**Notice to Clients**

Before using this Online Securities Trading System (“**Trading System**”) provided by Hang Tai Securities Limited (“**Company**”), you (“**Client**”) must carefully read and fully understand, realize and accept the following items:

**Acknowledgement**

Company, a SFC registered institution, provides Trading System for Hong Kong stocks trading. The Trading System may also include other markets stock trading, such as China or US stocks, or other financial products trading, such as derivatives, if applicable.

Client must acknowledge, understand and comply with the terms and conditions of relevant products before making any transactions. Client has to bear risks as well as to take responsibilities involved in the transactions of relevant products. Should Client have any queries about the relevant products, please obtain professional advice immediately.

Client should pay attention to:

1. any “Terms and Conditions” regarding online trading services from Company;
2. any “Terms and Conditions”, regarding any of the following sections: “Risk Disclosure Statement for Securities Trading”, “Risk Disclosure Statement for Derivative Products Trading” and “Risk Disclosure Statement for Trading Growth Enterprise Market Stocks”.

Company Customer Service contact:

* Hotline: (+852) 2815 1281
* E-mail: hangtaisec@gmail.com
* Address: Room 2105A, 21/F., K. Wah Centre, 191 Java Road, North Point, H.K.
* Webpage: www.hangtaiglobal.com

Company may update the Terms and Conditions from time to time. Please contact Company’s Customer Service Hotline or visit Company’s website periodically to obtain the latest copy to get up-to date information.

**Reminder**

All personal information is confidential and should NEVER be disclosed to others. Client is advised to change his/her password on a regular basis in order to protect the online trading account.

Client is reminded to log out from the Trading System each time after use. Client should also take every precaution to prevent his/her login ID and password from being recorded on the computer in order to avoid any losses caused by any unauthorized operation of Client account.

**Liability**

Online security should always be of great importance to Client. Company will not be liable for any losses or damages arising from Client’s negligence. Should Client be aware of any unauthorized operation on Trading System, please contact Company immediately.

Company has the absolute right to interpret this “Notice to Clients”. Should there be any enquiries, please contact Company to clarify before pressing the “Agree” button below.

Client’s act of pressing the “Agree” button below means Client acknowledges and accepts the above mentioned items and wants to enter the trading login page. If Client does not agree to any of the above or any part of this “Notice to Clients”, press the “Disagree” button to leave this Trading System.

**Disclaimer**

Hong Kong Exchanges and Clearing Limited (the “HKEX”) and/or its subsidiaries and Company, along with any other relevant data and/or information provider, endeavor to ensure the accuracy and reliability of the information provided. However, both HKEX and Company do not guarantee the accuracy or reliability of any kind of information and the performance of the Trading System and accept no liability, whether in tort or contract or otherwise, for any loss or damage arising from any inaccuracies or omissions.

**Trading**

Only applicable for Clients with internet trading accounts.

All orders will only be accepted to place in the Trading System during the trading hours, which is from 9:00 a.m. to 4:10 p.m. Unmatched orders placed will be cleared from order status page of the Trading System at 11:00 p.m. on the same day.

The Pre-opening Session consists of an order input period, a pre-order matching period, an order matching period and a blocking period as follows:

* Order Input Period: From 9:00 a.m. to 9:15 a.m.
* Pre-order Matching Period: From 9:15 a.m. to 9:20 a.m.
* Order Matching Period: From 9:20 a.m. to 9:28 a.m.
* Blocking Period: From 9:28 a.m. to 9:30 a.m.

During the order input period, only at-auction orders and at-auction limit orders are accepted. Orders are accumulated and updated in the Trading System continuously and may be modified or cancelled.

During the pre-order matching period, only at-auction orders are accepted and modification or cancellation of orders in the Trading System will not take place.

During the order matching period and blocking period, no input, modification and cancellation of orders are allowed.

Client is obliged to check the actual statuses of those orders on the order status page after placing orders. Details of order status are as follows:

* PDI: Pending
* UFI: Unfilled
* PFI: Partially Filled
* FID: Filled
* RJD: Rejected
* CLD: Cancelled

You are obliged to check the actual statuses of those orders on the order status page after placing orders. The word “PDI” displayed in the status column means the order is still waiting for the feedback signal from the Trading System. The “RJD” status means the order has already been rejected by the Trading System and you are required to input the order again.

For all orders placed via the Trading System, the brokerage commission will be charged at a discount rate. Buy orders / sell orders for the same securities with maximum four price spreads will normally be combined into one contract by the same channels placed. If Client modifies a buy order / sell order by calling Company which is originally placed via the Trading System, the modified portion of the original order will be deemed as a new order placed by phone and grouped to the contract with other buy orders / sell orders (if any) placed by phone on the same day, and the brokerage commission thereon will be charged at the normal rate. On the other hand, if Client modifies an order which is originally placed by phone via the Trading System, the order will still be deemed as placed by phone and the brokerage commission will still be charged at the normal rate.

For details of brokerage commission, please contact an Account Executive or Company directly.