

## IMPORTANT NOTICE

### 重要通知

Name of Personal Guarantor:

個人擔保人姓名:

Name of Customer:

客戶名稱:

Dear Sir(s)/Madam(s), 敬啟者:

The provision of a personal guarantee by you in favour of BOCOM International Securities Limited (“BOCOM Securities”) is required for BOCOM Securities to approve the application by the Customer for the opening of the securities account(s)(the “Securities Account(s)”).

交銀國際證券有限公司（下稱「交銀證券」）在審批客戶開立證券賬戶（「證券賬戶」）申請時需要閣下為客戶就證券賬戶的負債，以交銀證券為受益人提供個人擔保。

You hereby acknowledge the receipt of the following documents: 閣下承認已收悉以下文件:

- (a) the account opening form of the Customer containing, among other documents, the deed of guarantee (“Guarantee”); and 開戶申請表（內含包括擔保書（「擔保書」）等文件）；及
- (b) the Client Agreement and Risk Disclosure Statement. 客戶協議及風險披露書。

You have the choice as regards whether to proceed with the granting of guarantee in favour of us. 閣下可選擇是否繼續辦理向交銀證券提供擔保書。

**Before you sign the Guarantee** (which you have to sign if you choose to proceed with the transaction), **you shall: 在閣下簽署擔保書**（如閣下選擇繼續辦理此交易便須簽署）**之前，閣下必須：**

- (i) read the documents mentioned in (a) and (b) above thoroughly; 仔細審閱上述(a)和(b)條中的文件；
- (ii) obtain information and documents about the financial strength and commitments of the Customer and its liabilities to BOCOM Securities; 獲取客戶的財務實力和財務承擔及客戶所欠交銀證券的負債情況；
- (iii) **consider your own financial position, commitments and needs; 考慮閣下自身的財務狀況、承擔及需要；**
- (iv) engage your own financial adviser to give you advice on the financial information; 聘請閣下自身的財務顧問，向閣下提供有關財務資料的意見；及
- (v) **seek independent legal advice and instruct your own lawyer to advise you on the terms of the Guarantee and their implications. 尋求獨立法律意見，並指示閣下的律師就擔保書的條款及其涵義向閣下提供意見。**

If you do not instruct a law firm to represent you in this matter, you will be required to attend a personal meeting/telephone call with BOCOM Securities and BOCOM Securities (whose interest inherently conflicts with yours) will only highlight to you certain provisions of the Guarantee. BOCOM Securities does not act as your financial adviser and will not give you any legal advice regarding the Guarantee. 如閣下並無指示律師行在此事項中代表閣下，閣下須與交銀證券的代表現場會面/電話會談，交銀證券的代表（其利益與閣下的利益有本質上的衝突）只會向閣下重點說明擔保書若干條文。交銀證券並不擔任閣下的財務

顧問，不會就擔保書向閣下提供任何法律意見。

**You are free to choose whether to grant the Guarantee or not. Please think carefully before deciding whether to execute the Guarantee or not. Once you have executed the Guarantee, your liability owed to BOCOM Securities will be the same as those of the Customer. 閣下可自由決定是否簽署擔保書。閣下必須慎重考慮是否授予擔保書。在簽署擔保書後，閣下對交銀證券的償付債務的責任與客戶相同。**

If you decide not to obtain independent legal advice after due and careful consideration, please inform us so that we may arrange for a personal meeting/telephone call with you as soon as possible. 如閣下在經過審慎周詳考慮後決定不尋求獨立法律意見，閣下須通知交銀證券，以便儘快安排交銀證券的代表與閣下會面/電話會談。

Kindly sign and return to us the enclosed copy of this Notice. 請簽署並交回隨附的本通知的副本。

In the event of conflict or inconsistency between the English and the Chinese version of this Notice, the English version shall prevail. 如本通知的英文與中文版文本之間出現衝突或歧義，以英文版本為準。

Yours faithfully,  
此致

BOCOM International Securities Limited  
交銀國際證券有限公司

Remark: This is a computer generated letter that requires no signature.  
備註：本函為電腦編印文件，無需簽署。

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**ACKNOWLEDGEMENT**

**確認書**

I acknowledge receipt of the Important Notice (“**this Notice**”) and confirm that I have thoroughly read this Notice and fully understand its contents. 本人/吾等承認已收悉重要通知 (“**本通知**”), 並確認本人已仔細審閱本通知並完全明白其內容。

The reason I act as guarantor for the Client is that: 本人作為客戶的擔保人的原因是:

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I also confirm that: 本人確認

BOCOM International Securities Limited has already arranged a personal meeting or telephone call with me in the absence of their Customer at which I was told of the extent of my liability as guarantor and have been warned of the risk I may running and urged me to seek independent legal advice. 交銀國際證券有限公司已安排代表與 本人 (在他們的客戶不在場的情況下) 單獨會面或進行電話會談, 並告知本人作為擔保人的償付債務責任, 並就本人的風險提出警告, 和督促本人尋求獨立法律意見。

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Name 姓名:

Identity Card No./ Passport No. 身份證號碼/ 護照號碼:

Date 日期:

I have witnessed the above signature of the Personal Guarantor. 本人見證了擔保人上述的簽名。

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Name of the witness 見證人姓名:

Position 職位:

Identity Card No. 身份證號碼:

Date 日期:

I have met the Personal Guarantor in a personal meeting in the absence of the Customer on \_\_\_\_\_ and have warned the Personal Guarantor of the risk he/ she may have by entering into the Deed of Guarantee and urged him/ her to seek independent legal advice. 本人於 \_\_\_\_\_ 年 \_\_\_\_\_ 月 \_\_\_\_\_ 日 \_\_\_\_\_ 時 \_\_\_\_\_ 分已在客戶不在場的情況下單獨與擔保人會面, 並告知擔保人在簽署擔保書後的償付債務責任, 並向擔保人提出風險警告, 和督促擔保人尋求獨立法律意見。

OR 或

On \_\_\_\_\_, I have dialed telephone number \_\_\_\_\_ and talked to the Personal Guarantor in the absence of the Customer. During the telephone call, the Personal Guarantor has spelt out his/ her name, date of birth and identity card number or passport number to verify his/ her identity. I

have warned the Personal Guarantor of the risk he/ she may have by entering into the Deed of Guarantee and urged him/ her to seek independent legal advice. 本人於 年 月 日 時 分已在客戶不在場的情況下撥打了電話號碼 \_\_\_\_\_ 並與擔保人進行了電話會談。在電話會談中，擔保人說出了其姓名，出生日期和身份證號碼或護照號碼，以證明其身份。本人已告知擔保人在簽署擔保書後的償付債務責任，並向擔保人提出風險警告，和督促擔保人尋求獨立法律意見。

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Name 姓名:

Position 職位:

Identity Card No. 身份證號碼:

Date 日期