

## 場外交易申請表

### Over-The-Counter (OTC) Trading Application Form

客戶名稱 Client Name:	賬戶號碼 Account Number:
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Do you want to apply for financial investment products under the OTC market?

你是否願意開通場外交易服務？

Yes 是

No 否

本人/我們已經閱讀附帶的風險披露聲明。

I/We have read and understand the attached risk disclosure statements.

#### Declaration 聲明

I/We confirm that, 本人/吾等確認：

1. I/We have received a copy of the offering document and / or relevant sales documents of the product ( "Sales Document" ) (if any) which I/we instruct to trade in this order form ( "Product" ), and I/we have read and fully understand the terms and conditions of the Sales Document. I/We understand that the initial and subsequent subscription and holding of the Product will be subject to the terms and conditions of the Sales Document. 本人/吾等已收取本人/吾等以此交易委託書所指示交易產品 ( "產品" ) 的發行章程及/或有關銷售文件 ( "銷售文件" ) (如適用), 並已閱讀及完全明白有關銷售文件內所載之條款及細則。本人/吾等明白首次及其後認購所持有產均會受銷售檔所載之條款及條件約束。

2. I/We traded the Product on my/our own initiative. China PA Securities (Hong Kong) Company Limited ( "CPAS" ) or its employees has not solicited, invited me/us or offered investment recommendation to me/us to deal in the Product. I/We have made my/our own investment decision in respect of the transaction. 就本人/吾等上述所認購產品, 乃本人/吾等主動向貴公司認購; 貴公司之員工並沒有就該產品向本人/吾等作出任何推介、購買邀約或勸誘投資。有關交易乃根據本人/吾等意願獨立作出。

3. I/We undertake to comply with all the terms and conditions of the Sales Document (if any) and all the requirements of CPAS at all times in relation to any subscription and holding of the Product. 就本人/吾等認購及持有產品, 本人/吾等承諾均與任何時間遵守銷售檔內所載之條款細則 (如適用) 及貴公司的規定。

4. I/We fully understand: 本人/吾等完全了解：

CPAS is acting as agent for the client in connection with any transactions entered into by the client under this order form with a third party. The rights and obligations under a transaction are exclusively between the issuer of the Product or the counterparty to the transaction and the client. Accordingly, the client is exposed to the credit and other risks of the issuer of the Product or the counterparty to the transaction. CPAS has not conducted and will not conduct due diligence on the issuer or the counterparty and makes no representation whatsoever as to the issuer' s or counterparty' s creditworthiness or otherwise. 貴公司根據本合約以代理人身份代表客戶向第三者進行此交易委託書所指示任何交易。有關產品之權利及責任全屬於客戶與產品發行人或交易對手之間。因此客戶須承擔及面對產品發行人或交易對手之信用及其他風險。貴公司並無, 亦不會對發行人或交易對手進行仔細查證, 亦無再次對發行人或交易對手之信用及其他方面表示任何意見。

5. I/We fully understand: 本人/吾等完全了解：

The risk of loss in Product can be substantial. You may sustain losses in excess of your initial margin funds. You may be called upon at short notice to deposit additional margin funds. If the required funds are not provided within the prescribed time, your position may be liquidated. You will remain liable for any resulting deficit in your account. You should therefore carefully consider whether such Product is suitable in

light of your own financial position and investment objective. 產品的虧損風險可以十分重大。你所蒙受的損失隨時可能查過你的最初保證金款額。你可能被要求一接到通知即存入額外的保證金款額。如你未能在所訂的時間內提供所需的款額，你的合約可能會被了結。你將要為你的賬戶所出現的任何逆差負責，因此，你必須仔細考慮，鑒於自己的財務狀況及投資目標，這項產品是否適合你。

6. I/We fully understand: 本人/吾等完全了解：

a. the nature and risks of the Product; 產品的性質及風險

b. the details of the transaction; including but not limited to the terms as to price, term, expiration date and other terms material to the transaction; and 有關交易的條款，包括但不限於有關價格、年期、屆滿日期及就交易而言屬重大的其他條款；及

c. the circumstances under which I/we may become obligated to make or take delivery of the underlying interest of the transaction. 在何種情況下本人/吾等可能須交付或交收交易的相關權益。

7. All instructions given may not be amended, rescinded or withdrawn without the consent of CPAS. 除已獲得貴公司的同意外，所有已給予的指示均都不能更改、撤銷或撤回。

8. I/We acknowledge that the Risk Disclosure Statements were provided in a language of my/our choice when I applied for the Account Opening or when I first traded the Product and I/we was/were invited to read the Risk Disclosure Statement, to ask questions and seek independent advice. 本人/吾等確認已按本人/吾等選擇的語言于開戶時或本人/吾等首次認購產品時所獲得風險披露聲明及已獲邀閱讀該風險披露聲明、提出問題及徵求獨立的意見。

9. I/We acknowledge that CPAS acts as agent, has not affiliated with the product issuer and will receive a benefit (maximum not exceeding 5% of the investment amount) for distributing the Product. 本人/吾等確認貴公司充當代理人，與產品發行人沒有關聯。就此分銷此產品，將收取（最多不超過投資額百分之五之上限）的報酬。

10. I/ we have no objection(i.e. consent) that CPAS may transfer my/our personal data to Ping An Insurance(Group) Company of China or their group companies for due diligence 本人/吾等不反對（即同意）平證證券(香港)有限公司有可能將本人/吾等個人資料傳送到平安集團或其成員公司以作盡職調查。

**客戶簽署 Client Signature :**

**x**

**日期 Date :** \_\_\_\_\_

確認 Confirmed by :	審批 Approved by :	輸入 Inputted by :	核實 Checked by :
名稱 Name : 部門 : 客服 Division : CS 日期 Date : 時間 Time : <input type="checkbox"/> 面見 In person <input type="checkbox"/> 分機號碼 Ext :	名稱 Name : 部門 : Division : 日期 Date :	名稱 Name : 部門 : 客服 Division : CS 日期 Date :	名稱 Name : 部門 : 客服 Division : CS 日期 Date :