



SORRENTO SECURITIES LIMITED 擎天證券有限公司

Account Opening Form (Corporate Account)
開戶表格 (公司帳戶)

Account Number 帳戶號碼 : _____

Client Name 客戶姓名 : _____

Sorrento Securities Limited 擎天證券有限公司

Rm 1208, 12/F, Wing On Centre, 111 Connaught Rd Central, Sheung Wan, Hong Kong

香港上環干諾道中111號永安中心12樓1208室

Tel 電話 : 852-3959-9800 Fax 傳真 : 852-3959-9819

Sorrento Securities Limited ("SSL" or the "Company") carries on the business of dealing in securities is licensed to carry on Type 1 (dealing in securities) regulated activities under the Securities and Futures Ordinance (Cap. 571) (CE No. BHG995).

擎天證券有限公司 ("擎天" 或 "本公司") 經營的是證券交易的業務，並根據證券及期貨條例 (第571章) 獲發牌經營第一類 (證券交易) 受規管活動 (中央編號: BHG995)。

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1. Account Type 帳戶類別	
Securities Trading Account 證券交易帳戶	
Account No. 帳戶號碼	
Type of Account 帳戶類別	<input type="checkbox"/> Margin 保證金 <input type="checkbox"/> Cash 現金 <input type="checkbox"/> Stock Option 股票期權
Account Service 戶口服務	<input type="checkbox"/> Internet trading 網上交易

Please complete in BLOCK LETTERS 請用正楷填寫

2. Corporate Information 公司資料	
Client Name 客戶姓名	
English 英文：	
Chinese 中文：	
Registered Address 註冊地址：	Scope of Business 業務範圍：
Business Address 商業地址：	
Nature of Entity: 公司性質：	<input type="checkbox"/> Private limited company 私人公司 <input type="checkbox"/> Public limited company 公共企業 <input type="checkbox"/> Sole proprietor 獨資經營
	<input type="checkbox"/> Partnership 合伙經營 <input type="checkbox"/> Others 其他
Country of Incorporation 註冊成立國家：	Date of Incorporation 註冊成立日期：
Business Registration No. 商業登記號碼：	Certificate of Incorporation No. 公司註冊號碼：
Office Tel. No. 公司電話號碼：	Fax. No. 傳真號碼：
E-mail Address 電郵地址：	

3. Director(s) 董事		
Name of Director 董事姓名	ID/Passport No. 身分證/護照號碼	Residential Address 居住地址

4. Shareholder(s) 股東		
Registered Shareholder 註冊股東姓名	Shareholding % 股權 (%)	Residential Address 居住地址

5. The Ultimate Beneficial Owner(s) 最終權益擁有人		
Name. 姓名	ID/Passport No. 身分證/護照號碼	Residential Address 居住地址

6. Share Capital 股本

Authorized Share Capital
法定股本：

Par Value of Each Share
每股面值：

Issued Share Capital
已發行股本：

Par Value of Each Share
每股面值：

7. Financial Profile 財務狀況

Latest Annual Profit
最近年度稅後純利：

Annual Profit (after tax) in preceding year
前一年度稅後純利：

Total Net Asset Value
資產淨值：

Liquid Assets
流動資產：

Source of Capital
資本來源

- ☐ Dividend / Interest Income 股息/利息收入
☐ Manufacturing Profits 生產利潤
☐ Service Income 服務收入
☐ Trading Profits 營業溢利
☐ Others 其他

8. Investment Experience 投資經驗

i) Products 產品

- ☐ Stocks/Investment Funds 股票/投資基金
☐ Bonds 債券
☐ Derivatives(Futures/Options/Warrants) 衍生工具(期貨/期權/認股權證)
☐ Foreign Currencies 外幣
☐ Others 其他

ii) Experience(in year(s))經驗(年)

- ☐ Less than 1 year 少於一年
☐ 1-5 years 一至五年
☐ 6-10 years 六至十年
☐ More than 10 years 多於十年

