

For Internal Reference

New Client Parameter Setting Request

Date : _____ Introduced By : _____
Client Name : _____ Client Number : _____
Min. brokerage amount : _____ Brokerage rate : _____
Rebate rate : _____ Payee for rebate : _____
Settlement Method : _____
Credit Limit/Trade Limit/Margin Loan Limit : _____

- Credit/ Trade Limit for internet trading only.
 Credit/ Trade Limit for account - place order over the phone only.
 Credit/ Trade Limit for both Internet trading & place order over the phone.
 Margin Loan Limit for margin accounts.

Client's Authorization:

In consideration of the above credit limit/ trade limit granted to me/ us by CNI Securities Group Limited, I/ we hereby authorize CNI Securities Group Limited without recourse thereto to exercise its right to liquidate/ sell off part/ all of my/ our shareholdings in my/ our account(s) with it in order to meet my/ our financial obligations/ indebtedness to it as a result of any default on my/ our part whenever it considers appropriate.

Signed: _____
(Signature of Client)

Account Executive's (AE's)/ Guarantor's Liability and Indemnity:

I, _____ (HKID/Passport No. _____)*, being the Account Executive/ Guarantor of the above-mentioned client account, hereby take up full responsibility (financial or otherwise) for the above credit limit/ trade limit/ margin loan limit granted to the above client and undertake to keep CNI Securities Group Limited and its directors, officers, employees and agents indemnified against all claims, demands, actions, proceedings, damages, losses (financial or otherwise), costs and expenses incurred by CNI Securities Group Limited arising (directly or indirectly) out of the above financial facility/ accommodation granted to the above client.

* Please attach copies of HKID card or passport and proof of residential address

Signed: _____
(Signature of Account Executive/ Guarantor)

AE Code : _____ AE/ Guarantor's Name: _____

Requested By : _____

Approved By : _____
(Director/ Managing Director)