

## THIRD PARTY AUTHORIZATION AGREEMENT (Trading / Settlement)

### 第三者授權協議 (交易 / 交收)

This Authorization Agreement is made on the \_\_\_\_\_ (day 日) / \_\_\_\_\_ (month 月) / \_\_\_\_\_ (year 年) between  
本授權協議於 \_\_\_\_\_ 由下列雙方簽訂：

1. \_\_\_\_\_ (“Client”) of the one part; and  
(「客戶」)為一方；及
2. Safe Gold Securities and Futures Limited (collectively “Safe Gold”) situated at Suite E, 30<sup>th</sup> Floor, EGL Tower, 83 Hung To Road, Kwun Tong, Kowloon, Hong Kong of the other part. 鼎展證券及期貨有限公司(統稱「鼎展」)，註冊辦事處於香港九龍鴻圖道 83 號東瀛遊廣場 30 樓 E 室為另一方。

#### Whereas:

鑒於：

- (A) The Client has entered into the agreement(s) as set out below (collectively “Agreement”) with Safe Gold:-  
客戶已與鼎展簽訂以下所述的協議(統稱「該等協議」)：-  
Safe Gold - Terms and Conditions contained in the Agreement for Securities Trading Account/Agreement for Futures Trading Accounts (and the schedules, appendices and annexes thereto, if any) and Account Opening Form (Individual/Joint Account) as amended from time to time without further notice.  
鼎展證券交易帳戶/期貨交易帳戶協議內之條款及條件(包括其附表、附錄及附件(如有))及開戶表格(個人/聯名帳戶)(將不時修改且不另行通知)。
- (B) The Client wishes to authorize the person whose particulars are set out in Schedule 1 hereto (“Authorized Person”) to operate the Client’s account(s) prescribed in Schedule 1 hereto (collectively “Relevant Account”) with the relevant powers as provided in the said Schedule 1 on and subject to the terms of this Authorization and the Agreement.  
客戶擬授權本協議附表一列載的人士，其詳細資料列載於本協議附表一(「獲授權人士」)，獲得附表一列載的有關權力並根據本授權書及該等協議的條款操作客戶載於本協議附表一的帳戶(統稱「有關帳戶」)。

#### It is hereby agreed as follows:

雙方協定如下：

1. **Authorization Supplemental to the Agreement 授權書為該等協議的補充**
  - 1.1 The terms of this Authorization are in addition and supplemental to the terms of the Agreement.  
本授權書條款乃該等協議條款之附加和補充。
  - 1.2 In the event of any conflict between the terms of this Authorization and the Agreement, the terms of this Authorization shall prevail as between Safe Gold and the Client.  
倘若本授權書和該等協議之間有任何抵觸，就鼎展和客戶而言應以本授權書的條款為準。
  - 1.3 This Authorization does not limit or restrict in any way Safe Gold’s rights or the Client’s obligations under the Agreement between the Client and Safe Gold, and the provisions of the Agreement shall apply equally to transactions initiated by the Authorized Person and to the interpretation generally of rights and obligations under this Authorization.  
本授權書對客戶和鼎展訂立的該等協議項下鼎展的權利或客戶的義務不構成任何局限或限制，而該等協議的條款應同樣地適用於獲授權人士經辦的交易，以及普遍地適用於對本授權書項下的權利和義務的解釋。
2. **Appointment, Authorization and Further Information 委任、授權及進一步資料**
  - 2.1 The Client hereby authorizes the Authorized Person to operate the Relevant Account with the relevant powers as provided in Schedule 1 hereto, all for the account and risk of the Client, on and subject to the terms of the Agreement.  
客戶特此授權獲授權人士，獲得本協議附表一所述的有關權利代表客戶按該等協議的條款操作有關帳戶，而全部風險則由客戶承擔。
  - 2.2 Safe Gold shall be entitled to :-  
鼎展有權:-
    - (a) assume that the Authorized Person has full and unrestricted powers and authority to perform the acts as set out in Schedule 1 hereto on behalf of the Client; and  
假定獲授權人士獲得完全及不受限制的權力和授權，代客戶作出本協議附表一所述的行為；及
    - (b) accept and rely on any instructions or communications given or purported to be given by the Authorized Person or on behalf of the Client which Safe Gold believes to be genuine,  
接受及依據經由或聲稱由獲授權人士或代表客戶的人士所發出並獲鼎展相信為真確的任何指示或通訊，  
and the Client shall be bound by all such instructions or communications. Safe Gold shall have no obligations or duty to verify the authenticity of such instructions or communications or the identity of the Authorized Person.  
客戶應受一切該等指示或通訊所約束。鼎展並無義務或責任核實該等指示或通訊或獲授權人士的身份是否真確。