9. Investment Objectives and Risk Tolerance 投資目的及可承受風險

i) Investment Objective 投資目的：

- ☐ Capital Gain 資本增值
☐ Hedging 對沖
☐ Income 收入
☐ Speculation 投機
☐ Others 其他

ii) Estimated investment amount 估計投資金額

- ☐ Below 少於\$100,000
☐ \$100,000~\$500,000
☐ \$500,001~\$1,000,000
☐ \$1,000,001~\$8,000,000
☐ Above 多於\$8,000,000

iii) Investment horizon 投資年期

- ☐ Short Term 短線
☐ Medium Term 中線
☐ Long Term 長線

iv) Risk Tolerance 可承受風險

- ☐ Low 低風險
☐ Medium 中等風險
☐ High 高風險

10. Client's Knowledge of Derivative Products 客戶對衍生產品的認識

The Client acknowledges and understands the Company will assess whether the Client has adequate knowledge on derivative products according to the information the Client provided.

客戶知悉及明白公司將根據以下的資料以評估客戶是否對衍生工具產品有認識。

- ☐ 1. The Client underwent training or attended courses on derivative products.
客戶曾接受有關衍生產品的培訓或修讀相關課程。
- ☐ 2. The Client has current or previous work experience related to derivative products.
客戶現時或過去擁有與衍生產品有關的工作經驗。
- ☐ 3. The Client has executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, Commodities, Structured Products, and Exchange Traded Funds, etc.
客戶於過去3年曾執行5次或以上有關衍生產品的交易，例如：衍生權證、牛熊證、股票、期權、期貨及期權、商品、結構性產品及交易所買賣基金等。
- ☐ 4. The Client has **NOT** acquired knowledge of derivative products.
客戶沒有衍生工具之認識。

11. Settlement Account Information 結算帳戶資料

The Client hereby instructs and authorizes that the following bank account will be used as the settlement. (the account must be your name)

客戶謹此指示及授權使用以下的銀行帳戶，作為結算帳戶。(必須與客戶名稱相同)

Currency 貨幣	Name of Bank 銀行名稱	Account No. 戶口號碼
HKD 港幣	_____	_____
USD 美元	_____	_____
CNY 人民幣	_____	_____

12. Method of Communication and Language of Statement 通訊方法及結單語言

Please select one of the following method of communication 請選擇以下其中一項通訊方法：

☐ E-mail Address 電郵地址 ☐ Business Address 商業地址 ☐ Registered Address 注册地址

☐ Other address, please specify (其他地址，請說明) _____

Language of Statement 結單語言：☐ Traditional Chinese 繁體中文 ☐ English 英文 ☐ Simplified Chinese 簡體中文

ACCOUNT OPERATION 帳戶操作

13. Authorized Person 獲授權人士

The Client hereby appoints the following persons as the Authorized Person(s) in relation to verbal and written instructions.
就口頭指示及書面指示，客戶謹此委任以下人士作為獲授權人士。

i) Verbal Instructions 口頭指示

Verbal instructions given by any one of the following Authorized Person(s) will be valid:

以下任何一位獲授權人士所給予的口頭指示均為有效：

	Authorized Person (1) 獲授權人士 (1)	Authorized Person (2) 獲授權人士 (2)	Authorized Person (3) 獲授權人士 (3)
Name			
姓名：	_____	_____	_____
HKID / Passport No.	_____	_____	_____
香港身份證護照號碼：	_____	_____	_____
Contact No.	_____	_____	_____
聯絡電話號碼：	_____	_____	_____

ii) Written Instructions 書面指示

Written instructions given by any _____ of the following Authorized person(s) will be valid:

