

Shenwan Hongyuan Securities (H.K.) Limited
Real Time Quotation Service Application Form

()	New	Account Name:	_____
()	Change	Account No.:	_____
()	Cancel	Effective Date:	_____

Hong Kong Real Time Quotation	Basic Package Monthly Charges		Special Add On Service
Vendor	Hong Kong User	PR China Users	
2 Go Trade	HK\$350 ()	HK\$240 ()	
ET Net IQ	HK\$380 ()	HK\$260 ()	Stock Options Quotation HK\$90 ()
Qianlong	HK\$280 ()	HK\$180 ()	
ZhiYiYing	HK\$500 ()	HK\$240 ()	

U.S. Real Time Quotation	Basic Package Monthly Charges		Note
Vendor	Non-Professional	Professional	
Qianlong	HK\$128 ()	HK\$338 ()	Please complete the appendix 1 - Identify Professional / non-Professional Subscriber Questionnaire
ZhiYiYing	HK\$128 ()	HK\$338 ()	

*Please make sure your trading platform are up-to-date.

I/We acknowledge and confirm

- Request received after the 20th day of each month will be effective the following month.;
- If my/our monthly online trading turnover equals or exceeds HKD 2 million (Hong Kong user) / HKD 1 million (PRC user) ^{Note 1}, the quotation service fee of that month will be refunded ^{Note 2};
 Note 1: The monthly online trading turnover only include online trading on Hong Kong Securities. Trades are executed through Account Executives or non - Hong Kong Securities trades shall be excluded.
 Note 2: I/We shall be only entitled to one quotation service fee waiver of the basic monthly charges (not including special add on service) each month, if more than one quotation services are subscribed, only the one charged with highest fees will be refunded.
- The above services are provided by the respective vendor and I/We will be bound by the terms & conditions set by the vendor. Neither Shenwan Hongyuan Securities (HK) Limited nor any of its directors, officers, employees or agents shall have any liability whatsoever for any loss, expense or damage suffered by me/us arising out of or alleged to arise out of or in connection with any inconvenience, delay, malfunction, use or loss of use of the above services;
- PRC Users can only access the selected quotation service inside PRC. Monthly Fee is net of rebate from the Stock Exchange of Hong Kong Limited ("SEHK") for PRC Investors. SW Securities reserves the right to adjust the applicable fee in accordance with changes announced by SWSHK;
- I/We agree to pay the first month of quotation service fee at the effective date and the ongoing payment will be charged on the first business day of each month. If there be an insufficient amount of relevant fees in the securities account, SWSHK has the right to terminate the quotation service account without prior notice.

 Signature(s) of Client

For Official Use Only

Sales/A.E.	Branch Manager	Responsible Officer	Settlement	P/W issued on

香港軒尼詩道 28 號 19 樓

Level 19, 28 Hennessy Road, Hong Kong

電話 Tel: (852) 2509 8333

傳真 Fax: (852) 2509 0018

網址 Website: www.swhyhk.com

Appendix 1 - Identify Professional / non-Professional Subscriber Questionnaire

1. Are you using or planning to use NASDAQ U.S. data for any reason other than personal use?
☐ No. ☐ Yes
2. Are you a subcontractor or independent contractor? (Subcontractor or independent contractor distribute NASDAQ U.S. data, etc)
☐ No. ☐ Yes
3. Are you a securities professional or used to be a securities professional? (registered with any state, federal or international securities agency, China Securities Regulatory Commission, etc)
☐ No. ☐ Yes
4. Are you belong or related to any trust institution or organization?
☐ No. ☐ Yes
5. Are you associated with investment Clubs?(Investment clubs are non- commercial organizations engaged in securities investment activities)
☐ No. ☐ Yes
6. Are you a large trader?
☐ No. ☐ Yes
7. Are you registered or qualified in any capacity with any financial institution(the SEC, the Commodities Futures Trading Commission, any state securities agency, any securities exchange or association or any commodities or futures contract market or association, etc)
☐ No. ☐ Yes
8. Are you paid to support the organization's activities (i.e., provide investment advice, attorneys, accountants, administrative staff, etc.) or paid as a financial advisor for any individual, corporate or commercial organization)
☐ No. ☐ Yes
9. Are you with the position of asset management?
☐ No. ☐ Yes
10. Are you the beneficiary of when conduct trading activities?
☐ No. ☐ Yes
11. Are you trading for any corporate, partnership and other entity?
☐ No. ☐ Yes

Occupation Details:

Occupation:	
Title:	
Company Name:	
Company Address:	

Signature(s) of Client

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