

客戶聲明書 - 申請環球股票交易使用權限

Client Declaration- Application for Foreign Stock Trading Access Right

致：國元證券經紀(香港)有限公司 (下稱：「國元證券經紀(香港)」)
 To: Guoyuan Securities Brokerage (Hong Kong) Limited (hereafter "GYSB")

賬戶姓名 Account Name: _____ 賬戶號碼 Account No.: _____

請填妥此申請表格並電郵至客戶服務部 cs@gyzq.com.hk。如有任何查詢，請致電客戶服務熱線 (852) 3769 6828 / (86) 400 888 1313。

Please complete the application form and email to Customer Service Department cs@gyzq.com.hk. For enquiry, please contact our hotline at (852)3769 6828 / (86)400 888 1313.

請選擇所需之服務，於 內加上“✓”號 (一項或多項，如適合)

Please put “✓” in for the selected service (one or multiple, if applicable):

我/吾等確認以下聲明，作為申請以下股票市場的交易服務，明白這些聲明不構成申請成功。國元證券經紀(香港)有限公司將根據戶口資料和相關法規作出最終和不可抗辯的決定和不時更改服務狀態，而且不予通知和不會承擔任何形式的責任或賠償。

I/We confirm the following declaration(s), to apply for activating the trading service for particular securities markets, and understand that the declaration(s) does not constitute the success of the application. Guoyuan Securities Brokerage (Hong Kong) Limited makes a final and uncontestable decision and from time to time amends the service status based on account information and relevant rules and laws, without prior notice and is not liable for any liability or claim in any format.

市場 Markets	客戶必須聲明其國籍、公民或稅務居民資格、或其他事項以符合相關市場的政府法規要求。 Client must declare his/her nationality, citizenship, tax residency status or others in accordance to the laws of corresponding Government.	確認 Declaration
澳洲 Australia	請為我/吾等開啓澳洲股票交易服務，我/吾等沒有持有澳洲國籍、公民或稅務居民資格。 Please activate the Australia Stock Trading Service for me/us. I/We do not hold Australian nationality / citizenship / tax residency status.	<input type="checkbox"/>
加拿大 Canada	請為我/吾等開啓加拿大股票交易服務，我/吾等沒有持有加拿大國籍、公民或稅務居民資格。 Please activate the Canada Stock Trading Service for me/us. I/We do not hold Canada nationality / citizenship / tax residency status.	<input type="checkbox"/>
芬蘭 Finland	請為我/吾等開啓芬蘭股票交易服務，我/吾等沒有持有芬蘭國籍、公民或稅務居民資格。 Please activate the Finland Stock Trading Service for me/us. I/We do not hold Finnish nationality / citizenship / tax residency status.	<input type="checkbox"/>
日本 Japan	請為我/吾等開啓日本股票交易服務。我/吾等確認我/吾等並非於日本上市公司擔任 Officer 有關職位 (請參考 Article 15 of the Rules Concerning Solicitation for Investments and Management of Customers, etc. by Association Members 中 Officer 的定義) Please activate the Japan Stock Trading Service for me/us. I/We confirm that I/we are not an Officer (as it is defined in Article 15 of the Rules Concerning Solicitation for Investments and Management of Customers, etc. by Association Members) of any company listed on the JPX.	<input type="checkbox"/>
韓國 Korea	請為我/吾等開啓韓國股票交易服務，我/吾等沒有持有韓國國籍、公民或稅務居民資格亦非於韓國成立之法人。 Please activate the Korea Stock Trading Service for me/us. I/We do not hold Korean nationality / citizenship / tax residency status and we are not established as a legal entity in Korea.	<input type="checkbox"/>

備註 Notes:

1. 如客戶的國籍、公民或稅務居民資格，地址或 Officer 資格有所改變，請在發生改變後 30 日內，通知國元證券經紀(香港)更新帳戶資料。

Client has to update account particular within 30 days after any change in nationality / citizenship / tax residency status/address / Officer Status.

2. 如客戶的國籍、公民或稅務居民資格改為以上地方，國元證券經紀(香港)將會停止該市場的交易服務，並不予通知。
GYSB will suspend the relevant trading service without prior notice when client changes nationality / citizenship / tax residency status to one of the places mentioned above.
3. 如客戶作出誤導性、虛假或不正確的陳述，以致觸犯以上當地的條例及法規，客戶有可能承擔相關的法律責任。
Client may bear the relevant legal responsibility if he/she makes or provide misleading, false or incorrect representation and information which violates the local laws and regulations.

客戶聲明 (賬戶授權代表簽署)

Declaration (to be signed by the authorized representative(s) of the account)

核對簽名

S V

客戶姓名 Name of Client:

日期 Date:

只供內部使用			
資料/簽署核實 (確認客戶國籍資料符合)	審批	錄入	覆核
客服人員	負責人員	結算人員	