



亨達証券有限公司

HANTEC SECURITIES COMPANY LIMITED

亨達期貨有限公司

HANTEC FUTURES LIMITED

香港中環雲咸街1-3號南華大廈12樓

12/F South China Building, 1-3 Wyndham Street, Central, Hong Kong

TEL : (852) 2526 1085 FAX : (852) 2868 4887 EMAIL : internet@hantec.hk Whatsapp : 52821708

Annex 1: Application Form for Additional Sub-account for Existing Clients to Participate in the Hong Kong Stock Options (“HKSO”)

附件一：現有客戶加開“港股股票期權”子帳戶申請表

Account Name 現有帳戶名稱		Account Number 現有帳戶號碼	
ID/Passport Number 身份證/護照號碼		Contact Number 聯絡電話	

I/We hereby apply for an additional account in the same name for the purpose of participating in the Hong Kong Stock Options program (“HKSO”). I acknowledge and accept that all personal information and agreed terms and conditions in the Client Agreement shall apply to my/our new sub-account as stated above, except for existing operational authorization arrangements.

本人/吾等謹此向貴公司申請開立額外港股股票期權（“計劃”）子帳戶，所有個人資料、已同意的條款及細則均與本人/吾等上述現有帳戶相同，但不包括授權操作帳戶之安排。

Account Opening Supplementary Information 客戶開戶補充資料:	
Is the HKSO account operated by the Client? 港股股票期權帳戶是否由客戶本人操作？	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否, please specify the name of the authorized person and fill in the <u>Authorization for Third Party to Operate Accounts</u> . 請說明帳戶之授權人及填妥授權第三方操作戶口授權書。

注意 Note:

None of the Third Party Authorization or Discretionary Account Authorization of the existing master account shall be extended to the sub-account created for this Program. If the HKSO account is not operated by the Client, an application for Authorization for Third Party to Operate Accounts has to be made.

客戶開立的港股股票期權帳戶並不附帶任何於現有帳戶已生效的第三方/委託授權。若額外帳戶非由客戶本人操作，客戶需同時填妥授權第三方操作戶口授權書。

Declaration and Signature 聲明及簽署

- I/We declare that my/our current personal information/records maintained at Hantec Securities Co., Limited (“HSCL”) are accurate. I/We consent to the use of personal information of my/our existing master account for the purpose of opening and operating the additional sub-account. I/We further consent to the use, process, transfer, share or provision of such personal information to any classes of persons or to any place outside Hong Kong for the purpose of facilitating my/our participation in the Program.
本人/吾等聲明本人/吾等現時於亨達証券有限公司（“亨達”）之個人資料均屬準確，並同意將本人/吾等於亨達之現有帳戶之個人資料用作開立額外港股股票期權帳戶之用途及運作。本人/吾等進一步同意亨達証券可使用、處理、轉讓、分享或提供該等資料予各類人士或往香港以外的任何地方以促進本人/吾等參與港股股票期權帳戶計劃。
- I/We confirm that I/We have received, read and understood the terms and conditions in the Client Agreement for Securities and Futures/Stock Options Accounts (“Terms and Conditions”) (as supplemented from time to time by HSCL without prior notice to the Client) including the relevant Risk Disclosure Statements and Disclaimers. Unless HSCL has received my/our request to terminate the account(s), I/we shall be deemed to have accepted such changes applicable to the account(s).
本人/吾等證實已收取、閱讀及明白證券及期貨/股票期權帳戶條款及細則（“條款及細則”）（在沒有事前通知客戶的情況下，不時由亨達証券補充），包括有關風險披露聲明及免責聲明。除非亨達收到本人/吾等終止帳戶通知，否則表示本人/吾等接受該更改條款及細則。
- I/We understand that the opening of HKSO account is subject to HSCL's final acceptance.
本人/吾等明亨達有最終接納開立港股股票期權帳戶之權利。

Client's Signature(s) 客戶簽署

Date 日期

For Official Use Only

Signature verified by:	Inputted by:	Checked by:	Approved by:
Date:	Date:	Date:	Date:

Please submit the original Application Forms (Annex 1 and 2) to your Account Executive or our Customer Service Department at 12/F, South China Building, 1-3 Wyndham Street, Central, Hong Kong for processing.