- 2.3 The instruction from the Authorized Person may be oral by telephone, or written by facsimile, telex or otherwise.  
獲授權人士可以通過電話以口頭方式，或以傳真、電傳或其他書面方式發出指示。
- 2.4 The Client hereby ratifies and confirms any and all transactions with Safe Gold made by the Authorized Person on behalf of or for the Relevant Account of the Client.  
客戶特此追認和確認獲授權人士代表客戶或為客戶的有關帳戶而與鼎展進行的任何及所有交易。
- 2.5 The Client shall procure that the Authorized Person to consent to his/her production of his/her personal information to be used in accordance with Safe Gold's notice relating to personal data privacy information and his/her production of a certified copy of his/her Hong Kong Identity Card or passport to Safe Gold for record.  
客戶應促使獲授權人士同意提供獲授權人士的個人資料，以使鼎展按其關於個人資料（私隱）條例的通告而使用，並應促使獲授權人士提供其香港身份證或護照的核證副本，以供鼎展存案。
- 2.6 The Client shall procure that the Authorized Person shall sign at the designated space of Schedule 1 hereto.  
客戶應促使獲授權人士在本協議附表一的指定位置簽署。

### 3. Representations and Warranties 陳述與保證

- 3.1 The Client hereby warrants and represents and undertakes to Safe Gold in the following terms (such warranties, representations and undertakings are to continue for so long as this Authorization remains subsisting):-  
客戶特此向鼎展作出以下保證、陳述和承諾（該等保證、陳述和承諾在本授權書有效期內持續有效）:-
- (a) the Client and the Authorized Person has full power and authority to enter into and perform and will perform their respective obligations as provided herein, and that all actions to enable the Client and the Authorized Person to execute, deliver and perform the same have been taken, and that the Client and the Authorized Person has obtained and will maintain in full force and effect any necessary consents, licences and authorities;  
客戶和獲授權人士有十足權力和授權簽訂、履行及將履行本協議所述的有關義務，並已作出所有行為以使客戶和獲授權人士可簽署、交付和履行本授權書，而客戶和獲授權人士已取得一切所需的同意、許可及授權並將保持其具有完整效力和效果；
- (b) the information contained in Authorization is true, complete and accurate as at the date of this Authorization hereof, and the Client shall notify Safe Gold immediately upon any material changes in the information provided in this Authorization; and  
本授權書所載的資料在本授權書簽署日均為真實、完整及準確的，如本授權書內所述的資料有任何重大變更，客戶應立即通知鼎展；及
- (c) this Authorization and its performance and the obligations contained herein do not and will not:-  
本授權書、其履行以及本協議所載的義務於現在和將來均不會：
- (i) contravene any existing applicable law, statute, ordinance, rule or regulation or any judgement, decree or permit to which the Client is subject to; or  
抵觸任何現行適用法律、法例、條例、規則或法規，或客戶須受約束的任何判決、法令或許可；或
- (ii) conflict with or result in any breach of the terms of or constitute any default under any agreement or other instrument to which the Client is a party or is subject or by which any of its property is bound.  
抵觸或導致違反任何協議或客戶所簽訂、受約束或對其任何財產有約束力的其他文件的條款，或構成對上述協議或其他文件的違約。

