



太平洋基業證券有限公司
PACIFIC FOUNDATION SECURITIES LIMITED

Participant of The Stock Exchange of Hong Kong Ltd. (Broker No. 2160-2, 2167-9)
香港聯合交易所有限公司參與者 (編號2160-2, 2167-9)
證監會檔案編號(CE No.): AAE696

開立個人戶口所需文件 / Individual Account Opening Requirement

1.	*填妥開戶文件 *Complete and return the account-opening documents.
2.	*香港身份證文件/護照核證副本 *A certified copy of Hong Kong Identity Card or Passport of account holder .
3.	*最近三個月內發出的住址證明 (如:電費單或銀行月結單) *Latest 3 months issued residential address proof (e.g. utility bill or bank statement)
4.	財政狀況文件(稅務文件、銀行月結單或其它財產證明) Financial Supporting Document (Tax Return, Bank Statement of other asset reference)

國內客戶所需文件

1.	*填妥開戶文件
2.	*國內身份證底、面的核證副本
3.	*客戶往返香港及國內通行證 必須影印有客戶相片的那一頁及入境日期蓋章的那一頁核證副本
4.	*最近三個月內發出的住址證明 (如:電費單或銀行月結單)
5.	財政狀況文件(稅務文件、銀行月結單或其它財產證明)

備註 Remark:

- 1) 見證人必須是太平洋基業證券有限公司專業人士，如執會計師，律師或證券業執照持有人。
Witness must be either professionals, e.g. Certified Accountant, Lawyer or Licensed person of stock broker.



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Fax 傳真 : (852) 2877 2088

Charges for Securities Services

Effective from 01/10/2018

1. Transaction Cost	
Brokerage	0.25% of gross amount, Minimum \$100.00 (or determine by Client and Sales Representative)
Contract Stamp	0.10% of gross amount (rounding up to the nearest dollar)
Transaction Levy (SFC)	0.0027% of gross amount
Trading Fee (HKEx)	0.005% of gross amount
CCASS Fee	0.009% of gross amount, Minimum \$3.00, Maximum \$300.00
Late Settlement	5% plus prime rate per annum of the unsettled amount
2. Scrip Handling and Settlement-Related Services	
Scrip Withdrawal from CCASS	\$5.00 per broad lot
Stamp Duty on Transfer Deed	\$5.00 per transfer deed
Settlement Instruction Fee (SI)	Received shares: free, Delivery shares: (Handling Charge) 0.005% of total consideration per transaction (Based on previous day closing price), Minimum \$20
Investor Settlement Instruction Fee (ISI)	Received shares: free Delivery shares: \$20 per transaction
3. Securities Account Services	
Opening of Securities Account	Free
Inactive Account* Annual fee	\$120.00
4. Nominees Services & Corporate Actions	
Scrip Fee - Register under HKSCC Nominees Ltd.	\$2.50 per broad lot
Dividend Collection Fee	0.3% of dividend amount, Minimum \$20.00, Maximum \$500.00 (Hong Kong Stock)
	0.3% of dividend amount, Minimum \$300.00 (Overseas Stock)
Right , Open offer, Bonus Issue & Scrip Option	Handling fee \$20.00
Rights Issue Entitlement (Including Excess Rights Application/ Preferential Offer & Open Offer	Charge according to CCASS disbursements (\$0.8 per board lot) plus \$20 handling charge per transaction
Callable Bull/Bear Contracts Exercise / Mandatory Call of Callable Bull/Bear Contracts	Charge according to CCASS disbursements (\$0.8 per board lot) plus \$20 handling charge per transaction
Cash or Scrip Offer / Compulsory Acquisition / Shares Privatization	Charge according to CCASS disbursements (\$0.8 per board lot) plus \$20 handling charge per transaction
5. IPO Services	
Applied by Nominees Company	1. Non-financing application - \$150.00
	2. Financing application - \$ 200.00 plus update interest
6. Other Services	
Overseas Stock Transaction	Commission and fees charged by executed brokers and Settlement handling fee US\$50.00
Dividend / Bonus Claims	\$300.00 for each successful claim (not include photocopy & scrip fee)
Photocopy	\$3.00 per sheet

#If no specification, using HKD as clearing currency

*Inactive account - account only has few stock quantity on hand and no transaction in the past two years.



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股票服務收費表

由 01/10/2018 起生效

1. 證券交易服務	
佣金	每宗買賣價值的 0.25%, 及最低收費 \$100.00 (或由客戶與客戶主任自行議定)
政府印花稅	每宗買賣價值的 0.10% (以[元]為單位, [角]及[分]恕不適用)
交易徵費 (證監會)	買賣價值的 0.0027%
交易費 (聯交所)	買賣價值的 0.005%
交易結算費 (手續費)	買賣價值的 0.009%, 最低收費 \$3.00, 最高收費 \$300.00
遲交收	未交收金額以最優惠利率加 5% 按年計算
2. 處理實物股票及交收的服務	
經由結算公司提取實物股票	每手收費 \$5.00
轉讓契印花稅 (轉名)	每張收費 \$5.00
交收指示費	存入股票 – 免費 提取股票 – 每宗手續費為上日收市價總值的 0.005%, 每隻股票最低收費 \$20
投資者交收指示費	存入股票 – 免費 提取股票 – 每宗手續費 \$20
3. 帳戶服務	
開立帳戶費用	免費
(非活躍帳戶)* 年費	\$120.00
4. 代理人服務及企業行動	
股票過戶費 – 以中央結算公司名義登記	每手收費 \$2.50
股息處理收費	所收取股息總額之 0.3%, 最低收費 \$20.00 最高收費 \$500.00 (香港股票) 所收取股息總額之 0.3%, 最低收費 \$300.00 (海外股票)
以股代息選擇, 紅股, 公開發售 及 認股權處理費	手續費 \$20
代客供股 (包括額外申請供股、優先配售、公開發售)	按照中央結算成本扣除 (每手 \$0.8) 及每宗處理收費 \$20
行使牛熊證/強制贖回牛熊證	按照中央結算成本扣除 (每手 \$0.8) 及每宗處理收費 \$20
現金/股份收購、強制收購、股票私有化	按照中央結算成本扣除 (每手 \$0.8) 及每宗處理收費 \$20
5. 認購新上市股份服務	
以代理人公司代為申請	1. 不需借貸申請, 費用每張 \$150.00
	2. 需要借貸申請, 費用每張 \$200.00, 加利息 (以當時利率計算)
6. 其他服務	
海外證券交易	海外經紀佣金及費用, 另加交收手續費 US\$50.00
代追股息/紅股	每項成功追討費用 \$300.00 (不包括所需費用)
影印費	日/月結單每張 \$3.00

如非註明, 所有金額以港元結算

*非活躍帳戶 – 指持股量極少而在過去兩年內沒有交易之帳戶



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交易所買賣衍生產品風險說明

買賣交易所買賣之衍生產品例如牛熊證、衍生權證、綜合複製策略的交易所買賣基金(合成 ETF)及股票掛鉤票據(ELI)涉及顯著風險。投資者在就交易所買賣衍生產品進行交易前，應審慎閱讀及完全明白買賣該等衍生產品涉及之風險及後果。

衍生產品的風險披露聲明

- 1. 發行商違約風險**
倘若結構性產品發行商破產而未能履行其對所發行證券的責任，投資者只被視為無抵押債權人，對發行商任何資產均無優先索償權。因此，投資者須特別留意結構性產品發行商的財力及信用。
- 2. 非抵押產品風險**
非抵押結構性產品並沒有資產擔保。倘若發行商破產，投資者可以損失其全數投資。要確定產品是否非抵押，投資者須細閱上市文件。
- 3. 槓桿風險**
結構性產品如衍生權證及牛熊證均是槓桿產品，其價值可按相對相關資產的槓桿比率而快速改變。投資者須留意，結構性產品的價值可以跌至零，屆時當初投資的資金將會盡失。
- 4. 有效期的考慮**
結構性產品設有到期日，到期後的產品即一文不值。投資者須留意產品的到期時間，確保所選產品尚餘的有效期能配合其交易策略。
- 5. 異常價格移動**
結構性產品的價格或會因為外來因素(如市場供求)而有別於其理論價，因此實際成交價可以高過亦可以低過理論價。
- 6. 外匯風險**
若投資者所買賣結構性產品的相關資產並非以港幣為單位，其尚要面對外匯風險。貨幣兌換率的波動可對相關資產的價值造成負面影響，連帶影響結構性產品的價格。
- 7. 流通量風險**
聯交所規定所有結構性產品發行商要為每一隻個別產品委任一名流通量提供者。流通量提供者的職責在為產品提供兩邊開盤方便買賣。若有流通量提供者失責或停止履行職責，有關產品的投資者或就不能進行買賣，直至有新的流通量提供者委任出來為止。
- 8. 強制收回風險**
投資者買賣牛熊證，須留意牛熊證可以即日「取消」或強制收回的特色。若牛熊證的相關資產值等同上市文件所述的強制收回價/水平，牛熊證即停止買賣。屆時，投資者只能收回已停止買賣的牛熊證由產品發行商按上市文件所述計算出來的剩餘價值(注意：剩餘價值可以是零)。



