

CATS 系统使用注意事项

CATS Notice to Client

尊敬的客户：

Dear Client,

中信里昂證券有限公司（下称“本公司”）谨提醒阁下，务必仔细阅读本《**注意事项**》的所有内容。

CLSA Limited (the “**Company**”) hereby reminds you to read this **Notice** carefully in its entirety before using the CATS System.

- 一、本公司提供有关 CATS 自动交易平台（“**CATS 系统**”）的信息是没有考虑任何特定投资者的投资经验、投资目标、财务状况或其他情况的情况下编写的。因此，此类信息不能代替针对阁下的特定投资目标、投资经验和特定情况量身定制的独立专业建议。

The information provided by the Company regarding the CATS automated trading platform (the “**CATS System**”) is prepared without taking into account any particular investor’s investment experience, investment objectives, financial situation, or other circumstances. Therefore, such information does not constitute and should not be regarded as a substitute for independent professional advice tailored to your specific circumstances.

- 二、程序买卖/自动交易平台涉及重大损失风险，并不适合所有人。利用程序买卖策略进行交易不一定获利亦不是没有蒙受损失的风险。您甚至可能会损失所有投资金额和涉及的费用。

Program trading/automated trading platforms involve significant risks of loss and are not suitable for everyone. Engaging in program trading strategies does not guarantee

profits and may result in losses, including the loss of your entire investment and any related fees.

三、程序买卖仅适用于具有足够的技巧、经验和知识的投资者。阁下需根据阁下的投资经验、投资目标、财务状况、投资年期、风险承受程度、流通性需求（如适用）、阁下对有关证券的前景、表现、分散投资的需要及其他相关情况慎重考虑该交易是否适合阁下。除非阁下已充分考虑上述条件，否则请勿进行任何程序买卖。

Program trading is only suitable for investors with sufficient skills, experience, and knowledge. You should carefully consider whether such trading is suitable for you based on your investment experience, investment objectives, financial situation, investment horizon, risk tolerance, liquidity needs (if applicable), your view of the prospects and performance of the relevant securities, the need for diversification, and other relevant circumstances. Do not engage in any program trading unless you have fully considered the above factors.

四、通过互联网进行证券买卖可能会受到黑客攻击、破坏、系统中断、传输中断、由于互联网流量导致的延迟传输或由于它的公共性质而造成数据/交易指令传输错误或无法下达委托、委托失败或下达错误的交易指令，由此导致的损失由须阁下自行承担。

Securities trading via the internet may be subject to hacking, tampering, system interruptions, transmission interruptions, delayed transmission due to internet traffic, or errors in the transmission of data/trading instructions due to the public nature of the internet. Such risks may result in an inability to place orders, failed orders, or the placement of incorrect trading instructions. Any losses arising from such events shall be borne by you.

五、CATS 系统是一种专业的自动交易平台，此系统操作要求用户应具备一定的技巧、经验和相关知识及风控经验和基础，用户应仔细阅读并知晓《CATS 客户端操作使用手册》，经慎重考虑，自愿向本公司申请开通使用 CATS 系统，并自愿承担相应的风险。

The CATS System is a professional automated trading platform. Operating this system requires users to have certain skills, experience, relevant knowledge, and risk management capabilities. Users should read and understand the “CATS Terminal Manual” in detail and, after careful consideration, voluntarily apply to the Company to activate access to the CATS System and voluntarily assume the corresponding risks.

六、用户通过 CATS 系统进行委托过程中，凡使用用户本人的用户名和密码，针对授权账号进行的委托以及发送的交易指令均视为用户亲自办理之委托和交易，由此所产生的一切后果由用户承担。本公司提醒阁下加强账号、用户名、密码的保护工作，不出借他人使用，并建议阁下定期修改密码、增强密码强度、防止密码泄露、防止用于网上交易的计算机或手机终端感染木马、病毒等。

During order placement through the CATS System, any orders placed and trading instructions sent using the user’s own username and password for the authorized account shall be deemed to have been handled personally by the user, and the user shall be solely responsible for all consequences arising therefrom. The Company reminds you to strengthen the protection of your account, username, and password, not to lend them to others, and recommends that you regularly change your password, enhance password strength, prevent password leakage, and prevent the computer or mobile device used for online trading from being infected with trojans, viruses, etc.

