

# **MONT AVENIR**

## **未 來 金 融**

Account No. 賬戶號碼: \_\_\_\_\_

Account Name 賬戶名稱: \_\_\_\_\_

**Institutional Professional Investor**  
**機構專業投資者**

**Mont Avenir Capital Limited 未來金融有限公司 (CE No.: BOG353)**

Unit 2013, 20/F, The Center, 99 Queen's Road Central, Central, Hong Kong

香港中環皇后大道中99號中環中心二十樓2013室

Tel 電話: (852) 3105 1653 Fax 傳真: (852) 3105 9797 Email 電郵: cs@montavenir.hk

**Client Information Form – Institutional Professional Investor**  
**客戶資料表格 - 機構專業投資者**

The following information is being provided by the undersigned (the “Corporate Client”) for the purpose of opening accounts (the “Account(s)”) with Mont Avenir Capital Limited (“Mont Avenir”). The Client represents that the information is true, complete and correct and Mont Avenir is entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any change.

下述資料是提供予簽署人(“機構客戶”)於未來金融有限公司(“未來金融”)開立賬戶(“本賬戶”)。客戶茲聲明在本開戶申請表內的資料屬實, 完正及正確, 且除非未來金融收到任何變更的書面通知外, 未來金融得信賴前述資料及聲明。

Please tick ✓ where applicable and \*delete where inappropriate. 請在適當的地方加上剔號 ✓ 及\*將不適用者刪去。

Type of Services 服務類別：  Cash Account 現金戶  Margin Account 保證金戶  Electronics Trading 電子交易服務

Part 1 第1部份 Company Information 公司資料		
Name of Company (English and Chinese) 公司名稱 (英文及中文)		
Account Name (if different from “Company Name”) 賬戶名稱 (如有別於公司名稱)		
Business Registration No. in Hong Kong (if applicable) 香港商業登記號碼 (如適用)	Nature of Entity (e.g. private or public limited company etc.) 公司性質 (如私人或上市公司等)	
Date of Incorporation 註冊日期	Country of Incorporation 註冊國家	
Certificate of Incorporation No. 註冊證書號碼	Nature of Business 業務性質	
Address of Registered Office in Country of Incorporation 在成立國家之註冊地址		
Correspondence Address (if different from Registered Office Address) 通訊地址 (如有別於註冊地址)		
Business Phone No. 辦事處電話	Email Address 電郵地址	Fax No. 傳真號碼
Contact Person 聯絡人		Contact Person Phone No. 聯絡人電話
Select your language 選擇語言 <input type="checkbox"/> 繁體 <input type="checkbox"/> 簡體 <input type="checkbox"/> English		
Communication Method (for Daily / Monthly Statements) 通訊方式 (用作發送日/月結單)		
<input type="checkbox"/> E-mail 電郵 <input type="checkbox"/> Post 郵寄 – Registered Office Address 註冊地址 <input type="checkbox"/> Post 郵寄 – Correspondence Address 通訊地址		
Is the Client regulated by relevant authorities (e.g. SFC, etc.)? 客戶是否受相關的監察機構監管 (例如:香港證券及期貨監察委員會等)?		
<input type="checkbox"/> No 不是 <input type="checkbox"/> Yes, the Client is regulated by 是, 監管機構為: _____		
Identity of the ultimate beneficial owner(s) of the Account(s) 請確認賬戶之最終受益人身份		
<input type="checkbox"/> House 自營 <input type="checkbox"/> Client Account 客戶賬戶		
Source of Fund 資金來源		
<input type="checkbox"/> Client Monies 客戶資金 <input type="checkbox"/> Others 其他: _____		

**Part 2 第2部份 Settlement Details 交收資料**

Account Name 賬戶名稱： \_\_\_\_\_

Account No. 賬戶號碼： \_\_\_\_\_ Custodian Bank 保管銀行： \_\_\_\_\_

CCASS No. (if applicable) 香港中央結算有限公司號碼 (如適用)： \_\_\_\_\_

**Part 3 第3部份 Bank Details 銀行資料**

Unless otherwise instructed by Company, all monies payable to Company are to be credited to the bank account you provided. 除非客戶另行通知，所有客戶應收款項將存入以下由客戶提供的銀行賬戶內。

Bank Name 銀行名稱： \_\_\_\_\_

Bank Account No. 銀行賬戶： \_\_\_\_\_

Bank Account Holder's Name 賬戶持有人名稱： \_\_\_\_\_

**Part 4 第4部份 Authorized Person(s) 獲授權人: Written Instructions 書面指示**

	Name (English and Chinese) 姓名 (英文及中文)	HKID No. / Passport No. and Country of Issue 香港身份證號碼 / 護照號碼及簽發國家	Contact No. 聯絡電話號碼	Contact E-mail 聯絡電郵	Specimen Signature 授權簽名式樣	Relationship with Account Holder 與賬戶持有人之關係
1.						
2.						
3.						
4.						
5.						

(If there is insufficient space to complete, please continue on a separate sheet. 如空位不敷應用，請另加紙填寫。)

Please attach a Letter of Authorization and an Information Statement of the Authorized Person for each of the Authorized Person(s) mentioned above. 請就上述每位獲授權人附上授權書及獲授權人資料表。

**Part 5 第 5 部份 Authorized Person(s) 獲授權人: Trading Instructions 交易指示**

	Name (English and Chinese) 姓名 (英文及中文)	HKID No. / Passport No. and Country of Issue 香港身份證號碼 / 護照號碼及簽發國家	Contact No. 聯絡電話號碼	Contact E-mail 聯絡電郵	Specimen Signature 授權簽名式樣	Relationship with Account Holder 與賬戶持有人之關係
1.						
2.						
3.						
4.						
5.						

(If there is insufficient space to complete, please continue on a separate sheet. 如空位不敷應用，請另加紙填寫。)

Please attach a Letter of Authorization and an Information Statement of the Authorized Person for each of the Authorized Person(s) mentioned above. 請就上述每位獲授權人附上授權書及獲授權人資料表。

**Part 6 第 6 部份 Institutional Professional Investor Assessment Form 機構專業投資者評估表格**

Treatment as an “Institutional Professional Investors” (according to the definition of “professional investor” in Section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance)

申請視為機構專業投資者 (根據證券及期貨條例附表 1 第 1 部 “專業投資者” 的定義)

