



# Application for RHB Securities Electronic Trading Service

## 興業金融證券電子交易服務申請表

**RHB Securities Hong Kong Limited (“RHB Securities” or this “Company”) [CE No.: ADU220]**  
**興業金融證券有限公司 (“興業金融證券” 或 “本公司”) [中央編號: ADU220]**

12/F, World Wide House, 19 Des Voeux Road Central, Hong Kong

香港中環德輔道中19號環球大廈12樓

Tel : (852) 2525-1118 Fax : (852) 2810-0908

**Account Name 帳戶名稱**  
**(the “Client” “客戶”):** \_\_\_\_\_

Account Type 帳戶類別	Account Number 帳戶號碼	Internet Trading 網上交易 / Apps Trading 手機應用程式交易
Securities account 證券帳戶		<input type="checkbox"/> Enable 授權 <input type="checkbox"/> Disable 取消
Stock options account 股票期權帳戶		<input type="checkbox"/> Enable 授權 # <input type="checkbox"/> Disable 取消

# Apps Trading is not applicable for stock options account. 股票期權帳戶之手機應用程式暫不適用。

### SECTION I 第I部份

Under this Form, “I/We” and accordingly “my/our” shall refer to the Client, and “you” and “your” shall refer to RHB Securities/this Company. 就本表格而言, “本人/吾等”是指客戶, “貴行/你” 則指興業金融證券/本公司。

I/We would like to apply for use of your Electronic Trading Service to give electronic Instructions through the ETP (ETP means the electronic trading platform, i.e. the facility provided by RHB Securities which enables the Client to give Instructions through internet, telecommunications and/or other wireless transmission systems) to you for the above account. Unless otherwise defined or stated, terms and expressions used under this application form, which comprises Section I and Section II herein (the “Form”), shall have the same meanings as those under the “Terms and Condition for Securities Trading” issued by RHB Securities (the “Terms and Conditions”).

本人/吾等欲申請使用 貴行的電子交易服務, 以便就上述帳戶透過電子交易平台(電子交易平台指由興業金融證券提供讓客戶可透過互聯網、電訊及/或其他無線傳輸系統發出指示的設施及平台)向 貴行發出電子指示。除非另有界定或說明, 由第I部份及第II部份節組成的申請表格(“本表格”)所用的術語和措詞將與興業金融證券頒發之《證券交易的條款及條件》(統稱“《條款及條件》”)下的具相同涵義。

In relation to my application to the use of Electronic Trading Services, I/we confirm that I/we have read, understood and accepted and agreed to be bound by the latest version of the Terms and Conditions and the Agreements made between me/us and RHB Securities, in particular, and including but not limited to Section I (Terms and Conditions for Securities Trading (General) and Section V (Terms and Conditions for Electronic Trading Service) to the Terms and Conditions. In case of conflict or inconsistency between any provision of the terms herein and any provision of the Terms and Conditions, the provisions of the terms herein shall prevail insofar as the use of the Electronic Trading Service or the ETP is concerned. I/We confirm that I/we have been invited to ask questions and take independent and professional advice from financial, legal, tax and other advisers if I/we wish.

有關使用電子交易服務的申請, 本人/吾等已閱讀、明白及同意遵守《條款及條件》的最更新版本以及本人/吾等與興業金融證券所訂立的協議, 尤其包括(但不限於)《條款及條件》下的第一章「證券交易的條款及條件(一般)」和第五章「電子交易服務的條款及條件」。如本表格任何條款與《條款及條件》內任何條款有衝突或不一致, 一切有關電子交易服務的使用皆以本表格的條文為準。本人/吾等確認已獲邀提出問題及向財務、法律、稅務及其他顧問徵求獨立及專業的意見(如本人/吾等有此意願)。

I/We agree that notwithstanding anything to the contrary contained in the Agreement between you and me/us in relation to the operation of the above account, you are authorized to rely on electronic Instructions given, or purported to be given, through your Electronic Trading Service in relation to the operation of the above account without inquiry on your part as to the authority or identity of the person giving or purporting to give such Instruction, if the person giving the Instruction can quote (a) the number of the above account; and (b) most up-to-date Access Codes belonging to the above account (Access Codes means the combination of the Password and the Login ID) of the above account, and (c) the one-time authentication code under two-factor authentication function generated automatically and sent by your system to my registered email address or mobile phone, whichever is applicable (please note that the one-time authentication code will be for one-time access only, and a new & different authentication code will be generated for each and every subsequent login attempt (the “OAC”). Login ID, Password and the OAC are used in conjunction to gain access to the ETP); and (d) such other information as you may require. You are entitled to treat such Instruction as fully authorized by, and binding upon, me/us, notwithstanding any error or misunderstanding or lack of clarity in the terms of the Instruction.

本人/吾等同意儘管 貴行與本人/吾等間有關上述帳戶操作的協議有任何相反的條款, 貴行獲授權依賴透過 貴行的電子交易服務發出或宣稱發出的有關操作上述帳戶的電子指示, 如發出或宣稱發出該指示的人士能提供(a) 上述帳戶的號碼; 及(b) 屬於上述帳戶的最更新之接通代碼(接通代碼指密碼及登記號碼的組合); 及(c) 由雙重認證產生的一次性有效認證碼到本人的登記電郵或手機號碼, 如適用(請注意 一次性有效認證碼只限該次登入使用, 當下次登入時系統會自動生成另一號認證碼, 只須輸入該「一次性有效認證碼」後即可成功登入。) (d) 貴行可能需要的其他資料, 則 貴行無須查詢有關人士的權限或身份。 貴行有權視該指示為獲本人/吾等充分授權且對本人/吾等具約束力, 儘管指示當中的用詞有任何錯誤或誤解或欠清晰。

I/We agree that I/we and/or the Authorised Person(s) shall be the only persons who may gain access to ETP. I/We acknowledge and agree that the Password, Login ID (collectively referred to as Access Codes, and as defined above) and the OAC that I/we received for each login attempt will be used in conjunction to gain each and every access to the ETP. I/We shall be wholly and solely responsible for the confidentiality, security and use of the Access Codes and the OAC. I/We shall be solely responsible for all Instructions placed and all Transactions effected through the Electronic Trading Service.

本人/吾等同意本人/吾等及/或其獲授權人士是唯一可接通使用電子交易平台的使用者。本人/吾等明白及同意每次登入電子交易服務都需要登記號碼，密碼和不同的一次性有效認證碼才可以成功登入。本人/吾等須對接通代碼的保密、保安及使用獨力承擔全部責任。本人/吾等須就根據及電子交易服務發出的一切指示及/或作出的一切交易完全負責。

I/We understand and agree that RHB Securities shall not be deemed to have received or executed my/our Instructions given through the Electronic Trading Service unless and until I/we am/are in receipt of RHB Securities' confirmation or status acknowledgement of my/our Instructions.

本人/吾等明白並同意除非及直至本人/吾等收到興業金融證券的確認或本人/吾等指示狀況的認收，否則興業金融證券不得被視為已收到或已執行本人/吾等透過電子交易服務發出的指示。

I/We further acknowledge and agree that, as a condition of using the Electronic Trading Service to give Instructions, I/We shall forthwith notify RHB Securities not later than 48 hours from the time it became aware of the existence of any of the following:

- (a) I/We become aware of any unauthorized use of its Login ID or Password or the OAC for the Electronic Trading Service; or
- (b) any loss or theft of its Login ID or Password or the OAC; or
- (c) I/we have received an acknowledgement of an Instruction which I/we did not authorize.

本人/吾等進一步確認及同意作為可使用電子交易服務發出指示的條件，本人/吾等應在知道以下任何情況存在後立刻，並在知悉此等情況後48小時內通知興業金融證券：

- (a) 本人/吾等知道有人未獲授權而使用其電子交易服務的登記號碼或密碼或一次性有效認證碼；或
- (b) 本人/吾等失去或被盜去其登記號碼或密碼或一次性有效認證碼；或
- (c) 本人/吾等收到未經本人/吾等授權的指示的確認通知。

I/We agree that if I/we fail to notify RHB Securities forthwith when any of the above situations occurs, RHB Securities shall have no liability to me/us, or to any other person whose claim may arise through me/us, for any claims with respect to the handling, mishandling, non-handling or loss of any Instruction. I/We agree that should I/we experience any problems in reaching RHB Securities through the Electronic Trading Service, I/we will use my/our best efforts to use alternative methods (e.g. by telephone) to immediately communicate with RHB Securities and inform RHB Securities of the difficulty I/we am/are experiencing.

本人/吾等同意，當出現任何上述情況時，若本人/吾等不盡快通知興業金融證券，興業金融證券將不會對本人/吾等（或透過客戶索償的任何其他人士）就任何指示的處理、處理失當、不處理或遺失所引起的索償要求負責。本人/吾等同意，如果本人/吾等透過電子交易服務與興業金融證券聯絡的時候出現任何問題，本人/吾等將以最大努力嘗試利用其他方法（例如電話）立刻與興業金融證券聯絡，並通知興業金融證券其所遇到的困難。

I/We agree that RHB Securities shall not be liable for:

- (a) Any consequential, incidental, special, or indirect damage (including lost profits, trading losses and damages) that result from inconvenience, delay or loss through the use of the Electronic Trading Service; and
- (b) Any losses resulting from a cause over which RHB Securities does not have direct control, including but not limited to the failure of electronic or mechanical equipment or communication lines, telephone or other interconnection problems (e.g. if I/we am/are unable to access the online service provider), unauthorized access, theft, operator errors, severe weather, earthquakes, floods and strikes or other labor problems.

本人/吾等同意興業金融證券無須對下列情況負責：

- (a) 由於電子交易服務的不方便、延誤或透過使用電子交易服務引起的損失而導致的任何相應損害、附帶損害、特殊損害或間接損害（包括利潤損失、交易損失和損害賠償）；及
- (b) 由於興業金融證券不能直接控制的原因而導致的任何損失，該等包括（但不限於）電子或機械設備故障，通訊線路、電話或其他接駁問題（例如，本人/吾等無法使用網絡服務供應商的服務）、擅自存取、盜竊、操作員的錯誤、惡劣天氣、地震、水災，以及罷工或其他勞資問題。

In consideration of your agreeing to accept my/our application to use your Electronic Trading Service, I/we shall also indemnify you and keep you indemnified and hold you harmless against any and all losses, claims, actions, proceedings, demands, damages, costs and expenses incurred or sustained by you of whatever nature and howsoever arising out of, or in connection with such Instructions provided only that you act in good faith. The obligation to indemnify RHB Securities shall survive the termination of the Agreement.

鑒於 貴行同意接受本人/吾等對使用 貴行電子交易服務的申請，本人/吾等須就 貴行因真誠行事而招致或遭受的任何性質及因獲提供的該等指示而產生或與之有關的所有損失、申索、訴訟、法律程序、付款要求、損害賠償、費用及開支，向 貴行作出彌償及確保 貴行獲得彌償。本人/吾等於此項對於興業金融證券賠償的義務將在本協議終止後仍繼續生效。

I/We agree that information provided under the Electronic Trading Service is provided on an "as is", "as available" basis and you do not guarantee the timeliness, sequence accuracy, adequacy or completeness of such information. You give no express or implied warranties (including but not limited to warranties of merchantability or fitness for any particular use) with respect to such information.

本人/吾等同意在電子交易服務下提供的資料是按“現況”及“現時所供應”基準提供，且 貴行並不保證資料適時、順序、恰當或完整。貴行就該資料不作任何明文或隱含的保證（包括但不限於可商售或適合作任何特定用途的保證）。

I/We confirm that I/we have read, understood and agreed to, all the following 3 items in the language of my/our own choice (English or Chinese):

- 1) all terms and conditions under this Form for my/our application to use your Electronic Trading Service, 2) the Terms and Conditions, and 3) and all relevant risk disclosure statements (including but not limited to Section II of this Form) relating to electronic trading. I/We further confirm that I/we have been invited to read, acknowledge, the same, ask questions and take independent advice in relation thereto, if I/we wish.

