

Glossary

词汇表

“Account Opening Letter”

A letter of Client acceptance sent by XHK to the Client, confirming an account approval.

“开户函”

指XHK向客户发送的客户接受函，以确认账户审核通过。

“Account”

Any Client Account or Trading Account at XHK for the purpose of entering into Contracts, placing Orders and engaging in Transactions and to provide the Services in accordance with Terms of Business.

“账户”

指在XHK的任何客户账户或交易账户，以便签订合同，发出交易指示和参与交易以及根据业务条款提供服务。

“Affiliates”

Any person, directly or indirectly, controlling, controlled by or under direct or indirect common control with XHK.

“联属公司”

指直接或间接控制XHK，或由XHK控制或直接或间接受共同控制的任何人。

“Appendices”

Any appendices that may be annexed to the Terms of Business.

“附录”

指可能附加于业务条款的任何附录。

“Applicable Regulations”

All regulations, legislation and rules regulating the business of XHK, including but not limited to, compliance with the Licence conditions and with applicable prevention of money laundering and funding of terrorism legislation and requirements thereunder applicable to XHK.

“适用法规”

指所有规管XHK业务的法规、法律和规则，包括但不限于遵守发牌条件以及适用于XHK的防止洗钱和资助恐怖主义法律及以其为依据的规定。

“Best Execution Policy”

The Client's Order and Execution Policy.

“最佳执行政策”

指客户的交易指示和执行政策。

“Business Day”

The day between and holding from Monday through Friday, and do not include public holidays and weekends.

“营业日”

指从星期一至星期五之间的一天，不包括公众假期和周末。

“Client Asset”

Any assets belonging to the Client that are held under the control of XHK and segregated from assets belonging to XHK.

“客户资产”

指属于客户的、由XHK控制并与属于XHK的资产隔离的任何资产。

“Client Money”

Money received from a Client by and held under the control of XHK, which is credited to the relevant Account and placed in one or more accounts of XHK with an authorised financial institution authorised in Hong Kong in an Account designated as a clients' account.

“客户资金”

指XHK从客户收到的并在XHK控制之下持有的资金，这些资金将记入相关账户，并存入XHK在香港核准的某个金融机构的指定为客户账户的一个或多个账户中。

“Collateral Arrangement”

- (a) In the case of a title transfer financial collateral arrangement, an arrangement, including repurchase agreements, under which a collateral provider transfers full ownership of, or full entitlement to, financial collateral to a collateral taker for the purpose of securing or otherwise covering the performance of relevant financial obligations; and
- (b) in the case of a security financial collateral arrangement, an arrangement under which a collateral provider provides financial

“Collateral Arrangement”

way of security for the purpose of securing or otherwise covering the performance of relevant financial obligations to or in favour of a collateral taker; and where the full or qualified ownership of, or full entitlement to, the financial collateral remains with the collateral provider when the security right is established.

“抵押品安排”

- (a) 指就所有权转让金融抵押品安排而言，包括回购协议在内的一种安排，根据相关安排，抵押品提供者将金融抵押品的全部所有权或全部权利转让给承押人，以确保或以其他方式覆盖有关财务责任的履行；及
- (b) 就担保金融抵押品安排而言，这种安排是指抵押品提供者以担保方式提供金融抵押品，从而确保或以其他方式覆盖对承押人的有关财务责任或以承押人为受益人的履行，并且在担保权确立时，对金融抵押品的全部或限制性所有权或全部权利仍属于抵押品提供者。

“Compliance Officer”

A person appointed by the Regulated Person, responsible for ensuring compliance by the Regulated Person with its applicable licence conditions as well as any applicable legislation, rules and regulations.

“合规官”

指由受规管人士任命的人士，负责确保受规管人士遵守适用的发牌条件，以及任何适用的法律、规则及法规。

“Conduct of Business”

A professional investor treatment notice.

“商业准则”

指专业投资者的处理通知。

“Conflicts of Interest Policy”

An internal policy implemented by XHK indicating organisational and administrative arrangements designed to prevent conflicts of interest that may have an adverse effect on the Client's interests.