以下_____位獲授權人士所給予的書面指示均為有效：

	Authorized Person (1) 獲授權人士 (1)	Authorized Person (2) 獲授權人士 (2)	Authorized Person (3) 獲授權人士 (3)
Name			
姓名：	_____	_____	_____
HKID / Passport No.	_____	_____	_____
香港身份證護照號碼：	_____	_____	_____
Contact No.	_____	_____	_____
聯絡電話號碼：	_____	_____	_____
Specimen Signature			
簽名式樣：	_____	_____	_____

iii) Settlement Instructions 交收指示

Settlement instructions given by any _____ of the following Authorized person(s) will be valid:

以下_____位獲授權人士所給予的交收指示均為有效：

	Authorized Person (1) 獲授權人士 (1)	Authorized Person (2) 獲授權人士 (2)	Authorized Person (3) 獲授權人士 (3)
Name			
姓名：	_____	_____	_____
HKID / Passport No.	_____	_____	_____
香港身份證護照號碼：	_____	_____	_____
Contact No.	_____	_____	_____
聯絡電話號碼：	_____	_____	_____
Specimen Signature			
簽名式樣：	_____	_____	_____

DECLARATION 聲明

14. Disclosure of Related Account(s) 披露關連帳戶

i) Is the Client's shareholder, director, authorized person or ultimate beneficial owner related to any employee or director of the Company or its associated companies?

客戶之股東、董事、獲授權人或帳戶最終權益擁有人是否與本公司或其聯營公司之任何僱員或董事有任何親屬關係？

☐ No 否 ☐ Yes 是 (Please provide details below 請填寫以下資料)

Name of employee / director 僱員/董事姓名 : _____ Relationship 關係 : _____

ii) 客戶之股東、董事、獲授權人或帳戶最終權益擁有人是否擎天證券有限公司的客戶？

Is the Client's shareholder, director, authorized person or ultimate beneficial owner a client of Sorrento Securities Limited?

☐ No 否 ☐ Yes 是 (Please provide details below 請填寫以下資料)

Name of the relevant member(s) _____ Account No. _____
有關成員帳戶名稱: _____ 帳戶號碼: _____

iii) Does the Client and/or any member of the same group of companies of the Client control 35% or more of the voting rights of any margin client of the Company?

客戶及/或客戶的公司集團任何成員是否控制本公司任何保證金客戶的 35% 或以上的表決權？

☐ No 否 ☐ Yes 是 (Please provide details below 請填寫以下資料)

Name of the controlled client 受控制客戶名稱 : _____ Account No. 帳戶號碼: _____

15. Disclosure of Identity 披露身份

i) Is the Client acting as an intermediary for the account?

客戶是否以中介人身份操作帳戶？

☐ No 否 ☐ Yes, the ultimate beneficial owner(s) as follows 是，戶口的最終權益擁有人是：

Name 姓名: _____ ID Card/Passport No. 身份證 / 護照號碼: _____

Residential Address 住宅地址: _____

ii) Is the Client's shareholder, director, authorized person or ultimate beneficial owner, a licensed person or a director or an employee of any licensed corporation/authorized institution registered with the Securities and Futures Commission?

客戶之股東、董事、獲授權人或帳戶最終權益擁有人是否證券及期貨事務監察委員會註冊的持牌人士或持牌法團/註冊機構的董事或僱員？

☐ No 否 ☐ Yes 是 (Please provide details below 請填寫以下資料)

Name of the licensed person or licensed corporation/registered institution

持牌人士或持牌法團/註冊機構名稱 : _____

iii) Is the Client's shareholder, director, authorized person or ultimate beneficial owner, includes a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a stated-owned corporation and an important political party official?

客戶之股東、董事、獲授權人或帳戶最終權益擁有人，是否擔任或曾擔任重要公職，包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事？

☐ No 否 ☐ Yes 是 (Please provide details below 請填寫以下資料)

16. United States Status Certification 美國身分聲明

i) Is the Client or the Client's ultimate beneficial owner a United State Person ("U.S. Person") defined under the Foreign Account Tax Compliance Act ("FATCA")?

