

12 April 2017

Dear Valuable Client,

Re: Client Agreement Revision arising from a Change of Code of Conduct by the Securities and Futures Commission

As you may aware, the Securities and Futures Commission has revised Paragraph 6.2 of the Code of Conduct for intermediaries on the minimum content of client agreement with a mandatory addition of a clause on suitability requirements to all existing and future clients.

The firm hereby revised and updates all its existing agreement with clients in accordance with Clause 4.1 of the agreement with this notice. The relevant section which contain the clause has been revised as follows (with the unaltered version of the clause highlighted in 11.2) and Clause 31.2(b)

“11. Advice related to Securities Transactions

11.2 Suitability of Investment

If we solicit the sale of or recommend any financial product to you, the financial product must be reasonably suitable for you having regard to your financial situation, investment experience and investment objectives. No other provision of this agreement or any other document we may ask you to sign and no statement we may ask you to make derogates from his clause.”

31.2(b) We have the right to terminate (temporarily or permanently and at any time, with or without cause or prior notice) all or any part of any Service, or your access to such Service.

The remainder of the clause, save for numbering, remains unchanged.

No action is required by you for this change in client agreement. If you have any questions on the changes of the client agreement, please do not hesitate to contact us.

Yours faithfully

For and on behalf of
Enhanced Securities Limited

2017 年 4 月 12 日

尊貴的客戶:

就證券及期貨事務監察委員會(證監會)修訂<<持牌人或註冊人操守準則>>對<<客戶協議書>>作出之調整

閣下或已留意到，證券及期貨事務監察委員會(證監會)在較早前修訂了<<持牌人或註冊人操守準則>>內第 6.2 段，要求各中介機構在所有現時及將來的客戶協議書內，對合適性條款作出最低限度之調整。

因此，本公司根據<<客戶協議書>>內第 4.1 條，就證監會要求修訂了<<客戶協議書>>內相關章節。相關調整如下（第 11.2 條則為證監會修訂的原裝條款）及 第 31.2(b)：

“11. 與證券交易有關的建議

11.2 投資合適性

假如我們向閣下招攬銷售或建議任何金融產品，該金融產品必須是我們經考慮閣下的財務狀況、投資經驗及投資目標後而認為合理地適合閣下的。本協議的其他條文或任何其他我們可能要求閣下簽署的文件及我們可能要求閣下作出的聲明概不會減損本條款的效力。”

31.2(b)吾等有權在毋須任何原因或事前通知的情況下，暫時或永久地暫停吾等向閣下提供之部分或全部服務，或暫停閣下使用吾等之服務。

除以上調整外，<<客戶協議書>>內其他條款保持不變。

閣下無需要就此修改作出回覆。如對相關調整有任何疑問，歡迎聯絡我們。

順祝商祺

進陞證券有限公司