



## CASH CLIENT'S AGREEMENT (INDIVIDUAL)

### 現金客戶協議書 (個人)

To: Quasar Securities Company Limited  
Unit A, 12/F, Harbour Commercial Building, 122-124 Connaught Road Central, Hong Kong  
SFC CE No.: BHV239

致: 駿昇證券有限公司  
香港上環干諾道中 122-124 號海港商業大廈 12 樓 A 室  
中央編號: BHV239

In consideration of your opening and maintaining at my/our request one or more cash securities trading account(s) ("the Account") for me/us and your agreeing to act as my/our agent or broker for the execution of orders for the purchase or sale of securities of every type and description,

hereby agree to effect Transactions as hereinafter defined subject to the following terms and conditions of this Cash Client's Agreement ("the Agreement"):

鑒於 貴公司諮詢本人(等)要求開立及持續運作一個現金證券買賣賬戶("賬戶")給本人(等), (以下簽署人); 又鑒於貴公司同意作為本人(等)的代理或經紀, 執行各式及各類證券買賣指示("交易")見下文釋義, 本人(等)茲同意根據下列條件進行交易: -

#### 1. The Account 賬戶

- 1.1 I/We confirm that the information provided in the Account Opening Information Form is complete and accurate. I/We will undertake to inform you of any material changes to that information. You are authorized to conduct credit enquiries on me/us to verify the information provided.  
本人(等)確認「開戶資料」表格所載資料均屬完整及正確。倘該等資料有任何重要變更, 本人(等)將會通知 貴公司。本人(等)特此授權 貴公司對本人(等)的財政信用進行查詢, 以核實上述表格所載資料。
- 1.2 You will keep information relating to my/our Account confidential, but may provide any such information to The Stock Exchange of Hong Kong Limited ("Exchange"), Hong Kong Securities Clearing Company Limited ("the Clearing House") and Securities and Futures Commission ("SFC") to comply with their requirements or requests for information.  
貴公司將會對本人(等)賬戶的有關資料予以保密, 但貴公司可以根據香港聯合交易所有限公司("聯交所"), 香港中央結算有限公司("中央結算")及證券及期貨事務監察委員會("證監會")的規定或應其要求, 將該等資料提供予聯交所, 中央結算及證監會。

#### 2. Laws and rules 法例及規則

All transactions in securities which you affect on my/our instructions ("Transaction") shall be effected in accordance with all laws, rules and regulatory directions effect to you. This includes the rules of SFC and the Exchange and of the Clearing House. All actions taken by you in accordance with such laws, rules and directions shall be legally binding on me/us.

貴公司按本人(等)的指示而進行的一切證券交易("交易"), 須根據適用於貴公司的一切法例、規則和監管指示的規定而進行。這方面的規定包括證監會、聯交所及中央結算的規則。貴公司根據該等法例、規則及指示而採取的所有行動均對本人(等)具有法律約束力。

#### 3. Transaction 交易

- 3.1 You will act as my/our agent in effecting Transaction unless you indicate in the statement or confirmation relevant to such Transaction that you are acting as principal.  
除貴公司(在結單或其他確認單據內)註明以自己本身名義進行交易外, 貴公司將以本人(等)的代理人身份進行交易。
- 3.2 I/We agree that I/we will only place sale order with you in respect of securities, which I/we presently own.  
本人(等)同意祇會就本人(等)當時實有的證券向貴公司發出沽售指令。
- 3.3 On all Transaction, I/we will pay your fee, commissions, charges and disbursements incurred by you, as notified to me/us, as well as applicable levies, trading fee and clearing fee imposed by the SFC, the Exchange and the Clearing House, as the case may be, and all applicable stamp duties. You may deduct such commissions, charges, levies, trading fee and clearing fee and stamp duties from the Account.  
本人(等)會就所有交易支付 貴公司通知本人(等)的佣金和所有收費, 繳付證監會、聯交所、中央結算的適用交易徵費、交易費及結算費, 並繳納所有有關的印花稅。 貴公司可以從賬戶中扣除該等佣金、收費、交易徵費、交易費、結算費及印花稅項。
- 3.4 Unless otherwise agreed, in respect of each Transaction, unless you are already holding cash or securities on my/our behalf to settle the Transaction, I/we will: 就每一宗交易, 除另有協議外或非貴公司已代表本人(等)持有現金或證券以供交易交收之用, 否則本人(等)將會在貴公司就該項交易通知本人(等)的期限之前,
- pay you cleared funds or deliver to you securities in deliverable form, or  
向貴公司交付可即時動用的資金或可以交付的證券, 或
  - otherwise ensure that you have received such funds or securities,  
以其他方式確保貴公司收到此等資金或證券。
  - by such time as you have notified me/us in relation to that Transaction. If I/we fail to do so, you may  
倘本人(等)未能這樣做, 貴公司可以
  - in the case of a purchase Transaction, sell the purchased securities; and  
如屬買入交易出售買入的證券; 及
  - in the case of a sale Transaction, borrow and/or purchase securities in order to settle the Transaction.  
如屬賣出交易借入及/或買入證券以進行交易的交收。
- 3.5 I/we will be responsible to you for any losses and expenses resulting from my/our settlement failures.  
本人(等)將會負擔貴公司因本人(等)未能進行交收而引起的任何損失及開支。
- 3.6 I/we agree to pay interest on all overdue balance (including interest arising after a judgment debt is obtained against me/us) at such rates and on such other terms as you have notified me/us from time to time.  
本人(等)同意就所有逾期未付款項(包括對本人(等)裁定的欠付債務所引起的利息), 按貴公司不時通知本人(等)的利率及其他條款支付利息。
- 3.7 In the case of a purchase Transaction, if the selling broker fails to deliver on the settlement date and you have to purchase securities to settle the Transaction, I/we shall not be responsible to you for the costs of such purchase.  
就買入交易而言, 倘賣方經紀未能於交收日內交付證券, 導致貴公司須買入證券進行交收, 本人(等)毋須為買入該等證券的費用向貴公司負責。

#### 4. Order and Order Recording 買賣指示及電話記錄買賣指示

- 4.1 You may accept instructions from me/us for order of Transaction by telephone or in writing sent by facsimile or by post. You may also accept instructions in your prescribed order form signed by me/us in your presence. In all cases, you shall time-stamp such instructions in the order as they are received.  
貴公司可接納本人(等)用電話、圖文傳真或郵遞方式發出之書面指示買賣證券。 貴公司亦可接納本人(等)親臨貴公司辦公室填寫 貴公司的買賣證券