本人/吾等確認本人/吾等已閱讀、明白及同意 貴行就本人/吾等於本表格之有關申請向本人/吾等發出的以下3項文件: 1) 本表格下的所有條款和條件, 2) 《條款及條件》, 及3) 有關電子交易的風險披露聲明 (包括但不限於本表格之第II部份), 並已獲邀閱讀上述風險披露聲明、提出問題及徵求獨立的意見 (如本人/吾等有此意願)。本人/吾等並確認本人/吾等就以上三項文件, 已按照本人/吾等選擇的語言 (英文或中文) 作閱讀、了解及諮詢。

In the case where there is already a registered email address with you, the Password will be sent to the last registered email address with you.  
如本人在貴行已有登記的電郵地址, 密碼將會送交至在貴行最後登記的電郵地址。

In the case where there is not any registered email address with you, the Password will be sent to the following email address:  
如本人在貴行並沒有登記的電郵地址, 密碼將會送交至以下的電郵地址:

**Email Address 電郵地址:** \_\_\_\_\_

**N.B.:**

**Two-Factor Authentication (“2FA”) Functions for Online Securities and Stock Options Trading Platform**  
**證券及股票期權網上交易平台雙重認證機制 (2FA)**

Pursuant to Hong Kong Securities and Futures Commission (“SFC”) ”Guideline for Reducing and Mitigating Hacking Risks Associated with Internet Trading”, RHB Securities is required to implement 2FA for all clients to login to their internet trading accounts for securities trading and/or stock options trading at RHB Securities (“RHB Online Securities Trading Account(s)” for securities trading, “RHB Online Stock Options Trading Account(s)” for stock options trading) to enhance transaction-related cyber security.

根據證券及期貨事務監察委員會〔「證監會」〕公佈《降低及紓減與互聯網交易相關的黑客入侵風險指引》, 貴行需要就客戶的網上交易帳戶的登入程序實施雙重認證, 以提昇交易相關之網絡安全。

I/We acknowledge that each and every time I/we attempt to login to my/our RHB Online Securities Trading Account for Securities Trading and/or RHB Online Stock Options Trading Account for Stock Options Trading using the Login ID and Password, I/we shall be required to enter an additional one-time “authentication code“. This unique, newly implemented authentication code (or the “OAC”, as defined above) under the 2FA Function will be for one-time access only. A new & different authentication code will be generated automatically each and every subsequent login attempt. 本人/吾等 確認, 當本人/吾等每次登入證券帳戶及/或股票期權帳戶, 輸入用戶號碼及密碼後系統即自動生成并發送「一次性有效認證碼」(一次性有效認證碼只限該次登入使用, 當下次登入時系統會自動生成另一號認證碼), 本人/吾等只須輸入該「一次性有效認證碼」後即可成功登入。

For RHB Online Stock Options Account, the OAC will be sent by your systems to my/our registered mobile phone number **AND** email address on record with RHB Securities (i.e. my/our contact information associated with my/our respective RHB Online Stock Options Trading Account), each and every time I/we attempt to login to my/our RHB Online Stock Options Trading Account). 當本人/吾等登入股票期權帳戶時系統會自動生成并發送「一次性有效認證碼」至 本人/吾等登記在貴行之電郵及流動電話, 本人/吾等只須輸入該「一次性有效認證碼」後即可成功登入。

For RHB Online Securities Trading Account, the OAC will be sent by your systems to **either** my/our registered mobile phone number **OR** email address on record with RHB Securities (i.e. my/our contact information associated with my/our respective RHB Online Securities Trading Account), each and every time I/we attempt to login to your RHB Online Securities Trading Account. If I/we do not select any option as stated below, the OAC will by default be sent to the last registered email address on record with RHB Securities.

當本人/吾等登入證券帳戶時系統會自動生成并發送「一次性有效認證碼」至 本人/吾等登記在貴行之電郵**或**流動電話, 本人/吾等只須輸入該「一次性有效認證碼」後即可成功登入。如本人/吾等在下方沒有選擇任何選項, 一次性有效認證碼將會送交至在貴行最後登記的電郵地址。

I/we hereby select the following method of receiving the OAC to login to my/our RHB Online Securities Trading Account.

本人/吾等選擇以下接收一次性有效認證碼的方法以登入本人/吾等的證券帳戶

Email  
電郵

Mobile Phone  
流動電話

If I/we fail to receive the OAC, I/we shall contact my/our Account Executive or your Customer Service Officer (Telephone Number: 2103 5657) as soon as possible during RHB Securities office hours.

