



September 2018

Dear Valued Client,

**Re: Guideline on Anti-Money Laundering & Counter-Terrorist Financing
published by the Securities and Futures Commission (“SFC”)**

We thank you for your support in our financial services. As you may be aware, the SFC has reminded all licensed corporations of the importance of prevention of money laundering in the financial industry and have established certain codes and guidelines (the “Guidelines”) which we, as a licensed corporation in the financial industry, must comply with. Under the Guidelines, all the licensed corporations are reminded to take into account, among other things, frequent third party deposits or payments, together with other relevant information, to assess whether there are any suspicious transactions to be reported to the Joint Financial Intelligence Unit (“JFIU”) or other appropriate authorities.

Please kindly note that third party deposits and/or payments are discouraged. However, pursuant to the Guidelines, should you request a third party payment or should you deposit third party funds into your account, you are required to provide the identity of the third party, their relationship with you and the specific reason for the third party deposit or payment (as the case may be). **Please also note that a prior notification to Luk Fook is necessary.** Please be advised that pursuant to the Guidelines, we are required to report, without prior notification to you, all suspicious transactions, which include but are not limited to suspicious third party deposits or payments, to the JFIU or other appropriate authorities.

Accordingly, once you have deposited funds or cheque(s) into our designated bank account and if the source of funds comes from a third party acting on your behalf, **please inform us in writing by stating your relationship with the third party and the reason etc for such deposit.** Similarly, if you request a payment to a third party, **please inform us in writing by stating your relationship with the third party and the reason etc for such payment.**

We would very much appreciate for your co-operation on the above arrangement and should you have any queries, please feel free to call your Account Executive or our main line at (852) 2980 0888.

Yours faithfully,
For and on behalf of

**LUK FOOK SECURITIES (HK) LIMITED
LUK FOOK FUTURES (HK) LIMITED
LUK FOOK ASSET MANAGEMENT (HK) LIMITED**

六福金融服務有限公司
Luk Fook Financial Services Limited

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尊敬的客戶：

**關於：打擊洗錢及恐怖分子資金籌資指引
由證券及期貨事務監察委員會(「證監會」)出版**

感謝閣下對本公司的金融服務一直的支持。閣下可能已知悉，證監會已提醒所有持牌法團於金融業內打擊清洗黑錢活動的重要性，並且已訂立若干守則及指引(「該等指引」)，而我們作為金融業內的持牌法團必須遵守該等指引。根據該等指引，持牌法團應考慮如頻密的第三者存款或付款予第三者，連同其他相關資料，以評估當中是否有任何可疑交易須向聯合財富情報組(「財富情報組」)或其他有關機構舉報。

敬請客戶盡量避免第三者存款及／或付款予第三者。然而，根據證監會的指引，如閣下安排第三者的資金存入閣下之賬戶或要求付款予第三者，閣下須提供第三者的身份、彼等與閣下之關係，以及第三者存款或付款予第三者之具體原因(視情況而定)。**而客戶亦須提前通知六福。**敬請留意，根據該等指引，本公司有責任向財富情報組或其他有關機構舉報一切可疑交易，包括但不限於可疑的第三者存款或付款予第三者，而我們是無須事先通知閣下。

因此，當閣下將資金或支票存入本公司指定的銀行戶口，而資金乃來自代表閣下之第三者時，則**務請書面通知本公司，並註明閣下與該第三者之關係以及存款原因等**。同樣地，如閣下要求本公司向第三者支付款項，**請書面通知本公司，並註明閣下與該第三者之關係以及付款原因等**。

我們非常感謝閣下就上述的安排與我們合作，如閣下有任何疑問，歡迎致電與閣下之客戶主任或本公司總機(852) 2980 0888 查詢。

此致

六福證券(香港)有限公司
六福期貨(香港)有限公司
六福資產管理(香港)有限公司

二零一八年九月

六福金融服務有限公司
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