

LETTER OF UNDERTAKING REGARDING VIRTUAL ASSET-RELATED ACTIVITIES 有關虛擬資產相關活動的承諾書

To : Fubon Securities (Hong Kong) Limited ("Fubon Securities")

致：富邦證券(香港)有限公司 (「富邦證券」)

In the event of any conflict between any provisions of the Chinese and English versions of the Form, the English version shall prevail.

如本表的中、英文版本出現分歧，一切皆以英文藍本為準。

i. Name of Client 客戶名稱		
ii. Account Number 帳戶號碼		
iii. Is the Client a Professional Investor? 客戶是否專業投資者	<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否
iv. Is the Client a Financial Institution? 客戶是否機構法人戶	<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否

Pursuant to the SFC' s circular on 22 December 2023, Fubon Securities requires the Client for trading certain type of virtual asset-related products (e.g. complex derivative virtual asset-related products) are Professional Investors (as it is defined in the relevant Hong Kong Rules and Regulations) and considered to be suitable for trading such virtual asset-related products based on the product nature and client suitability assessment are executed.

根據香港證監會於 2023 年 12 月 22 日的通函，富邦證券要求客戶在交易某些類型的虛擬資產相關產品（例如複雜衍生虛擬資產相關產品）時需為專業投資者（依據相關香港規則和法規定義），並且必須基於產品屬性和客戶合適性評估結果，評估其是否適合交易虛擬資產相關產品。

For the details of the requirements, please refer to the SFC website respectively.

有關要求的詳細資訊，請參閱香港證監會相關網頁。

In consideration of Fubon Securities' role as an intermediary regulated under SFC and its obligation to abide by the regulations issued by all relevant regulatory authorities, the undersigned hereby agrees and undertakes as:

參酌富邦證券作為受香港證監會監管的中介機構角色及其遵守所有相關監管機構所頒佈的法規義務，簽署人特此同意並承諾如下：

1. Represent and warrant to Fubon Securities that the Client' s use of Fubon Securities brokerage services will comply with all applicable rules and laws;

向富邦證券聲明並保證，客戶使用富邦證券之經紀服務將遵守所有適用的規則和法律；

2. As soon as possible after receipt of request from SFC, HKEx or any other regulatory body having jurisdiction over the virtual asset-related products traded through Fubon Securities, disclose directly to such regulatory body, provide the clients' personal information including but not limited to information

to prove it is qualified as a Professional Investor and is eligible to trade virtual asset-related products;

在收到香港證監會、港交所或任何對透過富邦證券交易的虛擬資產相關產品具有管轄權的監管機構的要求後，富邦證券會儘快直接向該監管機構披露並提供客戶的個人信息，包括但不限於證明其為合資格專業投資者並有可交易虛擬資產相關產品的信息；

3. Comply with all the relevant regulations stipulated by HKEx, SFC and any other relevant regulatory authority including but not limited to disclosure obligations, suitability assessment obligations, virtual asset knowledge test requirements and any trading restrictions imposed on investors;

遵守港交所、香港證監會及任何其他相關監管機構規定的所有相關法規，包括但不限於披露義務、合適性評估作業、虛擬資產知識測試要求及對投資者施加的任何交易限制；

4. Supply Fubon Securities with all information it may reasonably request concerning the Client and its use of the virtual asset-related products trading service. The Client will also provide and obtain any consents that Fubon Securities may reasonably request in connection with the provision of information to Fubon Securities by the Client;

向富邦證券提供應其合理要求的所有關於客戶及其使用虛擬資產相關產品交易服務的信息和聲明，並將提供富邦證券其客戶向其提供信息及可能要求時的任何同意；

5. Except due to the misconduct, omission, negligence, default or fraud of Fubon Securities and/or its directors, employees or agents, and subject to all applicable laws, indemnify Fubon Securities against any loss, cost, claim, liability, or expense that may be suffered or incurred arising out of or in connection with these undertakings; and

除非因富邦證券及/或其董事、員工或代理人的不當行為、疏忽、過失、違約或欺詐引起，並且遵從所有適用法律的規定，富邦證券應免於因本承諾相關或由此引發的任何損失、費用、索賠、責任或開支而遭受或產生的補償；以及

The Client understands that if it does not comply with the above undertakings, Fubon Securities has the right to remove its accounts from trading or investing in virtual asset-related products through Fubon Securities.

客戶理解，如果未能遵守上述承諾，富邦證券有權取消其通過富邦證券進行交易或投資虛擬資產相關產品的賬戶。

Additionally, the Client understands that, by instructing Fubon Securities in respect of any transaction relating to virtual asset-related products:

此外，客戶理解，通過指示富邦證券進行任何與虛擬資產相關產品的交易：

1. The Client acknowledges that if required by the SFC, HKEx or any other regulatory body having jurisdiction over the virtual asset-related products (through Fubon Securities), take such actions or measures as may be necessary to remedy or rectify any non-compliance (including but not limited to unwinding any settled position in the relevant virtual asset-related product) and

客戶知悉，如香港證監會、港交所或任何其他對虛擬資產相關產品具有管轄權的監察機構要求，將於採取必要的行動或措施去補救或糾正任何不合規行為（包括但不限於解除在相關虛擬資產相關產品中已結算的交易），並且

2. The Client acknowledges that virtual asset-related product involves high investment risk. The Client should make the decision to invest only after due and careful consideration.

客戶承認，虛擬資產相關產品涉及高投資風險。客戶應在經過充分和仔細的考慮後再做出投資決定。

3. The Client acknowledges the arrangement of the Jurisdiction of Hong Kong Courts: The courts of Hong Kong have non-exclusive jurisdiction to settle any dispute arising out of or in connection with this agreement.

客戶了解，香港法院的管轄權之安排：香港法院對因本協議引起或與之相關的任何爭議具有非專屬管轄權。

The Client hereby understands and agrees the above and state that the above information given is complete and correct and that no false or misleading information or false statements have been given.

客戶在此理解並同意以上條款，並聲明所提供的信息是完整和正確的，同時沒有提供任何虛假或誤導性的資料或聲明。

Signature(s) of Account Holder 帳戶持有人簽署

Client Name 客戶名稱：_____

Date 日期：_____

Please return the duly signed Form by email to hkop.sec@fubon.com; by fax to (852)2812-6269, or by mail to Unit 1002, 10/F., Hong Kong Li-Ning Building, 218 Electric Road, Hong Kong.

請將已填妥的表格電郵至 hkop.sec@fubon.com; 傳真至(852)2812-6269 或郵寄至香港電氣道 218 號香港李寧大廈 10 樓 1002 室。

For Official Use Only 供富邦證券用	S.V. Check:	Handled by:	Checked by:
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