### 4. Indemnity 補償

- 4.1 The Client agrees to fully indemnify and hold harmless Safe Gold in respect of any losses, costs and expenses (including legal costs), indebtedness and liabilities suffered or incurred by Safe Gold as a result of any act or omission of the Authorized Person, and to pay promptly to Safe Gold any amount demanded as margin required by Safe Gold, or any amount required by Safe Gold to eliminate any debt or deficit balance, arising from the operation of any Relevant Account of the Client by the Authorized Person.  
由於獲授權人士的任何作為或不作為而導致鼎展蒙受或產生的任何損失、費用和支出（包括法律費用）、欠債和債務，客戶同意向華金作出全額彌償，令鼎展免受損害，客戶並同意迅速向鼎展支付鼎展要求的任何保證金款項，或鼎展要求的任何款項，以消除因獲授權人士操作客戶的任何有關帳戶而產生的任何債務或赤字結餘。

### 5. Validity 效力

- 5.1 This Authorization has been validly executed by the Client and constitutes a valid and legally binding agreement with the Client enforceable in accordance with its terms.  
本授權書已由客戶有效地簽署，構成對客戶具有法律效力和約束力的協議，並可依照本授權書的其條款強制執行。
- 5.2 This Authorization shall be effective for a period of 12 months ("Effective Period"). During the Effective Period, this Authorization and the indemnity contained herein shall remain in full force and effect. Client may direct Safe Gold to revoke this Authorization in writing anytime during the Effective Period, such revocation shall become in effect until acknowledged by Safe Gold. If Safe Gold have not received any revocation from Client before the expiration, this Authorization shall be renewed upon expiry upon the same terms and conditions as specified in this Authorization. Nevertheless, expiration of the Effective Period or revocation of this Authorization shall not affect any liability in any way resulting from any transactions initiated and/or completed prior to the confirmation of revocation and during the Effective Period. This Authorization and the indemnity shall ensure to the benefit of Safe Gold, and its assigns or successors thereof.  
本授權書的有效期為 12 個月（「有效期」）。有效期內，本授權書及其中所載的補償應持續及全面生效。客戶可於有效期屆滿前書面通知鼎展撤銷本授權書，有關撤銷須獲鼎展確認方為有效。若在本授權書有效期屆滿前鼎展沒有收到客戶任何撤銷通知，此授權將在有效期屆滿時按此授權書指明的相同條款及條件續期。此外，本授權書的有效期屆滿或撤銷將不影響鼎展在有效期屆滿或實際確認該撤銷通知之前已開始及/或已完成的交易所導致的任何責任。本授權書及上述補償以鼎展、其受讓人或彼等的任何繼承人為受益人。

In witness whereof this Authorization has been duly executed as a deed on the date first above written.  
本授權書於見證人見證下於文首所載的日期正式簽署作為契據，以昭信守。

**Schedule 1 附表一**

(Please tick "✓" the appropriate 請在適當位置填上"✓")

I. Authorized Accounts  
獲授權帳戶

☐ Safe Gold Securities Account No. 鼎展證券帳戶號碼:

☐ Safe Gold Commodities Account No. 鼎展期貨帳戶號碼:

II. Type of Authorization  
授權類別

☐ TRADING AUTHORIZATION 交易授權  
Authorize to sign and/or effect securities and/or futures transaction(s).  
授權簽署及/或進行證券及/或期貨的交易。

☐ SETTLEMENT AUTHORIZATION 交收授權  
Authorize to sign, execute and deliver all agreements and documents in relations to the Account(s); and sign and/or effect payment, withdrawal and/or transfer transactions(s) for securities/futures.  
授權簽署、執行和交付所有與帳戶有關的協議和文件;為證券/期貨帳戶簽署及/或進行支付、提取及/或轉帳事宜。

