光大證券 | 國際
EVERBRIGHT SECURITIES | INTERNATIONAL

## Third Party Authorization – Individual or Joint Account 第三者授權表格 – 個人或聯名帳戶

| To 致： | Company 公司[#]<br>*<Please choose the appropriate box(es) 請選擇合適者>* | Account Number 帳戶號碼<br>*<Please fill in all the related account number(s)>* |
|---|---|---|
| | ☐ Everbright Securities Investment Services (HK) Limited<br>光大證券投資服務（香港）有限公司 | |
| | ☐ CES Commodities (HK) Limited<br>光證期貨（香港）有限公司 | |
| | ☐ Everbright Securities Digital Finance (HK) Limited<br>光大證券數碼金融（香港）有限公司 | |
| | ☐ CES Forex (HK) Limited<br>光證外匯（香港）有限公司 | |
| | ☐ China Everbright Securities (HK) Limited**<br>中國光大證券（香港）有限公司** | |

(The above companies are together hereinafter referred to as "EBSI" 以上公司統稱為「光大證券國際」)#

[#] Company(ies) selected above is (are) hereinafter referred to as the "Selected Company(ies)". 以上選擇的公司將稱為「選定公司」

I/We, the undersigned, hereby notify the Selected Company to apply the following arrangement to abovementioned account(s) and agree to the Terms and Conditions contained herein 本人/吾等，以下署名者，現告知選定公司對上述帳戶作以下安排並同意載於本表格之條款。

*<Please choose applicable box 請選擇合適者>*

☐ Appointment 委任 (Please complete part A – E 請填寫第 A – E 部)

☐ Revocation of the authority 撤銷授權 of an Authorised Third Party 第三者之授權 (Please complete part A, B(1), (2), (3) & E 請填寫第 A、B(1), (2), (3) 及 E 部)

Please provide a separate authorization for each Authorized Third Party 請提供各授權第三者的個別授權書。

### A DETAILS OF APPLICANT(S) /CLIENT(S) 申請人或客戶之詳情

(1) Applicant(s)' / Client(s)' Name(s):
客戶姓名 _____

(2) Identity Card / Passport No.:
身份證 / 護照號碼 _____

### B DETAILS OF AUTHORIZED THIRD PARTY 授權第三者之詳情

(1) Name (in English):_____ 姓名(中文)：_____

(2) Alias (if any):
別名（如有）_____

(3) Identity Card/Passport No.[1]:
身份證／護照號碼_____

(4) Nationality[1]:
國籍_____

(5) Education level: ☐ Primary or below 小學或以下 ☐ Secondary or above 中學或以上
學歷

(6) Residential Address:
住址_____

_____ U.S. Address 美國地址 ☐Yes 是 ☐No 否

(7) Home Tel No.:
住宅電話號碼_____

(8) Mobile No.:
手提電話號碼_____

(9) Office Tel No.:
辦公室電話號碼_____

(10) E-mail address:
電子郵件地址_____

(11) Relationship with Authorized Third Party (If this is a joint account, please state clearly the relationship with each client):
與授權第三者的關係（如屬聯名帳戶，請註明與每位客戶的關係）

| Relationship 關係 | Immediate family member[2] (Y/N) 直系親屬 [2] (是／否) |
|---|---|
| | |

(12) In case the Authorized Third Party is not an immediate family member of the Client, please clearly state the reason of the authorization.若授權第三者並非客戶之直系親屬，請註明授權原因：

_____

(13) Is the Authorized Third Party a "Vulnerable Person(s)" 「需要特別關顧的人士」
☐Yes 是 ☐No 否

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(14) Instructions and offers (if applicable) 指示及要約(如適用)：

☐ Trading only 只有買賣指示

☐ All 所有指示 (If the Authorized Third Party is a non-immediate family member of the Client, this option **cannot** be ticked. 如授權第三者不是客戶的直系親屬，此選項**不能**被剔選。)

1. The WM/ EBSI staff who has sighted the original of the identity document of the authorized third party is required to sign with date next to the "Certified true copy" stamp on a copy of the document. The name of the WM/ EBSI staff should be clearly written on the copy 客戶經理/ 光大證券國際之員工於核對該授權第三者的身份證明文件正本後，需於該副本印有「副本為正本之真確複本」的地方簽署、並需清楚列示其姓名及核對之日期）。

2. Immediate family member includes parent, spouse, child(ren),step-child(ren), sibling, grandparent ,grandchild(ren) and a partner living in the same household (address proof is required) as the account holder. 直系親屬包括父母、夫妻、子女、繼子女、兄弟姊妹、祖父母、孫兒女和與帳戶持有人同住之伴侶(必須提供住址證明)。

