

中国内地投资者¹开立投资账户之声明书

Declaration for Investment Account Opening by Chinese Mainland Investor¹

本声明书须由每位客户以个人名义填写及签署，如申请开立或持有联名账户，每位联名账户持有人均须以其个人名义各自填写及签署一份声明书。

This declaration form must be completed and signed by each customer in his/her own name. If an application is made to open or hold a joint account, each joint account holder must separately complete and sign a declaration form in his/her own name.

本人明白、同意及确认以下声明，并确认已符合下述要求。

I acknowledge, agree to, and confirm the acceptance of the below statements and affirm that I meet the stipulated requirements.

- (a) 本人确认所有用以支持投资活动及相关结算的资金均来自中国内地以外的合法来源；

I confirm that all funds which support the investment activities and related settlements are from lawful sources outside of the Chinese Mainland;

- (b) 本人确认没有因曾使用可疑或伪造文件而令账户遭到任何持牌法团、注册机构或银行关闭或暂停；

I confirm that I do not have an account that was previously closed or suspended by any licensed corporation(s), registered Institution(s) or bank(s) due to the use of questionable or forged documents;

- (c) 本人承诺，如本人提供书面声明中的资料出现任何更改，会在七个营业日内通知创兴证券；

I undertake that I will notify Chong Hing Securities within 7 business days in the event of any changes in the information in my written declaration;

- (d) 本人确认本人明白，创兴证券可按执法机构或监管机构的要求，披露本人的个人及其他相关资料；

I confirm that I understand that upon requests from law enforcement agencies or regulatory authorities, Chong Hing Securities may disclose my personal and other relevant information;

- (e) 本人声明及保证，将使用以个人名义在创兴银行持有的银行账户作结算之用，并确保日后就有关投资账户而作出的所有提存只会透过该等银行账户进行；及

I hereby represent and warrant that I will use the bank account held in my own name at Chong Hing Bank for settlement purposes, and that all future deposits and withdrawals in respect of the relevant investment account will be conducted exclusively through such bank account; and

- (f) 本人确认、同意及知悉，如本人之资金来源属不合法，或违反中国内地任何资本管制法规，创兴证券可关闭本人之投资账户。

¹ “中国内地投资者”指根据注册机构/持牌法团的纪录或在开立投资账户时，使用中华人民共和国签发的居民身份证及 / 或护照作为身分证明文件的个人投资者。

“Chinese Mainland Investor” refers to an individual investor who uses either or both a resident identity card and a passport issued by the People’s Republic of China as an identification document according to a registered institution’s/licensed corporation’s records or when opening an investment account.

I confirm, agree and acknowledge that Chong Hing Securities may close my investment account if my funding sources are subsequently found to be unlawful or in violation of any capital control regulations of the Chinese Mainland.

如您为中国内地居民，请留意本产品及服务只适用于身在香港的投资者（例如在港生活或工作）且应确保资金来源合法合规。为配合相关监管要求，您同意创兴证券有限公司（「本公司」）可要求您提供相关证明文件。如您未能按要求提供，本公司有机会不能为您提供本产品及服务，您已于本公司开通的本产品或服务亦有机会被终止。

If you are a resident of the Chinese Mainland, please be advised that these products and services are applicable only to investors who are situated in Hong Kong (for example, individuals living or working in Hong Kong). You are also required to ensure that the source of your funds is compliant with relevant laws and regulations. In order to comply with applicable regulatory requirements, you agree that Chong Hing Securities Limited (the "Company") may request you to provide us with relevant supporting documentation to verify this compliance. Should you fail to provide the requested documentation, the Company may be unable to offer you these products and services, and any existing products and/or services that you have activated may be suspended.

本公司获授权于香港从事证券交易业务，并受当地法规规管。如您非身处香港，本公司或未获授权在您身处的国家或地区，向您提供产品及服务。

The Company is authorized to conduct securities trading business in Hong Kong and operates under local regulatory frameworks. If you are located outside of Hong Kong, the Company may not be authorized to provide products and services in the country or region you are located.

本公司无意让任何人于任何本公司受限制或未获法律或法规授权分发或使用本产品及服务的司法管辖国家或地区内，分发或使用本产品及服务。

The Company does not intend to permit the distribution or use of products and services by anyone in any jurisdiction where such activities are restricted or prohibited by law or regulation.

<p>客户签署 Customer Signature:</p> <p>X _____</p> <p>请用留存创兴证券有限公司之印鉴签署 Your signature must be identical to the specimen signature in Chong Hing Securities Limited's record</p> <p>客户姓名 Name of Customer: _____</p> <p>开立账户的身份证明文件号码 ID No. Used for Account Opening: _____</p> <p>日期 Date (年/月/日 YY/MM/DD): _____</p>

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