III. Particulars of the Authorized Person  
獲授權人士的個人資料

Name 姓名	(English 英文) <input type="checkbox"/> Mr.先生 <input type="checkbox"/> Mrs.太太 <input type="checkbox"/> Ms.小姐	(Chinese 中文)
HKID Card/Passport No. 香港身份證/護照號碼	(Please provide a copy of HKID card/Passport) (請提供香港身份證/護照副本)	Nationality 國籍
Residential Address 住宅地址		
Home Phone No. 住宅電話號碼		Mobile Phone No. 流動電話號碼
Office Phone No. 辦公室電話號碼		E-mail Address 電郵地址
Relationship with the Client 與客戶的關係		Reason for Authorization 授權原因
Employment Status 就業情況	<div><input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-Employed 自僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Other 其他:_____</div> <div>Name of Employer: 僱主名稱: _____</div> <div>Nature of Business: 業務性質 _____</div> <div>Position: 職位: _____</div> <div>Business Address: 公司地址: _____</div> <div>Year(s) Employed: 任職年期: _____</div>	

IV. Disclosure of Authorized Person's Identity  
獲授權人士的相關身份披露

1. Are you (Authorized Person) an employee or agent of Safe Gold?  
閣下(獲授權人士)是否鼎展員工或經紀?  
☐ Yes 是 ☐ No 否

2. Are you (Authorized Person) (or via a company in which you have ultimate beneficial interests) a client of Safe Gold and/or its associated companies?  
閣下(獲授權人士)是否鼎展及/或其相關公司之客戶(或於其他公司帳戶擁有最終權益)?  
☐ Yes 是, my account no.: \_\_\_\_\_ 本人的帳戶號碼: \_\_\_\_\_ ☐ No 否

3. Are you (Authorized Person) a person licensed by/registered with the Securities and Futures Commission ("SFC")/Hong Kong Monetary Authority ("HKMA") or an employee or director of a licensed corporation/registered institution?  
閣下(獲授權人士)是否證監會/金管局之持牌/註冊人士或持牌法團/註冊機構之董事或僱員?  
☐ Yes 是, I enclose my current employer's consent letter 我附上現任僱主的同意書 ☐ No 否