## C RELATED DISCLOSURE & DECLARATION BY APPOINTED AUTHORIZED THIRD PARTY
## 委任授權第三者相關身分透露及聲明 *<To be completed by Authorised Third Party>*

(1) Name of Employer (if self-employed, please so state):
僱主名稱（如屬自僱，謹請註明）_____

(2) Position:
職位_____

(3) Nature of Business of Employer
僱主業務性質_____

(4) Years of Service with Employer:
服務僱主年期_____

(5) Is the Authorized Third Party a person licensed by or registered with the Hong Kong Securities and Futures Commission or an employee of such person? (If yes, please specify CE No.) 閣下是否香港證券及期貨事務監察委員會持牌人士或註冊人士或其僱員? (如是，請註明中央編號。)

☐ Yes 是_____ ☐ No 否

In case the Authorized Third Party is acting on behalf of other EBSI client(s), please specify the number and the names of the account holders. 若授權第三者現時正代表其他光大證券國際客戶管理其所持有之帳戶，請註明戶口持有人的數量及名稱。

(6) Please specify the number of existing EBSI clients being managed
請註明為現有光大證券國際客戶管理其所持有之帳戶的數量: _____accounts holder(s)/位戶口持有人

(7) Please state the names of the account holders. 請填寫戶口持有人名稱

| **Client(s)' Name(s) 客戶姓名:** | **Immediate family member (Y/N) 直系親屬 (是／否)** |
|---|---|
| 1. | |
| 2. | |
| 3. | |
| 4. | |
| 5. | |
| 6. | |
| 7. | |
| 8. | |

**Authorised Third Party to provide the following declaration 授權第三者作出以下聲明：**

I am the individual appointed as the Authorized Third Party hereunder and declare and confirm that
本人乃於此獲委任為授權第三者之人士並聲明及確認

☐ I am not an employee / sales agent of EBSI
本人並非光大證券國際的僱員/ 銷售代理人

☐ I am an employee / sales agent of EBSI and the spouse of the Applicant / Client:
本人是光大證券國際的僱員/ 銷售代理人，但亦是申請人/客戶的配偶
It is EBSI's policy that none of its employees / sales agents is allowed to be an Authorized Third Party, except where the employee / sales agent is the spouse of the relevant Applicant / Client. 按照光大證券國際的政策，除非其僱員/銷售代理人是客戶的配偶，否則僱員/銷售代理人概不能擔任授權第三者。

☐ By signing this Authorization, I, the undersigned Authorized Third Party, hereby confirm that I agree to the terms of EBSI's Privacy Policy, which is available at [https://www.ebshk.com/materials/Privacy/privacy-en.pdf].
and agree to the terms therein contained.
於本申請書上簽署，本人現確認本人同意載於光大證券國際私隱政策之條款, 有關私隱政策可瀏覽 [https://www.ebshk.com/materials/Privacy/privacy-tc.pdf]。

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## D PERSON OR ENTITY ULTIMATELY RESPONSIBLE FOR ORIGINATING THE INSTRUCTION IN RELATION TO A TRANSACTION 最終負責作出交易指示的人士或法人團體

☐ Account holder/ All of the joint-account holders 帳戶持有人/所有聯名帳戶持有人

☐ One of the joint-account holders, please specify the name 其中一位聯名帳戶持有人, 請註明姓名：

_____

☐ Authorized Third Party (As appointed by this Authorization) 此授權表格委任之第三者

☐ Others (Please complete "DECLARATION OF PERSON/ENTITY ULTIMATELY RESPONSIBLE FOR ORIGINATING THE INSTRUCTION IN RELATION TO A TRANSACTION (FOR INDIVIDUAL/JOINT ACCOUNT)") 其他(請填寫「最終負責作出交易指示的人士之聲明」)

## E ACKNOWLEDGEMENT 確認

**APPLICANT(S)' / CLIENT(S)' SIGNATURE(S)^**
**申請人／客戶簽署**

_____

Date 日期：

*^ Signature(s) should be the same as the signature(s) on the account opening documents. 簽署須與開戶文件相同。*

**Authorized Third Party's Signature**
**授權第三者簽署**

_____

Date 日期：

*<To be signed by Authorized Third Party in case of appointment 由獲委任授權第三者簽署>*

## FOR OFFICE USE ONLY

**Signed by Investment Consultant 由客戶經理簽署**

_____

Date 日期：　　CE No.:

**Endorsement by Sales Head or (his/her designate)**
**由銷售主管 (或其授權人) 簽署**

☐ **Accept**　☐ **Reject**

_____

Date 日期：

| **OPERATIONS** | | |
|---|---|---|
| **SIGNATURE VERIFIED BY:** | **ENTERED BY:** | **CHECKED BY:** |
| | | |



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**F. TERMS AND CONDITIONS 條款**

(i) In this Authorization, unless the context otherwise specifies,
   a) words and expressions defined in the Client Agreement, shall have the same meanings in this Authorization.
   b) words in the singular shall include the plural and vice versa, all references to one gender shall include all genders and references to a person shall include individual, body corporate or unincorporate.
   c) in the event of inconsistencies between the Chinese and English versions of this Authorization, the English version shall apply and prevail.
   d) the following words and expressions shall have the following meanings:
   "Applicant(s)" or "Applicant" means the person(s) or person who intend(s) to apply for the account(s) specified in the Account Application.
   "Client Agreement" means the Client Agreement(s) and Schedules of the Selected Company as amended from time to time.
   "Terms and Conditions" means the terms and conditions contained in this Authorization.
   e) "Vulnerable Person(s)" means the person(s) who fall(s) within any of the following descriptions:
      1. an elderly individual aged 65 or above;
      2. an illiterate individual or an individual with primary education or below; or
      3. an individual who is visually impaired.

(ii) The provisions contained in the Account Application and in the Client Agreement ("Provisions") shall apply to this Authorization. The Terms and Conditions are in addition to and without prejudice to the Provisions and in case of any inconsistency between the Terms and Conditions and the Provisions, the Provisions shall prevail. For the avoidance of doubt, in case of any inconsistency between the Account Application and the Client Agreement, the Client Agreement shall prevail.

(iii) I/We undertake to ratify and confirm all instructions given or purported to be given by the Authorized Third Party appointed hereunder for and on my/our behalf (which the Selected Company believes in good faith to have been given by such Authorized Third Party), including without limitation but subject to applicable laws, any instructions which may be given or purported to be given by such Authorized Third Party during the period from and including the date of the Selected Company's actual receipt of my/our written notice of revocation of the authority of such Authorized Third Party to and including the fifth day subsequent to the actual receipt by the Selected Company of such written notice of revocation.

(iv) I/We agree that any subsequent appointment of a new Authorized Third Party or any revocation of authority or change of the Authorized Third Party appointed hereunder must be notified to the Selected Company in writing and that subject to applicable laws, such subsequent appointment, revocation or change shall not take effect until 5 days after the actual receipt by the Selected Company of such written notice.

(v) Subject to applicable laws, any instruction given or purported to be given by the Authorized Third Party appointed hereunder after:
   a) my/our revocation of such Authorized Third Party's authority; or
   b) the commencement of liquidation or bankruptcy (as the case may be) in respect of me/us or the occurrence of any analogous event;
shall continue to be valid and effective in the Selected Company's favor until 5 days after the actual receipt by the Selected Company of a written notice informing the Selected Company of the occurrence of the relevant event from me/us (in case of the said revocation) or in case of the said liquidation or bankruptcy, the liquidator, the trustee in bankruptcy or similar officer.

(vi) I/We acknowledge that the Selected Company will not normally accept from any Authorized Third Party instructions for the withdrawal of funds or scrips, CCASS settlement instructions or instructions with respect to non-trading activities of the Account, except where the beneficiary(ies) of such instructions is/are me/us or a third party specified in my/our standing authority acceptable to the Selected Company or in exceptional circumstances as determined at the absolute discretion of the Selected Company.

(vii) I/We have been explained and fully understand that there are substantial risks in authorizing a third party to trade or operate my/our account on my/our behalf, and such risks may include, without limitation, the incurring of indebtedness on my/our behalf, and that it is possible that instructions could be given by persons not properly authorized. I/We accept all of the risks associated with such authorization, operation or arrangement and hereby undertake to indemnify and keep indemnified the Selected Company from and against all losses, damages, costs, expenses and liabilities howsoever arising out of or in connection with this Authorization, any reliance on or acting on by the Selected Company any instruction given or purported given in accordance with this Authorization.

(viii) This paragraph (viii) is applicable to Applicant(s) only. I/We acknowledge that the receipt from me/us of this Authorization by the Selected Company shall not affect the Selected Company's right to reject my/our Account Application in its absolute discretion without giving any reason therefor and without incurring any liability whatsoever to me/us or any third party.

(ix) Without prejudice to the generality of the foregoing paragraph (vii), I/we acknowledge and agree that if I/we appoint Vulnerable Person(s) to trade or operate my/our account on my/our behalf, there are additional risks and that such risks shall be absolutely borne by me/us as the Applicant(s), and that the Selected Company shall not be liable in any way for any loss or damage arising therefrom. I/We confirm that I/we have independently and carefully considered the knowledge, capability and appropriateness of such appointee(s) before appointing him/her/them as Authorized Third Party with respect to my/our account.

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(i) 在本授權書, 除非文意另有規定,:
a) 客戶協議所定義的詞語, 在本授權書具有相同的含義,
b) 單數詞語包括眾數詞語 ，反之亦然。提到一種性別之處 ，包括所有性別。「人士」一詞，包括商號或獨資經營、合伙經營、 集團及法人公司 ，反之亦然。
c) 倘若本授權的中英文版本不相符，則以英文版為準。
d) 下列詞語具有以下含義：
- “申請人” 乃指打算申請開戶申請表中所指定之賬戶之人士。
- “客戶協議”指選定公司不時修訂之客戶協議和附表。
- “條款及條件”指載於本授權的條款及條件。
e) 「需要特別關顧的人士」指任何下列所述的人士
1. 65 歲或以上的長者;
2. 不識字的人士或僅曾接受小學教育或以下程度的人士; 或
3. 視力受障人士。

(ii) 載於開戶申請表及客戶協議中的的條文（ “該等條文” ）將適用於本授權。條款將附加及不妨礙該等條文, 如有任何不一致, 概以該等條文為準。為免生疑問，如開戶申請表和客戶協議有任何不一致，概以客戶協議為準。

(iii) 本人/吾等承諾追認並確認所有由藉本授權書任命的授權第三者代表本人/吾等給予或看來是由授權第三者代表本人/吾等給予的指示（包括但不限於但在符合適用法律的情況下，由該授權第三者的有關權限被終止之日直至選定公司確實收到該終止權限的書面通知後第五天的期間內，任何由授權第三者代表本人/吾等給予或看來是由授權第三者代表本人/吾等給予的指示）；

(iv) 本人/吾等同意有關日後委任新的授權第三者及對藉本授權書任命的授權第三者的撤消或變更須經書面通知選定公司，惟在符合適用法律的情況下該日後的委任、變更、撤消或免任乃於選定公司確實收到有關書面通知第五天後才生效；

(v) 在符合適用法律的情況下，任何由藉本授權書任命的授權第三者代表本人/吾等或看來是由授權第三者代表本人/吾等在以下事情發生以後所給予的指示：
a) 本人/吾等撤消該授權第三者的權限；或
b) 本人/吾等破產或清盤生效或相類似的事情發生；
應繼續有效並惠於選定公司直到選定公司收到(如上述撤消授權的話)本人/吾等, 或(如上述清盤或破產的話)清盤人，破產案受託人或類似人員發出通知有關該事情之發生之書面通知之第五天後。

(vi) 本人/吾等確認選定公司通常不會接受提取款項或股票的指示、中央結算系統交收指示或該帳戶內關於非交易活動的指示；除非有關指示的受益人乃本人/吾等或本人/吾等常設授權所/指明的獲選定公司認為可接受的第三者或在選定公司酌情決定的特殊情況。

(vii) 本人／吾等已獲解釋並完全理解容許授權第三者代表本人／吾等運作或於本人帳戶買賣的重大風險，此風險可能包括, 但不限於, 以本人／吾等名義引致的負債，並且指示可能由未獲正式授權第三者所發出。本人／吾等接納此等授權, 運作, 安排的一切風險，並謹此作出不可撤回的聲明，承諾彌償選定公司不論如何因此等指示而產生或與此等指示有關, 任何選定公司依賴或執行此等授權所發出或意圖發出之指示的一切所有損失、賠償、費用及支出及責任。

(viii) 此第(viii) 項祇適用於申請人. 本人/吾等同意選定公司接收本表格將不影響其在毋須提供理由之情況下拒絕其開戶申請表之絕對酌情權, 選定公司亦不會因此招致對申請人或任何第三方之任何責任

(ix) 在不損害前述(vii)條文)的一般性原則下， 本人/吾等確認及同意 若本人/吾等委任 屬於需要特別關顧的人士 為授權第三者 運作或為本人/吾等帳戶作出買賣指示均有額外的風險，而該等風須絕對由本人/吾等為申請人獨自承擔，及該等風險引致任何損失或損害，選定公司無須負責。本人/吾等確認本人/吾等在委任他/她/他們作為本人/吾等帳戶的授權第三者之前, 已獨立及謹慎地考慮該(等) 被委任人的知識、能力與合適性。”