指示表格。全部的指示，貴公司將以其次序前後蓋上時間印章。

- 4.2 I/we declare that you shall not be liable for delay in acting or for any inaccuracy, interruption, error or delay or failure in transmission of my/our instructions by facsimile unless there is fraud or willful default on your part.  
本人(等)聲明，除非 貴公司欺詐或蓄意失責，否則 貴公司無須因延遲執行，或本人(等)透過圖文傳真方式發出的指示在傳送出現誤差、干擾、出錯、延遲或未能傳達而負責。
- 4.3 In the event of receipt of conflicting instructions you may refuse to act on any of the instructions until you have received unequivocal instructions.  
倘若 貴公司收到互相抵觸的指示時，貴公司可拒絕執行任何此等指示，直至接到明確的指示為止。
- 4.4 You may, in your absolute discretion, refuse to accept instructions without giving any reason therefore but shall not in any circumstances whatsoever be liable for loss of profit, damages, liability, cost or expenses suffered or incurred by me/us arising out of such refusal.  
貴公司有絕對酌情權決定拒絕本人(等)的指示而無須對此作出解釋，並且無須在任何情況下對此拒絕所引致本人(等) 失去的盈利、損失、經濟責任、支出或費用作出負責。
- 4.5 You may record telephone conversation in connection with receiving orders and instructions through your telephone recording system. I/we acknowledge that such records are your sole property and it will be accepted as final and conclusive evidence of the orders or instructions given in case of disputes.  
本人(等)同意 貴公司可由貴公司的電話錄音系統記錄電話交談中有關買賣指示。本人(等)承認該記錄由 貴公司擁有，並接受如有糾紛時，此錄音為最後及最終之證據。
- 4.6 Where a discrepancy occurs between instructions given by telephone or facsimile and any other means, including any subsequent written confirmation, your record of the telephone instruction or facsimile instructions shall prevail.  
凡經電話或圖文傳真發出的指示，與後來以書面發出的指示在意義上有差異時，則須以 貴公司的電話錄音或收到的圖文傳真指示記錄為準。

## 5. Client Identity/Ultimate Beneficiary 客戶身份/最終受益人

- 5.1 Subject to the provisions herein, I/we shall, in respect of transaction in which I/we are not acting as principal, immediately upon demand by you inform SFC and/or the Exchange of the identity, address and contact details of:  
在符合本協議書中條文的規定下，凡有關本人(等)並非以主事人或最終受益人之身份進行的交易，本人(等)將應貴公司的要求即時向證監會及/或聯交所提供受益人下列資料：

- (i) the person or entity ultimately responsible for originating the instruction in relation to the relevant transaction; and  
最終負責引發有關交易的指示的人士或實體的身份、地址及聯絡詳情；及
- (ii) the person or entity that stands to gain the commercial or economic benefit of the relevant transaction and/or bear its commercial or economic risk,  
會獲取有關交易的商業或經濟利益或須承擔其商業或經濟風險的人士或實體的身份、地址及聯絡詳情，

And, in case of an entity, the investment fund or account, the manager of that entity, the investment fund or account.  
並且，如實體者是投資基金或賬戶，則提供該投資基金或賬戶的經理人資料。

- 5.2 I/We hereby declare that if I/we are not the true owner/ultimate beneficiary or originator of instructions of the Account, I/we will complete the details as attached to the "Account Opening Form".  
本人(等)茲聲明如若本人(等)非是賬戶的主事人或最終受益人，本人(等)須填寫「開戶表格」中的有關資料。

## 6. Safekeeping of Securities 證券的保管

- 6.1 Any securities, which are held by, you or your associated entity for safekeeping may, at your discretion:-  
寄存貴公司或 貴公司的有聯繫實體妥為保管的任何證券， 貴公司可以酌情決定：-
- (i) be deposited in safe custody in a segregated account which is designated as a trust account or client account established and maintained in Hong Kong by you or your associated entity with the Clearing House, an authorized financial institution, a custodian approved by the SFC or another intermediaries licensed for dealing in securities; or  
存放於 貴公司或 貴公司的有聯繫實體在中央結算、認可財務機構、獲香港證券及期貨事務監察委員會核准的保管人或另一獲發牌進行證券交易的中介人處開立的獨立賬戶作穩妥保管，而該賬戶是指定為信託賬戶或客戶賬戶並由 貴公司或 貴公司的有聯繫實體為持有 貴公司的證券目的而在香港開立及維持的；或
- (ii) in the case of registrable securities, be registered in my/our name or in the name of you or your associated entity.  
如屬認可註冊證券以本人(等)的名稱或以貴公司或貴公司的有聯繫實體名稱登記。
- 6.2 Where securities are not registered in my/our name, any dividends or other benefits arising in respect of such securities shall, when received by you, be credited to my/our Account or paid or transferred to me/us, as agreed with you. Where the securities form part of a larger holding of identical securities held for your clients, I/we shall be entitled to the same share of the benefits arising on the holding as my/our share of the total holding.  
倘證券未以本人(等)的名義登記， 貴公司於收到該等證券所獲派的任何股息或其他利益時，須按本人(等)與 貴公司的協議存入本人(等)的賬戶或支付予或轉贈予本人(等)。倘該等證券屬於 貴公司代客戶持有較大數量的同一證券的一部份，本人(等)有權按本人(等)所佔的比例獲得該等證券的利益。
- 6.3 You do not have my/our written authority under section 148 of the Securities and Futures Ordinance to:-  
本人(等)並無根據【證券及期貨條例】第 148 條以書面授權貴公司:-
- (i) deposit any of my/our securities with an authorized financial institution as collateral for an advance or loan made to you, or with the Clearing House as collateral for the discharge of your obligations under the clearing system;  
將本人(等)的任何證券存放在認可財務機構，作為貴公司所獲墊支或貸款的抵押品，或者存放在中央結算，作為履行貴公司在結算系統下之責任的抵押品；
- (ii) borrow or lend any of my/our securities; and/or  
借貸本人(等)的任何證券；及/或
- (iii) otherwise part with possession (except to me/us or on my/our instructions) of any of my/our securities for any purpose.  
基於任何目的以其他方式放棄本人(等)的任何證券之持有權(交由本人(等)持有或按本人(等)的指示放棄持有權除外)。
- 6.4 You are not bound to deliver securities belonging to me/us bearing serial numbers identical with those transferred to me/us so long as the securities delivered are of the same class, nominal amount and rank pari passu with those originally transferred subject always to any capital re-organization which may have occurred in the meantime.  
貴公司不須交回本人(等)的證券，其編號須與轉讓予本人(等)的證券編號相符，只要該等證券是同類型，而市值相等及其權益與原本轉讓予本人(等)的證券相同，當然除了受其間資本重組另有規定外。
7. Monies in the Account 賬戶中的款項
- 7.1 Any cash held for me/us, other than cash received by you in respect of Transactions and which is on-paid for settlement purposes or to me/us, shall be credited to a client trust account maintained with a licensed bank as required by applicable laws from time to time.  
代本人/吾等保管的現金須依照適用法律不時的規定， 存放於一家持牌銀行所開立的一個客戶信託賬戶內(此等現金不包括閣下就交易取得， 而且須為交收而轉付或轉予本人/吾等的現金)。
- 7.2 Any interest accrued on such monies shall be paid to me/us and calculated at the Hong Kong Dollar Savings Rate announced by the Bank of Communications (Hong Kong) Limited from time to time on a 363-day year basis.  
客戶信託賬戶內的任何款項所得的利息將按香港交通銀行不時頒佈的港元儲蓄利率及以一年為 363 日計算， 支付予本人/吾等。
- 7.3 Payment to the Account shall constitute payment to me/us for all purposes.