We are 我們是

<input type="checkbox"/>	recognized exchange company, recognized clearing house, recognized exchange controller or recognized investor compensation company, or any person authorized to provide automated trading services under Securities and Futures Ordinance 認可交易所、認可結算所、認可控制人或認可投資者賠償公司，或根據證券及期貨條例獲認可可提供自動化交易服務的人
<input type="checkbox"/>	intermediary, or other person carrying on the business of the provision of investment services and regulated under the law of any place outside Hong Kong; its wholly owned subsidiary; its holding companies which holds all the issued share capital; and other wholly owned subsidiary of the holding company 中介人，或經營提供投資服務的業務並受香港以外地方的法律規管的其他人、其全資附屬公司、持有其所有已發行股本的控權公司以及該等控權公司的全資附屬公司
<input type="checkbox"/>	authorized financial institution, or bank which is not an authorized financial institution but is regulated under the law of any place outside Hong Kong; its wholly owned subsidiary; its holding companies which holds all the issued share capital; and other wholly owned subsidiary of the holding company 認可財務機構，或並非認可財務機構但受香港以外地方的法律規管的銀行、其全資附屬公司、持有其所有已發行股本的控權公司以及該等控權公司的全資附屬公司
<input type="checkbox"/>	insurer authorized under the Insurance Ordinance, or other person carrying on insurance business and regulated under the law of any place outside Hong Kong 根據《保險業條例》獲授權的保險人，或經營保險業務並受香港以外地方的法律規管的其他人
<input type="checkbox"/>	a collective investment scheme authorized under Securities and Futures Ordinance; or is similarly constituted under the law of any place outside Hong Kong and, if it is regulated under the law of such place, is permitted to be operated under the law of such place, or any person by whom any such scheme is operated 屬根據證券及期貨條例獲認可的集體投資計劃；或以相似的方式根據香港以外地方的法律成立，並(如受該地方的法律規管)根據該地方的法律獲准許營辦，或營辦任何該等計劃的人
<input type="checkbox"/>	registered scheme as defined in the Mandatory Provident Fund Schemes Ordinance, or its constituent fund as defined in the Mandatory Provident Fund Schemes (General) Regulation, or any person who, in relation to any such registered scheme, is an approved trustee or service provider as defined in that Ordinance or who is an investment manager of any such registered scheme or constituent fund; 《強制性公積金計劃條例》界定的註冊計劃，或《強制性公積金計劃(一般)規例》界定的該等計劃的成分基金，或就任何該等計劃而言屬該條例界定的核准受託人或服務提供者或屬任何該等計劃或基金的投資經理的人
<input type="checkbox"/>	is a registered scheme as defined in the Occupational Retirement Schemes Ordinance; or is an offshore scheme as defined in that Ordinance and, if it is regulated under the law of the place in which it is domiciled, is permitted to be operated under the law of such place, or any person who, in relation to any such scheme, is an administrator as defined in that Ordinance 屬《職業退休計劃條例》條界定的註冊計劃；或屬該條例界定的離岸計劃，並(如以某地方為本籍而受該地方的法律規管)根據該地方的法律獲准許營辦，或就任何該等計劃而言屬該條例界定的管理人的
<input type="checkbox"/>	any government (other than a municipal government authority), any institution which performs the functions of a central bank, or any multilateral agency 政府(市政府當局除外)、執行中央銀行職能的任何機構，或任何多邊機構
<input type="checkbox"/>	except for the purposes of Schedule 5 to this SFO, any corporation which is:- i.) A wholly owned subsidiary of:- a) an intermediary, or any other person carrying on the business of the provision of investment services and regulated under the law of any place outside Hong Kong; or b) an authorized financial institution, or any bank which is not an authorized financial institution but is regulated under the law of any place outside Hong Kong; ii.) A holding company which holds all the issued share capital of:- a) an intermediary, or any other person carrying on the business of the provision of investment services and regulated under the law of any place outside Hong Kong; or b) an authorized financial institution, or any bank which is not an authorized financial institution but is regulated under the law of any place outside Hong Kong; iii.) A wholly owned subsidiary of a holding company referred to in subparagraph (ii). (除為施行證券及期貨條例附表5外)符合以下說明的法團:- i.) 屬下述者的全資附屬公司:- a) 中介人，或經營提供投資服務的業務並受香港以外地方的法律規管的其他人；或 b) 認可財務機構，或並非認可財務機構但受香港以外地方的法律規管的銀行； ii.) 屬持有下述者的所有已發行股本的控權公司:- a) 中介人，或經營提供投資服務的業務並受香港以外地方的法律規管的其他人；或 b) 認可財務機構，或並非認可財務機構但受香港以外地方的法律規管的銀行；或 (iii) 屬第(ii)節提述的控權公司的任何其他全資附屬公司



## Consent To Be Treated as an “Institutional Professional Investor” 同意成為“機構專業投資者”

We refer to your request for opening a Professional Investor account with Mont Avenir Capital Limited (“Mont Avenir”). Based on the information you have provided to Mont Avenir which shows you, and in view of your representation, warranty, acknowledgement and declaration, you can be classified as an “Institutional Professional Investor” under Section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (“SFO”) and the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission (“Code of Conduct”). Mont Avenir will be exempted from complying with certain requirements listed under the Code of Conduct provided that you agree to be treated as an “Institutional Professional Investor” and also agree to inform Mont Avenir promptly if any information you have provided to us in the Institutional Professional Investor Assessment Form ceases to be accurate or changes in any other way.

未來金融（本公司）根據閣下的要求在本公司開立專業投資者賬戶。根據閣下提供給本公司的資料，並根據閣下的陳述，保證，確認和聲明，根據《證券及期貨條例》第1條第1部份附表1和《證券及期貨事務監察委員會持牌人或註冊的人的操守準則》（《操守準則》）規定，閣下可以被分類為“機構專業投資者”。當閣下同意被分類為“機構專業投資者”，本公司將免於遵守《操守準則》中列出的某些要求，閣下也同意當《機構專業投資者評估表格》中提供給本公司的資料不再準確或有任何更改時，閣下應立即通知本公司。

Potential risks and consequences of being treated as an Institutional Professional Investor by Mont Avenir (i.e. Mont Avenir is not required to provide you with certain services) are described below:

下文描述了被本公司視為機構專業投資者的潛在風險和後果（即，本公司不需要為閣下提供某些服務）

### (1) Client Agreement and Risk Disclosure Statements 客戶協議和風險披露聲明

Mont Avenir is not required to enter into a written Client Agreement with you nor provide you with the Risk Disclosure Statements or bring those risks to your attention.

本公司不需要與閣下簽訂書面客戶協議，也無需向閣下提供風險披露聲明或提醒閣下這些風險。

### (2) Information about Clients 關於客戶的資料

Mont Avenir is not required to:

- Establish your financial situation, investment experience and investment objectives; and
- Ensure the suitability of any recommendation or solicitation made for you.

本公司不需要:

- 確定閣下的財務狀況，投資經驗和投資目標
- 確保為閣下提供的任何建議或邀約的適用性

### (3) Investor Characterisation 投資者分類

Mont Avenir is not required to assess your knowledge of derivatives and characterise you based on your knowledge of derivatives.

本公司不需要評估閣下對衍生產品知識並根據閣下對衍生產品知識來分類

### (4) Information for Clients 為客戶提供資料

Mont Avenir is not required to:

- Provide you with information about Mont Avenir and its business, and the identity and status of Mont Avenir’s staff members and others acting on behalf of Mont Avenir on whom you may have or will contact;
- Confirm promptly with you the essential features of a transaction after effecting a transaction for you; and
- Provide you with documentation on the Nasdaq-Amex Pilot Program.

本公司不需要:

- 向閣下提供有關本公司及本公司業務的資料，以及閣下可能會或將要聯繫的本公司工作人員和代表本公司行事的其他人的身份和地位
- 在為閣下完成交易後立即與閣下確認交易的重點
- 為閣下提供納斯達克－美國證券交易所試驗計劃

### (5) Disclosure of Transaction Related Information 披露交易相關資料

Mont Avenir is not required to deliver the following information to you prior to or at the point of entering into the transaction when distributing an investment product to you (including where Mont Avenir sells an investment product to or buys such product from you):

- The capacity (principal or agent) in which Mont Avenir is acting;
- Affiliation of Mont Avenir with the product issuer;
- Disclosure of monetary or non-monetary benefits; and
- Terms and conditions in generic terms under which you may receive a discount of fees and charges from Mont Avenir.

在向閣下分銷投資產品時（包括在本公司向閣下出售投資產品或從您購買此類產品的地方），本公司無需在交易之前或交易時向閣下提供以下資料：

- 本公司以何種身分（主事人或代理人）行事
- 本公司與產品發行人的聯繫
- 披露有關金錢收益及非金錢收益的資料
- 概括地說明本公司向客戶提供費用及收費折扣的條款及細則

**(6) Contract Notes, Statement of Account and Receipts 成交單據、戶口結單及收據**

Mont Avenir is not required to provide you with any contract notes, statement of account or receipts in accordance with the Securities and Futures (Contract Notes, Statements of Account and Receipts) Rules unless you specifically request.

除非閣下向本公司發出指示，本公司將不會按《證券及期貨（成交單據、戶口結單及收據）規則》內規定，向閣下提供成交單據、戶口結單或收據。

**(7) Discretionary Account 委託賬戶**

Mont Avenir is not required to obtain from you an authority in written form prior to effecting transactions for you without your specific authority and will not be required to explain such authority or reconfirm it on an annual basis.

就任何委託賬戶而言，本公司無須為閣下賬戶執行交易前事先取得閣下的書面授權亦無須就任何此類授權的條款作出解釋或每年重新確認該項授權。

Please be informed that you have the right, at any time, to withdraw from being treated as an Institutional Professional Investor in respect of all investment products or markets or any part thereof on giving written notice to Mont Avenir.

請注意，閣下在任何時間都有權以書面通知本公司以退出在所有投資產品或市場或其任何部分成為機構專業投資者。

Under the Code, if you agree to be treated as an Institutional Professional Investor, Mont Avenir is required to carry out a confirmation exercise annually, for ensuring that you continue to fulfill the requisite requirements in terms of your nature of business.

根據《操守準則》，如果您同意被視為機構專業投資者，則本公司必須每年跟閣下進行一次確認，以確保閣下繼續滿足業務性質方面的必須條件。

If you have no objection to the terms upon being treated as an Institutional Professional Investor by Mont Avenir, please sign and return this Consent.

如果閣下對本公司被視為機構專業投資者的條款沒有異議，請簽名並交回本同意書。

Finally, if you are in any doubt in relation to the meaning, legal or financial effect of this Consent, you are advised to seek independent advice if you wish.

最後，如果閣下對本同意書的含義，法律或財務影響有任何疑問，本公司建議閣下根據需要尋求獨立的建議。

To: Mont Avenir Capital Limited (Mont Avenir)

致: 未來金融有限公司 (未來金融)

Dear Sir,

CLIENT(S) ACKNOWLEDGEMENT AND SIGNATURE(S)

客戶的確認和簽名

We hereby acknowledge and declare that after signing in the signature column herein below by ourselves, indicated that we:

我們特此確認並聲明，我們在在下面的簽名欄中簽名後，表明我們：

- Are an investor falling under paragraphs (A) to (I) of the definition of Institutional Professional Investor in Section 1 of Part 1 of Schedule 1 to the SFO and the Code of Conduct;  
是屬於《證券及期貨條例》附表1和《操守準則》中的專業投資者定義的（A）至（I）段落中的機構專業投資者；
- Have been provided by Mont Avenir a clear written explanation regarding the potential risks and consequences of being treated as an Institutional Professional Investor for the purposes of the Code of Conduct;  
未來金融已根據《操守準則》提供了清晰的書面解釋為被視為機構專業投資者的潛在風險和後果
- Understand the potential risks and consequences of being treated as an Institutional Professional Investor by Mont Avenir, and realise that certain information will not be provided to us when dealing with Mont Avenir;  
已了解被未來金融視為機構專業投資者的潛在風險和後果，並意識到與未來金融交易時不會向我們提供某些信息
- Agree to be treated as an Institutional Professional Investor by Mont Avenir after careful consideration;  
經過認真考慮，我們同意被未來金融視為機構專業投資者
- Understand that certain services may not be provided by Mont Avenir;  
了解未來金融可能不提供某些服務
- Understand that we have the right, at any time, to withdraw from being treated as an Institutional Professional Investor in respect of all investment products or markets or any part thereof on giving written notice to Mont Avenir not less than 14 days;  
我們明白有權透過最少提前14天向未來金融發出的書面通知，隨時就相關產品或市場或當中的任何部分要求撤銷被視為機構專業投資者。
- Agree to inform Mont Avenir promptly if there is any change of status or circumstance which may render any declaration or information that we provided; and  
我們同意當任何狀態或情況發生任何變化，而可能導致我們提供的任何聲明或信息有任何改變時立即通知未來金融；和
- Have been invited to ask questions and seek independent advice if we wish.  
我們已被邀請提出問題並已被建議尋求獨立的意見

AGREED being treated as an Institutional Professional Investor

同意被視為機構專業投資者

SIGNED by 簽署:

X

\_\_\_\_\_  
Authorized Signature (s) with Company Chop

Client Name 客戶姓名 :  
Name of Authorized Signatory 授權簽署人姓名: :  
Date 日期 :

**CLIENT CONSENT UNDER HONG KONG INVESTOR IDENTIFICATION REGIME (HKIDR) AND OVER-THE-COUNTER  
SECURITIES TRANSACTIONS REPORTING REGIME (OTCR)**  
**香港投資者識別制度及場外證券交易彙報制度確認函**

Dear Valued Client,  
尊敬的客戶：

Under the Hong Kong Investor Identification Regime and the Over-the-counter Securities Transactions Reporting Regime, we are obliged to obtain an express consent from you and to update client identification data (“CID”) from you for the required transfer of clients’ CID to the Stock Exchange of Hong Kong (“SEHK”) and the Securities and Futures Commission (“SFC”).

根據香港投資者識別制度及場外證券交易彙報制度下，我們有責任取得閣下的明確同意並確保取得您最新的客戶識別資訊，以便按要求將客戶識別資訊轉移到香港聯合交易所（「**聯交所**」）和證券及期貨事務監察委員會（「**證監會**」）。

By signing the attached confirmation, you consent, acknowledge and agree to Mont Avenir Capital Limited (“**Mont Avenir**”) to collect, store, process, use, disclose and transfer personal data relating to you (including your CID and Broker-to-Client Assigned Number(s) (“**BCAN(s)**”)) as required for us to provide brokerage services to you in relation to securities listed and traded on SEHK and in compliance with the rules and regulations of SEHK and the SFC in effect from time to time. Without limiting the foregoing, this includes –  
當閣下簽署隨附的確認函，閣下允許、確認並同意未來金融有限公司（「**未來金融**」）收集、存儲、處理、使用、披露和傳輸與您有關的個人資料（包括您的客戶識別資訊和券商客戶編碼），以便我們向您提供有關在聯交所上市及交易的證券經紀服務，並遵守聯交所和證監會不時生效的規則及法規，不限制前述內容的情況下，這些規則及法規包括 –

(A) Disclosing and transferring your personal data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time;

根據不時生效的聯交所及證監會規則及法規，向聯交所及／或證監會披露及轉移閣下的個人資料（包括客戶識別資訊及券商客戶編碼）；

(B) Allowing SEHK to 允許聯交所:

(i) collect, store, process and use your personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Listing Rules of the Exchange of SEHK; and

收集、儲存、處理及使用閣下的個人資料（包括客戶識別資訊及券商客戶編碼），以便市場監察和監管目的及執行聯交所的《上市規則》

(ii) disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and

向香港相關監管機構和執法機構（包括但不限於證監會）披露及轉移有關資料，以便他們就香港金融市場履行其法定職能；及

(iii) use such information for conducting analysis for the purposes of market oversight; and

為監察市場目的而使用有關資料進行分析；及

(C) Allowing the SFC to 允許证监会:

(i) collect, store, process and use your personal data (including CID and BCAN(s)) for the performance of its statutory functions including monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets; and

收集、儲存、處理及使用閣下的個人資料（包括客戶識別資訊及券商客戶編碼），以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及

(ii) disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements.

根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料。

(D) Providing BCAN to Hong Kong Securities Clearing Company Limited (“**HKSCC**”) allowing HKSCC to:

向香港中央結算有限公司（「**香港結算**」）提供券商客戶編碼以允許香港結算：

(i) retrieve from SEHK (which is allowed to disclose and transfer to HKSCC), process and store your CID and transfer your CID to the issuer’s share registrar to enable HKSCC and/ or the issuer’s share registrar to verify that you have not made any duplicate applications for the relevant share subscription and to facilitate IPO balloting and IPO settlement; and

從聯交所取得、處理及儲存允許披露及轉移給香港結算屬於閣下的客戶識別資訊，及向發行人的股份過戶登記處轉移閣下的客戶識別資訊，以便核實閣下未就相關股份認購進行重複申請，以及便利首次公開招股抽籤及首次公開招股結算程式；及

(ii) process and store your CID and transfer your CID to the issuer, the issuer’s share registrar, the SFC, SEHK and any other party involved in the IPO for the purposes of processing your application for the relevant share subscription or any other purpose set out in the IPO issuer’s prospectus.

處理及儲存閣下的客戶識別資訊，及向發行人、發行人的股份過戶登記處、證監會、聯交所及其他公開招股的有關各方轉移閣下的客戶識別資訊，以便處理閣下對有關股份認購的申請，或載于公開招股發行人的招股章程的任何其他目的。

In addition, despite any subsequent purported withdrawal of consent by you, your agreement is required to confirm that your personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent. 此外，即使閣下其後宣稱已撤回允許，亦須閣下允許仍可繼續儲存、處理、使用、披露或轉移閣下的個人資料以作上述用途。

Please kindly note that failing to provide us with your personal data or consent as stated above may lead to Mont Avenir not being able, or no longer being able to, as the case may be, carry out your trading instructions or provide you with other securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any).

請注意如閣下未能向我們提供個人資料或上述之允許，可能意味著未來金融不能或無法（視情況而定）執行閣下的交易指示或向閣下提供證券相關服務（惟出售、轉出或提取閣下現有的證券持倉（如有）除外）。

Please also note that the terms “BCAN” and “CID” used in this clause shall bear the meanings as defined in paragraph 5.6 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.

亦請注意本條文所述的「券商客戶編碼」及「客戶識別資訊」具有《證券及期貨事務監察委員會持牌人或註冊人操守準則》第 5.6 段所界定的含義。

This letter is prepared in both English and Chinese. In the event of inconsistency, the English version shall prevail.

本函以英文及中文編寫，如中文譯本如與英文版本有歧異，一概以英文版本為準。

Yours sincerely,

此致

Mont Avenir Capital Limited

未來金融有限公司

Date 日期: \_\_\_\_\_

To 致: **Mont Avenir Capital Limited**  
未來金融有限公司

I/We acknowledge that I/we have read and understand the content of the letter of “CLIENT CONSENT UNDER HONG KONG INVESTOR IDENTIFICATION REGIME (HKIDR) AND OVER-THE-COUNTER SECURITIES TRANSACTIONS REPORTING REGIME (OTCR)”

本人 / 吾等確認已閱讀並明白上述《香港投資者識別制度及場外證券交易彙報制度確認函》的內容。

By signing this confirmation, I/we hereby give consent to Mont Avenir to collect, store, process, use, disclose and transfer personal data of myself/ourselves and I/we confirm my/our understanding of the consequences of failing to provide such consent to Mont Avenir. Thereby, I/we agree to accept the terms stipulated in this letter and provide such consent to Mont Avenir.

本人/吾等通過簽署本確認函表示本人/吾等確認未來金融收集、存儲、處理、使用、披露和傳輸本人/吾等的個人資料，並且本人/吾等確認理解本人/吾等未能向未來金融提供此等允許的後果。本人/吾等在此同意接受此信函內規定的條款，並確認向未來金融提供此等允許。

Authorized Signature 客戶簽署

Account Name 帳戶名稱：

For Internal Use 內部使用			
AE Name: _____		Phone Trading	Internet Trading
AE Code 客戶主任編號: _____	Commission (%)		
Year(s) of Knowing Client 認識客戶年資: _____	Min. Commission (HK\$)		
	Trading Limit (HK\$)		
	Credit Limit (HK\$)		
Document Reviewed by 文件查核 Remarks:	Name of Staff:	Signature of Staff:	Date:
Customer Information Checked by 客戶資料核對 Remarks:	Name of Staff:	Signature of Staff:	Date:
Account Opening Approved by 開戶審批 Remarks:	Name of Staff:	Signature of Staff:	Date:
Credit Limit Approved by 信貸額審批 Remarks:	Name of Staff:	Signature of Staff:	Date: