

**CITIC Securities Brokerage (HK) Limited (“CSBHK”)**
**Change of Account Type Form – From Cash Account to Margin Account (Individual)**

Customer Name : \_\_\_\_\_ Customer Number : \_\_\_\_\_

 I/We hereby apply for change of my/our account type from cash account to margin account with effect from \_\_\_\_\_<sup>1</sup> subject to acceptance by CSBHK at its absolute discretion.

I/We acknowledge and confirm that I/we agree to be bound by the Terms and Conditions for Margin Financing of CSBHK as amended and/or supplemented together with any Addendum from time to time in addition to its Terms and Conditions for Securities Trading.

I/We hereby confirm that:

- (i) I/We have read and understand the contents in the “For Margin Account customer only” section in the box of “Customer’s Declaration” and signed in the box.
- (ii) A licensed representative of CSBHK has provided the Risk Disclosure Statements contained in the Terms and Conditions for Margin Financing of CSBHK in the language of my choice and I/we am/are invited to read the same, ask questions and to take independent advice if I/we wish<sup>2</sup>;
- (iii) There is no change to my/our information provided to you previously and undertake to promptly notify CSBHK if there is any change in the information provided in or in connection with my/our account.
- (iv) The answer of the relevant questions for Margin Account customer in the Customer Information Statement are detailed as follow:

Is your spouse a margin customer of CSBHK?

|                             |  |                      |                 |
|-----------------------------|--|----------------------|-----------------|
| <input type="checkbox"/> No | <input type="checkbox"/> Yes (pls provide details) | Name of your spouse: | Account number: |
|-----------------------------|--|----------------------|-----------------|

Are you, either alone or with your spouse, in control of 35% or more of the voting rights of any corporate margin customer of CSBHK?

|                             |  |                      |                 |
|-----------------------------|--|----------------------|-----------------|
| <input type="checkbox"/> No | <input type="checkbox"/> Yes (pls provide details) | Name of the company: | Account number: |
|-----------------------------|--|----------------------|-----------------|

Is any your group company a corporate margin customer of CSBHK?

|                             |  |                      |                 |
|-----------------------------|--|----------------------|-----------------|
| <input type="checkbox"/> No | <input type="checkbox"/> Yes (pls provide details) | Name of the company: | Account number: |
|-----------------------------|--|----------------------|-----------------|

I/We agree and confirm that CSBHK and its affiliates shall not be responsible for any losses, damages, costs, expenses, liabilities whatsoever (“Losses”) resulting or arising, whether directly or indirectly, from the change of my/our account type and I/we agree to indemnify CSBHK and its affiliates against all Losses suffered or incurred by any of them resulting or arising therefrom.

 Client signature: \_\_\_\_\_  
 Date: \_\_\_\_\_

 AE signature: \_\_\_\_\_ CE No.: \_\_\_\_\_  
 Date: \_\_\_\_\_

<sup>1</sup> Effective date can only be 1 business day after this form is received by Operations and all pending trading position has been completely cleared.

<sup>2</sup> Licensed person is required to explain the Risk Disclosure Statement contained in the Terms and Conditions for Securities Trading and to sign in the box “To be completed by Licensed Representative” on the Customer Information Statement with date.