貴公司支付入賬戶的款項得作為達到對本人(等) 款項支付的目的。

## 8 Set-off and lien 抵銷及留置權

In addition and without prejudice to any general lien, rights of set-off or other similar rights to which you may be entitled under laws or the Agreement, all securities, receivables, monies and other property of me/us (held by me/us either individually or jointly with others) held by or in the possession of you at any time shall be subject to a general lien in your favour as continuing security to offset and discharge all of my/our obligations, arising from the Transaction and/or my/our obligations in the Agreement.

在不損害貴公司依照法律或本協議所附加應享有之一般留置權、抵銷權或相關權利前提下，對於本人(等)交由貴公司代管或在貴公司內存放之所有證券、應收賬、款項及其他財產(不論是本人(等)個人或與其他人士聯名所有)權益，貴公司均享有一般留置權，作為持續的抵押，用以抵銷及履行本人(等) 因進行證券買賣而對貴公司負上的所有責任。

## 9 Miscellaneous 一般規定

9.1 All securities held for my/our Account shall be subject to a general right of disposal in your favour, for the performance of my/our obligations to you arising in respect of dealing in securities for me/us. You may at any time, without prior notice to me/us, apply any credit balances (including amount payable to me/us arising from sale of securities) in any currencies to which I/we am/are at any time beneficially entitled on any accounts opened with you to set-off against any liabilities owed to you (including amount payable to you arising from the purchase of securities).

所有本人(等)戶口內的證券均受制於 貴公司的全面處置權，以確保本人(等)履行 貴公司代本人(等)買賣證券而產生的責任。 貴公司可於任何時間而無須通知本人(等)，運用本人(等)於 貴公司開設之任何戶口的任何幣值結餘(包括應向本人(等)因賣出證券而需支付的款項)抵銷任何本人(等)對 貴公司之負債(包括本人(等)因買入證券而應向 貴公司支付的款項)。

9.2 If you fail to meet your obligations to me/us pursuant to this Agreement, I/we shall have a right to claim under the Investor Compensation Fund established under the Securities and Futures Ordinance, subject to the terms of the Investor Compensation Fund from time to time.

倘 貴公司沒有依照本協議書的規定履行對本人(等)的責任，本人(等)有權向根據【證券及期貨條例】成立的投資者賠償基金索償，惟須受投資者賠償基金不時的條款制約。

If I/we embark on trading US Securities, I/we shall carefully read through the Information Documentation For Clients on Pilot Program For Trading US Securities issued by the Exchange.

若本人(等)開展買賣美國證券，本人(等)將會詳細閱讀聯交所發出予客戶參照的美國證券交易試驗計劃簡介。

I/We confirm that I/we have read and agreed to the terms of this Agreement which have been explained to me/us in a language (English or Chinese) that I/we understand.

本人(等)確認本人(等)已詳閱並同意本協議書的條款，而且該等條款已經以本人(等)明白的語言(英文或中文)向本人(等)解釋。

9.5 I/we acknowledge that decision regarding the Transaction are made by me/us at my/our discretion and risk and without reliance on any advice from you. You shall not owe me/us any duty to advice on the merits or suitability of any Transaction.

本人(等)承認所有證券買賣全由本人(等)決定及承擔風險，並沒有依賴 貴公司的意見。貴公司並無責任向本人(等)提供各證券買賣的利好性或適合性。

I/We hereby agree that upon receipt of the relevant contract notes, daily statement, execution report, and monthly statement of the Account, or other advices, such daily contract notes, statement, execution of order and monthly statement of the Account or advices shall be conclusive and binding on me/us, unless I/we object to in writing within such period of time as may be specified by you from time to time.

本人(等)在收到有關該賬戶的買賣單、日結單、執行買賣報告及月結單或其他另類方式的通知之後，倘若本人(等)沒有在 貴公司規定的期間之內以書面提出異議，則該日結單、執行買賣報告及月結單或另類方式通知成為不可推翻，並對本人(等)有約束力。

9.7 The Account Opening Information, Authorization for Account Opening, Schedules and the Agreement will form one composite agreement.

本協議書所指的開戶資料、開戶授權書及附錄為本協議書的整體部份。

I/we enter into Transaction in securities in a currency other than Hong Kong dollar currency, I/we shall reimburse your exchange loss (if any) and bank charges fully on demand for all expenses incurred by you on converting any foreign currency into Hong Kong dollar currency at the prevailing exchange rate at the time of the relevant Transaction.

若本人(等)用非香港貨幣進行證券買賣，本人(等)須按 貴公司的通知，即時支付貴公司的外匯兌換損失(如有)及銀行服務費及任何因找換外匯或香港貨幣所引致的其他費用，找換外匯是以當日有關交易的外匯匯率計算。

## 10 Liability and Indemnity 責任及彌償

10.1 Neither you nor any of your directors, officers, employees or agents shall be liable to me/us for any direct, indirect or consequential loss or damage suffered by me/us arising out of or connected with any act or omission in relation to Transaction or any matters contemplated by the Agreement unless such loss results from your fraud, gross negligence or willful misconduct as proved.

貴公司或 貴公司的任何董事、行政人員、僱員或代理人，均不需負責因本人(等)或涉及任何關乎本協議書範圍內之任何的操作或疏漏操作而蒙受任何直接、間接或後果性損失或損害，除非此等損失或損害是得到證實是上述人士之欺詐、嚴重疏忽或故意失當行為而引起者。

10.2 I/we undertake to keep you and your directors, officers, employees and agents indemnified against all claims, demands, actions, proceedings, damages, losses, costs and expenses incurred by you arising out of anything done or omitted pursuant to any instructions given by me/us or in relation to any Transaction or matters contemplated by the Agreement without prejudice to any lien, right to set off or other rights which you may have.

