代表/客戶服務主任簽署:               | 主管簽署:                        | 營運部更新:                       | 營運部核對:                       |
| 姓名:                      日期: | 姓名:                      日期: | 姓名:                      日期: | 姓名:                      日期: |

\* 此欄必須填寫