

For Official Use Only 此欄由本公司職員填寫

Brokerage (in USD)	Brokerage (Internet Trading) (in USD)
Trading Limit	Credit Limit

美國證券交易服務確認書

U.S. Stock Trading Services Acknowledgment

客戶名稱 Client Name: _____

客戶號碼 Client No.: _____

- 1) 本人特此聲明及保證，關於所有投資交易，本人為主事及最初負責發出指示之人士，並且本人為獲取及承擔該等投資交易的商業及經濟利益與風險之相關人士。本人承諾，若本人並非與該投資交易相關之人士，則除非已向元庫證券有限公司（以下簡稱「元庫證券」）提供該人士的全名、地址及聯絡資料，否則本人不會要求元庫證券進行該投資交易。

I declare and warrant that, with respect to all investment transactions, I am the principal and the person ultimately responsible for issuing instructions, and I am the party entitled to and bearing the commercial and economic benefits and risks associated with such investment transactions. I undertake that if I am not the relevant person associated with the investment transaction, I will not request Silverbricks Securities Limited (hereinafter referred to as "Silverbricks Securities") to carry out the investment transaction unless I have provided the full name, address, and contact information of such person to Silverbricks Securities.

- 2) 本人確認已閱讀一份「客戶賬戶協議書」，並理解及同意其內容。本人確認已按本人所選擇的語言（英文或中文）獲提供該風險披露聲明，並獲邀閱讀該聲明。

I confirm that I have read the "Client Account Agreement" and understand and agree to its contents. I confirm that I have been provided with the Risk Disclosure Statement in the language of my choice (English or Chinese) and have been invited to read the statement.

- 3) 本人特此確認，本人並不居住或定居於對購買或持有任何海外證券設有限制的國家，且本人並未被禁止購買或交易任何海外證券，或作為代理人代表被禁止購買或交易任何海外證券的人士行事。如本人（在作為聯名賬戶持有人的情況下，任何一人）未來受到任何限制（無論因居籍、居住地或其他情況發生變動），本人將立即通知元庫證券。

I confirm that I do not reside or have a domicile in a country where there are restrictions on purchasing or holding any overseas stocks, and I am not prohibited from purchasing or trading any overseas stocks, nor do I act as an agent on behalf of any person prohibited from purchasing or trading overseas stocks. If I (in the case of joint account holders, any one of us) become subject to any restrictions in the future (regardless of changes in domicile, residence, or other circumstances), I will immediately notify Silverbricks Securities.

元庫證券有限公司 Silverbricks Securities Company Limited

- 4) 本人確認已收妥、閱讀、明白及同意遵從元庫證券可能會不時修訂的 (a) 「投資美國交易所上市或場外交易證券或美國衍生工具的風險」(載於「客戶賬戶協議書」之(風險披露聲明))及 (b) 「服務收費表」(載於元庫證券網站)。

I confirm that I have received, read, understood, and agree to comply with (a) the "Risk Of Trading Nasdaq-Amex Securities at The Stock Exchange of Hong Kong Limited" (as contained in the "Client Account Agreement (Risk Disclosure Statement)"), and (b) the "Fee Table" (as published on the Silverbricks Securities website), both of which may be amended by Silverbricks Securities from time to time.

- 5) 本人已知悉及同意 (a) 並非所有美國股票及 / 或產品均可透過元庫證券進行交易，且元庫證券可全權自行決定接受或拒絕任何指示，或在接受指示時附加任何條款；及 (b) 可透過元庫證券進行交易之美國股票及 / 或產品之資料可隨時由元庫證券作出修改。

I acknowledge and agree that (a) not all US stocks and/or products are available for trading through Silverbricks Securities, and Silverbricks Securities has the sole discretion to accept or reject any instructions or to impose any conditions when accepting instructions; and (b) the information regarding which US stocks and/or products can be traded through Silverbricks Securities may be modified at any time by Silverbricks Securities.