請將申請表之正本（附件一及附件二）交到負責閣下之經紀同事或郵寄到香港中環雲咸街1-3號南華大廈12樓 亨達証券有限公司客戶服務部收。



亨達証券有限公司

HANTEC SECURITIES COMPANY LIMITED

亨達期貨有限公司

HANTEC FUTURES LIMITED

香港中環雲咸街1-3號南華大廈12樓
12/F South China Building, 1-3 Wyndham Street, Central, Hong Kong
TEL : (852) 2526 1085 FAX : (852) 2868 4887 EMAIL : internet@hantec.hk Whatsapp : 52821708

Hantec Securities Co., Limited 亨達証券有限公司

12F, South China Building, 1-3 Wyndham Street, Central, Hong Kong 香港中環雲咸街 1-3 號南華大廈 12 樓全層

Hantec Securities Co., Limited is a licensed corporation under the Securities and Futures Ordinance (Cap. 571) ("SFO") licensed to conduct Type 1 (dealing in securities) regulated activities and registered as such with the Securities and Futures Commission of Hong Kong ("SFC") (CE number AFL 779)

亨達証券有限公司乃根據《證券及期貨條例》(第 571 章) (「證券條例」) 獲發牌進行第 1 類 (證券交易) 受規管活動之持牌法團，並就此於香港證券及期貨事務監察委員會 (「證監會」) 註冊 (中央編號為 AFL 779)。

Hantec Futures Limited is also a licensed corporation under the SFO licensed to Type 2 (dealing futures contracts) regulated activities and registered as such with the SFC (CE number ARV 980), and an exchange participant of the Hong Kong Futures Exchange Limited.

亨達期貨有限公司乃根據《證券及期貨條例》獲准許進行第 2 類 (期貨合約交易) 受規管活動之持牌法團，並就此於證監會註冊 (中央編號為 ARV 980)，並獲香港期貨交易所有限公司參與者資格。

FOR OFFICE USE ONLY 僅供內部使用：

帳戶佣金手續費設定

客戶帳戶號碼：_____

負責經紀姓名及編號：_____

手續費設定日期：_____

負責經紀簽署：_____

Hong Kong Stock Options Trading Account 香港股票期權交易帳戶：

Per contract 每張期權合約_____

Minimum 最低收費_____

Professional Investor 專業投資者：

Yes* 是* No 否

Third Party Authorization 第三者授權：

Yes* 是* No 否

*Please fill the relevant application form to us while you choice the answer "Yes"

*如以上答案選擇“是”，煩請 閣下填寫我司相關申報表格及申請表

MARGIN CLIENT'S AUTHORISATION LETTER
保證金客戶授權函件 - 客戶款項常設授權

To 致： Hantec Securities Co., Limited & Hantec Futures Limited
亨達証券有限公司及亨達期貨有限公司
12/F, South China Building, 1-3 Wyndham Street, Central, Hong Kong.
香港中環雲咸街 1-3 號南華大廈 12 樓

Authority under Securities and Futures (Client Securities) Rule (Cap. 571H of Laws of Hong Kong) to deposit Securities & Futures Contracts.

根據證券及期貨(客戶證券)規則第 571 H 章 所提供有關存放證券及期貨合約的授權。

This letter of authority covers all securities purchased or held by Hantec Securities Co., Limited &/or Hantec Futures Limited ("Hantec") on my/our behalf.

本授權書是有關一切由亨達証券有限公司或/及亨達期貨有限公司(「亨達」)代表本人/吾等購入或持有之證券及期貨合約。

This letter authorize Hantec to 本授權書授權亨達：

1. Apply any of my/our securities or securities collateral pursuant to a securities borrowing and lending agreement;
依據證券借貸協議運用任何有關本人/吾等的證券或證券抵押品；
2. deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provided to Hantec; or
將任何本人/吾等證券抵押品存放於認可財務機構，作為提供予亨達的財務通融的抵押品；或
3. deposit any of my/our securities collateral with 將任何本人/吾等證券抵押品存放於
 - (i) a recognized clearing house; or 認可結算所；或
 - (ii) another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of Hantec's settlement obligations and liabilities.
另一獲發牌或獲註冊進行證券交易的中介人，作為解除亨達在交收上的義務和清償亨達在交收上的法律責任的抵押品。

Hantec may do any of these things without giving me/us notice.

亨達可以做以上任何事情而無須通知本人/吾等。

Hantec is accountable to me/us for the return of equivalent securities deposited under this authority after full repayment by me/us of all outstanding loans under the facility.

當本人/吾等已全數清還本人/吾等就亨達所提供之信貸安排的所有未清償的貸款後，亨達証券將會繼續有責任向本人/吾等交還沒有產權負擔的相等證券。

I/We understand that a third party may have rights to my/our securities, which Hantec must satisfy before my/our securities can be returned to me/us.

本人/吾等明白本人/吾等的證券可能受制之第三者之權利，亨達須於全數抵償該等權利後，方可將本人/吾等的證券退回本人/吾等。

This authority is valid for period of 12 months form the date of this letter.

本授權書的有效日期為十二個月，自本授權書之日起計生效。

This authority may be deemed to be renewed (i.e. without my/our written consent) if Hantec issues me/us a reminder at least 14 days prior to the expiry of the authority, and I/we do not object to such deemed renewal before the expiry date of the authority.

假如亨達在有關授權的期限屆滿前最少 14 日向本人/吾等發出有關授權將被視為已續期的提示，而本人/吾等對於有關授權的期限屆滿前以此方式將該授權延續不表示反對，則該授權將會在沒有本人/吾等的書面同意下被視為已續期。

This letter has been fully explained to me/us in a language that I/we understand and I/we read and agreed to the terms of this letter.

本函件已全部經以本人/吾等明白的語言向本人/吾等解釋清楚。本人/吾等已詳閱並同意本函件的內容。

Signed by 客戶簽名：

Name of Client 客戶姓名：

X

Date 日期：

STANDING AUTHORITY (CLIENT MONEY)

客戶常設授權(客戶款項)

To 致： Hantec Securities Co., Limited & Hantec Futures Limited

亨達証券有限公司及亨達期貨有限公司

12/F, South China Building, 1-3 Wyndham Street, Central, Hong Kong.

香港中環雲咸街 1-3 號南華大廈 12 樓

Authority under Securities and Futures (Client Money) Rules

根據《証券及期貨(客戶款項)規則》所設立的常設授權

This letter of authority covers money held or received by you in Hong Kong (including any interest derived from the holding of the money which does not belong to you) in one or more segregated account(s) on my/our behalf ("monies")

本授權涵蓋貴公司為本人/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(包括因持有並非屬於貴公司的款項而產生之任何利息)(下稱「款項」)。

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.

除非另有說明，本授權書之名詞與証券及期貨條例及証券及期貨(客戶款項)規則不時修訂之定義具有相同意思。

This letter authorizes you to:

本授權書授權 貴公司：

1. Combine or consolidate any or all segregated accounts of any natures whatsoever and either individually or jointly with others, maintained by you from time to time and you may transfer any sum of Monies to and between such segregated account(s) to satisfy my/our obligations or liabilities to you, whether such obligations and liabilities are actual, contingent, primary or collateral, secured or unsecured, joint several; and 組合或合併 貴公司為吾等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，貴公司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 貴公司的義務或法律責任，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. Transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by you.

從 貴公司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。

You are authorized to perform any of the above-mentioned without giving me/us notice.

貴公司可不向本人/吾等發出通知而採取上述行動。

This authority is given to you in consideration of your agreeing to continue to maintain securities cash and/or margin account(s) for me/us.

此賦予 貴公司之授權乃鑑於 貴公司同意繼續維持本人/吾等之証券現金賬戶/或証券保證金賬戶。

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

此賦予 貴公司之授權並不損害 貴公司可享有有關處理該等獨立賬戶內款項的其他授權或權利。

This authority is valid for a period of 12 months from the date of this letter.

本授權書的有效日期為十二個月，自本授權書之日起計生效。

This authority may be revoked by giving you written notice addressed to you at your address specified above.

Such notice shall take effect upon the expiry of two weeks from the date of your actual receipt of such notice.

本人/吾等明白向 貴公司位於上述所列明之地址發出書面通知，撤回本授權書。該等通知之生效日期為 貴公司真正收到該等通知後之 14 日起計。

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 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.

本人/吾等明白 貴公司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/吾等授權書即將屆滿，而本人/吾等沒有在此授權屆滿前反對授權續期，本授權書應當作不需要本人/吾等的書面同意下按持續的基準已被續期。

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.

倘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/吾等同意應以英文為準。

This letter has been explained to me/us and I/we understand the contents of this letter.

本人/吾等就本授權書內容已獲得解釋，並且本人/吾等明白及同意本授權書的內容。

Client Signature:

客戶簽署

A/C No.:

戶口號碼

Date:

日期

Account Name:

戶口名稱

I.D./Passport/C.I.No.:

身份証/護照/公司註冊號碼

X

STANDING AUTHORITY (CLIENT SECURITIES)
客戶常設授權 (客戶證券)

To: Hantec Securities Co., Limited & Hantec Futures Limited
亨達證券有限公司及亨達期貨有限公司
12/F, South China Building, 1-3 Wyndham Street, Central, Hong Kong.
香港中環雲咸街 1-3 號南華大廈 12 樓

Authority under Securities and Futures (Client Securities) Rules

根據《證券及期貨(客戶證券)規則》所設立的常設授權

This letter of authority is in respect of the treatment of my/our securities or securities collateral as set out below.

本授權書是有關處置本人/吾等之證券或證券抵押品，詳情如下：

Unless otherwise defined, the terms used in this letter shall have the same meanings as in the Securities and Futures Ordinance and the Securities and Futures (Client Securities) Rules as amended from time to time.

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(客戶證券)規則不時修訂之定義具有相同意思。

This letter authorizes you to:

本授權書授權亨達證券有限公司：

1. Apply any of my/our securities or securities collateral pursuant to a securities borrowing and lending agreement; (apply to accounts where securities borrowing and lending agreement has been signed)
依據證券借貸協議運用任何本人/吾等的證券或證券抵押品；(只適用於已簽妥證券借貸協議之戶口)
2. Deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provided to you; (apply to margin accounts only)
將任何本人/吾等的證券抵押品存放於認可財務機構，作為該機構向 貴公司提供財務通融之抵押品；(只適用於孖展客戶)
3. 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;
將任何本人/吾等的證券抵押品存放於香港中央結算有限公司(「中央結算」)，作為解除 貴公司在交收上的義務和清償 貴公司在交收上的法律責任的抵押品。本人/吾等明白中央結算因應 貴公司的責任和義務而對本人/吾等的證券設定第一個固定押記；
4. deposit any of my/our securities collateral with any other 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; and
將任何本人/吾等的證券抵押品存放於任何其他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 貴公司在交收上的義務和清償 貴公司在交收上的法律責任的抵押品；及
5. apply or deposit any of my/our securities collateral in accordance with paragraphs (1),(2),(3), and/or (4) above if you provide financial accommodation to me/us in the course of dealing in securities and also provide financial accommodation to me/us in the course of any other regulated activity for which you are licensed or registered.
如 貴公司在進行證券交易及 貴公司獲發牌或獲註冊進行的任何其他受規管活動的過程向本人/吾等提供財務通融，即可按照上述第(1),(2),(3)及或第(4)段所述運用或存放任何本人/吾等的證券抵押品。

You are authorized to perform any of the above-mentioned without giving me/us notice. I/We acknowledge that this authority shall not affect your right to dispose any of my/our securities or securities collateral in settlement of any liabilities owed by or on behalf of me/us to you.

貴公司可不向本人/吾等發出通知而採取上述行動，本人/吾等認本授權書不影響 貴公司為解除由本人/吾等對 貴公司、貴公司之聯繫實體或第三者所負的法律責任，而處理或促使 貴公司的聯繫實體處置本人/吾等之證券或證券抵押品的權利。

This authority is given to you in consideration of your agreeing to continue to maintain the securities trading account(s) for me/us.

此賦予 貴公司之授權乃鑒於 貴公司同意繼續維持本人/吾等之證券交易賬戶。

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.

本人/吾等明白本人/吾等的證券可能受制於第三者之權利， 貴公司須全數抵償該等權利後，方可將本人/吾等的證券退回本人/吾等。

This authority is valid for period of 12 months form the date of this letter.

本授權書的有效期為十二個月，自本授權書之日起計有效。

This authority may be revoked by giving you written notice addressed to you at your address specified above. Such notice will take effect upon expiry of two weeks from the date of your actual receipt of such notice.

本人/吾等可以向 貴公司客戶服務部於上述所列明之地址發出書面通知，撤回本授權書。該等通知之生效日期為 貴公司真正收到該等通知後之 14 日起計。

I/We understand that this authority may 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.

本人/吾等明白 貴公司若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，本授權書應當在不需要本人/吾等的書面同意下按持續的基準已被續期。

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.

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。

This authority has been explained to me/us and I/we understand and agree with the contents of this authority.

本人/吾等就本授權書的內容已獲得解釋，並且本人/吾等明白及同意本授權的內容。

Account Name:
戶口名稱 _____
I.D./Passport/C.I.No.:
身份証/護照/公司註冊號碼 _____

Client Signature: _____
客戶簽署 _____
A/C No.: _____
戶口號碼 _____
Date: _____
日期 _____