七、由于地震、水灾、火灾等不可抗力因素或者无法控制和不可预测的系统故障、设备故障、通讯故障、电力故障、网络故障及其它因素，可能导致软件系统非正常运行甚至瘫痪，使阁下的交易指令出现延迟、中断、数据错误或者造成阁下的指令无法成交或者无法全部成交等情况，由此产生的损失将由阁下承担。

Due to force majeure events such as earthquakes, floods, or fires, or uncontrollable and unforeseeable system failures, equipment failures, communication failures, power failures, network failures, and other factors, the software system may operate abnormally or even become inoperative. This may cause delays, interruptions, data errors, or situations where your trading instructions cannot be executed or cannot be fully executed. The Company shall not be responsible for any losses arising from such circumstances.

- 八、用户利用 CATS 系统进行交易，应积极采取安全措施，如：定期维护计算机及联网设备、采用防病毒及防黑客产品、妥善保管个人资料、及时分析各种信息、等，以防范网上委托可能发生的各种风险。

When trading via the CATS System, users should proactively take security measures, such as regularly maintaining computers and networked devices, using anti-virus and anti-hacking products, properly safeguarding personal information, and timely analyzing various information, to guard against the risks that may arise from online order placement.

- 九、本公司可能在事先以书面或电子方式通知用户后不时更新或升级本系统程序或交易系统，用户应按照本公司的技术要求在规定的时间内配合做好更新或升级工作；因用户未按本公司通知要求进行变更、升级的，由此发生的任何损失由用户承担责任。

The Company may from time to time update or upgrade the system software or trading system after giving users prior notice in writing or electronically. Users shall cooperate with such update or upgrade within the specified time in accordance with the Company's technical requirements. Any loss arising from a user's failure to comply with such requirements shall be borne by the user.

- 十、如果本公司依据自身判断认为用户的 CATS 系统可能从事任何市场失当行为、干扰市场秩序活动或其它违反法律、法规、规章或其他规范性要求的活动，或用户交易行

为影响本公司信息系统安全运行的，或监管机构要求本公司停止向用户提供本系统委托服务的，本公司有权立即停止用户 CATS 系统接入服务并不承担任何责任，由此产生的任何损失由用户承担。

If, in the Company's reasonable judgment, a user's use of the CATS System may involve any market misconduct, activities that disrupt market order, or other activities in breach of laws, regulations, rules, or other regulatory requirements; or if the user's trading activities affect the secure operation of the Company's information system; or if a regulatory authority requires the Company to cease providing order placement services to the user through this system, the Company has the right to immediately suspend the user's access to the CATS System without liability, and any loss arising therefrom shall be borne by the user.

十一、 如果阁下不了解或不能承受相关风险，本公司建议阁下不要使用 CATS 系统进行证券买卖。如果阁下申请或已申请使用 CATS 系统，我们将认为您已经完全了解并愿意承受相关的风险以及由此带来的损失。

If you do not understand or cannot bear the relevant risks, the Company recommends that you do not use the CATS System for securities trading. If you apply for, or have applied for, the use of the CATS System, you will be deemed to have fully understand and to be willing to bear the relevant risks and any resulting losses.

十二、 如阁下对于机构投资交易软件的使用不熟悉，可能因操作不当造成委托失败或委托错误，上述风险可能导致发生的损失应由阁下自身承担，本公司不予负责；

If you are not familiar with the use of institutional investor trading software, improper operation may cause order placement failures or erroneous orders. Any losses arising from the above risks shall be borne by you, and the Company shall not be responsible.

十三、 本系统的部分风控指针依赖于第三方信息提供的证券评级、发行人评级等信息，此系统保证信息按照第三方日初交付的信息导入系统（以数据实际生成时间为准）。对第三方信息的正确性，数据导入后的数据更新，及历史数据修正不承担相应的责任。

Certain risk control indicators of this system rely on information provided by third parties, such as securities ratings and issuer ratings. The system ensures that information is imported based on the data delivered by the third party at the start of the day (subject to the actual data generation time). The Company shall not be responsible for the accuracy of third-party information, data updates after import, or historical data corrections.

本《**注意事项**》无法详尽无遗的揭示透过程序买卖及/自动交易平台进行证券买卖涉及的所有风险及其它重要内容。因此，阁下在申请相关服务之前，应进行全面了解，并寻求独立专业人士提供意见。

This **Notice** does not and cannot disclose all risks and other important matters involved in securities trading through algorithmic/program trading and/or automated trading platforms. Therefore, before applying for the relevant services, you should obtain a comprehensive understanding and seek advice from independent professionals.