<b>V. Assessment of Authorized Person's Knowledge on Derivative Products and Trading Experience</b> <b>獲授權人士對衍生產品的認識及投資經驗</b>								
<p>Do you (Authorized Person) have adequate knowledge on derivative products? 閣下(獲授權人士)是否對衍生產品有認識?</p> <p><input type="checkbox"/> Yes 是      <input type="checkbox"/> No 否</p>								
<p>If you (Authorized Person) have the knowledge on derivative products, please answer the following questions. 若閣下(獲授權人士)對衍生產品有認識, 請回答以下問題:</p>								
<p>1. Have you (Authorized Person) ever undergone training or attended courses on derivative products with general knowledge of the nature and risks of derivatives? 閣下(獲授權人士)是否曾接受有關衍生產品性質和風險的一般知識培訓或修讀相關課程?</p> <p><input type="checkbox"/> Yes 是,      Name of Courses/Seminars: _____      Date of Attendance: _____ 課程名稱: _____      受培訓/修讀日期: _____</p> <p><input type="checkbox"/> No 否</p>								
<p>2. Have you (Authorized Person) current or previous work experience related to derivative products? 閣下(獲授權人士)是否從現時或過去擁有與衍生產品有關的工作經驗??</p> <p><input type="checkbox"/> Yes 是,      Occupation: _____      Year of Service: _____ 職業: _____      任職年期: _____</p> <p>Name of Employer: _____ 僱主名稱: _____</p> <p><input type="checkbox"/> No 否</p>								
<p>3. Do you (Authorized Person) have any trading experience related to derivative product(s)? 閣下(獲授權人士)有否買賣衍生產品的經驗?</p> <p><input type="checkbox"/> Yes 是,      I have traded the following derivative product(s) 5 times or above in the recently 3 years: 本人過往三年曾買賣以下衍生產品五次或以上:</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 33%; vertical-align: top;"> <input type="checkbox"/> Callable Bull/Bear Contracts 牛熊證             </td> <td style="width: 33%; vertical-align: top;"> <input type="checkbox"/> Derivative Warrants 衍生權證 (窩輪)             </td> <td style="width: 33%; vertical-align: top;"> <input type="checkbox"/> Synthetic ETFs 合成交易所買賣基金             </td> </tr> <tr> <td style="vertical-align: top;"> <input type="checkbox"/> Equity Linked Instruments 股票掛鈎票據             </td> <td style="vertical-align: top;"> <input type="checkbox"/> Future &amp; Options Contracts 期貨或期權合約             </td> <td style="vertical-align: top;"> <input type="checkbox"/> Others (please specify): _____ 其他(請說明): _____             </td> </tr> </table> <p><input type="checkbox"/> No 否</p>			<input type="checkbox"/> Callable Bull/Bear Contracts 牛熊證	<input type="checkbox"/> Derivative Warrants 衍生權證 (窩輪)	<input type="checkbox"/> Synthetic ETFs 合成交易所買賣基金	<input type="checkbox"/> Equity Linked Instruments 股票掛鈎票據	<input type="checkbox"/> Future & Options Contracts 期貨或期權合約	<input type="checkbox"/> Others (please specify): _____ 其他(請說明): _____
<input type="checkbox"/> Callable Bull/Bear Contracts 牛熊證	<input type="checkbox"/> Derivative Warrants 衍生權證 (窩輪)	<input type="checkbox"/> Synthetic ETFs 合成交易所買賣基金						
<input type="checkbox"/> Equity Linked Instruments 股票掛鈎票據	<input type="checkbox"/> Future & Options Contracts 期貨或期權合約	<input type="checkbox"/> Others (please specify): _____ 其他(請說明): _____						
<p><i>Remarks: In order for the Client's account to be allowed to trade in exchange-traded derivative products, <b>BOTH</b> the Client and the Authorized Person must be classified as having knowledge and/or experiences on derivative products.</i></p> <p>備註: 客戶及獲授權人士均需被歸納為對衍生產品有認識及/或有投資經驗, 客戶的帳戶方能對在交易所買賣的衍生產品進行交易。</p>								

<p><b>SIGNED BY the Client:</b> 客戶簽署:</p>   <p>Client Name: 客戶姓名:</p> <p>Date: 日期:</p>	<p><b>SIGNED BY the Authorized Person:</b> 獲授權人士簽署:</p>   <p>Name of Authorized Person: 獲授權人士姓名:</p> <p>Date: 日期:</p>
<p><b>WITNESSED BY:</b> 見證人簽署:</p> <p style="font-size: small;">Note: Witness should be a licensed or registered person, an affiliate of a licensed or registered person, a Justice of the Peace, or a professional person such as a branch manager of a bank, certified public accountant, lawyer or notary public. 備註: 見證人應為持牌或註冊人士、持牌或註冊人士的聯繫人士、太平紳士或專業人士, 例如銀行分行經理、執業會計師、律師或公證人。</p>   <p>Name of Witness: 見證人姓名:</p> <p>Date: 日期:</p>	<p><b>ACCEPTED BY:</b>      代表 鼎展證券及期貨有限公司接納 For and on behalf of Safe Gold Securities and Futures Limited</p>   <p style="text-align: right;">Authorized Signature 獲授權人士簽署</p> <p>Name of Authorized Person: 獲授權人士姓名:</p> <p>Title: 職位:</p> <p>Date: 日期:</p>

FOR INTERNAL USE ONLY		
AML checking of Authorized Person has been done?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Authorized Person has knowledge on derivative products?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
[Per System Record] Client's Account is able to trade derivative products?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>Assessment of Client's Account result:</b> Client's Account can trade derivative products?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Inputted by: _____	Date: _____	Reviewed by: _____
		Date: _____