

**Letter of Authorization - Money Transfer From/To Execution Broker**

To: First Shanghai Futures Limited (“FSFL”)
19/F, Wing On House, 71 Des Voeux Road Central, Hong Kong

Dear Sirs,

Re: Letter of Authorization under section 149 of Securities and Futures Ordinance (Cap. 571)

Client Derivatives Account Name: \_\_\_\_\_

Derivatives Account Number: \_\_\_\_\_ (“Derivatives Account”)

It is noted that FSFL opened and/or would open trading accounts in the name of FSFL (“Execution Broker Accounts”) with different execution brokers which may be incorporated in Hong Kong and/or overseas (“Execution Brokers”) which acts as FSFL’s agents (and are also construed as FSFL clients’ agents) or the purpose of inter alia buying and selling derivatives products such as futures, commodities futures and/or other derivatives products through Hong Kong and/or overseas markets (“Derivatives Products”) for and on behalf of the clients of FSFL.

According to the Securities and Futures (Client Money) Rules made under section 149 of the Securities and Futures Ordinance (Cap 571), I/We hereby irrevocably authorize and instruct (“Authorization”) FSFL in the sole and absolute discretion of FSFL, from time to time, to deal with and/or transfer (“Money Transfer”) the money received from me/us, received on my/our behalf or held on my/our behalf in any currency (“Money”) and to nominate or determine any one or more than one currency as nominated currency (“Nominated Currency”) without prior notice to me/us in the following manner:

- Transfer any amount of the Money to any Execution Broker Account in Nominated Currency for the purpose (“Purpose”) of inter alia facilitation, preparation or anticipation of (a) trading of Derivatives Products (whether trades instructions will finally be received or not) and/or (b) any margin requirement or satisfaction of my/our liability which may be foreseeable, contingent, potential or actual (whether such margin requirement or liability is in fact finally imposed or not) and/or following FSFL’s internal policy or requirement and/or otherwise.
- Transfer any amount of the Money to the Derivatives Account in Nominated Currency for the Purpose.
- Convert, swap or exchange any of the Money denominated in other currencies into Nominated Currency (whether directly or indirectly) and/or apply one or more than one conversion rate, swap rate or exchange rate determined by FSFL, its affiliate/group or its agent (or Execution Brokers or any other company being a financial institution licensed or authorized by a relevant monetary authority as FSFL may elect) in the sole and absolute discretion of FSFL.

I/We agree and accept that if the Execution Broker is incorporated in overseas, any amount of the Money kept or to be kept in the relevant Execution Broker Account may not enjoy the same protection as that conferred on client assets received or held in Hong Kong.

I/We hereby undertake to fully indemnify FSFL and their employees, officers and agents against all costs, expenses, liabilities, losses or damages arising out of or suffered by FSFL and their employees, officers and agents as a result of this Authorization or Money Transfer.

I/We understand that this Authorization given herein shall remain valid for a period of 12 months commencing from the date of this letter (as stated below). Upon expiry of this Authorization, this authority shall, unless renewed according to the Securities and Futures (Client Money) Rules, become null and void. I/We may revoke this Authorization by giving five business days’ prior written notice to FSFL. The revocation takes effect five business days after FSFL acknowledges actual receipt of such termination notice.

Dated the \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_

Yours faithfully,

Client’s signature(s)/Business Chop

Signature of witness: \_\_\_\_\_

Name of witness:

Approved by: \_\_\_\_\_

## 授權書 - 款項轉帳從/至執行經紀

致: 第一上海期貨有限公司(“**第一上海期貨**”)  
香港中環德輔道中七十一號永安集團大廈十九樓

敬啟者:

關於《證券及期貨條例》(第 571 章)第 149 條下之授權

客戶衍生工具帳戶名稱 : \_\_\_\_\_

衍生工具帳戶號碼 : \_\_\_\_\_ (“**衍生工具帳戶**”)

就有關於第一上海期貨已經及/或將會與多間在香港及/或海外註冊成立的執行經紀(“**執行經紀**”)以第一上海期貨的名稱開立帳戶(“**執行經紀帳戶**”), 並作為第一上海期貨的代理人(此等同被詮釋為第一上海期貨的客戶之代理人), 進行包括但不限於代客戶通過在香港及/或海外市場買賣的衍生產品, 例如期貨、商品期貨及/或其他衍生產品等(“**衍生產品**”)的交易。

根據證券及期貨條例 (第 571 章) 第 149 條有關證券及期貨(客戶款項)規則, 本人/吾等特此不可撤銷地授權及指示 (“**授權**”)第一上海期貨在第一上海期貨唯一及絕對的酌情權而毋須另行通知本人/吾等的情况下, 不時, 使用以下方式處理及/或轉帳 (“**款項轉帳**”)從本人/吾等收取、代表本人/吾等收取或代本人/吾等持有的任何幣值的款項 (“**款項**”)及指定或決定一種或多於一種貨幣 (“**指定貨幣**”):

- 將任何金額的款項轉至執行經紀帳戶以用作目的 (“**目的**”)包括但不限於促使、準備或預期 (a) 衍生產品的交易 (無論最終是否收到交易指令) 及/或 (b) 任何按金的要求及/或滿足因本人/吾等之可預見的、可能發生的、潛在的或實質性等等的負債 (無論該等要求按金或負債最終被徵收與否) 及/或跟從任何第一上海期貨內部政策或要求、風險管理及/或其他目的。
- 將任何金額的款項轉至衍生工具帳戶以用作**目的**。
- 將任何金額的非指定貨幣作為單位的款項轉換、掉換及/或兌換(不論是直接或間接)至指定貨幣及使用第一上海期貨或聯屬公司/集團或其代理人 (或執行經紀或屬於第一上海期貨可能選擇獲有關金融管理局發牌或授權的財務機構的任何其他公司)根據第一上海期貨唯一及絕對的酌情權而釐定一個或多於一個的轉換率、掉換率及/或匯率。

本人/吾等同意及接受, 若果執行經紀是於海外註冊成立的, 已存放或將會存放於相關的執行經紀帳戶內之任何金額的款項將可能不會享有賦予在香港收取或持有的客戶資產的相同保障。

本人/吾等特此承諾會充份彌償第一上海期貨及其僱員、主管及代理所有由於此授權或款項轉帳而產生或招致的費用、開支、負債、損失或賠償。

本人/吾等明白此授權之有效期為本授權書日期(注明如下)起計 12 個月; 當有效期限屆滿時, 除非根據證券及期貨(客戶款項)規則續期, 否則本授權書將會無效。 本人/吾等可以給予第一上海期貨五個營業日的事先書面通知以撤銷此授權。 而該撤銷將會由第一上海期貨確認收妥該終止通知書的五個營業日後方可正式生效。

本授權書有中英文版本。如果中英文版本有歧義, 以英文版本為準。

日期 \_\_\_\_\_

此致

\_\_\_\_\_  
客戶簽署/公司印章

見證人簽署: \_\_\_\_\_

見證人姓名:

批核: \_\_\_\_\_