

**Office Use Only 僅作辦公用途**  
Account No. 客戶賬戶號碼

**Authorisation Form For Repledge of Securities Collateral (For Equity Options Accounts)**  
**再質押證券抵押品的授權表格(供期權賬戶使用)**

To: China Merchants Securities (HK) Co., Limited ("CMSHK")  
致：招商證券(香港)有限公司(「招商證券(香港)」)

The Customer hereby authorises CMSHK, in relation to all securities purchased or held for or on the Customer's behalf, to deliver such securities as SEOCH Collateral (as defined in the Options Clearing Rules of SEOCH) in respect of Exchange Traded Options Business without notice to the Customer, pursuant to section 7(2) of the Securities and Futures Ordinance (Client Securities) Rules (Cap. 571H) of the Laws of Hong Kong. 客戶謹此授權招商證券(香港)根據香港法例第 571H 章證券及期貨條例(客戶證券)規則第 7(2)條交付為或代表客戶購買或持有的所有證券，以作為聯交所期權結算所抵押品(定義見聯交所期權結算所期權結算規則)，從而進行交易所交易的期權業務，毋須通知客戶。

Unless otherwise defined, capitalized terms use herein shall have the same meanings as those defined in the Options Trading Agreement entered into between the Customer and CMSHK. Such delivery of securities is to be made in accordance with the Options Trading Rules. 除文義另有所指外，本附表所用詞彙與客戶及招商證券(香港)所訂立的期權買賣協議所界定者具有相同涵義。相關證券乃根據期權交易規則予以交付。

CMSHK shall remain responsible to the Customer for the securities delivered under this authorisation. 根據本次授權，招商證券(香港)仍須就所交付證券對客戶負責。

It is understood that such securities will be subject to liens of third parties and return of such securities to the Customer may be subject to satisfaction of such liens. 據悉，該等證券將受第三方留置權的規限，且向客戶交回該等證券可能受限於該等留置權的規限已被完滿履行。

**This authorisation is deemed to have been renewed for a period of 12 months upon expiry on the same terms and conditions if: (i) at least 14 days prior to the expiry of the authorisation, CMSHK gives a written notice to the Customer, reminding the Customer of its impending expiry and informing the Customer that unless the Customer objects, it will be renewed upon expiry upon the same terms and conditions; and (ii) the Customer does not object to the renewal of the authorisation before its expiry. This authorisation may be revoked when CMSHK receives a written notice from the Customer. 倘(i)招商證券(香港)於有關授權到期前至少 14 日內向客戶發出書面通知，提醒客戶即將到期，並告知客戶除非其提出反對，否則相同條款及條件將於到期時續期；及(ii)客戶於到期前並未反對續期有關授權，則本次授權視作相同條款及條件於到期後續期 12 個月。本次授權可能於招商證券(香港)收到客戶書面通知時予以撤銷。**

CMSHK will give a written confirmation of the renewal of the authorisation to the Customer within one week after the date of expiry if the authorisation is deemed to have been renewed in accordance with the aforesaid automatic renewal paragraph. 倘授權根據上述自動續期段落視作已經續期，招商證券(香港)將於到期日後一週內向客戶發出有關授權續期的確認書。

This letter had been explained to me/us and I/we understand and agree with the contents of this letter. 本函件已向本人/吾等加以闡釋，且本人/吾等瞭解並同意本函件的内容。

Signed by the Customer: 客戶簽署

\_\_\_\_\_  
Name 姓名  
Date 日期

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Account No. 客戶賬戶號碼

**Customer Consent to Allocate Positions (For Equity Options Accounts)**  
**客戶同意分配倉位 (供期權賬戶使用)**

To: China Merchants Securities (HK) Co., Limited ("CMSHK")  
致：招商證券(香港)有限公司(「招商證券(香港)」)

For the purpose of allowing the Customer's stock options position to be subject to net margin calculation, the Customer shall consent to allocate its eligible position to the Client Offset Claim Accounts ("COCA") in the Derivatives Clearing and Settlement System ("DCASS"). This enables CMSHK to apply for the net margin calculation arrangement under the Rules. However, as all positions in the COCA are being pooled together for calculation of margin on a net basis, according to the Rules, the Customer should note that any request for transfer of positions from the COCA under the default of CMSHK situation must be for all but not part of the positions. As a result, in a default scenario, no position maintained in the COCA could be transferred to another participant if one or more of the Customers of CMSHK with positions in the COCA do not wish to transfer their positions for whatever reasons. 為使客戶的股票期權倉位進行淨額保證金計算，客戶須同意將其有效倉位分配至衍生產品結算及交收系統(「衍生產品結算及交收系統」)內的客戶按金對銷賬戶(「客戶按金對銷賬戶」)。這將使招商證券(香港)能夠根據規則申請淨額保證金計算安排。然而，由於客戶按金對銷賬戶內的所有倉位已被聚攏以進行淨額保證金計算，根據規則，客戶應知悉，任何將倉位從客戶按金對銷賬戶轉出的請求在招商證券(香港)預置的情況下均為針對全部而非部分倉位。因此，在預置情況下，倘招商證券(香港)的一名或多名於客戶按金對銷賬戶內擁有倉位的客戶因任何原因而無意轉讓其倉位，則客戶按金對銷賬戶內的倉位一概無法轉讓予另一參與者。

The Customer hereby confirms that he/it has read and understood the above and gives his/its consent to CMSHK to allocate any of his/its eligible positions to the COCA in accordance with the Rules. 客戶謹此確認，彼已閱讀並了解上文內容，並同意招商證券(香港)根據規則分配其任何合資格倉位至客戶按金對銷賬戶。

Unless otherwise defined, capitalized terms use herein shall have the same meanings as those defined in the Options Trading Agreement between the Customer and CMSHK. 除文義另有所指外，本附表所用詞彙與客戶及招商證券(香港)所訂立的期權買賣協議所界定者具有相同涵義。

Signed by the Customer: 客戶簽署：

\_\_\_\_\_  
Name 姓名  
Date 日期