- 6) 本人特此確認本人並非 (a) 「1986年美國國內收入法」(經修訂)第7701(a)(30)條及其相關規定或「美國證券法」S規例第902(k)條規則所界定的美國人士，或 (b) 「1986年美國國內收入法」(經修訂)第1471(d)(3)及第1473(2)條及其相關規定所界定的美國擁有的外國實體。本人亦確認本人並非作為代理人代表任何美國人士或任何美國擁有的外國實體行事。如本人(在作為聯名戶口持有人的情況下，吾等任何一人)未來成為美國人士或美國擁有的外國實體，本人承諾將立即通知元庫證券。

I confirm that I am not (a) a U.S. Person within the meaning of Section 7701(a)(30) and the regulations thereunder of the United States Internal Revenue Code of 1986 (as amended) or Rule 902(k) of Regulation S of the United States Securities Law, or (b) a U.S. owned foreign entity, as defined in Sections 1471(d)(3) and 1473(2) and the regulations thereunder of the United States Internal Revenue Code of 1986 (as amended). I also confirm that I am not acting as agent on behalf of any U.S. Person or any U.S. owned foreign entity. I undertake to immediately notify Silverbricks Securities should I (in case of joint account holders, any one of us) become or am deemed to be a U.S. Person or a U.S. owned foreign entity at any future time.

- 7) 本人確認並同意元庫證券有權從本人其他戶口內扣除相關費用，如本人之結算賬戶內沒有足夠款項支付該等費用。在款項交收日，如客戶賬戶內未有足夠的美元現金，且未提供相關指示，本公司將按照當時的銀行即時匯率為客戶進行貨幣兌換，以用於交收。

I acknowledge and agree that Silverbricks Securities has the right to deduct related charges from any of my other accounts if there are insufficient funds in my settlement account to cover such charges. On the settlement date, if there are insufficient USD funds in the client account and no relevant instructions have been provided, the company will conduct currency conversion for the client at the prevailing bank exchange rate for settlement purposes.

- 8) 本人明白並同意，若股份進行合併或出現某些未能預計的情況，元庫證券可能(但並無義務)以其絕對酌情權於美股常規交易時段前取消所有未被執行的沽出指示，而元庫證券概不保證或擔保該取消必定會被執行或成功完成。本人亦同意，倘若該取消未被執行或成功完成，元庫證券不須對於因本人相關沽出指示而造成的任何股票的過度售賣承擔任何責任。

元庫證券有限公司 Silverbricks Securities Company Limited

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I understand and agree that if there is any share consolidation or unforeseen circumstances arise, Silverbricks Securities may (but is not obligated to) exercise its absolute discretion to cancel all unexecuted sell orders before the regular trading hours of U.S. stocks, and Silverbricks Securities does not guarantee or warrant that such cancellation will necessarily be executed or successfully completed. I further agree that if such cancellation is not executed or completed successfully, Silverbricks Securities shall not be liable for any overselling of any stocks related to my sell orders.

- 9) 本人明白並同意元庫證券只提供指定之電子途徑進行美股交易，元庫證券僅接受透過其指定之電子渠道發出的投資指示（包括但不限於證券交易指示）。

I understand and agree that Silverbricks Securities only provides designated electronic channels for trading U.S. stocks, and Silverbricks Securities will only accept investment instructions (including but not limited to stock transaction instructions) given through its designated electronic channels.

- 10) 本人確認並同意元庫證券可全權自行決定是否接受此申請。

I acknowledge and agree that Silverbricks Securities has the sole discretion to determine whether to accept this application.

- 11) 本人同意元庫證券有權隨時予以通知，修改或修訂以上任何聲明及協議。

I agree that Silverbricks Securities has the right to notify me at any time of any modifications or revisions to any of the above declarations and agreements.

- 12) 本人同意以上補充條款及客戶買賣合約文件所訂明的條款並願意遵守本條款中提及的條款及規例的所有約束。此外，本人亦同意遵守《客戶賬戶協議書》的條款及條件的約束，並接受相關的條款及條件會不定時作出之修訂。

I agree to the additional terms specified in the client trading agreement documents and am willing to comply with all obligations and regulations mentioned in these terms. Furthermore, I agree to be bound by the terms and conditions of the “Client Account Agreement” and acknowledge that such terms and conditions may be amended from time to time.

客戶簽署

日期

元庫證券有限公司 Silverbricks Securities Company Limited

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