“利益冲突政策”

指XHK实施的内部政策，说明旨在防止可能会对客户利益产生不利影响的利益冲突的组织 and 行政安排。

“Connected Person”

A person or entity (other than you) whose information (including personal data) is provided by you, or on your behalf, to any member of the XHK Group or which is otherwise received by any member of the XHK Group in connection with the provision of the Services. A Connected Person may include any guarantor, a director or officer of a company, partners or members of a partnership, any “substantial owner”, “controlling person”, or beneficial owner, trustee, settlor or protector of a trust, account holder of a designated account, payee of a designated payment, your representative, agent or nominee, or any other persons or entities with whom you have a relationship that is relevant to your relationship with the XHK Group.

“关联人士”

指其信息（包括个人资料）是由您或您的代表提供给XHK集团的任何成员公司，或其信息是因提供服务而由XHK集团任何成员公司以其他方式获取的个人或实体（除您之外）。关联人士可包括任何担保人、公司董事或高级职员、合伙人或合伙企业成员、任何“实质拥有人”、“控权人”，或信托的实益拥有人、受托人、财产授予人或保护人，指定账户的账户持有人、指定付款的收款人、您的代表、代理人或代名人，或与您存在的关系与您与XHK集团的关系相关的任何其他人士或实体。

“Contracts”

Any derivative contract or contracts for difference.

“合约”

指任何衍生工具合约或差价合约。

“Counterparty”

An opposite party to a contract or financial transaction.

“对手方”

指合约或金融交易的对手方。

“Declared Default”

The notification of XHK to the Client of the occurrence of an Event of Default.

“声明的违约”

指XHK向客户发出发生违约事件的通知。

“Eligible Corporate Professional Investor”

A person defined as such under the Conduct of Business.

“合格法团专业投资者”

指根据“商业准则”界定为合格法团专业投资者的人士。

“Event of Default”

The occurrence of an event or circumstance by the Client related to any of the terms of the Agreement.

“违约事件”

指客户发生与本协议的任何条款有关的事件或情况。

“Institutional Professional Investor”

A person defined as such under the Conduct of Business.

“机构专业投资者”

指根据“商业准则”界定为机构专业投资者的人士。

“Introducer”

A person who enters into a written arrangement with XHK, whereby such person undertakes to introduce potential customers to the XHK.

“介绍人”

指与XHK签订书面协议，承诺将潜在客户介绍给XHK的人。

“Licence”

The Type 1 (dealing in securities) and Type 2 (dealing in future contracts) licences issued by the SFC under the SFO to carry out the regulated activities (CE number: BNN565).

“牌照”

指证监会根据《证券及期货条例》发出的获准从事受规管活动的第1类（证券交易）及第2类（期货合约交易）牌照（中央编号：BNN565）。

“Margin”

Money or collateral deposited by a Client with XHK as partial security to cover risk of loss on a Contract or Transaction.

“保证金”

指客户存入XHK的资金或抵押品作为部分担保，以弥补合约或交易的损失风险。

“Margined Transaction”

A transaction executed by XHK with or for the Client under the terms of which the Client will or may be liable to provide cash or collateral to secure performance of obligations which the Client may have to perform when the transaction falls to be completed or upon the earlier closing out of his position.

“保证金交易”

指XHK与或为客户执行的交易，根据该交易的条款，客户将或可能有责任提供现金或抵押品，以确保履行客户在交易完成时或因提前平仓其持仓而可能必须履行的义务。

“Market”

Any stock exchange, central clearing counterparty, central securities depository and similar institutions that match buyers and sellers of securities or counterparties in Contracts.

“市场”

指任何证券交易所、中央结算对手方、中央证券存管机构以及合约中撮合证券买卖双方或合约对手方的类似的机构。

“Notice Letter”

A document, issued by XHK to the Client for a purpose of informing the Client, that regarding the Application Form which Client has provided to XHK, the Client shall be treated as an Institutional Professional Investor or an Eligible Corporate Professional Investor for all services on the basis of the Client's experience and understanding of the designated investment business and the risks involved.

“通知函”

指为向客户发出通知而由XHK出具的文件，其中说明就客户已向XHK提供的申请表而言，根据客户对指定投资业务及所涉风险的经验和了解，对于所有服务，客户应当被视为机构专业投资者或合格法团专业投资者。

“Online Facility”

The trading facility provided by XHK on the Website for the Client's use, which allows Client to place Orders, enter into Contracts and conduct Transactions in Instruments with various Counterparties.

“在线设施”

指XHK在网站上提供给客户使用的交易设施, 允许客户通过在线设施发出交易指示, 与各对手方签订合约和进行交易。

“Open Position”

A position that has not yet closed, fulfilled or been offset by a matching contract in the opposite direction.

“未平仓持仓”

指尚未平仓、成交或被通过相反方向的匹配合约而抵消的持仓。

“Orders”

Any order received by XHK from the Client.

“交易指示”

指XHK从客户收到的任何交易指示。

“Politically Exposed Person”

A natural person who is or has been entrusted with prominent public functions and includes his immediate family members or persons known to be close associates of such persons, but shall not include middle ranking or more junior officials.

“政治人物”

指现在或过去曾被委托担任重要公共职能的自然人, 包括其直系亲属或已知为此类人士的紧密联系人的人, 但不应包括中级或更低级别的官员。

“Risk Disclosure Statement”

A document, issued by XHK to the Client for a purpose of disclosing to the Client, the risks involved in opening and operating an account with XHK and engaging XHK with brokerage services.

“风险披露声明”

指XHK向客户发出的文件，其目的是向客户披露在XHK开立和操作账户以及使用XHK的经纪服务所涉及的风险。

“Schedules”

Any schedules that are annexed to the Terms of Business.

“附表”

指附加于业务条款的任何附表。

“Security Interest”

XHK's right of retention and a right to set-off as stipulated in the Agreement, and Counterparties, Delegates, Depositories and other third parties engaged by XHK for the provision of the Services or by any of their delegates or Depositories may have a right of retention and/ or Security Interest over, or right of set-off in relation to the Clients' Money and Clients' Assets deposited or entrusted with such Third Parties.

“担保权益”

指本协议规定的XHK的保留权和抵销权，并且XHK为提供服务而聘请的对手方、受委代表、存管机构和其他第三方或者它们的受委代表或存管机构聘请的前述第三方可能在该等第三方保存或委托的客户资金和客户资产拥有保留权及／或担保权益或抵销权。

“Specified Event”

An occurrence of an Event of Default.

“特定事件”

指发生违约事件。

“Termination Date”

The date of notice of termination given by either party to the other party, or such alter date as may be specified in the notice.

“终止日期”

指任何一方向另一方发出的终止通知的日期，或该通知中可能指明的更改日期。

“Terms of Business”

The Agreement, which sets out the terms and conditions that apply to the opening and operation of an account with and the provision of brokerage services by XHK, involving the provision of the investment services.

“业务条款”

指载列适用于在XHK开立和操作账户的条款及条件及XHK提供的经纪服务的条款及条件(涉及提供投资服务)的协议。

“Terms of Use of the Online Facility”

The Agreement, which sets out the terms and conditions that apply to the use of the Online Facility.

“在线设施的使用条款”

指载列适用于在线设施使用的条款及条件的协议。

“Transactions”

Client's activity on the Account, including, but not limited to, withdrawals, depositing, buying, selling or any other way affecting his/her account at XHK or by XHK at his or her request.

“交易”

指客户的账户活动,包括但不限于取款、存款、买入、卖出或以其他方式影响他/她在XHK的账户或XHK应客户要求作出的活动。

“XHK New Customer Online Application”

An online form to be completed by the Client to accept the Terms of Business.

“XHK新客户在线申请”

指须由客户填写以接受业务条款的在线表格。

“Your Information”

All or any of the following items relating to you or that of a Connected Person, where applicable: (a) personal data, (b) information about you, your accounts, transactions, use of our products and services and your relationship with the XHK Group and (c) tax Information.

“您的信息”

指与您或某位关联人士有关的所有或任何以下资料(如适用):(a)个人资料,(b)有关您、您的账户、交易、我们产品和服务的使用以及您与XHK集团的关系的信息,以及(c)税务信息。

The English language is the official communication language at XHK. In case of any disputes, discrepancies, ambiguity or differences in translations of documents/information in any other languages, the version in English prevails. Documents/Information provided in any other languages is for information purposes only and cannot be treated as an official text of the particular document.

英语是XHK的官方沟通语言。如任何其他语言的文件/信息在翻译方面有任何争议、差异、歧义或差别，则以英文版本为准。以任何其他语言提供的文件/信息只作参考用途，不能视为该文件的正式文本。