

SHK Online (Securities) Limited
AI-Portfolio Investing Registration and Account Opening Form
新鴻基科網 (證券) 有限公司

「AI-Portfolio 投資平台」登記及帳戶開設表

Reply Form

回覆表格

To: SHK Online (Securities) Limited (“SHKOS”)

致：新鴻基 科網 (證券) 有限公司 (「SHKOS」)

In order to avail of the “AI-Portfolio Investing” service, I/We agree to open a new cash securities trading account with SHKOS (“AI-Portfolio Account”). I/We have read and fully understood the terms and conditions of SHKOS’s Client Agreement and Schedules and agree to be bound by them. I/We agree to transfer my/our personal data and other information related to my/our existing account (“Existing Account”) held with SHKOS (together referred to as “Information”) to the AI-Portfolio Account for the purpose of activation of the “AI-Portfolio Investing” service and for SHKOS to provide other incidental or additional services to me/us through the AI-Portfolio Account. SHKOS will rely on the Information being true, accurate, complete and up-to-date, and that I/We have the right to or am/are authorized to disclose the Information to SHKOS. If any Information is incorrect, I/We undertake to inform SHKOS immediately. I/We hereby agree that all of the consents, agreements and authorities (including my/our consents and agreements relating to (i) EBSHK’s Privacy Policy; (ii) China Stock Connect, if applicable; and (iii) any standing authorities relating to client money and/or client securities, if applicable) given by me/us in respect of the Existing Account shall apply to the AI-Portfolio Account unless I/We notify SHKOS otherwise in writing by completing such form as may be required by SHKOS from time to time. I/We hereby authorize SHKOS to apply the same predetermined risk level unless SHKOS notifies me/ us otherwise in writing (including through email).

本人 / 吾等同意就 使用「AI-Portfolio 投資平台」在 SHKOS 開設一個全新的現金證券交易帳戶，(「AI-Portfolio 帳戶」)。本人 / 吾等已閱讀並完全明白 SHKOS 客戶協議的條款和細則，並同意受其約束。本人 / 吾等同意 SHKOS 將本人 / 吾等現時於 SHKOS 持有之現金證券交易帳戶(「現存帳戶」)的個人資料及其他信息(統稱為「信息」)用於啟動 AI-Portfolio 投資平台服務及以供 SHKOS 透過 AI-Portfolio 帳戶向本人 / 吾等提供其他附帶或額外的服務。SHKOS 將依賴信息的真實性、準確性、完整性和其為最新情況，並且本人 / 吾等有權或已獲授權向 SHKOS 披露相關信息。信息如有任何不正確，本人 / 吾等承諾立即通知 SHKOS。本人 / 吾等特此同意，就我/我們對現存帳戶所作出的一切批准、同意和授權(包括本人 / 吾等的關於(i)光大新鴻基的隱私政策；(ii)滬深港通股票交易服務，如適用；以及(iii)任何與客戶款項和/或客戶證券相關之常設授權，如適用，的批准、同意)一概適用於 AI-Portfolio 帳戶，除非本人 / 吾等通過填寫 SHKOS 不時要求的表格以書面形式通知 SHKOS。本人 / 吾等特此授權 SHKOS 將相同預定的風險等級適用於 AI-Portfolio 帳戶，除非 SHKOS 以書面形式另行通知本人 / 吾等 (包括透過電郵)。

I/We fully understand and accept that trading Hong Kong shares through or utilizing “AI-Portfolio Investing” service will incur risks including but not limited to those risks which have been stated in the Client Agreement and Schedules (in particular, in Schedule 6 (E-Schedule) thereto and the Risk Disclosure Statements thereof) given to me/us during the account opening, which is also

I/We agree to accept the inherent risks and limitations in the “AI-Portfolio Investing” trading service. Such risks and limitations may include but are not limited to no or insufficient account being taken of my/our investment objective, financial situation or risk profile due to the generalized and non-personalized nature of the software algorithm. If I/We decide to alter the composition of the model portfolio or not to rebalance my/our portfolio to align with the revised or updated model portfolio, I/We agree to accept all the risks occasioned by my/our own decision.

本人 / 吾等同意接受「AI-Portfolio 投資平台」交易服務中的固有風險和局限。此類風險和局限可能包括但不限於由於軟件算法的一般及非個人化性質而沒有或未有充分考慮本人 / 吾等的投資目標、財務狀況或風險狀況。如果本人 / 吾等自行決定改變模型投資組合的組成或不重新平衡本人 / 吾等的投資組合以與經修訂或已更新的模型投資組合保持一致，本人 / 吾等同意接受本人 / 吾等自己所作決定所帶來的所有風險。

I/We also acknowledge and agree that the Hong Kong shares trading service through other channels for my Securities Trading Account(s) stated below will be disabled during the continuation of the “AI-Portfolio Investing” trading service provided to me/us. Without prejudice and in addition to foregoing provisions or any provision in the Client Agreement and Schedules or in any software installation or log-in disclaimers, I/We agree that SHKOS shall be afforded protections and waiver of liabilities to an extent no less than those protections and waiver of liabilities available to or claimed by the commercial market data or technology vendor who provides market data or technology to me/us or SHKOS or its affiliates directly or indirectly. Please provide access to the “AI-Portfolio Investing” trading services for my Securities Trading Account(s) stated below.

本人 / 吾等亦確認及同意本人的下列證券交易帳戶在其他渠道的港股交易服務將在本人 / 吾等使用「AI-Portfolio 投資平台」服務期間停止提供。在不損害及附加在上述條文或「客戶協議及附件」或任何軟件裝載或登入的免責聲明中的任何條文的前提下，本人 / 吾等同意授予新鴻基 科網（證券）有限公司保障及法律責任之免除，有關保障及法律責任之免除的程度不低於直接或間接地提供市場數據或技術予本人 / 吾等或SHKOS或其有聯繫人士之商業市場數據或技術供應商所享有或要求享有之保障及法律責任之免除。請為本人的下列證券交易帳戶提供「AI-Portfolio 投資平台」交易服務。

I/We acknowledge and agree that the fees charged for trading through the “AI-Portfolio Investing” service appropriately reflect the allocation of risks between the parties. Accordingly, based on the foregoing, I/We acknowledge as reasonable the exclusions of warranties and limitations on liability set forth in this Reply Form. As such, I/We acknowledge and agree that if any of the exclusions or limitation of warranties or liabilities set forth in this Reply Form should be deemed to be invalid, ineffective or unenforceable, or in the event that SHKOS is found liable for any claim arising out of or in connection with the “AI-Portfolio Investing” service, then, the entire collective liability of SHKOS and/or any member of the Group (as defined in the SHKOS’ Client Agreement and Schedules) shall in no circumstance exceed two (2) times the amount of fees paid by me/us to SHKOS in the month immediately preceding the act or omission or circumstance giving rise to the claim.

本人 / 吾等確認並同意，透過「AI-Portfolio 投資平台」服務進行買賣的費用適當反映各方的風險分配。因此，基於上述，本人 / 吾等確認本回覆表格列載之保證排除及責任限制均為合理。就此，本人 / 吾等確認並同意，倘本回覆表格列載之任何保證或責任的排除或限制被視為無效、失效或不具執行效力，或當 SHKOS 因或有關「AI-Portfolio 投資平台」服務而被認為對任何索償有責任，SHKOS 及 / 或集團（如 SHKOS 的客戶協議及附件所定義）任何成員的全部集體責任在任何情況

下將不超過本人 / 吾等於引致索償產生的行為或遺漏或情形之日起的前一個月付予 SHKOS 的服務費用之兩(2)倍。

Client Name

客戶姓名：

Current Cash Securities Trading A/C No.

現有現金證券交易帳戶編號：

Client Signature*

客戶簽署*：

* Consistent with the signature of the existing specimen signature. For a joint account, all joint account-holders must sign.

* 簽署必須與您現有的簽署樣本一致。對於聯名帳戶，所有聯名帳戶持有人均須簽署。

Date 日期： _____

Office Use: TO BE COMPLETED BY (i) HEAD OF E-BUSINESS (OR HIS OR HER DELEGATE) (for SHKOS); or (ii) WEALTH MANAGER (for other EBSHK Group entities)

內部填寫：由 (i) 電子商務部主管 (或其代表) (適用於新鴻基科網) 填寫；或 (ii) 客戶經理 (適用於其他光大新鴻基集團的公司) 填寫

AI-Portfolio Cash Securities Trading A/C No.

AI-Portfolio 現金證券交易賬戶號碼：

Please complete, sign and return this document to us by post. Postal address: E-Business Department, Everbright Sun Hung Kai Company Limited, 28/F Lee Garden One, 33 Hysan Avenue, Causeway Bay, Hong Kong. Signature(s) should be the same as the specimen signature(s) recorded on the account opening documents. Call us on +852 2822 5001 if you have any questions.

請填妥、簽署本文件，然後將本文件以郵寄方式交回本公司。郵寄地址：香港銅鑼灣希慎道 33 號利園一期 28 樓，光大新鴻基有限公司電子業務部 (E-Business)。本文件上的簽名必須與開戶文件上的式樣相同。閣下如有任何問題，請致電 +852 2822 5001 查詢。