

Client's Declaration – Application for Oversea Securities Trading Access Right
(Individual/Corporate Account)

客戶聲明 – 申請海外證券交易使用權限 (個人/公司帳戶)

Name of Client 客戶名稱	Account No. 帳戶號碼
Address 地址	

Please ✓ the appropriate box. 請在適當方格內✓。

I/We, being the ultimate benefit owner of the captioned account, hereby request for activation of trading services for the chosen overseas securities markets, and confirm the corresponding declaration(s):

本人/我們等為上述帳戶最終受益人，在此要求啟動海外證券市場交易服務及確認以下相應的聲明：

1. Please activate the follow relevant Oversea Securities Trading Access Right 請啟動以下有關海外證券交易使用權限

Request for Activation 啟動	Market 市場	Declaration(s) 聲明
<input type="checkbox"/>	Taiwan 臺灣	I/We (including legal entity) do not hold any nationality / citizenship / tax residency status of People's Republic of China (PRC). The sources of fund does not come from China or Taiwan. Taiwan citizen and/or resident: I/We (including legal entity) have provided true and valid supporting documents, to prove that my/our (including legal entity) funds do not come from Taiwan. I/We undertake that no funds sourced from Taiwan/China in this trading account at any time. 本人/我們(包括法人)沒有持有任何中國國籍、公民或稅務居民資格。資金來源不是中國及臺灣。 台灣公民/及或居民：本人/我們(包括法人)已提供真確及有效文件，證明本人/我們(包括法人)的資金不是來自臺灣。本人/我們承諾，本交易帳戶在任何時候均無來自臺灣/中國的資金。
<input type="checkbox"/>	Canada 加拿大	I/We (including legal entity) do not hold Canadian nationality / citizenship / tax residency status. 本人/我們(包括法人)沒有持有加拿大國籍、公民或稅務居民資格。
<input type="checkbox"/>	Australia 澳洲	I/We (including legal entity) do not hold Australian nationality / citizenship / tax residency status. 本人/我們(包括法人)沒有持有澳洲國籍、公民或稅務居民資格。
<input type="checkbox"/>	Finland 芬蘭	I/We (including legal entity) do not hold Finnish nationality / citizenship / tax residency status. 本人/我們(包括法人)沒有持有芬蘭國籍、公民或稅務居民資格。
<input type="checkbox"/>	Korea 韓國	I/We (including legal entity) do not hold Korean nationality / citizenship / tax residency status. 本人/我們(包括法人)沒有持有韓國國籍、公民或稅務居民資格。

2. I/We understand that the relevant declaration(s) does not constitute the success of the application. Core Pacific-

Yamaichi International (H.K.) Limited ("CPYI") 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.

本人/我們明白這些相關聲明不構成申請成功。京華山一國際(香港)有限公司("京華山一")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。

3. I/We understand that it is my/our duty to immediately inform CPYI should there be any change of my/our nationality / citizenship / tax residency status.

本人/我們明白，若本人/我們更改國籍、公民或稅務居民資格，有責任立即通知京華山一。

4. I/We will bear all consequences and assume full responsibilities resulting from relying on my/our relevant declaration(s) including indemnification of CPYI for any losses, liabilities, costs, claims, actions, demands or whatsoever arising therefrom.

本人/我們將承擔所有因本相關聲明所導致的責任及後果，包括對京華山一的任何損失、義務、費用、索償、行動或其他由此所產生的賠償。

5. I/We authorise CPYI to sell or arrange for the sale of any quantity of Overseas Securities held on my/our behalf at such price and on such terms as CPYI may determine in its absolute discretion if:

(a) CPYI receives an instruction directly or indirectly from an Overseas Market Operator or Authority requiring the Client (me/us) to sell and liquidate any specified Securities; or

(b) CPYI is of the view that the I/we am/are in breach or may be in breach of any Applicable Requirements

本人/我們授權京華山一國際全權酌情釐定的該價格和該等條款沽售或安排出售京華山一國際代其持有的任何數量的海外證券：

(a) 京華山一國際直接或間接從海外市場營運者或其他監管當局接獲指示，要求本人/我們沽售及清算任何指定海外證券；或

(b) 京華山一國際認為客戶違反或可能違反任何適用規定。

6. The relevant declaration shall be exclusively governed by and construed in accordance with the laws of Hong Kong. The exclusive jurisdiction for any disputes arising out of this declaration will be the courts of Hong Kong.

本相關聲明依據中華人民共和國香港特別行政區法律執行及詮釋。中華人民共和國香港特別行政區法院將就本聲明引起之任何糾紛有專屬管轄權。

Client's Signature 客戶簽署:	
Date 日期:	

For office use only			
AE Signature:		Approve by Sales Team Head:	
Name (AE Code):		Name:	
Date:		Date:	
Signature verified by:	Input by:	<input type="checkbox"/> D90 Taiwan <input type="checkbox"/> D68 Canada <input type="checkbox"/> D68B Australia <input type="checkbox"/> D68C Finland <input type="checkbox"/> D68D Korea	Scanned by:
Date:	Date:	Date:	Date: