

CLIENT ACKNOWLEDGEMENTS 客户确认书

Referrer 介绍人:

AVALOK Capital Limited (“Avalok”), a corporation licensed (CE No. AZC453) with the Securities and Futures Commission, in respect of carrying out regulated activities of Type 1 (Dealing in Securities), Type 4 (Advising on Securities) and Type 9 (Asset Management). The Company is subject to a licensing condition prohibiting it from holding client assets (the terms ‘hold’ and ‘client assets’ being defined under the SFO) under Type 1 (Dealing in Securities) activity. As per your request, Avalok introduces an Executing Broker (EB) providing margin trading services to you. ***This acknowledgement letter discloses information as follows:***

宏观资本有限公司 (“宏观资本”) 是受香港证监会 (SFC) 规管的持牌法团 (牌照编号: AZC453), 可从事符合《证券及期货条例》的第 1 类 (证券交易)、第 4 类 (就证券提供意见) 及第 9 类 (提供资产管理) 受规管活动。就第一类受规管活动 (证券交易) 而言, 根据发牌条件, 本公司不得持有客户资产 (有关“持有”及“客户资产”之用词定义, 请参照《证券及期货条例》之定义)。按客户要求, 宏观资本向客户介绍提供保证金服务的执行交易券商。此确认书向客户披露以下信息:

1. Risks involved in margin trading: Referring to the complete Client Information and/or Risk Assessment, the EB will decide whether the introduction of margin trading is suitable given the financial status and investment experiences thereof.
保证金交易所涉及风险: 参照客户的完整客户资料 and 风险评估, 并根据客户的财政状况和投资经验, 执行交易券商将酌情决定保证金交易是否适合客户。
2. Reason to introduce the selected EB: Considering the company background of the Executing Broker, Avalok regards the selected EB is available and appropriate to offer securities trading services (including cash and/or margin financing account).
执行交易券商选择原因: 考虑到执行交易券商的公司背景, 宏观资本认为其具备适合并恰当资格, 以提供证券交易服务 (包括现金及/或保证金交易账户)。
3. Commercial arrangement between AVALOK Capital Limited and the Executing Broker
宏观资本有限公司与执行交易券商所订商业协议

Client Agreement 客户协议书

1. For the purpose of carrying out trade execution/ settlement/ clearing, securities margin trading and/or other relevant services provided by the introduced EB, the Client is required to open a separate cash and/or margin trading account with the EB.

客户必须向执行交易券商开立独立的证券现金及/或保证金交易账户, 以进行由执行交易券商执行交易/ 交收/ 结算、证券保证金交易及/或其他相关服务。

2. Avalok may be authorized, as an introducing broker, to act for and on behalf of the Client, in the name of the Client to deal with, to communicate with and to perform all transactions relating to the management and investment of the assets thereof held in the Client’s account with the EB, including but not limited to the buying and the selling of any securities products, provided that Avalok has no liability in relation to such transactions except in a case of any manifest error made by Avalok in connection therewith.

宏观资本有可能被授权为介绍经纪人, 以代表客户并以客户的名义处理、沟通、执行与客户资产 (存于执行交易券商所开立的账户内的客户资产) 管理及投资相关的交易事宜, 包括但不限于买卖任何证券产品。除非宏观资本在进行上述交易事宜的过程中有明确过失, 否则宏观资本概不承担与该等交易事宜相关的任何责任。

3. Avalok and the EB each undertakes to notify the Client in the event of any material change to the information in the Client Agreement, such as (a) our licensing or registration status with the SFC; (b) the nature of services to be provided; (c) a description of any remuneration; or (d) the margin trading requirements; in particular, provisions regarding the nature of services to be provided to or available to the Client.

宏观资本与执行交易券商各自负责通知客户有关客户协议书内容 (尤其是可为客户提供的服务性质) 的重大改动, 如 (a) 本公司于证监会申请的受规管的活动类别牌照或注册资格; (b) 本公司所提供的客户服务性质; (c) 本公司向客户所收取的任何费用; 或 (d) 证券保证金的交易要求等。

4. This agreement is effective on the date the cash and/or margin trading is opened by the Client with the EB and will cease to be effective if the account thereof has been terminated by either party (the Client and/or EB).

此协议于客户在执行交易券商成功开立账户的日期正式生效。如该等账户被任何一方 (客户和/或执行交易券商) 要求终止, 此协议即时作废。

Authority and Rights 权限和权利

5. I agree to authorize Avalok, when necessary, to communicate with/ to give trade orders to the EB for execution, settlement, clearing, and/or other relevant services in relation to the transactions; but not empowered to withdraw, either in whole or in part, securities or other assets deposited in any accounts opened with the EB.

本人/吾等同意并授权宏观资本在必要时可代表本人/吾等与执行交易券商联络/向执行交易券商作出交易指示, 以执行交易/ 交收/ 结算或其他有关交易事宜; 此权限不包括资金、证券或其他资产提取客户保存于执行交易券商任何帐户内的全部或部分证券或其他资产。

6. The EB is responsible for receiving, segregating, providing safeguard and delivering funds, securities and/or other property for the Client in accordance with all applicable laws and regulations, as well as in compliance with the terms of the Client Agreement with the EB. Avalok is not liable in any way for the EB's services and/or its performances thereof.

根据所有适用法律和条例, 客户与执行交易券商的协议条款, 执行交易券商有责任代表客户妥善收取并以独立帐户存管客户资金、证券资产和/或其他财产。宏观资本对执行交易券商向客户所提供的任何服务或其表现能力概不负任何责任。

7. Referring to the complete Client Information and/or Risk Assessment, the EB will decide whether margin trading is suitable given the financial status and investment experiences thereof. The EB is also responsible for extending margin credit, monitoring margin limits and exposures.

参照客户的完整客户资料 and 风险评估, 并根据客户的财务状况和投资经验, 执行交易券商将酌情决定保证金交易是否适合客户; 并有责任为客户安排孖展信贷, 监控孖展额度及风险等。

Fee Arrangement 费用安排

8. I agree to authorize Avalok to accept, receive and retain for Avalok's benefit any rebates, subsidies, commissions, soft dollars, discounts, rewards, profits, interests and other monetary benefits from the EB which are related to or incidental to securities trading business associate with my/our account(s).

本人/吾等同意并授权宏观资本接受、收取并保留任何宏观资本从执行交易券商获取由本人/吾等账户所附带或与之相关的证券交易服务所产生的益处, 包括回扣、补贴、佣金、「軟錢」佣金 (非金钱利益)、折扣、报酬、利润、利益及其他金钱益处。

9. I agree that, if Avalok makes any payments on my/our behalf, including but not limited to bank charges and other overheads in connection with the provision of introducing brokerage services, Avalok will distribute bills thereto directly for these expenses in which case I have to settle them within ten (10) business days.

本人/吾等同意如果宏观资本代表本人/吾等支付任何费用, 包括但不限于银行收费及其他与介绍经纪服务相关之费用, 宏观资本将就有关支付直接向本人/吾等发出账单, 就此而言, 本人/吾等须于十日内付清有关费用。

For Securities Margin Financing Client ONLY: Please circle the appropriate answers for the following questions:

本部分只供证券保证金融资客户填写: 请就以下问题圈出恰当答案:

i) Is the securities margin account leveraged?
证券保证金(孖展)账户是否有杠杆成份?

Yes 是 / No 否

ii) When the market is volatile, if the margin account Client fails to place deposits or provide more collateral before the deadline of the margin call, does the broker have the right to sell partial or all securities in the Client's account by force, without the permission thereof, to reduce the account shortfall?

在市场波动的情况下, 如保证金账户客户未能在追缴保证金限期前存入足够按金或交付额外所须的抵押品, 券商是否有权在未经客户的同意下强制沽出其账户内的部份或全部证券, 以减低账户结欠金额?

Yes 是 / No 否

CLIENT DECLARATION 客户声明

By signing this Acknowledgement Letter, I authorize Avalok, on my/our behalf, to communicate with/give trade orders to the EB. This authorization will be applicable to all assets I held in accounts with the EB from time to time.

通过签署此确认书, 本人/吾等授权宏观资本代表本人/吾等向与执行交易券商联络/向执行交易券商作出交易指示。此授权不时适用于本人/吾等在执行交易券商所开立之任何账户内的所有资产。

I hereby confirm that, I have received, read, understood and agree to the contents and terms and conditions hereof, the Risk Disclosure of Cash and/or Margin Trading and the background of the Executing Broker.

本人/吾等在此确认本人/吾等已接收、阅读、理解并同意此客户确认书的内容及条款与条件、现金及/或保证金交易的风险披露及执行交易券商的背景。

I hereby confirm that, the contents hereof and the Risk Disclosure of Cash and/or Margin Trading and the background of the Executing Broker have been fully explained to me/us by the materials provided by Avalok in both English and Chinese which I understand. I have agreed to the English version thereof shall prevail in cases of any inconsistency or ambiguity between the English version and the Chinese version.

本人/吾等在此确认本人/吾等透过宏观资本所提供的中、英文资料已获悉详尽解释并理解此客户确认书的内容、现金及/或保证金交易的风险披露及执行交易券商的背景。如前述文件的中、英文版本有不符之处, 本人/吾等同意均以英文版为准。

I have been given an adequate opportunity to ask questions with Avalok's licensed representative and to consult my/our own legal adviser about this Acknowledgement Letter, the Risk Disclosure of Cash and/or Margin Trading and the background of the Executing Broker.

本人/吾等已获充份机会就此客户确认书的内容、现金及/或保证金交易的风险披露及执行交易券商的背景等事宜向宏观资本的持牌代表作出提问, 并就该等事宜咨询本人/吾等的个人法律顾问。

I agree to electronically sign additional documents included during the account opening process and from time to time, including but not limited to Risk Disclosures and other agreements.

本人/吾等同意以电子签名方式签署开户流程期间及不时附加的文件, 包括但不限于风险披露及其他协议。

I undertake to notify Avalok in writing forthwith upon any changes to any of the information contained herein. Avalok is entitled to rely fully on any of my/our certification and confirmation contained herein for all purposes, unless Avalok receives notice in writing of any changes thereof.

本人/吾等承诺, 如任何此确认书内已填写的资料有任何变更, 本人/吾等将尽快以书面形式通知宏观资本。除非宏观资本收到本人/吾等更改有关内容的书面通知, 否则宏观资本有权在任何情况下完全依赖并信任本人/吾等在此确认书作出的所有证明及确认。

NOTWITHSTANDING THE GENERALITY OF THE ABOVE DISCLAIMER OF LIABILITY, AND FOR THE AVOIDANCE OF DOUBT, BY SIGNING THIS ACKNOWLEDGEMENT LETTER, THE CLIENT ACKNOWLEDGES THAT AVALOK SHALL NOT BE LIABLE TO THE CLIENT OR ANY OTHER PERSON IN ANY CIRCUMSTANCES IN CONNECTION WITH:

除上述一般免责声明，为免存疑，客户通过签署此确认书，兹确认宏观资本与以下相关事宜的任何情况下对客户本身或任何人士概不承担任何责任：

1. ANY LOSS OR DAMAGE TO ANY OF THE CLIENT'S ASSETS (INCLUDING BUT NOT LIMIT TO FUNDS, SECURITIES); AND / OR
客户资产的任何损失或损害（包括但不限于资金、证券）；及/或
2. OTHER PROPERTY HELD WITH THE EXECUTING BROKER; OR
由执行交易券商持管的其他财产；或
3. THE EXECUTION OR CLEARING OF TRADES BY THE EXECUTING BROKER OR ITS PERFORMANCE OF ANY OTHER SERVICES FOR THE CLIENT; OR
由执行交易券商为客户执行交易或结算，或其所履行的任何其他服务的表现；或
4. ANY BREACH OF CONTRACT BETWEEN THE CLIENT AND THE EXECUTING BROKER; OR
客户与执行交易券商之间的任何违背合约事宜；或
5. ANY BREACH OF REGULATION, WITH RESPECT TO THE HONG KONG SECURITIES AND FUTURES COMMISSION OR OTHER APPLICABLE LAWS AND REGULATIONS, BY THE EXECUTING BROKER
执行交易券商的任何违规事宜（包括香港证监会或其它适用法律和条例）

CLIENT IS REQUIRED TO MANUALLY SIGN THIS ACKNOWLEDGEMENT LETTER AND SEND IT TO AVALOK TO EVIDENCE THAT CLIENT HAS RECEIVED, READ, UNDERSTAND AND AGREE TO ITS TERMS.

客户须要亲笔签署此确认书并呈交至宏观资本，以证明客户已接收、阅读、理解并同意此确认书的所有条款。

ACKNOWLEDGED, AGREED AND ACCEPTED BY CLIENT:
CLIENT:

客户确认、同意并接受：

ACKNOWLEDGED, AGREED AND ACCEPTED BY

客户确认、同意并接受：

Primary Client Signature 客户签名

Joint Client Signature 联名客户签名

Date日期

Date日期

Full Name of Primary Client 客户名称

Full Name of Joint Client Name 联名客户名称

Date日期

Date日期

All information given herein certified as true and accurate. AVALOK Capital Limited is entitled to rely fully on information and representation given herein for all purposes, unless notice in writing of any change is received. AVALOK Capital Limited, under authorization, is entitled to contact any person (including banks, brokers or any credit agency) at all time for the purpose of verifying the information provided herein.

本客户资料表格的资料均属真实及准确。除非宏观资本有限公司收到任何客户资料改变的书面通知，否则宏观资本可完全依赖本客户资料表格的资料及陈述作任何用途。客户授权宏观资本可于任何时间联络任何人士（包括客户的银行、经纪等或任何信贷机构），藉以确认与查证本客户资料表格内的资料。

WITNESS FOR ACCOUNT OPENING (NOT APPLICABLE FOR OPTION OF LINKING TRADING ACCOUNT TO HONG KONG BANK ACCOUNT)**开户见证 (以绑定香港银行账户进行身份认证之客户无需填写此部分)**

If you are not opening this Account by way of linking your trading account to your Hong Kong bank account, please arrange any person registered with the SFC or any affiliate thereof/ a Justice of the Peace/ a professional person (such as a branch manager of a bank, certified public accountant, lawyer or notary public) for the witness of your signature of this Agreement and the verification of required identity documents. The Witness is required to fill in and sign for the **“WITNESS FOR ACCOUNT OPENING”** section.

如阁下非以绑定香港银行账户至交易账户作签名认证进行开户, 请自行安排任何证监会认可之注册人或其联系人/ 太平绅士/专业人士 (如银行分行经理、执业会计师、律师或公证人)。见证人须填写并签署「**开户见证**」一栏, 以确认已见证阁下订立本协议并验证有关的身份证明文件。

I, the undersigned witness, hereby certify that I have witnessed the signing of this Agreement and have verified the required identity documents of the Client.

本人 (下列签署人), 兹核证本人已见证客户订立本协议, 并已验证客户的有关身份证明文件。

SIGNED BY WITNESS**见证人签署**

I, the undersigned, have witnessed the signature & inspected the original identity documents of the above-named client.

本人 (下列签署人) 已见证并验证上述客户之签署及其身份证明文件正本。

SIGNED & DECLARED BY LICENSED REPRESENTATIVE**持牌代表签署**

I, the undersigned, have explained to the client the relevant Risk Disclosure

本人 (下列签署人) 已向客户解释此确认书中有关风险披露声明。

Signature of Witness 见证人签署

Signature of Licensed Representative 持牌代表签署

Full Name of Witness 见证人姓名

Full Name of Licensed Representative 持牌代表姓名

Title of Witness 见证人职衔:

CE No. of Licensed Representative 持牌代表中央编号:

Date日期

Date日期

RISK DISCLOSURE OF SECURITIES TRADING 证券交易的风险披露

IMPORTANT NOTICE: These risk disclosure statements do not purport to disclose or discuss all of the risks and other significant aspects of any transaction. Clients should therefore consult with their own legal, tax, financial and other professional advisers as they deem appropriate and ensure that they fully understand the risks involved and satisfy themselves that they are willing to accept such risks before entering into any particular transaction. It is important for clients to determine whether any transaction is suitable for them in the light of their own investment experiences, investment objectives, financial situation and other relevant circumstances.

重要通知: 此等风险披露声明不拟披露或讨论任何交易的所有风险及其他重要事项。因此,若客户应在其认为恰当的情况下咨询其法律、税务、财务及其他专业顾问,并且确保自己完全明白涉及的风险,并于进行任何交易前,确保自己愿意接受一切有关风险。客户必须根据自己的投资经验、投资目标、财务状况及其他有关情况,判断有关交易是否适合自己。

RISK OF SECURITIES TRADING: The prices of securities fluctuate, sometimes dramatically. The price of a security may move up or down, and may become valueless. It is as likely that losses will be incurred rather than profit made as a result of buying and selling securities.

证券交易的风险: 证券价格有时可能会非常波动。证券价格可升可跌,甚至变成毫无价值。买卖证券未必一定能够赚取利润,反而可能会招致损失。

RISK OF TRADING GROWTH ENTERPRISE MARKET STOCKS: Growth Enterprise Market (GEM) stocks involve a high investment risk. Companies may list on GEM with neither a track record of profitability nor any obligation to forecast future profitability. GEM stocks may be very volatile and illiquid. Clients should make the decision to invest only after due and careful consideration. The greater risk profile and other characteristics of GEM mean that it is a market more suited to professional and other sophisticated investors. Current information on GEM stocks may only be found on the internet website operated by The Stock Exchange of Hong Kong Limited. GEM Companies are usually not required to issue paid announcements in the Gazette and newspapers. Clients should seek independent professional advice if they are uncertain of or have not understood any aspect of this risk disclosure statement or the nature and risks involved in trading of GEM stocks.

买卖创业板股份的风险: 创业板股份涉及高投资风险,尤其该等公司可在无需具备盈利佳绩及/或预测未来盈利的情况下在创业板上市。创业板股份可能非常波动且流通性低。客户应在审慎及仔细考虑后作出有关的投资决定。考虑到创业板市场较高的风险性质及其他特点,此市场较适合专业及其他熟悉投资技巧的投资者。现时有关创业板股份的数据只可在香港联合交易所有限公司所操作的互联网网站上查阅。创业板上市公司一般毋须在宪报指定的报章刊登付费公告。如客户对本风险披露声明的内容或创业板市场的性质及在创业板买卖的股份所涉风险有不自白之处,应寻求独立的专业意见。

RISK OF CLIENT ASSETS RECEIVED OR HELD OUTSIDE HONG KONG: Client assets received or held by the licensed or registered person 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.

在香港以外地方收取或持有的客户资产的风险: 持牌人或注册人在香港以外地方收取或持有的客户资产受到有关海外司法管辖区的适用法律及规例所监管。该等法律及规例与《证券及期货条例》(第 571 章)及根据该条例制订的规则可能有所不同,因此,有关客户资产将可能不会享有赋予在香港收取或持有的客户资产的相同保障。

RISK OF PROVIDING AN AUTHORITY TO HOLD MAIL OR TO DIRECT MAIL TO THIRD PARTIES: If clients provide the licensed or registered person with an authority to hold mail or to direct mail to third parties, it is important for clients to promptly collect in person all contract notes and statements of their account and review them in detail to ensure that any anomalies or mistakes can be detected in a timely fashion.

提供代存邮件或将邮件转交第三方的授权书的风险: 如客户授权并允许持牌人或注册人代存邮件或将邮件转发第三方,客户应及时获取并详阅与其账户有关的交易交单据及结单,以确保可及时查阅任何异常或错误之处。

RISK OF TRADING OPTIONS: The risk of loss in trading options is substantial. In some circumstances, clients may sustain losses in excess of their initial margin funds. Placing contingent orders, such as “stop-loss” or “stop-limit” orders, will not necessarily avoid loss. Market conditions may make it impossible to execute such orders. Clients may be called upon at short notice to deposit additional margin funds. If the required funds are not provided within the prescribed time, the position thereof may be liquidated. Clients will remain liable for any resulting deficit in their account. Clients should therefore study and understand options before their trade and carefully consider whether such trading is suitable in the light of their own financial position and investment objectives. For any option trading, clients should inform themselves of exercise and expiration procedures and their rights and obligations upon exercise or expiry.

期权交易的风险: 买卖期权的亏蚀风险极高,在若干情况下,客户所蒙受的亏蚀可能超过其最初存入的保证金数额。设定备用买卖指示(如“止蚀”或“限价”)未必可完全避免损失。该等指示可能因受市场实际情况影响而无法执行,客户亦有可能在短时间内被要求存入额外保证金;如客户未能在指定时间内存入所需数额,其未平仓合约可能会被强制平仓;而客户仍要对其账户内任何因此而出现的欠额负责。因此,客户进行期权交易前应先了解期权交易性质,并根据本自身财务状况及投资目标,仔细考虑期权买卖是否适合自己。客户参与期权交易时亦应熟悉期权的行使及到期交易程序,了解行使期权及于期权到期时的权利与责任。

RISK DISCLOSURE OF SECURITIES TRADING 证券交易的风险披露

RISK OF PROVIDING AN AUTHORITY TO REPLEDGE YOUR SECURITIES COLLATERAL ETC.: There is risk if clients provide the licensed or registered person with an authority that allows it to apply their securities or securities collateral pursuant to securities borrowing and lending agreement, re-pledge their securities collateral for financial accommodation or deposit their securities collateral as collateral for the discharge and satisfaction of its settlement obligations and liabilities. If the securities or securities collateral thereof are received or held by the licensed or registered person in Hong Kong, the above arrangement is allowed only if clients' consent in writing. Moreover, unless clients are professional investors, their authority must specify the period for which it is current and be limited to not more than 12 months. If clients are professional investors, these restrictions do not apply. Additionally, their authority may be deemed to be renewed (i.e. without clients' written consent) if the licensed or registered person issues clients a reminder at least 14 days prior to the expiry of the authority, and clients do not object to such deemed renewal before the expiry date of their then existing authority. Clients are not required by any law to sign these authorities, but an authority may be required by licensed or registered persons, for example, to facilitate margin lending to clients or to allow their securities or securities collateral to be lent to or deposited as collateral with third parties. The licensed or registered person should explain to clients the purposes for which one of these authorities is to be used. If clients sign one of these authorities and their securities or securities collateral are lent to or deposited with third parties, those third parties will have a lien or charge on the securities or securities collateral thereof. Although the licensed or registered person is responsible to clients for securities or securities collateral lent or deposited under the authority thereof, a default by it could result in the loss of securities or securities collateral thereof. A cash account not involving securities borrowing and lending is available from most licensed or registered persons. If clients do not require margin facilities or do not wish their securities or securities collateral to be lent or pledged, do not sign the above authorities and ask to open this type of account.

提供将你的证券抵押品等再质押的授权书的风险: 如客户授权并容许持牌人或注册人按照证券借贷协议书使用其证券或证券抵押品, 或将其证券抵押品再质押以进行融资, 或动用其证券抵押品以履行和清偿其交收责任及债务, 客户须清楚此等作为存有一定风险。如客户的证券或证券抵押品是由持牌人或注册人在香港收取或持有的, 上述内容仅限客户已就此给予书面同意的情况下方为有效。如客户是非专业投资者, 其授权书必须指明有效期, 有效期不得超逾 12 个月。如客户是专业投资者, 上述限制则不适用。客户的持牌人或注册人会在有关授权的期限届满前最少 14 日向其发出有关授权的续期提示, 如客户未有作出反对通知, 改授权指示将会自动续期。尽管没有法例规定客户就该等事宜签署授权书, 但不排除持牌人或注册人要求客户签署相关授权书, 以便向客户提供保证金贷款, 或获取客户同意以将其证券或证券抵押品借予第三方或作为抵押品存放于第三方; 有关持牌人或注册人亦应向客户说明目的及有关详情。如客户签署授权书并同意将其证券或证券抵押品借予或存放于第三方, 该等第三方或将对其证券或证券抵押品有行权行使留置权或作出押记。即使有关持牌人或注册人应根据客户授权书借出或存放客户证券或证券抵押品, 但不排除上述持牌人或注册人的违规行为可能招致客户损失其证券或证券抵押品。一般而言, 持牌人或注册人所提供的现金账户服务均不涉及证券借贷, 如客户无使用保证金贷款的需要或不希望其证券或证券抵押品被借出或抵押, 则切勿签署有关授权书或开立该等账户。

RISK OF TRADING NASDAQ-AMEX SECURITIES AT THE STOCK EXCHANGE OF HONG KONG LIMITED: The securities under the Nasdaq-Amex Pilot Program ("PP") are aimed at sophisticated investors. Clients should consult the licensed or registered person and become familiarized with the PP before trading in the PP securities. Clients should be aware that the PP securities are not regulated as a primary or secondary listing on the Main Board or the Growth Enterprise Market of the Stock Exchange of Hong Kong Limited.

在香港联合交易所有限公司买卖纳斯达克 - 美国证券交易所证券的风险: 纳斯达克 - 美国证券交易所试验计划 ("试验计划") 所挂牌买卖的证券以专业投资者为主要参与者。客户在买卖该项试验计划的证券前应先咨询有关持牌人或注册人的意见, 确保自己熟悉该项试验计划。客户应知悉该等证券并非以香港联合交易所有限公司的主板或创业板作第一或第二上市方式监管。

RISK ASSOCIATED WITH ELECTRONIC COMMUNICATION: Clients understand that the internet or other electronic communication system, due to unpredictable traffic congestion and other reasons, may not be a reliable medium of communication and that such unreliability is beyond the control of AVALOK. This may give rise to situations including delays in transmission and receipt of clients' instructions or other information, delays in execution or execution of instructions thereof at prices different from those prevailing at the time their instructions were given, misunderstanding and errors in any communication between clients and AVALOK and so on. Whilst AVALOK will take every possible step to safeguard its systems, client information, accounts and assets held for the benefit of its clients, clients accept the risk of conducting transactions via electronic communication systems.

电子通讯相关的风险: 客户已理解互联网或其他电子通讯系统的运作及可靠性可能受无法预计的网络挤塞或其他原因影响, 该等通讯系统的可靠性变数非由宏观资本所能控制, 并属不可控因素; 下列情况可能出现, 包括: 在传送或收取你的指示或其他数据时有所延误、延误执行买卖盘或有关买卖盘以有别于你落盘时的市价执行、你与宏观资本进行通讯时出现误解及错误等等。尽管宏观资本将会采取一切可行的步骤去保障其系统、顾客数据、帐户及为客户利益而持有的资产, 你接纳透过电子通讯系统进行交易所涉及 的风险。

RISKS OF ENTERING INTO OTC TRANSACTIONS: Over-the-counter or off-exchange transactions ("OTC Transactions") may be allowed or permitted in some jurisdictions. Regarding an OTC Transaction, it may be difficult or impossible to liquidate an existing position, to assess the value, to determine a fair price or to assess the exposure to risk. For these reasons, OTC Transactions may involve increased risks. OTC Transactions may be less regulated or subject to a separate regulatory regime. Before clients undertake such transactions, you should familiarize yourself with applicable rules and attendant risks.

进行场外交易的风险: 部分司法管辖区或准许进行场外交易; 场外交易或会涉及更高的风险, 投资者可能难以或甚至无法进行平仓、进行估值、判断价格或评估须承受的风险。此等交易所受规管或会相对宽松或可能受其他监管制度所约束。客户进行此等交易前应当熟习相关的适用规管条例及有关风险。

RISK DISCLOSURE OF SECURITIES TRADING 证券交易的风险披露

ADDITIONAL RISK DISCLOSURE FOR OTC DERIVATIVE TRANSACTIONS: Over-the-counter or off-exchange derivative transactions (“OTC Derivative Transactions”) involve a variety of significant risks. The specific risks presented by a particular OTC Derivative Transaction will necessarily depend upon the terms of the transaction. In general, all OTC Derivative Transactions involve some combination of market risk, credit risk, funding risk and operational risk. There may be other significant risks that clients should consider based on the terms of a specific transaction. Highly customized OTC Derivative Transactions in particular may increase liquidity risk and introduce other significant risk factors of a complex character. Highly leveraged transactions may experience substantial gains or losses in value as a result of relatively small changes in the price or level of underlying asset or instrument or related market factors. In evaluating the risks and contractual obligations associated with a particular OTC Derivative Transaction, clients should also consider that an OTC Derivative Transaction may be modified or terminated only by mutual consent of the parties and subject to agreement on individually negotiated terms. Accordingly, it may or may not be possible for clients to modify, terminate or offset the obligations thereof or their exposure to the risks associated with a transaction prior to its scheduled termination date.

关于场外衍生工具交易的额外风险披露：场外衍生工具交易涉及多种不同的重大风险，场外衍生工具交易的实际风险须视乎该宗交易本身的条款。一般而言，所有场外衍生工具交易涉及市场风险、信贷风险、融资风险及营运风险；客户或须根据特定的交易条款考虑其他重大风险，尤其特别是高度订定制的场外衍生工具交易或会出现较高流通性风险及其他更复杂的重大风险因素。基于相关资产/工具的价格/水平或相关市场因素的变化较小，高杠杆交易或出现重大收益或亏损。在衡量任何场外衍生工具交易的风险及合约责任时，客户应当同时注意交易在获得合约双方相互同意的情况下，并根据个别谈判条款所达成的协定，或会有被改动或终止的可能，因此，在有关合约终止日前，客户或可/不可作出修改、终止或抵偿相关交易的责任或其所须承受的风险。

RISK OF TRADING DERIVATIVE PRODUCTS: Trading in derivative products (including but not limited to equity-linked instruments, credit-linked notes, derivative warrants and convertible securities) tracking fluctuations in the price or level of securities, bonds, money market instruments, interest rates, reference indices or other benchmark) involves risks. Changes in market conditions may cause great changes in the value of such products. As a consequence, clients’ related exposure to price or market risk may be significantly higher in connection with a derivative product than with other non-derivative financial instruments with which they may be familiar. Derivative products may not be suitable for clients as they can be complex and carry with them substantial risk of loss. Clients should make investment in derivative products only after carefully assessing among other things the direction, timing, and magnitude of the potential future changes in the price or level of the underlying asset or instrument or other benchmark, as the return of any such investment may be dependent upon such changes. However, risks associated with trading in derivative products are not and should not be presumed to be predictable. Investing in certain types of derivative products may result in their having to take or make delivery of certain underlying asset or instrument at a pre-determined price. In such circumstances, clients need to perform such obligation however far the market price or level of the underlying asset or instrument has moved away from the pre-determined price or level and the resulting losses to clients can be substantial.

买卖衍生工具产品的风险：衍生工具产品（包括但不限于股票挂钩工具、信贷挂钩票据、衍生权证及可换股债券）追踪证券、债券、货币市场工具、利率、参考指数或其他指标的变动或水平变化，相关买卖将涉及风险。市况变动或对上述产品价值造成巨大变化，客户就此所须承受的价格或市场风险可能明显较其熟悉的其他非衍生金融工具所涉及的有关风险更高。衍生工具产品可能复杂并可引致极高的亏损风险，此类产品未必适合客户。客户考虑投资衍生工具产品前，应先谨慎评估相关资产、工具或其他有关指标的价格或水平未来的潜在变化方向、时间及幅度，以及其他有关因素，此类投资的回报或受上述变数影响；但需注意买卖衍生工具产品所涉及的风险并不是且不应假定为可预期的。投资某类衍生工具产品可能导致客户须按某预定价格购入或交付某些相关资产或工具。在此等情况下，即使相关资产或工具的市场价格或水平偏离预定价格或水平，客户仍须履行有关责任，并可能因此承受巨大亏损。

RISK DISCLOSURE OF MARGIN TRADING 保证金交易的风险披露

This risk disclosure statement is provided to clients to provide some basic facts about purchasing securities on margin, and to alert clients to the risks involved with trading in a margin account. "Margin trading" may refer to the engagement in a transaction in which securities are purchased partially through a margin loan extended to clients by the EB, for which the securities act as collateral.

本风险披露旨在向客户提供有关以保证金进行证券及期货合约交易的基本资料，并提醒客户保证金交易的风险。“保证金交易”可指通过执行交易券商向客户提供的保证金贷款买入的证券所进行的交易，并以该等证券作为抵押物。

This risk disclosure statement also describes special risks associated with trading on margin in clients' securities account, as described below. Before trading stocks or other investment products in a margin account, clients should carefully review the margin agreement provided by the EB, and consult the EB regarding any questions or concerns related to the margin accounts thereof.

本风险披露并描述透过客户证券账户进行保证金交易的特殊风险，具体内容请参详下文。客户透过保证金账户进行证券或其他投资产品交易前应仔细审阅执行交易券商所提供的保证金协议，并向执行交易券商咨询有关其保证金账户的任何问题或疑问。

When clients purchase securities, they may pay for the securities in full or borrow parts of the purchase funds from EB. Clients are required to open a margin account with the EB in cases of they choose to borrow funds from EB. The securities purchased thereof are the collateral of loan to you offered by the EB. If the securities in account thereof decline in value, so does the value of the collateral supporting the corresponding loan, and, as a result, the EB is entitled to proceed to further appropriate actions, such as sell securities or other assets in any of clients' accounts held with the EB or issue a margin call, in order to maintain the required equity in the account.

客户购买证券时可以全额支付或可向执行交易券商借款以支付全部或部分购买证券费用。如选择向执行交易券商借入资金，客户须向执行交易券商开立保证金账户，其所购买的证券为客户与执行交易券商进行贷款的抵押品。如客户账户中的证券价值下跌，其贷款抵押的价值亦然，执行交易券商有权采取恰当行动，如出售客户向执行交易券商所开立的任何账户中的证券或其他资产，或向客户发出追缴保证金通知，以维持其账户中所需证券净值。

Clients should understand that pursuant to the EB Margin Agreement, the EB generally will not issue margin calls, that EB will not credit clients' accounts to meet intraday margin deficiencies, and that the EB generally will liquidate positions in clients' accounts in order to satisfy margin requirements without prior notice to clients and without an opportunity for clients to choose the positions to be liquidated or the timing or order of liquidation. In addition, it is important that clients fully understand the risks involved in trading securities on margin. These risks include the following:

客户需清楚了解，根据执行交易券商保证金协议，执行交易券商一般不会发出追缴保证金通知，亦不会向客户账户赔账以填补当天保证金的缺额。就此情况，执行交易券商会为客户账户中的仓位作出平仓操作，以满足保证金要求，一般而言，客户不会提前收到执行交易券商发出的通知，亦有可能无法选择平仓的仓位、时间或指令。客户亦应完全明白有关使用保证金进行证券买卖的风险（如下）：

Clients may suffer a loss with funds more than the deposits thereof in the margin account. Clients may be required to provide additional funds to the EB due to a decline in value of securities purchased on margin, or to increase the deposits of the margin account thereof to avoid a forced sale of such securities or other assets therein.

客户的损失金额有机会超过其存入保证金账户中的资金。保证金购买证券的价值下跌可能导致客户需向执行交易券商提供额外资金，或需增加账户内的保证金数额，以避免其账户中的证券或其他资产被强行出售。

The EB is entitled to operate a forced sale of securities or other assets in accounts of the clients. If the equity therein falls below the maintenance margin level requirements, or if the EB has higher "house" requirements, the EB is entitled to sell the securities or other assets in any accounts thereof held with the EB to cover the margin deficiency. Clients are liable for any shortfall in the account after such a sale.

执行交易券商有权强行出售客户账户中的证券或其他资产。如客户账户中的资产净值低于维持保证金水平要求或执行交易券商所定的金额要求（如有），执行交易券商有权出售客户向执行交易券商所开立的任何账户中的证券或其他资产以填补保证金缺额；客户亦有义务承担资产售后的账户缺额。

The EB is entitled to sell clients' securities or other assets without prior notice. Investors should note that it is unnecessary for the EB to contact clients for a margin call and any liquidation of securities or other assets in the clients' accounts to meet the call. As above mentioned, the EB generally does not issue margin calls and is entitled to immediately sell clients' securities or other assets without prior notice thereto for the insufficient margin account thereof.

执行交易券商有权在未有事前联系客户的情况下出售其证券或其他资产。投资者应注意，执行交易券商并非必须向其作出追缴保证金通知，亦无须就为客户账户中的证券或其他资产进行任何平仓以填补追加的保证金而发出通知。如上所述，执行交易券商一般不会发出追加保证金的通知，当客户账户的保证金数额出现不足，执行交易券商有权在不作出事前通知的情况下，即时出售客户的证券或其他资产。

RISK DISCLOSURE OF MARGIN TRADING 保证金交易的风险披露

Clients are not entitled to make a preference on the securities or other assets in the accounts thereof for liquidation or sale to meet a margin call. The EB has the right to decide which positions to sell to protect its interests.

客户无权选择进行平仓或出售账户中的证券或其他资产类别以满足追缴保证金要求；而执行交易券商有权出售的仓位作出决定，以保障其自身利益。

The EB is entitled to increase its “house” maintenance margin level requirements at any time and is not required to provide clients with advance written notice. Such policy changes often take effect immediately. Clients’ failure to maintain adequate margin in the event of an increased margin rate generally will cause the EB to liquidate or sell securities in the accounts thereof.

执行交易券商有权随时增加其所定的维持保证金水平要求并无需事先向客户发出书面通知；一般而言，该等保证金政策变动即时生效。如客户账户未能维持足够的保证金金额，不达执行交易券商所定的经上调保证金率，执行交易券商可因而进行平仓或出售客户账户中的证券。

If the EB issues a margin call rather than immediately liquidates the under-margined positions, clients are not entitled to an extension of time on the margin call.

如执行交易券商发出追缴保证金通知，而非即时平仓保证金不足的仓位，客户无权延展追缴保证金的期限。

Special Risks of Margin Trading in Securities Account:

证券账户进行保证金交易的特殊风险:

Margin trading in a securities account may not be suitable to clients under the consideration of the financial circumstances thereof. Margin trading involves a high degree of risk and may result in a loss of funds greater than the deposits in securities account. Clients must determine whether trading on margin is suitable according to the personal financial circumstances, tolerance of risk, experience in investment and other factors. Clients should consult a professional financial advisor to determine if margin trading is consistent with their financial goals.

考虑到其财务状况，客户可能不适合进行保证金交易。保证金交易涉及高风险并有机会导致其损失金额超过其证券账户中的存款；客户必须根据个人的财务状况、风险承受能力、投资经验及其他因素，决定利用保证金进行交易是否可取。客户亦应咨询专业金融顾问有关保证金交易是否与其财务目标一致。

BACKGROUND OF EXECUTING BROKER 执行交易券商的背景说明**INTERACTIVE BROKER GROUP 盈透证券集团**

On a consolidated basis, Interactive Brokers Group (IBG LLC) exceeds \$6 billion in equity capital.
盈透证券集团 (IBG LLC) 拥有超过\$60 亿美元的综合股本资产。

IBG LLC manages the brokerage and market making businesses in separate companies, which are registered with local securities and/or commodities regulators. IBG LLC maintains strict systematic and procedural separation between the two business lines and company does not commingle or utilize customer-segregated assets for proprietary operations. Although certain affiliates of IB trade for their own account, their customer-facing businesses do not conduct proprietary trading
盈透证券集团的经纪业务与做市业务由不同公司分别管理，各分公司均在当地证券和/或商品监管机构注册；在两项业务范围之间保持严格的系统和程序分离制度，不会混合或利用客户分离资产进行自营业务操作；其经纪公司不进行自营交易。

IBG LLC holds no material positions in over-the-counter securities or derivatives, and holds no CDOs, MBS or CDS. The gross amount of their portfolio of debt securities, with the exception of U.S. government securities, is less than 10% of their equity capital.
盈透证券集团不持有场外证券或衍生品的实质头寸。也不持有担保债务凭证 (CDO)、房贷抵押债券 (MBS) 或信用违约互换 (CDS)；投资于美国政府债券以外的债务证券的总金额不超过公司股本资本的 10%。

Positions are marked to market daily and the resulting payables/receivables are reconciled to outside sources automatically.
盈透证券集团的头寸每日按市价计值，并且产生的应付/应收款项自动与外部资源进行协调。

Real-time margining system marks all customer positions to market continuously. All orders are credit vetted before being executed and positions in accounts with inadequate margin deposits are liquidated automatically.
实时保证金系统持续按市价计算所有客户头寸。所有定单在执行前均进行信用审核，保证金不足时立刻自动平仓账户头寸。

Interactive Brokers LLC is rated 'BBB+'; Outlook Stable by Standard & Poor's.
盈透证券有限公司的标准普尔评级为"BBB+" 前瞻稳定。

Rated Low Cost Broker 17 years in a row¹ & Lowest Margin Fees² by Barron's.
被巴伦周刊评为连续 17 年的低成本经纪商¹，并被评为最低保证金费用经纪商²。

Disclosures 披露

1. Low Cost Rated by Barron's 17 Years Straight - Low cost broker 2002 through 2018 according to Barron's online broker review. 2002 - 5 Stars, 2003 - 4.9 Stars, 2004 - 5 Stars, 2005 - 5 Stars, 2006 - 5 Stars, 2007 - 4.8 Stars, 2008 - 4.5 Stars, 2009 - 4.5 Stars, 2010 - 4.2 stars, 2011 - 4.5 stars, 2012 - 4.3 stars, 2013 - 4.5 stars, 2014 - 4.5 stars, 2015 - 4.5 stars, 2016 - 4.5 stars, 2017 - 4.5 stars, 2018 - 4.6 stars. Interactive Brokers earned a 4.6 star ranking in the March 26, 2018 Barron's Annual Best Online Brokers - "All Together Now". Criteria included Trade Experience and Technology, Usability, Mobile, Range of Offerings, Research Amenities, Portfolio Analysis & Reports, Customer Service, Education and Security, and Costs. Barron's is a registered trademark of Dow Jones & Co. Inc.

1. 根据巴伦周刊互联网券商评比，盈透证券从 2002 年至 2018 年连续 17 年被巴伦周刊 (Barron's) 评为低成本经纪商：2002 - 5 星，2003 - 4.9 星，2004 - 5 星，2005 - 5 星，2006 - 5 星，2007 - 4.8 星，2008 - 4.5 星，2009 - 4.5 星，2010 - 4.2 星，2011 - 4.5 星，2012 - 4.3 星，2013 - 4.5 星，2014 - 4.5 星，2015 - 4.5 星，2016 - 4.5 星，2017 - 4.5 星，2018 - 4.6 星。在巴伦周刊 (Barron's) 2018 年 3 月 26 日的年度最佳互联网券商评比 - "All Together Now" 中，盈透证券荣获 4.6 星评级。评比的条件包括交易体验和技术，使用性，移动性，交易产品范围，研究手段，投资组合分析和报告，客户服务，教育和安全，以及成本。Barron's 是 Dow Jones & Co. Inc 的注册商标。

2. According to Barron's Online Broker Survey 2018: All Together Now, March 26, 2018. Lowest margin fees of any broker listed in Barron's survey of accounts having \$100k or more in assets with margin rates of \$10k, \$25k, \$50k and 100k balances.

2. 根据巴伦周刊 (Barron's) 2018 年 3 月 26 日的互联网券商评比：All Together Now。在巴伦周刊调研覆盖的经纪商中提供最低的保证金费率，该调研的对象是拥有 10 万美元以上资产、且保证金为 1 万、2.5 万、5 万或 10 万美元的账户。

CLIENT INFORMATION FORM
客户资料表格

INDIVIDUAL/JOINT ACCOUNT (个人/联名账户)

Personal Data 个人资料 (PLEASE PRINT IN BLOCK LETTERS 请用正楷填写)			
Name of Client 客户姓名	English 英文:	Mr./Miss/Ms. 先生/小姐/女士	
	Chinese 中文:	Gender 性别	
ID/Passport No. 身份证/护照号码	Place of Issuance 签发地方	Place of Birth 出生地方	Date of Birth 出生日期 (dd/ mm/yyyy) (日/月/年)
Marital Status 婚姻状况	Number of Dependants 受养人数目	Nationality 国籍	Zip/Postal Code 邮区编号
Residential Address 住宅地址			
Residential Phone No. 住宅电话		E-mail Address 电子邮件	
Mobile Phone No. 流动电话号码	Use for Messaging? 用于接收信息? Yes 是 / No 否	Fax No. 传真号码	
Occupation: 职业:		Position: 职位:	
Mailing Address (All correspondence including Statements of Account are to be sent to) 邮寄通讯 (请将包括户口结算单在内的所有邮寄资料寄送至)			
<input type="checkbox"/> Residential Address 住宅地址 <input type="checkbox"/> Others 其他: _____			
*Please omit this part if not applicable (i.e. self-employed/ housewife/ retired) *不适用者无需填写下表资料 (如自雇人士、家庭主妇、退休人士)			
Name of Employer 雇主名称	Position 职位	Years of Service 服务年资	Zip/Postal Code 邮区编号
Business Address 办公地址		Business Phone No 办公电话	Office Fax No. 传真号码

Overall Financial Standing 整体财务状况**1. How much is your Net Worth? 您的资产净值为:**

'Net Worth' refers to the current value of your assets less your liabilities and obligations. “资产净值”指扣除负债及义务后的资产现值。

Assets may include both financial instruments and physical assets (including real estate and other properties, saleable precious stones/ metals, collectibles, etc.) Liabilities and obligations include loans and advances (including mortgages and overdrafts required to be repaid).

资产可包括金融工具及实物资产(包括房产及其他物业、可予出售的寶石及貴重金屬、应收账款等)。

负债及义务包括贷款及垫款(包括需偿还之按揭及透支)。

- a. ≤HK\$2,000,000 (≤US\$258,064)
- b. HK\$2,000,001 - \$4,000,000 (US\$258,064 - \$516,129)
- c. HK\$4,000,001 - \$10,000,000 (US\$516,130 - \$1,290,322)
- d. HK\$10,000,001 - or above (US\$1,290,322 or above)

2. How much is your Liquid Net Worth? 您的流动资产净值为:

- a. ≤HK\$2,000,000 (≤US\$258,064)
- b. HK\$2,000,001 - \$4,000,000 (US\$258,064 - \$516,129)
- c. HK\$4,000,001 - \$10,000,000 (US\$516,130 - \$1,290,322)
- d. HK\$10,000,001 - or above (US\$1,290,322 or above)

3. What is your employment status? 您的就业状况:

- a. Employed 受雇
- b. Retired or unemployed by choice 退休或自选不受雇
- c. Dependent on investment income 依赖投资收入
- d. Currently employed in the financial and banking industry 目前受雇于银行和金融业

4. What is your annual net income? 您的每年总收入为:

- a. ≤HK\$2,000,000 (≤US\$258,064)
- b. HK\$2,000,001 - \$4,000,000 (US\$258,064 - \$516,129)
- c. HK\$4,000,001 - \$10,000,000 (US\$516,130 - \$1,290,322)
- d. HK\$10,000,001 - or above (US\$1,290,322 or above)

5. What is your source of income? 您的收入来源:

- a. Investment 投资
- b. Spouse 配偶
- c. Employment income 工资收入
- d. Consulting, inheritance, rental 顾问费、遗产、租金收入
- e. Interest, real estate, other 利息收入、房地产、其他

6. What proportion of your Net Worth is made up of liquid assets? 您的资产净值中,“流动资产”所占比例为:

'Liquid Assets' refers to the current valuation of your investments in financial instruments including deposits, funds, securities, etc.

“流动资产”指金融工具投资(包括存款、基金、证券等)的投资现值。

- a. Below 20% 20%以下
- b. 20% to below 40% 20%至40%
- c. 40% to below 60% 40%至60%
- d. 60% or above 60%或以上

Overall Financial Standing 整体财务状况
7. INVESTMENT EXPERIENCE (PLEASE SELECT ONE OR MORE) 投资经验 (请选下列一项或多项)

- Nil 没有
- Yes 有

Investment Experience 投资经验					
	Trading Experience (Year) 交易经验 (年)	Number of Trades Per Year 每年交易宗数	Knowledge Level 知识水平		
Stocks 股票			Extensive 非常好 <input type="checkbox"/>	Good 好 <input type="checkbox"/>	Limited 有限 <input type="checkbox"/>
Bonds 债券			Extensive 非常好 <input type="checkbox"/>	Good 好 <input type="checkbox"/>	Limited 有限 <input type="checkbox"/>
Options 期权			Extensive 非常好 <input type="checkbox"/>	Good 好 <input type="checkbox"/>	Limited 有限 <input type="checkbox"/>
Futures 期货			Extensive 非常好 <input type="checkbox"/>	Good 好 <input type="checkbox"/>	Limited 有限 <input type="checkbox"/>
Forex 外汇			Extensive 非常好 <input type="checkbox"/>	Good 好 <input type="checkbox"/>	Limited 有限 <input type="checkbox"/>
Futures Options 期货期权			Extensive 非常好 <input type="checkbox"/>	Good 好 <input type="checkbox"/>	Limited 有限 <input type="checkbox"/>
Single Stock Futures 个股期货			Extensive 非常好 <input type="checkbox"/>	Good 好 <input type="checkbox"/>	Limited 有限 <input type="checkbox"/>

8. INVESTMENT OBJECTIVES (PLEASE SELECT ONE OR MORE)
投资目的 (请选下列一项或多项)

- a. Preservation of Capital 资产保值
- b. Income 收入
- c. Growth 增长
- d. Trading Profits 交易收益
- e. Speculation 投机
- f. Hedging 对冲

Declaration 声明**1. Are you the ultimate beneficial owner(s) in relation to the Account?****您是否此帐户的最终受益人?** Yes. 是 No. 否

Details of the ultimate beneficial owner(s):

此帐户最终权益拥有人资料:

Name 名称: _____ ID/Passport No. 身份证/护照号码: _____

Address 地址: _____

2. Are you an employee of any participant of a Stock/Futures Exchange or a registered person/representative with the Securities and Futures Commission or an exempt licensed person/representative?**您是否股票/期货交易参与者或证监会注册人/代表或豁免注册人/代表?** Yes 是

Participant Name 参与者名称: _____ Position 职位 (CE No. 中央编号:) _____

 No 否**3. Are you an employee of Avalok Capital Limited?****您是否宏观资本有限公司的职员?** Yes 是 No 否**4. Do you have any relationship with any employee of Avalok Capital Limited?****您是否与任何宏观资本有限公司的职员有亲属关系?** Yes 是

Employee Name 职员名称: _____ Relationship 关系: _____

 No 否**5. Is the account holder or any immediate family member who resides in the same household, registered as a broker or an employee/a director or an owner of any securities or commodities brokerage firm, or an employee of any bank/hedge fund/other financial services company?****账户持有人或同一居所内的任何直系亲属是否为任何证券或商品经纪公司的注册经纪商或雇员/董事或拥有人, 或为任何银行/对冲基金/其他金融服务公司的雇员?** Yes 是

Employee Name 职员名称: _____ Relationship 关系: _____

Name of Company 公司名称: _____

 No 否

Declaration 声明
6. Are you a director/ 10% equity holder of a listed public enterprise/company?
您是否为任何上市公司之董事或 10% 权益持有人?
 Yes 是

Name of Company 公司名称: _____ Code/Symbol 交易代码: _____ Exchange 交易所: _____

 No 否

I/We, the undersigned, represent that the information is true, complete and correct; AVALOK Capital Limited is entitled to rely fully on information and representation given herein for all purposes, unless notice in writing of any change is received.
 本人/吾等 (下列签署人) 兹确认本客户资料表格的资料均属真实、完整和正确; 除非宏观资本有限公司收到任何客户资料改变的书面通知, 否则宏观资本可完全依赖本客户资料表格的资料及陈述作任何用途。

Signature of Primary Client 客户签署

Signature of Joint Client 联名客户签署

Full Name of Primary Client 客户名称

Full Name of Joint Client 客户名称

Date 日期

Date 日期

WITNESS FOR ACCOUNT OPENING (NOT APPLICABLE FOR OPTION OF LINKING TRADING ACCOUNT TO HONG KONG BANK ACCOUNT)
开户见证 (以绑定香港银行账户进行身份认证之客户无需填写此部分)

If you are not opening this Account by way of linking your trading account to your Hong Kong bank account, please arrange any person registered with the SFC or any affiliate thereof/ a Justice of the Peace/ a professional person (such as a branch manager of a bank, certified public accountant, lawyer or notary public) for the witness of your signature of this Agreement and the verification of required identity documents. The Witness is required to fill in and sign for the "WITNESS FOR ACCOUNT OPENING" section.

如阁下非以绑定香港银行账户至交易账户作签名认证进行开户, 请自行安排任何证监会认可之注册人或其联系人/ 太平绅士/ 专业人士 (如银行分行经理、执业会计师、律师或公证人)。见证人须填写并签署「**开户见证**」一栏, 以确认已见证阁下订立本协议并验证有关的身份证明文件。

I, the undersigned witness, hereby certify that I have witnessed the signing of this Agreement and have verified the required identity documents of the Client.

本人 (下列签署人), 兹核证本人已见证客户订立本协议, 并已验证客户的有关身份证明文件。

Signature of Witness 见证人签署: _____ Occupation 职业: _____

Name of Witness (BLOCK LETTERS) 见证人姓名(正楷): _____ CE No. 见证人中央编号: _____

Address of Witness 见证人地址: _____

B
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Tax Residency SELF-CERTIFICATION Form (CRS & FATCA) - Individual 税务居民身份自我证明表格 《通用报告准则及海外账户税收合规法案》 - 个人

Important Notes 重要事项

Based on the law and regulations of U.S. Foreign Account Tax Compliance Act (FATCA), the Organisation for Economic Co-operation and Development (OECD) Common Reporting Standard (CRS) for automatic exchange of information, including but not limited to the Inland Revenue Ordinance (Cap.112), this may require AVALOK to collect and report information about tax residence. In certain circumstances, AVALOK may be obliged to provide certain information to governments, regulators and tax authorities concerning your tax residency and other tax-relevant data.

根据美国《海外账户税收合规法案》(FATCA), 自动交换资料有关的经济合作与发展组织 (OECD)《通用报告准则》(CRS) 的法例和规则, 包括但不限于《税务条例》(第 112 章), 这可能要求宏观资本收集及申报关于税务居民的资料。在部份情况下, 宏观资本可能有义务向政府、监管机构或税务当局提供有关阁下税务居民及与税务相关的资料。

As a financial institution, AVALOK is not allowed to give tax advice.

If you have any questions regarding this form or defining your tax residency status, please speak to your tax adviser or relevant tax authority. You can also find out more on the following websites:

作为财务机构, 宏观资本不能向客户提供税务意见。

如果您对此表格或您的税务居民身份定义有任何疑问, 请联系您的税务顾问或相关税务机关, 您亦可浏览以下网址:

1. <https://www.irs.gov>
2. <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance>
3. http://www.ird.gov.hk/eng/tax/dta_aeoi.htm

For any joint account application, each client must complete a separate Individual Tax Residency Self-Certification Form (CRS & FATCA).
每位联名申请人均需填写个人税务居民身份自我证明表格《通用报告准则及海外账户税收合规法案》。

Tax Status 税务状况

A. Declaration of U.S. Tax Status 美国税务身份声明

Are you a U.S. Permanent Resident (Green Card Holder), and/or currently subject to income tax in the United States as a US Citizen or a US resident?
您是否美国永久居民 (绿卡持有者), 以及/或现时是否属于美国公民或美国居民的所得税征税对象?

Yes 是

Please provide your U.S. TIN 请提供美国税务识别号: _____

No 否

B. Declaration of Tax Residency 税务居民身份声明

Please state all countries/jurisdictions (including Hong Kong) where you are a resident for tax purposes and Taxpayer Identification Number (TIN) for each country/jurisdiction in below table. For Hong Kong/China tax resident, the TIN is the Hong Kong/Chinese Identity Card Number.

请在下表填写阁下在当地为符合税务目的之居民的所有国家/司法管辖区(包括香港), 以及该国家/司法管辖区的税务编号。

如您是香港/中国税务居民, 税务编号应为阁下的香港/中国身份证号码。

If a TIN is unavailable, provide the appropriate reason A, B or C:

如没有提供税务编号, 必须填写合适理由:

Reason A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

理由 A - 账户持有人的居留司法管辖区并没有向其居民发出税务编号。

Reason B - The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.

理由 B - 账户持有人不能取得税务编号。如选取这一理由, 解释账户持有人不能取得税务编号的原因。

Reason C - TIN is not required. Select this reason only if the authorities of the jurisdiction of tax residence do not require the TIN to be disclosed.

理由 C - 账户持有人毋须提供税务编号。居留司法管辖区的主管机关不需要账户持有人披露税务编号。

Tax Status 税务状况
C. Declaration of Tax Residency 税务居民身份声明表格

Jurisdiction of Residence* 居留司法管辖区*	TIN* 税务编号*	Enter Reason A, B or C if no TIN is available 如没有提供税务编号, 请填写理由 A/ B/ C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如选取理由 B, 请说明账户持有人未能取得税务编号的原因
(1)			
(2)			
(3)			

Declaration and Acknowledgement 声明及确认

I declare that the information given and all statements made in this self-certification are, to the best of my knowledge and belief, true, correct and complete.

本人在此声明尽本人所知及所信, 确认此自我证明书中所填报的所有资料和声明均属真实、正确及完整。

I acknowledge and agree that (a) the information contained in this self-certification is collected and may be kept by AVALOK Capital Limited for the purpose of automatic exchange of financial information and (b) such information and information regarding the account holder and any reportable account(s) may be reported by AVALOK Capital Limited to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another country/countries/jurisdiction(s) in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

本人确认及同意, 宏观资本有限公司可根据《税务条例》(第 112 章) 有关交换财务帐户资料的法律条文, (a) 收集此自我证明书所填报的资料并可备存作自动交换财务帐户资料用途及 (b) 把该等资料和关于帐户持有人及任何须申报帐户的资料向香港特别行政区政府税务局申报, 从把资料转交到帐户持有人的居留司法管辖区的税务当局。

I undertake to inform AVALOK Capital Limited of any change in circumstances which affects the tax residency status of the individual identified in this form, or causes the information contained herein to become incorrect, and to provide AVALOK Capital Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

本人承诺, 如任何情况有所改变, 以致影响本表格所述的个人的税务居民身份, 或引致本表格所载的资料不正确, 本人会通知宏观资本有限公司, 并在情况发生改变后 30 天内, 向宏观资本有限公司提交一份已适当更新的自我证明书。

I certify that I am the account holder of all the account(s) related herein.

本人证明并确认, 本人为此表格中所有相关账户之持有人。

Signature of Account Holder 账户持有人签署

Full Name of Account Holder 账户持有人姓名

Date 日期

WARNING: It is an offence under section 80 (2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. HK\$10,000).

警告: 根据《税务条例》第 80 (2E) 条, 如任何人在作出自我证明时, 在明知一项陈述在要项上属具误导性、虚假或不正确, 或罔顾一项陈述是否在要项上属具误导性、虚假或不正确下, 作出该项陈述, 即属犯罪。一经定罪, 可处第 3 级 (即 HK\$10,000) 罚款。