根據海外帳戶稅收合規法案定義，客戶或其最終受益人是不是美國人？

☐ No 否 / ☐ Yes 是, TIN is 美國聯邦納稅人識別碼是: _____

ii) For individual Client who has the below particular(s), please tick the appropriate box(es). 對於具以下明細的個人客戶，請剔取合適的方格。

☐ U.S. place of birth 出生地為美國

☐ U.S. mailing or residence address (including a U.S. post office box) 郵寄或永久地址為美國

☐ U.S. telephone number 美國電話號碼

☐ Standing instruction to transfer funds to an account maintained in the United States 常設授權將資金轉至設在美國的帳戶

☐ Power of attorney or signatory authority granted to a person with a U.S. address 授予擁有美國地址的人士代理權或簽名權

☐ An "in-care-of" or "hold mail" address that is the sole address 提供一個轉交地址或代存郵件地址

☐ None of the above 以上全部不是

Below for Corporation Only 以下只供法團

iii) For corporation, is the Client a Non-Participating Foreign Financial Institution (Non-Participating "FFI") defined under FATCA?

外國帳戶稅務遵守法案定義，法團客戶被定義為不參與之海外金融機構嗎？

☐ No 否 / ☐ Yes 是

If the answer is No in the above, please specify the FATCA status. 若果以上條目的答案為“否”，請註明在海外帳戶稅收合規法案定的身份

☐ not an FFI, please go to next question 不是海外金融機構，請答以下問題

☐ registered FFI, GIIN is _____ 已註冊，全球中介人識別碼是 _____

☐ registered or certified deemed-compliant FFI 已註冊或經驗證的視作合規海外金融機構

☐ other, please specify 其他，請註明：_____

iv) The Client certifies that the Client has no substantial (10% or more ownership) U.S. owner?

客戶就此確認沒有美國人對客戶作重大控制權(百分之十或以上控制權)？

☐ No 否, the Client has substantial U.S. owner 有美國人對客戶作重大控制權

☐ Yes 是

17. Client's Declaration for Data Protection 客戶個人資料保障聲明

The Client has carefully read, fully understood and agreed to accept and be bound by the Personal Data (Privacy) Ordinance in SSL's Terms and Conditions.

客戶已仔細閱讀，完全理解並同意接受並遵守載於擎天條款及條件中關於《個人資料(私隱)條例》致客戶的解釋說明。

The Client hereby consents to the contents and the use of the data by SSL in direct marketing.

客戶謹此同意該內容及同意擎天使用其個人資料作直接促銷用途。

Please tick the box below if disagree: 如不同意，請在以下空格加上「✓」號

☐ I/We DISAGREE that Sorrento Securities Limited and/or any member of the Group to use my/our personal data in direct marketing via personal call, mail, E-mail, SMS, fax or others. 本人/吾等不同意擎天證券有限公司及或其集團任何成員使用本人/吾等的個人資料透過專人電話、郵寄、電郵、電話短訊、傳真或其他的途徑作直接促銷。

18. Client's Declaration and Signature 客戶聲明和簽署

The Client represents that the information contained in this Account Opening Information Form is true, complete and correct and that the representations in the attached current version of the Standard Terms and Conditions for Securities Trading of Sorrento Securities Limited (the "Agreement") are accurate. Sorrento Securities Limited ("SSL") is entitled to rely fully on such information and representations for all purposes, unless SSL receives notice in writing of any change. SSL is authorized at any time to contact anyone, including my / our banks, brokers and credit agency, for the purpose of verifying the information provided on this Account Opening Information Form.

客戶茲聲明在本開戶資料表內的資料均屬真實，完整及正確，而附上擎天證券有限公司最新版本的證券交易標準條款(“該協議書”)一切內容準確。除非擎天證券有限公司(“擎天”)收到有關更改開戶資料表內容的書面通知，擎天有權在 任何用途上完全依賴這些資料及聲明。擎天有權隨時聯絡任何人，包括客戶之銀行、經紀或任何信貸機構，以求證實此 開戶資料表所載之內容。

I/We, the undersigned Client(s), hereby apply to open Securities Account. I/We have read and understood the provisions of the Agreement of which this document forms a part and agree to be bound by the agreement (receipt of a copy whereof is hereby acknowledged by me/us) as the same may be amended from time to time.