如果本人/吾等未能順利接收一次性有效認證碼, 本人/吾等會盡快與本人/吾等的客戶經理聯絡或於辦公時間內致電貴行的客戶服務熱線〔電話號碼: 2103 5657〕。

**In case of conflict or inconsistency between the English version and the Chinese version of this Form, the English version shall prevail.**

若本表格之英文版及中文版之間存在衝突或矛盾, 應以英文版本為準。

**CLIENT'S AGREEMENT & ACKNOWLEDGEMENT 客戶確認**

I/We have fully read and understood the Terms and Conditions as well as all terms and conditions under this Form for the purposes of my application to use your Electronic Trading Service, and I/we accept, confirm and agree to be bound by all such terms and conditions referred to therein.

本人/吾等已經細閱及完全明白《條款及條件》及本表格下之所有條款及條件，本人/吾等並同意、接受及確認遵守《條款及條件》及本表格之所有條款和條件。

**Agreed, acknowledged and accepted by:**

S.V.

\_\_\_\_\_  
Signature(s) of Client 客戶簽署

\_\_\_\_\_  
Date 日期

\_\_\_\_\_  
Name(s) of Client 客戶姓名

## **Risk Disclosure Statement 風險披露聲明書**

Electronic trading facilities are supported by computer-based component systems for the order-routing, execution, matching, registration or clearing of trades. As with all facilities and systems, they are vulnerable to temporary disruption or failure. My/our ability to recover certain losses may be subject to limits on liability imposed by the system provider, the market, the clearing house and/or participant firms. Such limits may vary: I/we should ask the firm with which I/we deal for details in this respect.

電子交易的設施是以電腦組成系統來進行交易指示傳遞、執行、配對、登記或交易結算。然而，所有設施及系統均有可能會暫時中斷或失靈，而本人/吾等就此所能獲得的賠償或會受制於系統供應商、市場、結算公司及／或參與者商號就其所承擔的責任所施加的限制。由於這些責任限制可以各有不同，本人/吾等應向為本人/吾等進行交易的商號查詢這方面的詳情。

Trading on an electronic trading system may differ from trading on other electronic trading systems. If I/we undertake transactions on an electronic trading system, I/we will be exposed to risks associated with the system including the failure of hardware and software. The result of any system failure may be that my/our order is either not executed according to my/our Instructions or is not executed at all.

透過某個電子交易系統進行買賣，可能會與透過其他電子交易系統進行買賣有所不同。如果本人/吾等透過某個電子交易系統進行買賣，便須承受該系統帶來的風險，包括有關系統硬件或軟件可能會失靈的風險。系統失靈可能會導致本人/吾等的交易指示不能根據指示執行，甚或完全不獲執行。

Communication or instructions sent over the internet may be delayed due to internet traffic jam or other reasons, and orders of investors may not necessarily be executed at the price indicated on the internet. Further, communications over the internet may also be subject to transmission blackout, interruption, interception, or incorrect data transmission due to the public nature of the internet or other reasons that are beyond RHB Securities' control. Messages sent over the internet cannot be guaranteed to be completely secure. I/We shall be aware of the risk of any delay, loss, diversion, alteration, corruption or virus infection of any messages/Instructions either sent to or received from RHB Securities.

因網路擠塞或其他原因可引致通過互聯網傳送的訊息或指示有所延誤，而投資者的指示亦可能不能以互聯網上列出的價位執行。此外，由於互聯網的公眾性質或其他興業金融證券不能控制的理由，互聯網上的通訊可能暫時中斷、傳遞終止或被截取，或引致資料傳送有失誤。透過互聯網發出的訊息無法保證完全安全。本人/吾等應注意，任何興業金融證券系統發出或接收的訊息/指示均可能出現被延誤、遺失、轉換、更改、訛用或被病毒感染的風險。

The inherent risks in using the Electronic Trading Service include, but are not limited to the following:

- a) Any failure of systems or equipment (whether or not provided by RHB Securities) including telecommunications services and facilities or any computer virus or similar problems;
- b) RHB Securities' acceptance of any unauthorized Instructions which appear (or which RHB Securities reasonably believes) to be from me/us;
- c) Delays in the implementation of Instructions to the extent that such was outside RHB Securities' control;
- d) Delays in delivery or availability of, or failure to deliver or make available, or any interruption or unauthorized access of, any part of the Trading Service to the extent that such was outside RHB Securities' control;
- e) Delays in despatch or delivery of, or failure to despatch or deliver, or unauthorized interception, corruption or loss of, any notice or information provided or requested via the Electronic Trading Service or any inaccuracy, error or omission in or from any such notice or in or from any information contained in any such notice to the extent that such was outside RHB Securities' control;
- f) My/our failure to use the Electronic Trading Service in accordance with this Agreement or any relevant agreement between RHB Securities and I/us;
- g) My/our reliance, use or otherwise acting upon any information or materials provided via the Electronic Trading Service.

使用電子交易服務存在的固有風險包括 (但不限於)：

- a) 任何系統或設備（包括電訊服務及設施）的任何故障，不論該等系統或設備是否由興業金融證券提供，或任何電腦病毒或類似問題；
- b) 興業金融證券接受任何看似（或興業金融證券有理由相信）是由本人/吾等發出的未經授權的指示；
- c) 延誤執行指示，但僅以因興業金融證券不能控制的範圍為限；
- d) 延誤交付或提供或者未能交付或提供交易服務的任何部份，或者交易服務的任何部份遭任何干擾或未經授權進入，但僅以因興業金融證券不能控制的範圍為限；
- e) 延誤發出或交付或者未能發出或交付透過交易服務所提供或要求的任何通知或資料，或者該些通知或資料被未經授權截取、毀壞或遺失，或者任何上述通知或該等通知所載的任何資料不準確性、錯誤或有遺漏，但僅以因興業金融證券不能控制的範圍為限；
- f) 本人/吾等未能按本協議或本人/吾等與興業金融證券訂立的任何相關協議之規定使用交易服務；
- g) 本人/吾等依據或使用透過電子交易服務提供的任何資料或資訊，或者以其他方式按照該等資料或資訊行事。

In addition, the Internet is, due to unpredictable traffic congestion and other reasons, an inherently unreliable medium of communication and such unreliability is beyond the control of the RHB Securities. As a result of such unreliability, there is a risk that communication over the Internet may be interrupted, delayed or accessed by unauthorized parties, and there may be errors or delays in the transmission and receipt of instruction and other information and incorrect data transmission and that this may result in errors or delays in the execution of instruction and/or the execution of instruction at prices different from those prevailing at the time the instruction were given. There are also risks of misunderstanding or errors in any communication over the Internet. It will not usually be possible to cancel an Instruction after it has been given.

另外，由於互聯網可能出現不可預計的訊息堵塞及其他原因，因此互聯網本質上是一種不可靠的通訊工具，而這種不可靠因素並不在興業金融證券的控制範圍之內。由於上述此等不可靠因素，透過互聯網進行的通訊將存有被未經授權方中斷、延誤或存取之風險，而這更可能導致執行指示時出現錯漏或延誤，及/或執行指示時與發出指示時的價格可能出現差距。任何互聯網上的通訊亦存在着誤解及錯誤的風險。已經發出的指示一般亦不能取消。

**I/We accept the risks of gaining access to the Electronic Trading Service and conducting transactions over the internet or other electronic means or facilities. I/We further acknowledge and accept if I/we undertake transactions on an electronic trading system, I/we will be exposed to risks associated with the system including the failure of hardware and software, and that the result of any system failure may be that my/our order is either not executed according to my/our Instructions or is not executed at all.**

本人/吾等接受以互聯網或其他電子方式或設施使用接通電子交易服務及進行通訊及交易所涉及的風險。本人/吾等進一步確認並接受，如果其通過電子交易系統進行交易，本人/吾等將面對與該系統相關的風險(包括硬件和軟件故障)。任何系統故障可能導致本人/吾等的指令未能按指示執行或根本不獲執行。

S.V.

\_\_\_\_\_  
Signature(s) of Client 客戶簽署

\_\_\_\_\_  
Date 日期

\_\_\_\_\_  
Name(s) of Client 客戶姓名

For Internal Use Only	
Inputted by Settlement	Checked by Settlement
Date:	Date: