



尊貴的客戶：

### 存款安排更新

感謝閣下一直以來對民眾證券的支持！

為配合證監會《打擊洗錢及恐怖分子資金籌集指引》，由即日起，本公司將更新客戶存款規定及辦法。

### 第三者存款處理方式

如果客戶透過本人以外的第三者（“存款人”）存款，本公司保留權利，向客戶索取訊息和/或有關於存款人的其他額外文件/訊息，以確認存款人的身份。如果客戶未能出示有關文件/訊息，或提交的文件/訊息，因任何原因而不被本公司接納，本公司保留權利將該筆資金退回，客戶須要承擔一切銀行費用及相關風險，包括但不限於未能及時存入資金，以滿足追收保證金的要求而引致的強制平倉行動。本公司概不負責客戶一切因退款所引致的相關費用、銀行利息或客戶與存款人之間的損失及追討。同時，因本公司核實第三者存款須時，資金存入的到賬時間將會延長。

### 現有存款安排更新

由 2017 年 9 月 1 日起，存款方法將有以下更改：

#### 支票存款(包括通過銀行櫃檯、支票存款機)

如果客戶以支票存入款項，必須覆印支票正面圖像（圖像須清晰顯示客戶姓名），連同支票存入收據，提交到本公司，以核實支票存入者的資料。如果客戶未能提交支票圖像，本公司會向客戶收取每張支票港幣 50 元（實際收費以銀行為準），以作沖印支票的費用。同時，該筆款項將不會被存入客戶的賬戶，直至本公司從銀行獲得該支票的存入者資料，一般情況下，此流程須時 14 個工作天（實際時間以銀行為準）。如果核實支票為第三者存款，不論任何金額，客戶須向本公司提供以上「第三者存款處理方式」所要求的文件/訊息。

#### 銀行子賬戶存款 / 銀行轉帳 / 其他存款方法

如果客戶存入超過港幣 10 萬元正，須向本公司提交存款 / 轉賬憑證，以證明該存款來自客戶本人的銀行戶口。本公司不會將港幣等值 10 萬元以上的存款存入客戶的賬戶，直至客戶提交相關證明。如果客戶的存款被識別為第三者存款，不論任何金額，客戶須向本公司提供以上「第三者存款處理方式」所要求的文件/訊息。

上述安排適用於民眾證券有限公司及民眾期貨有限公司所有客戶存款。本公司亦藉此希望提醒客戶，切勿將資金交予第三者（包括客戶經理）代為存入，本公司也不會代客戶提款至客戶以外的第三方賬戶。有關各種存款方法的詳情，請參考以下網址：<http://www.freemansec.com>

如果有任何查詢，歡迎致電客戶服務熱線 (852) 3513-8000 或 4001-200-279 與客戶服務主任聯絡。

民眾證券有限公司

民眾期貨有限公司

謹啟

2017 年 8 月 30 日



30<sup>th</sup> August 2017

Dear Valued Customer(s),

### **New Arrangement of Client Deposit**

Thank you very much for your continuous support to Freeman Securities!

To comply with the "Guideline on Anti-Money Laundering and Counter-Terrorist Financing" issued by SFC, with immediate effect, we will update our rules and arrangements of client deposits.

#### **Arrangement of third-party deposit**

If a deposit was made by any third-party (the "Depositor"), we reserve the rights to obtain information from the client and / or other additional documents / information of the Depositor to confirm the identity of the Depositor. If client cannot provide documents / information, or the documents / information provided is not acceptable to us, we reserve the rights to return the fund. The client is liable to all bank charges and related risk, including but not limited to any forced liquidation actions taken by us, resulting from failing to deposit fund in time to meet with margin requirement. We are not responsible for any costs, bank interest and / or charges, personal loss between client and the Depositor arising from the return of fund. **Please note that the time required for crediting fund to your account(s) will be longer due to the additional verification process of third-party deposit.**

#### **New Arrangement of client deposit**

Effective 1st September 2017, there will be new arrangements for the following deposit methods:

##### Cheque deposit (including deposit through bank counter and cheque deposit machine)

Client has to provide us with an image of the cheque (the name of the client must be clearly shown), together with the deposit advice for our verification. If the client is unable to provide us with an image of the cheque, a copy of the cheque deposited will be retrieved from the bank at a handling fee of HKD50 per cheque (subject to actual bank charges). In addition, the fund will not be credited to the account(s) until we have obtained information of the deposit from the bank. This process requires at least 14 business days, subject to the response time of the bank. If the cheque is identified as a third-party cheque, irrespective of the cheque amount, the client has to provide us with the information / documents mentioned in "Arrangement of third-party deposit".

##### Sub account Deposit / Bank Transfer / Other deposit method

For any deposit of more than HKD100,000 (or equivalent), the client must provide us with evidence that the deposit was made from a bank account of the client. Such deposit will not be credited to the client account until we received sufficient evidence to demonstrate that the client is the depositor. If the deposit is identified as third-party deposit, irrespective of the deposit amount, the client has to provide us with the information / documents mentioned in "Arrangement of third-party deposit".

The above arrangements are applicable to all client deposits of Freeman Securities Limited and Freeman Commodities Limited. We would like to take this opportunity to remind you that you should not pass your monies to any third-party (including our staff) for deposit on your behalf. We will only make payment to registered account holder. You may refer to our company website for details of various deposit methods: <http://www.freemansec.com>

If you have any enquiries, please contact our Customer Service Officer at (852) 3513-8000 or 4001-200-279.

Yours faithfully,  
Freeman Securities Limited  
Freeman Commodities Limited