I/We acknowledge and confirm that SSL has provided the Risk Disclosure Statements and Disclaimers annexed hereto in a language my/our choice (English or Chinese) and I/we have been invited to read the same, to ask questions and take independent advice if I/we wish.

本人/吾等，下述簽署客戶，現申請開立證券買賣帳戶。本人/吾等已閱讀過及明白附上的該協議書，而本文件乃該協議書的一部份，並同意接受可不時被修改的該協議書(謹此聲明本人/吾等已收妥其副本)所約束。

本人/吾等確認擎天證券已按照本人/吾等選擇的語言(中文或英文)獲提供附於本表的風險披露聲明及免責聲明，及已獲邀閱讀該等聲明、提出問題及徵求獨立的 意見(如本人/吾等有此意願)。

Client Name (Corporate Account Holder)

客戶名稱 (公司帳戶持有人)

Company Chop & Authorized Signature

公司印章及授權人簽署



Date(dd/mm/yy)日期(日/月/年):

Witness Name 見證人姓名:

Witness Signature 見證人簽署:

ID No./Passport No. 身份證/護照號碼:

Date(dd/mm/yy)日期(日/月/年):

19. Declaration by the licensed or registered staff 持牌或註冊人員之聲明	
<p>The Client has been provided with the relevant risk disclosure statements and disclaimers in a language of the Client's choice. The undersigned licensed or registered staff has invited the Client to read the risk disclosure statements, disclaimers and explained the relevant risks associated with the derivative products based on the client's knowledge of derivatives as set out in the Terms and Conditions, ask questions and take independent advice if the Client wishes.</p> <p>客戶已獲提供以其所選語言之有關風險披露聲明及免責聲明。以下簽署之持牌或註冊人員已邀請客戶參閱條款及條件及當中列明之風險披露聲明及免責聲明、提出問題及按其意願諮詢獨立意見，並按其對衍生產品的認識解釋相關風險。</p>	
Signature of licensed or registered staff 持牌或註冊人員簽署 	Name of licensed or registered staff (in block letters) 持牌或註冊職員姓名（正楷填寫） <hr/>
Date(dd/mm/yy) 日期(日/月/年) _____	C.E. No. 證監會中央編號 : _____

CERTIFIED EXTRACT OF BOARD RESOLUTION

Name of Client : _____ (the "Company")

At a Meeting of the Directors of the Company duly convened and held at the address of :

_____ on the _____ day of _____, at which a quorum was present and acting throughout, the following

Resolutions were duly passed by the Board of Directors :

1. That a Cash/Margin* Securities Account (the "Account") be opened and maintained in the name of the Company with Sorrento Securities Limited ("Sorrento") for the purpose of the Company engaging securities trading and related services of Sorrento, including but not limited to any purchases, sales, holdings and other dealings in securities as the Company may from time to time request and that the Account and all such purchases, sales, holdings and other dealings be effected and all such services by Sorrento to the Company be provided subject to and in accordance with the provisions of Customer Agreement of Sorrento, the Account Opening Form and such additional terms to be specified by Sorrento and notified to the Company from time to time (collectively, the "Agreement"); and

2. That the Agreement in such form as completed (including as to the identities of the persons authorized to serve as (the "Authorized Persons") and produced to the Meeting be and are hereby approved and any Director of the Company or

_____ be authorized to execute the Agreement for and on behalf of the Company (and, where necessary, to affix the common seal of the Company thereon) and the signed originals thereof be delivered to Sorrento.

