

# **South China Securities Limited**

## **Supplemental Agreement for US Stock Trading Services**

I/We acknowledge and consent the following Supplemental Agreement for US Stock Trading Services attached herewith:

1. Account Documentation and W-8BEN Form (Department of the Treasury Internal Revenue Service)  
To apply for the US stock trading service, the US Stock Trading Services Application Form and W-8BEN Form should be duly filled in and signed, and such W-8BEN Form should be renewed every 3 years. If W-8BEN Form has not been renewed as aforesaid, the US stock trading services will not be provided, and only sell orders can be placed on the US Stocks, and the capital gain tax will be withheld until W-8BEN Form is renewed.

2. Provision of Services

The service is not available for U.S. persons. Only non-US citizens/ residents can apply for this service

3. Commissions and Fees

Upon execution of orders, commissions and fees should be paid which may vary from time to time upon notice through South China Securities Limited's statement or any other means.

4. Interest paid to client

The interest rate for client's US dollar deposit may vary from time to time upon notice through South China Securities Limited's website [www.sctrade.com](http://www.sctrade.com) or any other means.

5. Settlement Date

The purchase and sale of stocks are settled on settlement date, i.e. on the first business day after the transaction.

6. Fund Deposit/ Withdrawal

US Dollar should be deposited or exchanged from other currencies to the US stock trading account for trading purpose. The cut off time of fund deposit/ withdrawal instruction is 11:00 Monday to Friday (Hong Kong Time) and the buying power of online trading account will be updated at next trading day of US Stocks Market opens at earliest. For fund withdrawal, the fund will be credited to the client's bank account at earliest 2 business days after receipt of the instruction.

7. Day Trading Rules

To comply with U.S. regulatory requirements, for an account with less than USD25,000 in equity, the trading system would prohibit the account from opening transaction in the 4th day if the account has been effected 3 day trades within 5 business days.

8. Risks of After-Hour Trading

There are special characteristics and unique risks associated with trading in securities at times that are outside the ordinary trading hours. ("After-Hours Trading" or "Extended Hours Trading"). Details could be referred to information on South China Securities Limited's website [www.sctrade.com](http://www.sctrade.com).

9. Miscellaneous

Details could be referred to the account opening document(s) and other accompanying documents and other information (including any relevant updates from time to time) on South China Securities Limited's website [www.sctrade.com](http://www.sctrade.com).

In the event of any difference in interpretation or meaning between the Chinese and English version of this authority, I/We agree that the English version shall prevail.

# 南華證券投資有限公司 美股交易服務補充協議

本人/吾等確認並同意以下所附的美股交易服務補充協議：

## 1. 帳戶檔和 W-8BEN 表格（財政部國稅局）

如欲申請美股交易服務，客戶須填妥及簽署美股交易服務申請表及 W-8BEN 表格，並須每 3 年更新一次。如 W-8BEN 表格未有按上述方式續期，將不獲提供美股交易服務，只可於美股上發出沽盤，並預扣資本增值稅，直至 W-8BEN 表格續期為止。

## 2. 提供服務

該服務不適用於美國人。只有非美國公民/居民可以申請此服務

## 3. 佣金和費用

在執行交易指示時，應支付佣金及費用，而佣金及費用會不時更改，並會不時透過南華證券投資有限公司的網站 [www.sctrade.com](http://www.sctrade.com) 或任何其他方式發出通知。

## 4. 支付給客戶的利息

客戶之美元存款利率會不時調整，惟須透過南華證券有限公司結單或任何其他方式發出通知。

## 5. 結算日期

股票的買賣在結算日結算，即交易後的第一個營業日。

## 6. 存款/提款

美元應存入或兌換其他貨幣至美股交易帳戶以作交易用途。資金提存指示截止時間為星期一至星期五（香港時間）11:00，網上交易帳戶的購買力最快將於下一個美股交易日開市前更新。對於提款，款項將最早在收到指示后 2 個工作日內存入客戶的銀行帳戶。

## 7. 即市交易規則

為遵守美國監管要求，對於淨值低於 25,000 美元的帳戶，如果該帳戶在 5 個工作日內進行了 3 筆即市交易日，交易系統將禁止該帳戶在第 4 天進行交易。

## 8. 盤後交易的風險

在正常交易時間之外進行證券交易存在特殊特徵和獨特風險。（“盤後交易”或“延長交易時段交易”）。詳情請參閱南華證券投資有限公司網站 [www.sctrade.com](http://www.sctrade.com) 的資料。

## 9. 其他

詳情請參閱南華證券投資有限公司網站 [www.sctrade.com](http://www.sctrade.com) 內的開戶檔及其他隨附檔及其他資料（包括不時的任何相關更新）。

如本授權書的中、英文版本在詮釋或含義上有任何差異，本人/吾等同意以英文版本為準。