

Trading Authorization Form 交易授權書

Name of Client : _____ **Account No.** : _____
 客戶名稱 : _____ 帳戶號碼 : _____

To : Yellow River Securities Limited (“Company”)
致 : 黃河證券有限公司 (“黃河”)

1. I/We hereby authorize the following person (“Authorized Person”) to give trading instructions on my/our behalf in relating to my/our securities/futures trading account opened with the “Company”:
 本人/吾等現授權下述人士 (“被授權人”) 就本人/吾等在 “黃河” 開設的證券或期貨買賣帳戶 (“帳戶”) 代表本人/吾等直接向 “黃河” 發出買賣指示:

(A) PARTICULARS OF AUTHORIZED PERSON 被授權人詳報表		<i>* delete if inapplicable</i>
Name : _____ 姓名 :	Relationship with Client : _____ 與客戶關係 :	
HKID Card/Passport* No. : _____ 身份證/護照*號碼 :	(Copy of HKID/Passport* is enclosed) (附上被授權人身份證/護照*副本)	
Address : _____ 地址 :		
Tel No. : Home : _____ Office : _____ Mobile : _____ 電話號碼 : 住宅 : _____ 公司 : _____ 手提 : _____		
Are you a director or employee of an exchange participant of any Stock/Futures Exchange or a licensed or registered person of the Securities & Futures Commission? 閣下是否任何證券或期貨交易所參與者或證監會註冊人士?		
<input type="checkbox"/> No 否	<input type="checkbox"/> Yes (Please specify) 是 (請註明)	Name : _____ 名稱 :
Declaration by and specimen signature of Authorized Person 被授權人聲明及簽署		
I declare that the particulars set out at the above are true, complete and accurate and I undertake to notify the Company of any change to such information. 本人聲明本人在詳細報表內所提供的資料一切屬實，本人並保證如該等資料有任何改變，本人一定通知貴公司。		
		_____ Signature of Authorized Person 被授權人簽署
(B) PARTICULARS OF AUTHORIZED PERSON 被授權人詳報表		<i>* delete if inapplicable</i>
Name : _____ 姓名 :	Relationship with Client : _____ 與客戶關係 :	
HKID Card/Passport* No. : _____ 身份證/護照*號碼 :	(Copy of HKID/Passport* is enclosed) (附上被授權人身份證/護照*副本)	
Address : _____ 地址 :		
Tel No. : Home : _____ Office : _____ Tel No. : Home : _____ 電話號碼 : 住宅 : _____ 公司 : _____ 碼 : _____		
Are you a director or employee of an exchange participant of any Stock/Futures Exchange or a licensed or registered person of the Securities & Futures Commission? 閣下是否任何證券或期貨交易所參與者或證監會註冊人士?		
<input type="checkbox"/> No 否	<input type="checkbox"/> Yes (Please specify) 是 (請註明)	Name : _____ 名稱 :
Declaration by and specimen signature of Authorized Person 被授權人聲明及簽署		
I declare that the particulars set out at the above are true, complete and accurate and I undertake to notify the Company of any change to such information. 本人聲明本人在詳細報表內所提供的資料一切屬實，本人並保證如該等資料有任何改變，本人一定通知貴公司。		
		_____ Signature of Authorized Person 被授權人簽署

2. I/We confirm that, in addition to my/our personal instructions, trading instructions given by my/our “authorized person” shall be deemed to be given by me/us, as such, I/We agree to fully indemnify the “Company” for all losses or damages or claims resulting from acts or omissions taken in reliance on instructions or other communication whatsoever given by the “authorized person”. I/We further declare that the appointment of the “authorized person” has been made by me/us out of my/our own free will and as a result of my/our own judgment and deliberation. The “Company” shall be under no liability whatsoever in respect of any loss or damage which I/We may suffer or incur as a result of the acts or omissions of the “authorized person”. I/We further agree to be fully responsible for such acts and omissions of the “authorized person” and to keep the “Company” fully and effectually indemnified against all losses and damages which the “Company” may suffer or incur as a result of such acts or omissions. I/We hereby agree that all instructions given, as understood and acted on by you in good faith, shall be irrevocable and binding on me/us.

本人確認除了本人/吾等親自向“黃河”發出買賣指示外，無論“被授權人”以口頭或書面等任何方式作出的指令及通知均視作及等同本人/吾等之指令及通知，而本人/吾等同意負責一切因“被授權人”代表本人/吾等發出的買賣指示引致的後果，本人聲明此“被授權人”經由本人議決委任，“黃河”無須為因“被授權人”過失行為而招致的任何虧欠及損失負責。本人並同意承擔因“被授權人”的行為而令“黃河”蒙受或招致的任何虧欠，損失及有關開支，並就該等虧欠，損失及開支向“黃河”作出十足和有效彌償。本人/吾等特此同意，做出的所有指示，凡貴公司基於真誠理解並據以行事者，均不可撤銷且對本人/吾等具約束力。

3. I/We confirm that this authorization is only for placing trading instructions to the “Company”. If I/We revoke this authorization, I/We shall specifically provide the “Company” a written notice.

本人/吾等確認此授權書只適用於向“黃河”發出買賣指示。如本人/吾等要取消此授權書，本人/吾等將以書面通知“黃河”。

4. I/We understand that the risk of allowing the “authorized person” to give trading instructions on my/our behalf is substantial. “Authorized person” may give trading instructions without my/our acknowledgement, and I/We shall be responsible for any consequence and be liable for the loss, damage, and the recovery cost due to the act of the “authorized person”.