3. That the Authorized Persons be authorized to give oral and/or written instruction(s) to Sorrento in relation to the operation of the accounts(s) maintained by the Company with Sorrento in the manner as set out in the Agreement and that any instruction(s) given by the Authorized Person(s) be absolutely binding on the Company. Sorrento shall have no obligation whatsoever to inquire about or confirm the authority of the Authorized Person(s) on behalf of the Company. The Company accepts full responsibility for all oral and/or written instruction(s) given by the Authorized Person(s) on behalf of the Company.

I, the undersigned, DO HEREBY CERTIFY that the foregoing is a true copy of the Resolutions which (a) were duly passed in accordance with the Memorandum and Articles of Association (or other constitutional documents) of the Company, (b) have been duly recorded in the minutes book of the Company, and (c) remain in full force and effect, no action having been taken to rescind or amend the said Resolutions.

Date this _____ day of _____, 20_____.

Signature: _____
Name of Director:



Signature: _____
Name of Director:

Company Chop

*Delete as appropriate

	Document(s) Check list 文件檢查清單	HK Company 香港公司	Overseas Company 海外公司
<input type="checkbox"/>	Board Resolution 董事會決議	✓	✓
<input type="checkbox"/>	Certified true copies of the Hong Kong ID Card(s) or Passport(s) of all Authorized Persons, Directors and Ultimate beneficial owner(s). 所有獲授權代理人、董事及帳戶最終實質權益的人士之香港身份證或護照核證副本	✓	✓
<input type="checkbox"/>	Certified true copies of address proof within the last 3 months of all Authorized Persons, Directors and Ultimate beneficial owner(s). 所有獲授權代理人、董事及帳戶最終實質權益的人士之最近 3 個月的地址證明核證副本	✓	✓
<input type="checkbox"/>	Certified true copy of Register of Members and Register of Directors 董事名單及股東名單之核證副本		✓
<input type="checkbox"/>	Certified true copy of Certificate of Incorporation 公司註冊證書之核證副本	✓	✓
<input type="checkbox"/>	Certified true copy of Memorandum and Articles of Association 組織章程大綱及細則之核證副本	✓	✓
<input type="checkbox"/>	Certified true copy of Certificate of Incumbency (issued within last 6 months) 董事在職證明之核證副本 (在過去 6 個月內簽發))		✓
<input type="checkbox"/>	Certified true copy of Business Registration Certificate 商業登記證之核證副本	✓	(if applicable 如適用)
<input type="checkbox"/>	Certified true copy of Latest Annual Return 最近的公司週年申報表之核證副本	✓	
<input type="checkbox"/>	Certified true copy of Latest Audited Accounts/ Certificate of Good Standing 最近期財政報告或良好記錄證書之核證副本	(if applicable 如適用)	(if applicable 如適用)
<input type="checkbox"/>	Company Group Chart (Signed by Director) 公司組織圖 (由董事簽署)	(if applicable 如適用)	(if applicable 如適用)

Note 注意:

Copies of those documents set out above must be certified as a true copy by certified public accountant (CPA), lawyer, or notary public.
所有提交本公司的文件副本須經由執業會計師、執業律師或註冊公證人認證為真確的副本。

For Office Use Only 內部填寫:

For Official Use Only 只供本行使用			
Introduced by 介紹人：		How Long Known to Client 與客戶相識年期：	
Name of Account Executive 客戶主任姓名：		AE No 客戶主任號碼：	
Credit Limit Suggested by AE 客戶主任建議之信用額： Loan Limit: 借貸限額: Trading Limit (For Margin Account only): 交易限額 (只適用於孖展戶口):		Account Executive Signature 客戶主任簽署：	
Commission Rate 佣金比率:		Debit Interest Rate 欠款利息:	
Telephone:	% (Min HK\$) 港股	%	
Internet:	% (Min HK\$) 港股		
Telephone:	% (Min HK\$) 股票期權		
Internet:	% (Min HK\$) 股票期權		
Documents Checked By 文件查核：			
Account Approved By RO 負責人批准：			
Data Input By 資料輸入:		Data Checked By 資料查核:	

Standing Authority (For Margin Client Only) 常設授權書 (只供保證金客戶簽署)

To 致： Sorrento Securities Limited 擎天證券有限公司

Standing Authority under Securities & 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 standing authority is in respect of the treatment of our securities collateral as set out below:

本常設授權是有關處置吾等之證券或證券抵押品，詳列如下：

Unless otherwise defined, the terms used in this standing authority shall have the same meanings as in the Securities & Futures Ordinance and Securities & 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 standing authority authorizes you to 本常設授權書授權貴公司：

1. apply any of our securities or securities collateral in accordance with Terms and Conditions of Client Agreement of Margin client paragraph 19;
依據證券保證金客戶協議之條款及守則第 19 條，貴公司可運用任何吾等的證券或證券抵押品；
2. deposit any of our securities collateral with an authorized financial institution as collateral for financial accommodation provided to you;
將任何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；
3. deposit any of our securities collateral with Hong Kong Securities Clearing Company Limited ("HKSCC") as collateral for the discharge and satisfaction of your settlement obligations and liabilities. We understand that HKSCC will have a first fixed charge over our securities to the extent of your obligations and liabilities;
將任何吾等的證券抵押品存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。吾等明白中央結算因應 貴公司的責任和義務而對吾等的證券設定第一固定押記；
4. deposit any of 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
將任何吾等的證券抵押品存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 貴公司在交收上的責任和義務和清償 貴公司在交收上的法律責任的抵押品；及
5. apply or deposit any of our securities collateral in accordance with paragraphs 1,2,3, and/or 4 above if you provide financial accommodation to us in the course of dealing in securities and also provide financial accommodation to 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中向吾等提供財務通融，即可按照上述第(1)、第(2)、第(3)及/或第(4)段所述運用或存放任何吾等的證券抵押品。

You may do any of these things without giving us notice. We acknowledge that this standing authority shall not affect your right to dispose or initiate a disposal by our affiliates of our securities or securities collateral in settlement of any liability owned by or on behalf of us to you, the affiliates or a third person.

貴公司可不向吾等發出事前通知而採取上述行動。吾等確認本授權書不影響 貴公司為解除由吾等或代吾等對 貴公司、貴公司之聯繫實體或第三者所負的法律責任，而處置或促使 貴公司的聯繫實體處置吾等之證券或證券抵押品的權利。

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

此賦予 貴公司之授權乃鑑於 貴公司同意繼續維持吾等之證券保證金帳戶。吾等明白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，方可將吾等的證券退回吾等。

We under that a third party may have rights to our securities, which you must satisfy before our securities can be returned to us.

吾等明白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，方可將吾等的證券退回給吾等。

This standing authority is valid for a period of not more than 12 months until 31-December this year. We understand that this standing authority may be revoked by giving you written notice. Such notice shall take effect upon the expiry of 14 days from the date of your actual receipt of such notice.

本常設授權書的有效期限為十二個月，自本授權書之日起計有效。吾等可以向 貴公司客戶服務部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。

We understand that this standing authority may be deemed to be renewed on a continuing basis without our consent if you issue us a written reminder at least 14 days prior to the expiry date of this standing authority, and we do not object to such expiry date.

吾等明白 貴公司若在本常設授權書的有效期限屆滿前 14 日之前，向吾等發出書面通知，提醒吾等本授權書即將屆滿，而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 version and English version of this standing authority, 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異議，吾等同意應以英文本為準。

We acknowledge that this standing authority and re-pledging practice of your Company has been fully explained to us and we understand and agree with the contents of this standing authority.

吾等就本常設授權書的內容及貴公司的轉按政策獲得解釋，並且吾等明白及同意本授權書的內容。



Client Signature 客戶簽署

Authorized Signature(s) and Business Chop 授權簽署及商業印章

Date 日期

Letter of Guarantee

Name of Customer : (the "Customer")

Name of Guarantor: (the "Guarantor"),
an individual residing at _____
with a Hong Kong I.D. Card No. / Passport No. of _____

To: Sorrento Securities Limited ("Sorrento")
Rm 1208, 12/F, Wing On Centre, 111 Connaught Rd Central, Sheung Wan, HK

Dear Sir

In consideration of Sorrento acting as brokers for the Customer, in executing orders to buy, sell and deal in any and all kinds of securities including, but not limited to, shares, stocks, warrants, options, bonds, debentures, notes, bills of exchange, certificates and commercial papers of any description whatsoever and wheresoever issued, dealt in or located (all of which are referred to as "Securities"), on margin or otherwise, the undersigned Guarantor hereby guarantees the payment to Sorrento of all commissions, fees, expenses or charges which may be incurred in the execution of such orders, the payment to Sorrento of the purchase price, or the delivery to Sorrento (as the case may be) of such Securities and the payment of any losses which Sorrento may sustain upon said Customer's account by reason of insufficient margin or otherwise.

This shall be a continuing guaranty for any such indebtedness which the principal shall incur to the broker in accordance with the rules and customs of any exchange upon which the principal's orders are executed and in accordance with any special agreements now or hereafter existing between the broker and the principal.

It is expressly understood that this guaranty shall continue for any present or future accounts that the Customer may have with Sorrento, and shall endure and continue in favour of Sorrento, its successors, by merger, consolidation or otherwise, and assigns.

This guaranty shall be binding upon and enforceable against the executors, administrators, successors, and assigns of the undersigned and the death of the undersigned shall not terminate liability hereunder, the estate of the undersigned to be liable for all transactions within the scope of this guaranty conducted in said account prior to the receipt by Sorrento of notice of the death of the undersigned. The estate of the undersigned shall also continue liable with respect to any losses which may be incurred in liquidating the account during a reasonable time subsequent to the receipt of such notice.

This guaranty shall be supplemental and additional to any other collateral, guaranty or guaranties furnished or to be furnished by the Customer, the undersigned or any other person or persons, so that the liability herein provided for may be calculated independently of any sum or sums which may be collected or collectible under any such security, guaranty or guaranties. This guaranty shall not be satisfied by any payment on account, or the acceptance of any note or other collateral by Sorrento, and Sorrento may, without notice to the undersigned, grant time or other indulgence or settle with the Customer, or release or surrender any collateral held by Sorrento on the Customer's account or any portion thereof.

Sorrento is hereby authorized to hold any and all property and monies in any account or accounts which the undersigned may have with Sorrento as collateral for any loss or debit balance due or owing by the Customer to Sorrento. Sorrento is further authorized from time to time, whenever Sorrento deems it necessary for its protection, to transfer any such collateral held to the account or accounts of the Customer without notice to the undersigned, free and clear of any further claims of the undersigned therein or thereto. Any collateral so held or transferred may be liquidated, hypothecated and rehypothecated in accordance with the terms of the hypothecation agreement of the Customer and/or the undersigned with Sorrento. And demand for the performance of this guaranty, the assertion or enforcement by Sorrento of such lien, or any such transfer or transfers of collateral held shall not release or affect such lien or release the undersigned as guarantor or otherwise affect this guaranty or the liability of the undersigned for any debit balance or loss incurred to Sorrento by the Customer, it being the intention of this instrument that Sorrento shall at all times have any and all remedies herein and by law provided to protect and compensate Sorrento against any loss or debit balance incurred to Sorrento by the Customer.

This guaranty shall not be affected or discharged by omission of Sorrento to take action upon the principal debt or any collateral held by Sorrento for its payment, and no notice need be given to the undersigned of any default on the part of the Customer.

The undersigned hereby waives notice of Sorrento's acceptance of this guaranty and of any obligation incurred under or upon the faith hereof.

Dated this _____ day of _____ 20 _____



Signature of Witness

Name of Witness:

Signature of Guarantor

Name of Guarantor:

Information of Guarantor:

Telephone Number _____

Occupation _____

Name of Employer _____

Address of Employer _____