本人(等)承擔彌償 貴公司董事、高級人員、僱員及代理人，根據本人(等)指示處理在本協議書範圍內的交易或任何任務而招致的所有針對 貴公司及上述人士的申索、訴訟、法律程序、損害賠償、或損失、訴訟費及費用、而並不影響貴公司可行使的留置權、抵銷權利或其他權利。

## 11. Material Changes 重要變化

I/We hereby undertake to inform you in writing of any material changes in my/our Account Opening Information and you shall also undertake to inform me/us in writing of any material changes in your corporate particulars registration status, nature of services available, corporate management and your business, which may affect your services to me/us.

本人(等)承諾用書信通知 貴公司本人(等)開戶資料的重要變化，而 貴公司亦承諾用書信通知本人(等)有關 貴公司會影響對本人(等)服務的公司資料，在證監會的註冊身份，可提供客戶的服務、酬勞費用及業務等變化。

## 12 Personal Data (Privacy) 個人資料(保密)

12.1 Whilst I/we expect you to keep confidential all matters relating to the Account, I/we hereby expressly authorize you to provide to the SFC or the Exchange or the Clearing House or any other regulatory authorities in any investigation or enquiry it is undertaking.

雖然本人(等)預期 貴公司將予該賬戶有關之事情保密，本人(等)謹此明確同意如應證監會或聯交所或中央結算或監管機構之要求， 貴公司可向彼等提供賬戶之詳細資料，以便協助彼等進行的調查或詢問。

12.2 I/We hereby declare that I/we have read the "Notice on Personal Data" pursuant to the Personal Data (Privacy) Ordinance as attached to the "Supplemental Agreement for Internet Trading".

本人(等)在此聲明本人(等)已詳閱「互聯網證券交易 - 補充協議書」中根據個人資料(私隱)條例發出的「個人資料告示」。

## 13. Term 有效期

The Agreement will come into effect on the date when anyone of your directors signs the Agreement. The Account will not be closed unless in accordance with cause 14.

本協議書在貴公司之任何一名董事簽署之日期起開始生效、有效期持續至該賬戶按照條款 14 之規定被終止。

#### 14. Termination 終止

- 14.1 The Account may be closed by you or by me/us at any time and for any reason forthwith upon written notice being given to the other party in accordance with cause 15 hereunder provided that all acts performed by you in accordance with my/our instructions prior to either party receiving written notice of such termination shall be valid and binding on me/us.  
不論任何原因，任何一方一旦遵照條款的規定向對方發出書面通知，賬戶即時結束。惟所有貴公司在任何一方收到此書面結束通知前已依據本人(等)之指示而執行之任務，仍然有效及對本人(等)有約束力。
- 14.2 Upon termination all monies owing from me/us to you shall immediately become due and payable and subject to payment of all such monies, you are Authorized to deliver as soon as reasonably practicable any securities held in you or your agent's or nominee's name to me/us.  
一旦本協議書終止，所有本人(等)欠負的債項即時變為到期應付。在繳清此等債項後，貴公司獲授權在合理切實可執行範圍內，盡速將該賬戶內以貴公司(或其代理人或代名人)名義持有之證券，交付本人(等)。

#### 15. Notices 通告

- 15.1 All notices, demands and other communications and documents required to be given by you to me/us in relation to the Account or connected therewith may be given by letter, telex, facsimile transmission, e-mail or telephone to the address or appropriate numbers.  
所有涉及或與該賬戶有關而須由貴公司發給本人(等)之通知書、追索書及其他傳訊及文件，均可以用書信、專用電報、圖文傳真、電郵或電話方式發送到該地址或適用號碼。
- 15.2 All notices, demand, communications and documents sent by you to me/us shall be deemed to have been received by me/us and in case of telephone call when telephoned or message is left with a person who answered the telephone call at the correct telephone number stated, and, in case by letter sent locally the day following the day deposited in the mail or sent by airmail overseas 72 hours after dispatch and in case of telex or facsimile message or e-mail when the same is dispatched.  
所有以上述形式發出給本人(等)之通知書、追索書、通訊及文件，如屬使用電話通訊，則電話被接聽或留言予代接聽人，應被視為收到；如屬本地郵件，應被視為在交付郵遞後之翌日收到；如屬海外郵遞，則在發送後七十二小時後收到；如屬專用電報、圖文傳真或電郵，則在發送時收到。
- 15.3 All notices, demands and other communications and documents sent by me/us to you shall not be effective until the company has actually received.  
所有由本人(等)發出的通知書、追索書及其他傳訊及文件，由貴公司實際接收到始生效。

#### 16. Amendments 修改

- 16.1 You shall be entitled to make such amendments, additions, deletions or variations to the Agreement, as you consider necessary. I/We have the responsibility to browse your company website from time to time for the relevant amendments, additions, deletions or variations or inquiries for ensuring update information.  
貴公司有權對本協議書作出不定時的修改、增補、刪除或變更。本人有責任定期瀏覽貴公司網址查閱有關修訂或向貴公司查詢，以確保獲得及時的通知。
- 16.2 No amendment made by you to the Agreement or by me/us to you in relation to the information supplied to you in the Authorization for Account Opening, herewith, such as Account Opening Information, and the Schedules thereto will affect any outstanding order or Transaction or any legal rights or obligations which may have arisen prior thereto.  
貴公司對本協議書之條款所作之修改，及本人(等)向貴公司提供的關於本協議書之資料的修改，例如，開戶資料，均不影響任何修改前未完成之指示或買賣或已產生的法定權利或責任。

#### 17. Severability 局限應用

Any term, stipulation, provision, or undertaking in the Agreement which is illegal, void, prohibited or unenforceable in any jurisdiction shall be ineffective only to the extent of such illegality, voidness, prohibition or unenforceability without invalidating the remaining hereof, and any such illegality, voidness, prohibition or unenforceability in any jurisdiction shall not invalidate or render illegal, void or unenforceable any such term, condition, stipulation, provision, covenant or undertaking in any other jurisdiction.  
本合約中之條款、規定、條文、承擔，有對某一裁判權而言，為非法、無效、禁止實施或不能實施者，則在此等非法、無效、禁止實施或不能實施，祇局限於該裁判權範圍內，本合約之其他餘下者仍然有效。再者，上述情況不會導致此等條款、規定、條文、承擔等在另一裁判權範圍內非法、無效、禁止實施或不能實施。

#### 18. Assignment 轉讓

- 18.1 The benefit and burden of the Agreement is personal to me/us and shall not be capable of assignment by me/us without your consent.  
本協議書範圍內之權益及責任，祇屬於本人(等)本身的權益及責任，未經貴公司同意，本人(等)不得將其轉讓予他人。
- 18.2 I(We) agree that you may transfer your rights and obligations under the Agreement without my/our consent.  
本人(等)同意可轉讓貴公司在本協議書下的權利和義務而不須取得本人(等)的同意。

#### 19. Risk Disclosure Statement 風險披露聲明書

- 19.1 I/We hereby understand:-  
本人(等)明白:-
- (1) that in respect of securities trading, the prices of securities can fluctuate, sometimes dramatically, and any individual security may experience upwards or downwards movements, and may even become valueless and that there is an inherent risk that losses may be incurred rather than profit made as a result of buying and selling securities;  
有關證券買賣，證券價格可能及必定會波動，任何個別證券的價格皆可上升或下跌，甚至可能變成毫無價值。買賣證券不一定獲利，而且存在著可能損失的風險，本人(等)願意承擔此等風險；
- (2) that in respect of trading Growth Enterprise Market (GEM) stocks:-  
有關買賣創業板股份:-
- (i) such stocks involve a high investment risk and, in particular, companies may list on GEM with neither a track record of profitability nor any obligation to forecast future profitability and GEM stocks may be very volatile and illiquid and that I/we shall make the decision to invest only after due and careful consideration;  
此等創業板股份涉及很高的投資風險。尤其是該等公司可在無需具備盈利往績及無需預測未來盈利的情況下在創業板上市。創業板股份可能非常波動及流通性很低。本人(等)會在審慎及仔細考慮後，才作出有關的投資決定；
- (ii) the greater risk profile and other characteristics of GEM mean that it is a market which is more suitable for professional and other sophisticated investors;  
創業板市場的較高風險性質及其他特點，意味著這個市場較適合專業及其他熟悉投資技巧的投資者；
- (iii) the current information on GEM stocks may only be found on the internet website operated by the Exchange and GEM Companies are usually not required to issue paid announcements in gazetted newspapers;  
現時有關創業板股份的資料只可以在聯交所操作的互聯網網站上找到。創業板上市公司一般無須在憲報指定的報章刊登付費公告；
- (iv) I/we should seek independent professional advice if I/we 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.  
假如本人(等)對本風險披露聲明的內容或創業板市場的性質及在創業板買賣的股份所涉風險有不明白之處，應尋求獨立專業意見。
- (3) that there may be risks in leaving assets in your safekeeping, for example, if you are holding my/our assets and you become insolvent, I/we may experience significant delay in recovering the assets except in accordance with specific legislation or local rules or applicable laws and regulations of the relevant overseas jurisdiction (if held outside Hong Kong) which may be different from the Securities and Futures Ordinance (Cap. 571) and may possible be pro-rated in the same manner as cash for purposes of distribution in the event of a shortfall and these are risks that I/we are prepared to accept;  
存放款項或其他財產與貴公司保管可能存在風險，若是貴公司持有該款項或財產而無力償債時，本人(等)將有被延誤回收該等款項或財產，



可能須受限於具體法例規定或當地的規則(若是存放在香港以外),而當地法例或規則不同於<證券及期貨條例(第 571 章) , 只可收回按比例分配得來的款項或其他財產;

- (4) that in respect of trading Nasdaq-Amex securities at the Exchange, the securities under the Nasdaq-Amex Pilot Program (PP) are aimed at sophisticated investors and that I/we shall consult my/our licensed or registered person and become familiarised with the PP before trading in the PP securities since the PP securities are not regulated as a primary or secondary listing on the Main Board or the Growth Enterprise Market of the Exchange; and  
有關聯交所買賣納斯達克, 按照納斯達克-美國證券交易所試驗計劃(試驗計劃)掛牌買賣的證券是為熟悉投資技巧的投資者而設的。本人(等)在買賣該項試驗計劃的證券之前, 會先諮詢持牌人或註冊人的意見和熟悉該項試驗計劃。本人(等)知悉, 按照該項試驗計劃掛牌買賣的證券並非以聯交所的主板或創業板作第一或第二上市的證券類別加以監管;及
- (5) that before I/we begin to trade, I/we should obtain a clear explanation of all commission, fees and other charges for which I/we will liable, since these charges will affect my/our net profit (if any) or increase my/our loss.  
在開始交易之前, 本人(等)先要清楚瞭解本人(等)必須繳付的所有佣金、費用或其他收費。這些費用將直接影響本人(等)可獲得的淨利潤(如有) 或增加本人(等)的虧損。

This Risk Disclosure Statement is revised or supplemented from time to time. I/We should refer to its latest version for reference.

本風險披露聲明會不時修訂或補充, 本人(等)應參閱不時修訂或已補充的版本。

## 20. The New Professional Investor Regime and New Client Agreement Requirement 新專業投資者協議規定

If I/we am/are solicited the sale of or recommend any financial product by you, the financial product must be reasonably suitable for me/us having regard to my/our financial situation, investment experience and investment objectives. No other provision of this agreement or any other document you may ask me/us to sign and no other statement you may ask me/us to make derogates from this clause.

假如貴公司向本人(等)招攬銷售或建議任何金融產品, 該金融產品必須是貴公司經考慮本人(等)的財政狀況, 投資經驗及投資目標後而認為合理地為本人(等)提議的。本協議的其他條文或任何其他貴公司可能要求本人(等)簽署的文件及貴公司可能要求本人(等)作出的聲明概不會減損本條款的效力。

## 21. Interpretation 釋義

In this Agreement unless the context otherwise requires:-

本合約中, 除文意另有所指外:-

- (1) The expression "I/we" or "me/us" or "my/our" wherever used shall in the case where the undersigned is an individual(s) include the undersigned and his executors and administrator where the undersigned are several individuals, include the several individuals and their respective executors and administrators and in the case where the undersigned is a sole proprietorship firm include the sole proprietor and his executors and administrators and his or their successors in the business and in the case of a partnership firm include the partners who are the partners of the firm at the time of this Agreement and their respective executors and administrators and any other person or persons who shall at any time hereafter be or have been a partner of and in the firm and his or their respective executors and administrators and the successors to such partnership business and where the undersigned is a company include such company and its successors and assigns.  
本人(等)一詞, 若指本協議簽署人是個人者, 則包括其本人、其遺囑執行人及遺產管理人;若指眾人, 則包括眾人及各自之遺囑執行人及遺產管理人;若指獨資經營商號, 則包括該商號主人、其遺囑執行人及遺產管理人、其生意繼承人;若指合夥機構, 則包括現時之各合夥人、各自之遺囑執行人及遺產管理人, 尚有今後成為合夥人之其他人士及其遺囑執行人及遺產管理人, 以及此等合夥生意之繼承人;若指有限公司, 包括有限公司之繼承人及受讓人。
- (2) "Securities" means all kinds of instruments commonly known as securities including, but not limited to, stocks, shares (listed or otherwise), warrants, debentures, unit trusts, mutual funds, bonds or notes of, or issued by, anybody, whether incorporated or unincorporated, or of any government or local government authority, as you may at your absolute discretion from time to time offer to dealing.  
"證券"指各類普遍認為是證券的工具, 包括但不限於股份、股票(上市及非上市者), 認股權證、債票、信託基金、互惠單位基金、債券或票據由註冊團體、非註冊團體或政府或當地政府發行, 由貴公司可不時提供來交易者。
- (3) Where the undersigned consists of more than one individual or where the undersigned is a firm consisting of two or more individuals, the agreements by and the liabilities of the undersigned hereunder shall be joint and several of such individuals.  
若本合約簽署人由兩名或以上之個人組成, 或為一間由兩名或以上人士開設之商號, 則本合約涉及本合約簽署人之責任, 須由此等人士個別及共同承擔責任。
- (4) Words importing the singular number shall include the plural number and vice versa and words importing the masculine gender shall include the feminine gender and the neuter gender.  
凡表示單數之字眼包括複數含義, 反之亦然;凡表示陽性之字眼亦包括陰性及中性含義。
- (5) Words importing "persons" shall include limited company (including local and foreign).  
字義上所指的"人"(若適用)亦包括有限公司(本港者或海外者)。

## 22. Law 法律

This Agreement is governed and construed in accordance with the laws of Hong Kong Special Administrative Region and the parties hereby irrevocably submit themselves to the jurisdiction of the Hong Kong Special Administrative Region.

本協議書受香港特別行政區法律管轄及以其作解釋, 而雙方不得撤銷接受香港特別行政區法院的司法管轄。

Quasar Securities Company Limited reserves the right to revise and amend the above terms and provisions at any time and from time to time without prior notice. Clients agree to be bound by all provisions as stipulated in the "Account Opening Form", "Cash Client's Agreement and/or Margin Client's Agreement", "Supplemental Agreement for Internet Trading", "Risk Disclosure Statement" and "Notice on Personal Data". If there is any inconsistency and/or discrepancy between the English and Chinese version of the Standard Terms and Conditions, the English version shall prevail, Quasar Securities Company Limited has the rights to reserve the final decisions.

駿昇證券有限公司保留隨時追加或修訂上述細則之權利而毋須另行通知。客戶同意遵守「開戶表格」、「現金客戶協議書」及/「保證金客戶協議書」、「互聯網證券交易補充協議書」、「風險披露聲明書」及「個人資料告示」。如有任何爭議, 或對標準章則之中英文版本文義有歧義, 概以英文版本為準, 駿昇證券有限公司有權保留最終之決定權。



## SUPPLEMENTAL AGREEMENT FOR INTERNET TRADING

### 互聯網證券交易 - 補充協議書

To: Quasar Securities Company Limited

致: 駿昇証券有限公司

Unit A, 12/F, Harbour Commercial Building, 122-124 Connaught Road Central, Hong Kong

香港上環干諾道中 122-124 號海港商業大廈 12 樓 A 室

(CE No. 中央編號: BHV239)

Dear Sirs,

敬啟者:

I/We hereby authorize and request you to open and maintain an internet securities trading account ("the Account") in the name of me/us for the purchases, sales, holdings of and any other dealings in securities. The Account shall be maintained and all such purchases, sales, holdings of and any other dealings in securities shall be affected subject to and in accordance with the provisions of the "Supplemental Agreement for Internet Trading" ("Supplemental Agreement") and the "Cash and / or Margin Client's Agreement" ("the Agreement(s)"). I/We confirm and acknowledge that the Supplemental Agreement forms an integral part of the Agreement(s).

本人(等) / 我司授權要求貴公司為本人(等) / 我可以本人(等) / 我司名義開立並操作一個互聯網證券交易賬戶(下稱“賬戶”), 以執行本人(等) / 我司不時購入、賣出、保管

或處理各類證券。有關賬戶之運作須受本「互聯網證券交易 - 補充協議書」(“補充協議書”)及「現金及/或保證金客戶協議書」(“客戶協議書”)規限, 本人(等) / 我司確認補充協議書為客戶協議書組成之一部份。

I/We hereby agree to effect Transactions as hereinafter defined subject to the following terms and conditions of this Supplemental Agreement:-

本人(等) / 我司茲同意根據下列條件進行互聯網證券交易: -

#### 1 The Account 賬戶

I/We warrant that the information set out in the Account Opening Information is true and correct and that you are entitled to rely fully on such information to act on my/our behalf unless and until you receive notice of any change from me/us in accordance with the provisions of the Agreement(s). I/We undertake to advise you promptly of any material change to such information.

本人(等) / 我司保證客戶開戶資料內所載資料均屬真實及正確, 貴公司在未收到本人(等) / 我司根據現金及/或保證金客戶協議書規定發出的資料變更通知前, 貴

公司有權依據該等資料行事, 若該等資料有變更, 本人(等) / 我司即儘快通知貴公司。

#### 2 Internet Securities Trading Service 互聯網證券交易

2.1 I/We shall use the Internet Securities Trading Service only in accordance with this Supplemental Agreement and the Agreement(s).

本人(等) / 我司只限於根據補充協議書及客戶協議書之有關條款使用互聯網證券交易服務。

2.2 I/We shall be the only authorized user of the Internet Securities Trading Service under the Account.

本人(等) / 我司是賬戶唯一有權使用互聯網證券交易服務的人。

2.3 I/We acknowledge that the Internet Securities Trading Service is proprietary to you. I /We warrant and undertake that I/we shall not, and shall not attempt to, tamper with, modify, decompile, reverse engineer or otherwise alter in any way, and shall not attempt to gain authorized access to, any part of the internet securities trading service. I/We undertake to notify you immediately if I/We become aware that any of the actions described above in this paragraph is being perpetrated by any other Person.

本人(等) / 我司承認此互聯網證券交易服務為貴公司所專有。本人(等) / 我司保證及承諾本人(等) / 我司不會和不試圖損壞、修改、逆彙編、或以其他方式改變互

聯網證券交易服務的任何組成部份, 也不試圖非法進入互聯網證券交易服務的任何組成部份。本人(等) / 我司保證在本人(等) / 我司知道有人作出上述行動時馬上通知貴公司。

2.4 I/We shall be responsible for the confidentiality and use of my/our customer ID and Password.

本人(等) / 我司有責任將本人(等) / 我司之登入號碼密碼及賬戶號碼保密, 並對所作用等負責。

2.5 I/We agree immediately to notify you if I/we become aware of:-

本人(等) / 我司同意在獲悉以下事件後, 隨即知會貴公司: -

- any loss or theft of my /our customer ID and Password; or

本人(等) / 我司之賬戶號碼及密碼遭遺失或盜用; 或

- any unauthorized use of any of my/our customer ID and Password, or of the Internet Securities Trading Service or any information; or

本人(等) / 我司之任何登入賬戶號碼及密碼, 或互聯網證券交易服務或任何資料被非法使用; 或

- any failure by me/us to receive a message that an order initiated by me/us through the Internet Securities Trading Service has been received and or executed through the Internet Securities Trading Service.

本人(等) / 我司未能獲取訊息, 顯示已經接獲及/或執行本人(等) / 我司透過互聯網證券交易服務發出指令之訊息。

2.6 I/We shall be solely responsible for all instruction entered through the Internet using my/our customer ID and Password.

本人(等) / 我司須自行負責使用本人(等) / 我司之賬戶及密碼的保密及使用。

2.7 I/We understand that you will not be liable to me/us if I/we am/are unable to access my/our account information or request a transaction through the Internet Service.

本人(等) / 我司明白貴公司不曾對本人(等) / 我司不能存取本人(等) / 我司之賬戶資料及透過互聯網證券交易服務要求負責。

本人(等) / 我司不得使用或容許使用資訊或其任何部分作任何非法用途。

2.9 I/We shall not disseminate the information to third parties, and shall solely use the information or any part thereof for my/our own use or in the ordinary course of my/our own business.

本人(等) / 我司不得向第三方散播資訊，同時只容許本人(等) / 我司作本身的用途或在本身業務的正常過程中使用。

2.10 Electronic trading facilities are supported by computer-based component system for the order routing, execution, matching, registration or clearing of trades. As with all facilities and systems, they are vulnerable to temporary disruption or failure. My/our ability to recover certain losses may be subject to limits on liability imposed by the system provider, the market, the Clearing House and/or participant firms. Such limits may vary, I/we should ask the firm with which I/we deal for details in this respect.

電子交易的設施是以電腦組成系統來進行交易指示傳遞、執行、配對、登記或交易結算。然而，所有設施及系統均有可能會暫時中斷或失靈，而本人(等) / 我司

就此所能獲得的賠償或會受制於系統供應商、市場、結算公司及/或參與者商號就其所承擔的責任所施加的限制。由於這些責任限制可以各有不同，本人(等) / 我司應向為本人(等) / 我司進行交易的商號查詢這方面的詳情。

### 3 Laws and rules 法例及規則

If I/we place any orders to you outside Hong Kong, I/we agree to ensure and represent that such orders will have been given in compliance with any and all applicable law of the relevant jurisdiction from which my/our orders are given. I /We further agree that I/we shall consult, when, in doubt legal advisers of the relevant jurisdiction. I/We accept that there may be taxes or charges payable to relevant authorities in respect of any instructions and that you shall not be liable for any of such cost. 倘本人(等) / 我司向貴公司發出任何指令的地點為香港以外的地方，本人(等) / 我司同意確保及表明該等指令之發出將遵從於本人(等) / 我司發出指令的有關司法

管轄區的任何及一切適用法律，而本人(等) / 我司更同意本人(等) / 我司遇有疑問時，應於有關司法管轄區諮詢或取得法律及專業意見。本人(等) / 我司同意支付就有關任何指示可能繳付之稅項或收費，貴公司並不須就該等費用負上任何責任。

### 4 Risk Disclosures Statements 風險披露聲明書

I/We hereby understand that:

本人(等) / 我司明白:

(1) due to unpredictable traffic congestion of the Internet, an inherently unreliable medium of communication and that such unreliability is beyond your control, there is a risk that communication over the Internet may be interrupted, delayed or accessed by unauthorized parties. Notwithstanding measures taken by you to minimize this risk, you accept no responsibility for any loss, which may be incurred by me/us as a result of interruptions or delays or unauthorized access. I/We should not place any instruction with you over the Internet if I/we are not prepared to accept such risk.

由於無法預計互聯網上的通訊量，故屬一個存在不可靠因素之通訊媒介，而該等不可靠因素亦非貴公司所能控制，互聯網上的通訊有可能中斷、延誤或被未經

授權各方取得的風險。雖然貴公司採取措施將此一風險減至最低限度，對於本人(等) / 我司因中斷、延誤或未經授權取得的結果而使本人(等) / 我司招致任何損失，貴公司不承擔任何責任。倘若本人(等) / 我司不準備接受上述風險，本人(等) / 我司不應在互聯網上向貴公司作出任何指示。

(2) trading on an electronic trading system (Internet, IVRS and mobile phones) may differ from trading on other electronic trading systems. If I/we may undertake transactions on an electronic trading system, I/we will be exposed to risks associated with the system including the failure of hardware and software. The result of any system failure may be that my/our order is either not executed according to my/our instructions or is not executed at all.

透過某個電子交易系統進行買賣(互聯網、音頻電話及智能手機)，可能會與透過其他電子交易系統進行買賣有所不同。如果本人(等) / 我司透過某個電子交易系統進行買賣，便須承受該系統帶來的風險，包括有關系統硬件或軟件可能會失靈的風險。系統失靈可能會導致本人(等) / 我司的交易指示不能根據指示執行。

(3) while you, the Stock Exchange of Hong Kong Limited (the "HKEX"), Hong Kong Securities Clearing Company Limited (the "HKSCC") and all related parties endeavour to ensure the accuracy and reliability of the information provided through the system, there is no guarantee that such information is accurate and reliable and that you, the HKEX, CCASS and related parties do not accept and liability (whether in text or contract or otherwise) for any loss or damage arising from any inaccuracies or omissions. 貴公司、香港聯合交易所有限公司("聯交所")、香港中央結算有限公司("中央結算")及所有有關人士致力確保該系統所提供資料之準確性及可靠性，惟資料之準

確性及可靠性並無保證，且貴公司、聯交所、中央結算及所有有關人士概不須就任何因不準確或錯漏所產生之任何損失或損毀承擔任何責任(不論以文本或合約或其他形式)。

(4) you will not guarantee whether any information on your website is updated and accurate. You can terminate, change, add or delete the content of your website without notice to me/us.

貴公司不會保證貴公司網頁內任何資料的及時性及準確性。貴公司可隨時終止、更改、增加或減少貴公司網頁所提供之任何內容，而無須事先通知本人(等) / 我司。

This Risk Disclosure Statement is revised or supplemented from time to time. I/We should refer to its latest version for reference.

本風險披露聲明會不時修訂或補充，本人(等) / 我司應參閱不時修訂或已補充的版本。

### 5 Law 法律

This Agreement is governed and construed in accordance with the laws of Hong Kong Special Administrative Region and the parties hereby irrevocably submit themselves to the jurisdiction of Hong Kong Special Administrative Region.

本協議書受香港特別行政區法律管轄及以其他作解釋，而雙方不得撤銷接受香港特別行政區法院的司法管轄。

and/or Margin Client's Agreement", "Supplemental Agreement for Internet Trading", "Risk Disclosure Statement" and "Notice on Personal Data".

If there is any inconsistency and/or discrepancy between the English and Chinese version of the Standard Terms and Conditions, the English version shall prevail, Quasar Securities Company Limited has the rights to reserve the final decisions.

駿昇証券有限公司保留隨時追加或修訂上述細則之權利而毋須另行通知。客戶同意遵守「開戶表格」、「現金客戶協議書 及/ 保證金客戶協議書」、「互聯網證券交易 - 補充協議書」、「風險披露聲明書」及「個人資料告示」。如有任何爭議，或對標準章則之中中英文版本文義有歧義，概以英文版本為準，駿昇証券有限公司有權保留最終之決定權。







## **Quasar Securities Company Limited ("the Company")**

### **駿昇証券有限公司("本公司")**

## **NOTICE OF PERSONAL DATA**

### **個人資料告示**

This notice is given pursuant to the Personal Data (Privacy) Ordinance (Cap. 486 of the Laws of Hong Kong Special Administrative Region) ("Ordinance") in relation to the supply of client's personal data to the Company for the opening or maintaining of client account(s) the Account for securities trading and related services with the Company.

此告示是依照香港特別行政區法例第 486 章個人資料(私隱)條例("條例")作出的。它是關於客戶在本公司開立或持續操作賬戶("賬戶")以作證券買賣及有關服務時向本公司提供個人資料的告示。

#### **1 Purposes of Collection 收集目的**

The personal data provided by client to the Company and in any documentation, which comes into existence as a result of client's opening or maintaining of the Account with the Company, will be used by the Company for the following purposes:

客戶因在本公司開立或持續操作賬戶而向本公司及在任何文件所提供的個人資料將被本公司作為下列用途：

- (a) activities relating to the processing of client's application to open and maintain the Account, including but not limited to conducting credit reporting through credit report agencies both in Hong Kong Special Administrative Region ("HKSAR") and overseas, or the processing of clients application for grant of credit or margin facilities by the Company or the maintaining and the review of such credit or margin facilities (if applicable);  
與處理客戶申請開立及持續操作賬戶有關事宜，包括但不限於透過本港及海外的信貸報告或處理客戶向本公司申請給予信貸或「孖展」安排(如適用)；
- (b) activities relating to purchasing, selling, investing, exchanging, acquiring, holding, disposing of and generally dealing in and with all kinds of securities on behalf of client; and  
代購買、出售、投資、交易、收購、保管、處置及辦理各種證券等有關事宜；及
- (c) maintenance of particulars and data in compliance with the statutes and subsidiary legislation which are enacted and effective in HKSAR relating to securities business and transactions and also in compliance with the codes of the Securities and Futures Commission ("SFC"), the rules and regulations of The Stock Exchange of Hong Kong Limited ("the Exchange") and Hong Kong Securities Clearing Company Limited ("the Clearing House").  
保存有關資料，以符合本港所制訂有關證券交易的條例及附屬規例、證券及期貨事務監察委員會("證監會")的守則，以及香港聯合交易所有限公司("聯交所")及香港中央結算有限公司("中央結算")的規則及規例。

#### **2 The Obligation to Provide Personal Data 提供個人資料的責任**

2.1 It is obligatory for client to supply the personal data as required by the Company. If client fails to supply the required personal data, the Company may refuse to open or maintain the Account or may refuse to provide services to client.

客戶有責任向本公司提供所需的個人資料。如客戶未有提供所需個人資料，本公司可拒絕為客戶開立或持續操作賬戶或提供有關的服務。

2.2 When providing any personal data to the Company, please ensure that the data is accurate having regard to client's obligations under the Ordinance.

鑒於客戶在條例下的責任，當向本公司提供個人資料時，客戶須確認所提供的資料正確。

#### **3 Disclosure of Information 資料的披露**

3.1 The Company may, as it deems necessary, disclose to its agents or nominees, associates, individuals or corporations dealing with securities, futures and options clearing and the Company's auditors such information as it requires to operate client's account or execute client's orders relating to the activities described in 1(b) above.

本公司如認為有需要，可向處理證券、期貨及期權結算的代理人或代名人、聯系入、個人或法團及本公司的核數師披露客戶開立賬戶的資料以運作客戶賬戶或執行上述 1(b)所提及的事宜。

3.2 In compliance with any statute and subsidiary legislation which are enacted and effective in HKSAR relating to securities business and transactions and also in compliance with the codes of SFC, the rules and regulations of the Exchange and the Clearing House, the personal data provided by client may be disclosed to the Exchange and the Clearing House, SFC and any financial regulator as defined in the Ordinance, government bodies, other regulatory authorities, individuals or corporations who have the right to such data and information as prescribed by law.

為符合本港所制定有關證券交易的條例及附屬規例，證監會的守則，以及聯交所及中央結算的規則，客戶所提供的個人資料，本公司可向聯交所及中央結算，證監會及條例所界定的財經監管機構，根據法律有權查閱等資料的政府部門，其他監管機構、個人或法團等披露。

#### **4 Access to Personal Data 查閱個人資料**

In accordance with the terms of the Ordinance, client may request access to the personal data supplied by client and may request the Company to correct any inaccurate data. The Company shall be entitled to charge a reasonable fee for processing of any data access request. 根據條例的規定，客戶可向本公司要求查閱及更改不正確的個人資料。本公司有權向客戶收取合理費用以便處理有關要求。

#### **5 Enquiries 查詢**

Enquiries concerning the personal data provided by client to the Company, including the request for access and corrections, should be addressed to:

如客戶對向本公司提供的個人資料有任何疑問，包括查閱及改正該等個人資料，可致函：

Data Protection Officer 資料保護主任收

Quasar Securities Company Limited  
駿昇証券有限公司  
Unit A, 12/F, Harbour Commercial Building, 122-124  
Connaught Road Central, Hong Kong  
香港上環干諾道中 122-124 號海港商業大廈 12 樓 A 室  
Tel. No. 電話號碼：(852) 3108 9933  
Fax No. 傳真號碼：(852) 3108 9022