本人/吾等清楚明白此等授權由第三者“被授權人”代表本人/吾等進行買賣是存在極大風險，“被授權人”可以在本人/吾等不知情的情況下全權代表本人/吾等發出買賣指令，而本人/吾等需承擔所有一切由“被授權人”進行買賣而引致的任何虧欠，損失及有關開支的彌償責任。

5. I/We acknowledge that this authorization is remained valid until the end of the business day of December 31 this year. I/We shall receive an authorization renewal notice from the “Company” 14 days or earlier before the expiry of this authorization. The renewal notice will remind me/us the expiry of the authorization, unless I/We object the renewal, the authorization shall be automatically renewed under the same terms and conditions for another one full calendar year. If I/We do not object the renewal, the “Company” will mail to me/us a renewal confirmation in the immediate week after the renewal of the authorization.

本人/吾等知悉，此授權的有效期到今年十二月三十一日止。在此授權的有效期屆滿前的14天或之前，本人/吾等會獲“黃河”發出書面通知，提醒本人/吾等此授權的有效期即將屆滿，並通知本人/吾等除非本人/吾等提出反對，否則此授權書在屆滿時自動按此授權書指明的相同條款及條件續期1年。如本人/吾等沒有就授權續期提出反對，“黃河”會於授權自動續期後的首個星期把續期確認書發送給本人/吾等。

6. I/We agree that in the event of my death/our liquidation, the acts of the Authorized Person shall be binding upon my/our executors, administrators or liquidator (as may be appropriate) and all other persons claiming from or under me/us until notice in writing of such death or liquidation shall have been given to you by a party entitled to give such notice.

本人/吾等同意，倘若本人死亡/吾等清盤，獲授權人的行為對本人/吾等的遺囑執行人、遺產管理人或清盤人（視情形而定）以及向本人/吾等提出申索或在本人/吾等之下提出申索的任何其他人均具約束力，直至有權作出通知方將該死亡或清盤事宜以書面通知貴公司之時為止。

7. I/We agree that this authorization is in addition to and in no way limits or restricts any rights which you may have under any other agreement(s) between me/us and you, and will enure and continue in favour of you and your successors, and assigns notwithstanding any change by merger, amalgamation, consolidation or admission or retirement of partners or otherwise which may be made in the constitution of you by which the business may for the time being be carried on.

本人/吾等同意，本授權是附加於（而不以任何方式限制或者約束）貴公司於本人/吾等與貴公司之間的任何其他協議之下享有的任何權利的，並適用於且持續惠及貴公司、貴公司的繼承人及受讓人，而不論貴公司目前據以開展業務的公司組織透過兼併、整合、合併或合夥人入夥或退夥或其他方式而發生任何變化。

8. I/We hereby acknowledge that the appointment of the Authorized Person hereunder has been made by me/us out of my/our own free will and as a result of my/our own judgments and deliberations. You shall be under no liability whatsoever in respect of any loss or damage which I/we may suffer or incur as a result of the acts or omissions of the Authorized Person and I/we further agree to be fully responsible for such acts or omissions of the Authorized Person and to keep you fully and effectually indemnified against all losses or damages which you may suffer or incur as result of such acts or omission.

本人/吾等特此確認，本授權書之下對獲授權人的委任，乃由本人/吾等基於本人/吾等之自由意志及本人/吾等自身之判斷和慎思作出。貴公司不就本人/吾等因獲授權人的作為或不作為而遭受或發生的任何損失或損害負任何責任。本人/吾等進一步同意對獲授權人的該等作為或不作為負全責，並全面、有效彌償貴公司可能因該等作為或不作為而遭受或發生的一切損失或損害。

9. I/We agree that you have the right to refuse to act on any instructions given by the Authorized Person if, in your reasonable opinion, there are grounds for doing so.
本人/吾等同意，倘若依據貴公司的合理意見認為存有理由，則貴公司有權拒絕按照獲授權人所作的任何指示行事。
10. I/We understand and acknowledge that not until you receive the original of this authorization together with a copy of HKID or Passport of the Authorized Person, you are not obliged to act on this authorization or carry out any instruction given by the Authorized Person.
本人/吾等明白並確認，在貴公司收到本授權書正本連同獲授權人的香港身份證或護照複印件之前，貴公司並無義務依據本授權書行事或執行獲授權人作出的任何指示。
11. I/We confirm that the “authorized person” is an employee or representative of the “Company”.
本人/吾等確認“被授權人”是貴公司的僱員或營業代表。
12. I/We confirm that, for the above account, both I/we and the “authorized person” must jointly confirm any instruction before it can take effect.
本人/吾等確認上述賬戶，需要本人/吾等與“被授權人”共同確認買賣指示，該指示才能生效。

* delete if inapplicable/請刪去不適用者

Signed by/簽署：

Name of Client(s)/ 客戶姓名

Signature/簽署

1. _____

2. _____

Date/日期：_____

Witnessed by/見證人：

Name of Witness/見證人姓名**

Signature of Witness/見證人簽署**

Acknowledged and Accepted by Yellow River Securities Limited

黃河證券有限公司確認並接受

Signature of Witness/見證人簽署**

Authorized Signature with Company Chop

獲授權代表簽署並蓋上公司印章

** 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。