

## Portfolio Management Application Form 资产管理申请表

You must read the latest offering documents of the relevant financial instruments and products before completing this form. Please keep a copy for your records. Please write in block letters and tick the boxes where applicable.  
 阁下必须在填写本表格前应先阅读相关金融工具及产品的说明章程。请保留副本作记录。请以中文正楷填写及在合适方格内打勾。

### 1. Applicant(s)' Information 申请人资料

Company Name: 公司名称:			
Applicant A/C No.: 申请人帐户号码:		Country of Incorporation: 公司注册之国家:	
Certificate of Incorporation No.: 在注册国家之注册号码:		Nature of Business: 业务性质:	
Registered Address: 注册地址:			
Tel. No.: 电话:		E-mail Address: 电邮地址:	

### 2. Portfolio and Investment Strategy 投资组合与投资策略

Option 选择	Investment Aptitude 投资取向	Risk Level 风险程度	Portfolio & Investment Strategy (Recommended) 投资组合与投资策略 (推荐)
<input type="checkbox"/> (A) (甲)	Conservative 保守	Low 低	100% Mutual Fund 100% 共同基金
<input type="checkbox"/> (B) (乙)	Moderate 均衡	Middle 中	50% Mutual Fund, 50% Securities 50% 共同基金, 50% 股票
<input type="checkbox"/> (C) (丙)	Aggressive 进取	High 高	100% Securities 100% 股票
<input type="checkbox"/> (D) (丁)	Capital Protection* 本金保障*	Low 低	100% Securities (IPO in Hong Kong Market) 100% 股票 (香港市场之新股认购)
<input type="checkbox"/> (E) (戊)	Aggressive (Non-capital Protection) 进取 (非本金保障)	High 高	100% Securities (IPO in Hong Kong Market) 100% 股票 (香港市场之新股认购)
<input type="checkbox"/> (F) (己)	Aggressive (Non-capital Protection) 进取 (非本金保障)	High 高	0%-70% 股票 (香港市场之新股认购及二级市场总之股票) 0%-70% Securities (IPO and Secondary Market in Hong Kong Market) 0%-50% 固定收益类金融产品 (主要为公司债券及金融债券) 0%-50% Fixed Income Financial Instruments (Mainly Corporate Bonds) 0%-50% 期权类金融衍生产品 (主要为高息票据) 0%-50% Options and Structured Financial Products (Mainly ELNs)

\*本金保障是指到期时之本利不低予期初净入金金额。

\*Capital Protection means the capital retrieved by the end of investment period is not less than the initial capital injected.

### 3. Fee Structures 费用结构

Option 选择	Management Fee 管理费	Min. Investment Term 最少投资期	Performance Fee 表现费
(A) (甲)	3.00% per annum 每年 3.00%	12 months 12 个月	Nil 没有
(B) (乙)	2.50% per annum 每年 2.50%	12 months 12 个月	20.00% 20.00%
(C) (丙)	3.00% per annum 每年 3.00%	12 months 12 个月	20.00% 20.00%
(D) (丁)	2.50% per annum 每年 2.50%	18 months 18 个月	60.00% 60.00%
(E) (戊)	2.50% per annum 每年 2.50%	12 months 12 个月	30.00% 30.00%
(F) (己)	2.50% per annum 每年 2.50%	12 months 12 个月	30.00% 30.00%

Note: Performance fee is calculated on the net profit. The net profit equivalent to the gross profit on maturity date less all necessary transaction costs and charges less the initial capital amount.  
 注: 表现费是在净盈利上计算的。净盈利相当于投资期完结时的毛利减去一切必要的交易成本及费用及减去始初的投资金额。

### 4. Investment Amount and Deposit Details 投资金额及存款方法

Investment Amount: 投资金额:	HK\$	Bank Name: 银行名称:	The Hong Kong and Shanghai Banking Corporation Limited
Beneficiary Name: 收款人名称:	KAB Strategy Limited	Bank A/C No.: 银行帐号:	809-351190-838
Bank Address: 银行地址:	No. 1 Queen's Road Central, Hong Kong	SWIFT Code: SWIFT 代码:	HSBCHKHHKHKH
Beneficiary Address: 收款人地址:	Office 203, Stavrakis Court, 13 Griva Digeni Avenue, 6030 Larnaca, Cyprus		

**Trading and Performance Fee Authorization Letter 交易及投资表现费用之授权书**

**1. Authorization of Trading in the Primary and Secondary Market 一级市场及二级市场之交易授权**

- (i) I/We hereby consented and authorized KAB Strategy Limited with full power to trade with my/our account (A/C No.: \_\_\_\_\_) in the primary and secondary market, this authorization is valid for one year; Start from \_\_\_\_\_ (dd/mm/yy) and end at \_\_\_\_\_ (dd/mm/yy).  
 本人/吾等同意委托三甲金融策略有限公司全权代理本人/吾等之帐户 (帐户号码: \_\_\_\_\_), 履行本理财计划的一级市场、二级市场交易授权。委托期限为一年。由\_\_\_\_\_年\_\_\_\_\_月\_\_\_\_\_日至\_\_\_\_\_年\_\_\_\_\_月\_\_\_\_\_日止。
- (ii) In the period of authorization, I/we promised that I/we will not subscribe the IPO being listed in the Hong Kong Stock Exchange in the name of me/ us. If I/we broke the promise, I am/we are willing to bare the legal responsibilities and losses arising from duplicate subscription by my/our name.  
 委托期内, 本人/吾等清楚保证, 不会以个人或公司名义申购任何在香港证券交易所上市的新股。倘若本人/吾等违反有关保证, 本人/吾等愿意承担所有因重复申购新股而引起的法律责任及经济损失。

**2. Authorization of Performance Fee Letter 投资表现费用之授权书**

I/We understood that the return on investment scheme is closely related to the portfolio management service provided by KAB Strategy Limited. As I/we agreed and allowed KAB Strategy Limited to charge for a relevant performance fee from my investment account according to the "Portfolio Management Application Form" when certain pre-set return has been achieved. Terms and Conditions are as below:

本人/吾等明白三甲金融策略计划的回报与三甲金融策略有限公司提供的资产管理服务有密切的关系, 故同意在本人/吾等的投资户口达成某订定回报后, 授权三甲金融策略有限公司根据《资产管理申请表》规限的情况下于本人/吾等在三甲金融策略有限公司的户口中扣除有关的表现费用。定义及条款如下:

- (i) Investment performance and return is defined as the accumulated capital value at the end of the investment period less the capital injected at the beginning of the investment period.  
 期间投资表现回报是指在期末的最后一个交易日, 将投资户口价值与期初的入金价值比较, 所增加的价值便是期间的投资回报。
- (ii) Investment performance fee: KAB Strategy Limited can charge for the investment performance fee only at the end of the investment period according to the "Portfolio Management Application Form". If the investment performance did not match or fulfill the expected return, KAB Strategy Limited will not charge for the investment performance fee.  
 投资表现费: 三甲金融策略有限公司只可于期末累积的回报中收取《资产管理申请表》所授权的表现费。倘期末回报表现不符合收取客户表现费用的资格, 客户即无须就所得的回报给付表现费用。
- (iii) Monthly investment return: It defines as the comparison of accumulated capital value of the last trading day of each month less the capital value in the last trading day of previous month.  
 每月投资回报: 在每月的最后一个交易日, 将投资户口价值与上月最后一个交易日比较, 所增加的价值便是每月投资回报。
- (iv) Cumulative performance fee and receivable date: Cumulative performance defines as the accumulative performance from the beginning till the last trading day of the investment period. The performance fee will be charged and received at the last trading date of the investment period.  
 表现费的累积及收取日期: 最后一个交易日累积、每期最后一个交易日收取已累积的表现费。每期最后一个交易日订为表现费的收取日。
- (v) Performance fee benchmark: The investment performance must above 0%. KAB Strategy Limited can charge for a certain percentage of the exceed return (Rate of performance fee).  
 表现费的基数: 客户每年的投资回报表现须在0%以上, 三甲金融策略有限公司可收取所超越的回报当中的一定百分比(表现费率)。
- (vi) Paying of performance fee: It will be deducted in the client's account. If the account balance is not enough to pay for the performance fee, KAB Strategy Limited has the rights to request the clients to pay for such fee by cheque and/or telegraphic transfer.  
 表现费的收取方法: 于客户的户口中扣除。如客户户口的金额不足缴付表现费, 三甲金融策略有限公司有权要求客户以支票及/或电汇支付款。

This authorization is valid for one year only as above and it will be expired automatically. I/We have read the read latest offering document(s) and understood the associated risks, and understood that this authorization can not be written off once signed. I/We have read and understood the contents of the authorization and agreed to be bound by the content of this authorization.

本授权书的有效期限自本授权书之日起计至委托最后期限有效, 期满后本授权书会自动失效。本人/吾等已经阅读最新说明章程及了解相关风险, 并明白一经签署, 不可以撤销本授权书。本人/吾等已经阅读及明白本常设证券授权书的内容, 并同意受本授权书的内容约束。

Applicant Name 申请人姓名:

Applicant Signature 申请人签署:

DATE 日期:

X  
 \_\_\_\_\_

X  
 \_\_\_\_\_ (If company, with company chop)  
 (如公司, 请盖章)

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_

Second Applicant Name 第二申请人姓名:

Second Applicant Signature 第二申请人签署:

DATE 日期:

X  
 \_\_\_\_\_

X  
 \_\_\_\_\_ (For second applicant)  
 (帐户第二申请人)

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_

**Notes 附注**

1. **Fax instructions 传真指示**  
 Investors should consider the risks inherent in giving instructions by fax. Non-original signatures on faxes may be forged and instructions given by fax may be transmitted to wrong numbers, may never reach KAB Strategy Limited (Hereinafter "KAB") and may thereby become known to third parties. KAB accepts no responsibility for any loss that investors may suffer as a result of giving instructions by fax. Investors should not authorize KAB to accept fax instructions unless the investors are prepared to undertake such risks.  
 投资者应详细考虑发出传真指示的风险, 传真上之签名可能被冒签, 传真亦有可能被发至错误的传真号码而无法送达本公司及导致资料外泄, 本公司将不负责投资者因发出传真指示而蒙受的一切损失, 除非投资者准备承担一切与发出传真指示有关的损失, 投资者不应授权本公司接受传真指示。
2. **Risk of communication and remittance 通讯及汇款的风险**  
 All communications and remittances sent to KAB by the investors or by the nominee of the investors or vice versa are sent at the risk of the investors. KAB shall have no responsibility for any loss arising from the inaccuracy or failure of any communication, whether by post or fax, unless such loss results from the wilful default or negligence of KAB.  
 投资者或投资者的代理与本公司之间如有任何往来通讯及汇款, 一切风险概由投资者承担, 除非本公司蓄意违约或疏忽, 否则本公司概不负责任何因邮寄或传真通讯失实或失败所致之损失。
3. **Personal Data 个人资料**  
 Personal data provided by the investors on the application form, and details of transactions or dealings between the investors and KAB will be used, stored, disclosed and transferred to such persons as KAB considers necessary, including any member of the KAB Group, for any purpose in connection with the services KAB may provide to the investors, and/or in connection with matching for whatever purpose with other personal data concerning the investors, and/or for the purpose of promoting, improving and furthering the provision of services by KAB/other KAB Group members to customers generally. (2) The investors have the right to request access to and correction of any personal data or to request the personal data not to be used for direct marketing purposes.  
 (i) 本公司在向投资者提供服务及/或核对投资者的其它个人资料时, 及/或本公司或三甲集团其它成员公司在推广、改善或加强其一般客户服务时, 可在任何地区使用、储存、透露投资者在申请表格内所提供的个人资料及投资者与本公司之间进行的交易或买卖的详情, 及将有关资料转交本公司认为必要的人士, 包括三甲集团任何成员公司; (ii) 投资者有权要求取得或更改任何个人资料或要求禁止将投资者的个人资料作直销用途。