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Risk Explanatory Notes

Trading of exchange-traded derivative products such as Callable Bull/Bear Contracts (CBBC), Derivative Warrants, Synthetic Exchange-Traded Fund (Synthetic ETF) and Equity Linked Instruments (ELI) involve significant risks. It is crucial for you as investors to fully understand the risks and consequences involved in trading these exchange-traded derivative products before you trade them.

Risks Associated with Derivative Products

1. Issuer default risk

In the event that a structured products issuer becomes insolvent and defaults on their listed securities, investors will be considered as unsecured creditors and will have no preferential claims to any assets held by the issuer. Investors should therefore pay close attention to the financial strength and credit worthiness of structured product issuers.

2. Uncollateralised product risk

Uncollateralised structured products are not asset backed. In the event of issuer bankruptcy, investors can lose their entire investment. Investors should read the listing documents to determine if a product is uncollateralized.

3. Gearing risk

Structured products such as derivative warrants and callable bull/bear contracts (CCBCs) are leveraged and can change in value rapidly according to the gearing ratio relative to the underlying assets. Investors should be aware that the value of a structured product may fall to zero resulting in a total loss of the initial investment.

4. Expiry considerations

Structured products have an expiry date after which the issue may become worthless. Investors should be aware of the expiry time horizon and choose a product with an appropriate lifespan for their trading strategy.

5. Extraordinary price movements

The price of a structured product may not match its theoretical price due to outside influences such as market supply and demand factors. As a result, actual traded prices can be higher or lower than the theoretical price.

6. Foreign exchange risk

Investors trading structured products with underlying assets not denominated in Hong Kong dollars are also exposed to exchange rate risk. Currency rate fluctuations can adversely affect the underlying asset value, also affecting the structured product price.

7. Liquidity risk

The Exchange requires all structured product issuers to appoint a liquidity provider for each individual issue. The role of liquidity providers is to provide two way quotes to facilitate trading of their products. In the event that a liquidity provider defaults or ceases to fulfill its role, investors may not be able to buy or sell the product until a new liquidity provider has been assigned.

8. Mandatory call risk

Investors trading CBBCs should be aware of their intraday "knockout" or mandatory call feature. A CBBC will cease trading when the underlying asset value equals the mandatory call price/level as stated in the listing documents. Investors will only be entitled to the residual value of the terminated CBBC as calculated by the product issuer in accordance with the listing documents. Investors should also note that the residual value can be zero.



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Settlement Instruction

For stock settlement of trading in Hong Kong equities, the followings are our settlement details:

CCASS Participant Name : Pacific Foundation Securities Limited
CCASS Participant No. : B01230
Contact person : Vincent Siu / Fanny Chan
Tel No. : 2879-8312 / 2879-8318
Fax No. : 2877-2088
WhatsApp No. : 9211 0650

For cash settlement of trading, the followings are our bank account details:

Bank Name : Standard Chartered Bank, Hong Kong
Bank Code : 003
Swift Code : SCBL HKHH
Account Name : Pacific Foundation Securities Limited
Account No. : 447-0-007328-3
Currency : HKD

銀行名稱 : 渣打銀行(香港)有限公司
戶口名稱 : 太平洋基業證券有限公司
戶口號碼 : 447-0-007328-3
貨幣 : 港元



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Dear Client

Re: T+2 Settlement

As you may be aware, during the recent unusual market conditions, there have been instances where sale transactions remained unsettled on T+2. This revealed that: -

- (a) although certain investors owned the securities offered for sale, they failed to deliver them for settlement on T+2;
- (b) on occasions, even where a short sale was backed by a securities borrowing and lending arrangement, the borrower failed to make the securities available to the Member for settlement on the stipulated settlement day.

These features contributed to settlement failures and resulted in liabilities for both investors and Members. It is important that both investors and Members take steps to ensure that they or their clients (for Members) can satisfy their settlement obligations on T+2.

To fulfill your settlement obligations, you are urged to take steps to ensure that at the same time you place a sale order you can settle the trade on T+2. Should you intend to short sell, this can only be conducted through Members of the Exchange, if at the time of placing your short sale order, you have made arrangements to borrow securities to settle the transaction on T+2. Your attention is drawn to Section 80(1) of the Securities Ordinance which prohibits the sale of securities not held by the seller, unless the seller has or reasonably and honestly believes that, at the same time of the transaction, he will be able to deliver the securities to the purchaser. Contravention of Sections 80(1) is an offence punishable by a fine of HK\$10,000 and imprisonment for 6 months.

As a registered securities dealer and member of the Exchange, we are obliged to comply with the Securities Ordinance and the Rules of the Exchange. We are also required by the Eleventh Schedule - Short Selling Regulations: -

- (a) to enquire of you whenever you place an order to sell Designated Securities (determined by the Exchange as eligible for short selling) whether it is a normal sale or a short sale.

You are reminded of your obligation under Clause 13A of the Cash Client's Agreement/Clause 16A of Margin Client's Agreement entered into between yourself and us to inform us when a sale order is a short sale. It is of paramount importance that you cooperate with us in this respect; and

- (b) if your order is a short selling order, to ascertain that you have made arrangements to ensure that the Designated Securities offered for sale are available to us to make delivery on the stipulated settlement day. To satisfy ourselves that settlement can be effected for the short sale you propose to enter into, we may need to request evidence of the arrangement you have made to settle the trade on T+2. Our measures aim to fulfill our obligation to act with due care and diligence which contributes to the maintenance of a fair and orderly market.

Should you have any question about this letter or generally on the subject of short selling, you should contact your account executive.

Yours faithfully





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敬啟者：

T+2 交收事宜

台端可能已注意到，在近期異常市況中，曾出現有賣盤未能於 T+2 日交收的事件，這顯示出：

- (a) 儘管若干投資者是持有出售的證券，卻未能於 T+2 日交付作交收之用；
- (b) 有些時候，即使已為賣空活動作出證券借貸安排，借貸人仍未能於指定交收日提供證券予會員作交收。

這些情況導致交收未能完成，涉及的投資者及會員均須負上責任。因此，投資者和會員採取行動去確保自己/其客戶能履行 T+2 日的交收責任是極為重要的。

要履行交收責任，台端務須採取步驟，確保在落盤時肯定可在 T+2 日作交收。如台端擬賣空股票，則只能經聯交所會員進行，而在作出賣空指示時，台端亦須確保已作好證券借貸安排以便有關交易能於 T+2 日交收。台端須留意，《證券條例》第 80(1) 條禁止出售非由賣方持有之證券，除非賣方在交易時已能夠或有理由信其將有能力交付證券予買方。觸犯《證券條例》第 80(1) 條乃違法行為，可被罰款 10,000 元及入獄 6 個月。

我們身為註冊證券交易商及聯交所會員，有責任遵守《證券條例》及《交易規則》。而根據《交易所規則》附表十一 — 《賣空規例》規定，我們必須：

- (a) 在台端落盤沽出指定證券(即聯交所指定可賣空的股票)時，向台端查詢其是否屬賣空盤。

台端務須注意，根據台端與本公司簽訂的證券現金交易協議第十三 A 條/證券保證金交易協議第十六 A 條，台端有責任在落盤賣空股票時告知本公司此為賣空盤。台端在這方面的合作十分重要，以及

- (b) 如台端的賣盤為賣空盤，則須確認已作好安排，保證能在規定的交收日向本公司提供所出售的指定證券以完成交收。

為了確保台端所作出的賣空指示能完成交收，本公司或會要求台端提供已作好 T+2 日交收安排的證據。這些措施均旨在讓本公司能履行小心審慎行事的責任，以助維持一個公平及有秩序的市場。

台端如對本函件又或賣空活動的一般事宜有任何查詢，請聯絡台端的客戶主任。

此致 貴客戶

