



ZUNDIAO SECURITIES LTD.
尊迪奧證券有限公司

Zundiao Securities Limited, a licensed corporation to carry on Type 1 (dealing in securities) regulated activities pursuant to the Securities and Futures Ordinance (Cap. 571)

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ACCOUNT APPLICATION FORM

賬戶申請表

****Please read the Cash Client Agreement before signing this Account Application Form****

請在簽署本表格前仔細閱讀現金客戶協議

CORPORATE ACCOUNT

公司賬戶

ACCOUNT GENERAL INFORMATION 基本賬戶信息

Account No. 賬戶號碼	
Account Type 賬戶類別	
Customer Type 客戶類別	

I. FOR CORPORATE ACCOUNT 公司賬戶

1. CLIENT INFORMATION 客戶資料

Client Name (English) 客戶名稱 (英文)		
Client Name (Chinese) 客戶名稱 (中文)		
Place of Incorporation 註冊/成立地點	Date of Incorporation 成立日期	Nature of Business 業務性質
Certificate of Incorporation Number 公司註冊證編號	Business Registration Number (applicable to HK incorporated 適用於香港) 註冊公司) 商業登記編號	
Client Type 客戶類別	<input type="checkbox"/> Sole Proprietorship 獨資企業 <input type="checkbox"/> Partnership 合夥企業 <input type="checkbox"/> Listed Company 上市公司 <input type="checkbox"/> Corporation (Non-listed Company) 法團(非上市公司) <input type="checkbox"/> Licensed Financial Institution 持牌 金融機構 <input type="checkbox"/> Type of financial business <input type="checkbox"/> Licensed by _____ <input type="checkbox"/> Other (Please Specify) 其他(請註明) _____	
Registered Address 註冊地址		
Business Address (if different from Registered Address) 營業地址(如與註冊地址不同)		
Office Tel No. 辦事處電話號碼()-	Office Fax No. 辦事處傳真號碼()-	Website
E-mail Address (For internet trading and / or electronic statement 適用於網上交易及/或電子賬單服務) 電郵地址		

2. FINANCIAL INFORMATION 財務資料

Issued Share Capital (HK\$) 已發行股本 (港幣)	Paid-up Capital (HK\$) 繳足股本 (港幣)
Annual Turnover (HK\$) 年度收入 (港幣)	Profits before tax (HK\$) 稅前盈利 (港幣)

	Profits after tax (HK\$) 稅後盈利 (港幣)		
Source(s) of Funds 資金來源 (Please tick one or more 可選擇下列一項或多項)			
<input type="checkbox"/> Paid Share Capital 股東資本		<input type="checkbox"/> Business Operation 企業運作	<input type="checkbox"/> Others (Please specify) 其他(請註明)
Funds available for Investment (HK\$) 可用作投資金額 (港幣)			
<input type="checkbox"/> Under/以下 \$1,000,000		<input type="checkbox"/> \$1,000,001 – \$5,000,000	<input type="checkbox"/> \$5,000,001 – \$10,000,000
			<input type="checkbox"/> Over/以上 \$10,000,000
3. LIST OF DIRECTORS, SHAREHOLDERS AND/OR ULTIMATE BENEFICIAL OWNERS 董事、股東及/或最終權益擁有人名單 (Not Applicable to Listed Company 不適用於上市公司)			
Name of Director 董事名稱	Phone No. 電話號碼	HKID/Passport No./Registration No. 香港身份證/護照號碼/註冊編號	Home Address/Registered Address 住址/註冊地址
(i)			
(ii)			
(iii)			
(iv)			
Name of Shareholder 股東名稱	HKID/Passport No./Registration No. 香港身份證/護照號碼/註冊編號		Home Address/Registered Address 住址/註冊地址
(i)			
(ii)			
(iii)			
(iv)			
4. FOR SHAREHOLDER THAT IS A CORPORATE BODY OR NOT AN ULTIMATE BENEFICIAL OWNER WHO IS AN INDIVIDUAL, PLEASE ALSO PROVIDE DETAILS OF THE INDIVIDUAL ULTIMATE BENEFICIAL OWNER(S) (A PERSON HOLDING NOT LESS THAN 10% OF THE SHARES). 若股東為法人團體或非最終權益擁有人(個人),請進一步提供其最終權益擁有人(個人擁有不少於 10%的股份)之資料。			
Name of Ultimate Beneficial Owner 最終擁有人名稱	% Share in Shareholder 股本 %	HKID/Passport No. 香港身份證/護照號碼	Home Address/Registered Address 住址/註冊地址
(i)			
(ii)			
(iii)			
(iv)			
(v)			
5. ACCOUNT OPERATIONS AUTHORISATION 賬戶操作授權			
As set out in the Board Resolution. 按董事會決議內容 ZUNDIAO shall be informed by notice in writing of any changes of Authorised Signatory (i.e. revocation or subsequent appointment) pursuant to the terms of the Cash Client Agreement.			
6. IDENTITY INFORMATION 相關身份資料			

<p>(i) Are any of the director(s), shareholder(s), ultimate beneficial owner(s) or authorised person(s) of the Client ("Relevant Person") an employee or relative of any employee or director or representative of Zundiao Securities Limited ("ZUNDIAO") or any of its subsidiaries? 客戶之任何董事、股東、最終權益擁有人或獲授權人士(「相關人士」)是否尊迪奧證券有限公司(「尊迪奧證券」)或其任何附屬公司之僱員或與其任何僱員、董事或持牌代表有親屬關係?</p> <p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes (Please specify) 是 (請詳述)</p> <p>Name of Relevant Person 相關人士姓名 _____ Name of employee / director / representative 僱員/董事/代表姓名 _____</p> <p>Relationship 關係 _____</p>
<p>Are any of the shareholder(s) or ultimate beneficial owner(s) of the Client ("Controlling Person") an employee or director or accredited person of any a licensed corporation or registered institution registered with the Securities and Futures Commission or of an entity regulated by any other regulator (in Hong Kong or otherwise)? 客戶之任何股東或最終權益擁有人(「控權人」)是否證券及期貨監察委員會持牌人或註冊人之僱員、董事或持牌代表?</p> <p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes (Please specify and provide employer's consent letter) 是 (請詳述及提供僱主之書面同意書)</p> <p>_____</p>
<p>(ii) Are any of the Relevant Person(s) a director, employee or substantial shareholder (controlling not less than 10% of the shares) of any listed company in Hong Kong? 任何相關人士是否為任何香港上市公司之董事、僱員或大股東(持有不少於10%的股份)?</p> <p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes (Please specify) 是 (請詳述)</p> <p>Name of Relevant Person 相關人士名稱 _____</p> <p>Name of listed company and respective role 上市公司名稱及其身份 _____</p>
<p>(iii) Do any of the Relevant Person(s) maintain or operate any other account with ZUNDIAO or any of its subsidiaries? 任何相關人士是否於尊迪奧證券或其任何附屬公司持有或運作任何賬戶?</p> <p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes (Please specify) 是 (請詳述)</p> <p>Account Name 賬戶名稱 _____ Account No 賬戶號碼 _____</p>
<p>(iv) Are any of the Relevant Person(s) or his/her spouse, partner, child, parent, spouse or partner of his/her child, or close associate a politically exposed person, such as a head of state/government, senior government official, senior politician, important political party official, senior executive of a state owned corporation, etc.)? 任何相關人士或其配偶、伴侶、子女或父母、或其子女的配偶或伴侶、或與其關係密切的人是否為政治人物、高級政府官員或國有企業高級行政人員?</p> <p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes (Please specify) 是 (請詳述)</p> <p>_____</p>

II GENERAL ACCOUNT INFORMATION 一般賬戶資料
FOR CORPORATE ACCOUNT 公司賬戶

1. INVESTMENT KNOWLEDGE 客戶資料

Corporate / Main Account Holder 公司 / 主要賬戶持有人

(i) Investment Objective(s) 投資目標 (Please tick one or more 可選擇下列一項或多項)

- Capital Gain 資本增值 Dividend or interest Income 股息或利息收入
 Hedging 對沖 Growth 投機
 Others (Please specify) 其他 (請說明) _____

(ii) Investment Experience 投資經驗

Year of experience 投資年資

- Stocks 證券
 Futures 期貨
 Options & Swaps 期權合約及掉期合同
 Foreign Exchange 外匯
 Bonds/Certificates of Deposit 債券//存款證書
 Equity Linked Instruments (ELI) 股票掛鈎票據
 Warrants/CBBCs 認股證/牛熊證
 Derivatives/Structured Products 衍生/結構性產品
 ESG investments ESG 投資
 Others 其他

(iii) Knowledge of derivatives 有關衍生產品之認識

- I/We have NOT acquired knowledge of derivative products (e.g. Warrants, Callable Bull/Bear Contracts, Options, Futures, Structured Products etc, whether traded on an exchange or not)
 本人/吾等沒有衍生產品之認識(例如: 認股證、牛熊證、期權、期貨、結構性產品等、不論是否於交易所進行交易)
 I/We understand the nature and risks of derivative products:
 本人/吾等了解衍生產品的性質和風險
 By undergoing training or attending courses
 已接受有關的培訓或課程
 Please specify 請註明 _____
 From work experience
 從工作經驗
 Please specify 請註明 _____
 From trading experience
 從交易經驗
 Please specify 請註明 _____

(iv) Risk Tolerance and Client Investment Interest 可承受風險及客戶投資意向

Risk Tolerance 可承受風險
 (Please tick one only 只可選擇下列一項)

Client Investment Interest 客戶投資意向
 (Please tick one or more of the product(s) that you are interested in trading
 請選擇下列一項或多項有意欲交易之產品):

- | | |
|---|---|
| <input type="checkbox"/> Aggressive 高 | <input type="checkbox"/> Derivative Warrants / Callable Bull/Bear Contracts 衍生權證 (窩輪) / 牛熊證
<input type="checkbox"/> Exchange Traded Funds (ETF) / Trust 交易所買賣基金 / 信託基金
<input type="checkbox"/> Growth Enterprise Market (GEM) 創業版
<input type="checkbox"/> Shanghai Connect Stock 滬股通股票
<input type="checkbox"/> Shenzhen Connect Stock 深股通股票
<input type="checkbox"/> Main Board 主板 |
| <input type="checkbox"/> Moderate 中 | <input type="checkbox"/> Exchange Traded Funds (ETF) / Trust 交易所買賣基金 / 信託基金
<input type="checkbox"/> Growth Enterprise Market (GEM) 創業版
<input type="checkbox"/> Main Board 主板 |
| <input type="checkbox"/> Conservative 低 | <input type="checkbox"/> Main Board 主板 |

2. METHOD FOR LANGUAGE OF COMMUNICATION / ACCOUNT STATEMENT COLLECTION 通訊/戶口結單收取方法及語言

Please select one of the following methods or language for communication / account statement collection (Monthly fee of HK\$100 would be charged for any mailing services)

請選擇以下其中一項通訊/戶口結單收取方法及語言 (如選用郵寄形式,將每月收取港幣 100 元郵遞服務費)

- (i) English 英文 Chinese 中文
- (ii) Email Address 電子郵件地址 Home Address 住宅地址 Registered Address 註冊地址 Business Address 營業地址
 Others (Please specify) 其他 (請填寫): _____

This section has been completed by 本節由以下人員填寫

- authorised signatory
 chief investment officer
 other (Please specify): _____

3. BANK ACCOUNT DETAILS 銀行戶口資料

Unless otherwise instructed by the Client, all payments payable to the Client will be deposited into the following bank account(s):

除經客戶另行指示外,客戶的應收金額將存入下列指定銀行賬戶:

Currency 貨幣: HKD 港幣 USD 美元 CNY 人民幣

Bank Name: 銀行名稱 _____ Swift Code: 銀行國際代碼 _____

Account Holder Name 賬戶持有人名稱 _____ Account Number 賬戶號碼 _____

4. ULTIMATE BENEFICIAL OWNER(S) 最終實益擁有人

I am/ We are the ultimate beneficial owner(s) of the account. 本人/吾等是該賬戶的最終實益擁有人

Yes 是 No, please specify 否,請註明:

Name of Ultimate Beneficial Owner(s): 最終實益擁有人姓名: _____ _____	Relationship with Account Holder: 與賬戶持有人的關係: _____	I.D. Card / Passport No.: 身份證或護照號碼: _____
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Address 地址: _____ (Postal Code 郵政編號: _____)

Is/are the ultimate beneficial owner(s) a U.S. citizen or resident? 該最終實益擁有人是否美國公民或居民? No 否 Yes 是

Is/are the ultimate beneficial owner(s) born in U.S.? 該最終實益擁有人是否在美國出生? No 否 Yes 是

5. DECLARATION 聲明

The Client has applied to open an account with [name]. By signing this part, the Client declares and confirms that:

以下簽名之客戶同意並根據客戶協議內適用於客戶所選擇服務賬戶之條款及條件於**尊迪奧證券**服務賬戶。客戶確認已閱讀及明白客戶協議之一切條款及條件。客戶簽署以下分段,表示客戶聲明及確認如下:

- The information provided in this Client Information Statement is complete, true and accurate. **ZUNDIAO** is entitled to rely fully on such representations and information for all purposes, unless the Client informs **ZUNDIAO** in writing of any change to that information. **ZUNDIAO** is authorised to contact anyone, including the Client's bankers, brokers or any credit agency, for the purposes of verifying the information provided in this Client Information Statement.
客戶所提供之所有資料屬完整,真實及正確。**尊迪奧證券**有權在任何用途上完全依賴這些資料及陳述,除非客戶另行以書面通知**尊迪奧證券**有任何資料更改, **尊迪奧證券**有權聯絡客戶之銀行、經紀或任何信貸機構作核實本客戶資料聲明之用途。
- The Client acknowledges that the Client has read and understood the terms of each investment product provided by **ZUNDIAO**, including without limitation margin calls, position limits and closing out or termination of positions provided by **ZUNDIAO** and fully understands the circumstances under which the Client's positions may be closed without the Client's consent.
客戶確認了解有關各類**尊迪奧證券**提供之合約產品;及其全部清楚了解毋須客戶同意而可將客戶買賣盤平倉之情況。
- The Client acknowledges that the Client has read and understood the contents of the Risk Disclosure Statements as referred to in Client Account Agreement Section F, in particular the Client fully understands the nature and risks associated with derivatives.
客戶確認客戶已閱讀及明白客戶協議書 F 部風險披露聲明書及免責聲明之一切內容,尤其客戶已完全了解 F 部分 B 段落當中提及衍生產品之性質及相關風險。儘管客戶可能並沒有相關衍生產品交易經驗,客戶可基於客戶獨立判斷仍要求衍生產品交易。客戶願意承擔所有相關衍生產品之風險。
- Independent advice regarding the opening of this account and the applicable terms have been sought.
- ZUNDIAO** is subject to or may observe the laws of other jurisdictions, such as the Foreign Account Tax Compliance Act ("FATCA") and the Client agrees to the withholding or deduction of funds from its account in order for **ZUNDIAO** to do so.
為遵從《海外賬戶稅收合規法案》("FATCA")的相關要求,客戶同意並授權**尊迪奧證券**可根據客戶協議書 B 部分第 11 段,享有唯一及絕對的酌情權,從客戶的賬戶中,預留或扣除任何款項(可高達總交易金額的 30%及/或由美國國稅局不時要求的其他金額),以及收取任何由該預扣款項所衍生的費用。客戶確認,在任何情況下, **尊迪奧證券**將不會為任何因稅收合規法案要求下預扣或扣除款項,所引致的損失及損害負責上責任。
- The Client further undertakes to fully indemnify **ZUNDIAO** against any loss, damages and cost suffered by **ZUNDIAO** as a result of the Client providing misleading or false information or otherwise failing to comply with any requirement under FATCA and any other Foreign Law Requirement.
客戶並承諾,如因客戶提供含誤導成分或錯誤的資料,或並無遵守海外賬戶稅收合規法案及任何其他外國法規定的情況下,招致**尊迪奧證券**的任何損失、損害或開支,客戶會向**尊迪奧證券**作出彌償。
- The Client acknowledges and confirms that the Client has read and understood the Notice on Personal Data (Privacy) Ordinance as set out in Section E. Unless the Client does not agree to the use of the Client's personal data for direct marketing by so indicating in Section E, the Client acknowledges and consents to the use and/or transfer of his/her personal data for direct marketing as set out in the Notice on Personal Data (Privacy) Ordinance in accordance with Section E of the Cash Client Agreement.
客戶確認客戶已閱讀並明白客戶協議內 H 部份有關個人資料(私隱)條例的通知。除非客戶剔選以下方格以表示不同意客戶的個人資料為直接促銷之目的而被使用,客戶確認並同意根據以上有關個人資料(私隱)條例的通知為直接促銷之目的而使用及/或轉移客戶的個人資料根據客戶協議書 G 部分。

- h. The operation of the account shall be subject to the "Client Account Terms and Conditions" and relevant authorisations (including Standing authorities) and instructions. 本賬戶之操作乃根據《現金客戶協議書》的條款及條件所載的條文，相關授權（常設授權）及指示。
- i. We understand and have full knowledge of the waterfall of the acceptable client identify documents under the Hong Kong Investor Identification Regime and Over-the-counter Securities Transaction Reporting Regime. 我（們）理解及充份掌握在香港投資者識別碼制度及場外證券交易匯報制度下可接受身份證明文件排序表。

- j. We acknowledge and agree that ZUNDIAO may collect, store, process, use, disclose and transfer personal data relating to us (including your CID and BCAN(s)) as required for us to provide services to you in relation to securities listed or traded on the Stock Exchange of Hong Kong (SEHK) and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (SFC) in effect from time to time. 我（們）明白並同意，尊迪奧證券有限公司（以下簡稱「尊迪奧證券」）為了向我（們）提供與在香港聯合交易所（以下簡稱「香港聯交所」）上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會（證監會）的規則和規定，尊迪奧證券可收集、儲存、處理、使用、披露及轉移與我（們）有關的個人資料（包括我（們）在內的客戶識別信息及券商客戶編碼）。

Failure to provide ZUNDIAO with the consent and/or updated CID Form (if any) as described in this letter may mean that ZUNDIAO will not, or will no longer be able to, as the case may be, carry out our trading instructions or provide me/us with Hong Kong Stock securities related services (other than to sell, transfer out or withdraw my/our existing holdings of securities, if any). 未能向尊迪奧證券提供上述客戶的個人資料或同意，意味著尊迪奧證券將不會或不能視情況而定執行我（們）的交易指令或向我（們）提供港股交易服務。

We have acknowledged, read and understood the contents of the Policy of ZUNDIAO on Personal Data Privacy provided by ZUNDIAO. By ticking the box below, We hereby provide our consent for ZUNDIAO to use our personal data on the terms of and for the purposes set out in the Policy of ZUNDIAO on Personal Data Privacy. We hereby state that the above information given is complete and accurate and that no false or misleading information or false statements have been given. 我（們）確認我（們）等已經閱讀並理解尊迪奧證券對於個人資料私隱的政策內容。通過勾選下面的方框，我（們）同意尊迪奧證券根據尊迪奧證券對於個人資料私隱的政策中的條款和目的使用我（們）的個人資料。

We hereby provide our consent for ZUNDIAO to use our personal data for the purposes set out Policy of ZUNDIAO on Personal Data Privacy as part of Trading on the Stock Exchange of Hong Kong, to activate trading of Hong Kong Stock. 我（們）同意尊迪奧證券根據尊迪奧證券對於個人資料私隱的政策中的條款和目的使用我（們）的個人資料作為為香港聯合交易所交易的一部分所載的目的，以開通香港股票交易。

- k. We understand and have full knowledge that in view of ZUNDIAO's provision of Stock Connect Stock Connect Northbound Trading Services to us, we acknowledge and agree that ZUNDIAO will be required to: 我（們）明白並同意，尊迪奧證券有限公司以下簡稱「尊迪奧證券」在通過中華通北向交易服務過程中，尊迪奧證券將被要求進行以下工作：

(i) tag each of our orders submitted to the China Stock Connect ("CSC") with Broker-to-Client Assigned Number ("BCAN") that is unique to us with ZUNDIAO, as appropriate; and 對提交到中華通交易系統的每一個客戶委託，增加一個獨一無二且專屬於客戶的券商客戶編碼（以下簡稱"BCAN"）（適用於客戶持有單一帳戶）或分配給客戶的聯名帳戶的 BCAN 碼（適用於客戶持有聯名帳戶）；及

(ii) provide to the SEHK our assigned BCAN and such identification information ("Client Identification Data" or "CID") relating to us as the SEHK may request from time to time under the Rules of the Exchange. 向香港交易所（以下簡稱“交易所”）提供已經編配給客戶的 BCAN 及相關客戶識別資訊（以下簡稱“客戶識別資訊”或“CID”），交易所可根據交易所規則而不時提出要求。

Without limitation to any notification ZUNDIAO have given us or consent ZUNDIAO have obtained from us in respect of the processing of our personal data in connection with our account and ZUNDIAO's services to us, We acknowledge and agree that ZUNDIAO may collect, store, use, disclose and transfer personal data relating to us as required as part of ZUNDIAO's Stock Connect Northbound Trading Service, including as follows: 在處理與我（們）帳戶相關的個人資料以及向我（們）提供服務時，在不限尊迪奧證券已經向我（們）作出的通知和已經取得的我（們）的同意情況下，作為中華通北向交易服務的一部分，我（們）知悉並同意尊迪奧證券可能會收集、存儲、使用、披露並傳輸您的個人資料，包括：

(a) to disclose and transfer our BCAN and CID to the Exchange/SEHK and the relevant SEHK Subsidiaries from time to time, including by indicating our BCAN when inputting a China Connect Order into the CSC, which will be further routed to the relevant China Connect Market Operator on a real-time basis: 不時向交易所及其相關聯交所子公司披露及傳輸您的 BCAN 及 CID，包括向中華通交易系統輸入委託指令時標明您的 BCAN，並將進一步即時傳遞至相關中華通市場運營者；

(b) to allow each of the Exchange/SEHK and the relevant SEHK Subsidiaries to: (i) collect, use and store your BCAN, CID and any consolidated, validated and mapped BCANs and CID information provided by the relevant China Connect Clearing House (in the case of storage, by any of them or

via HKEX) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange; (ii) transfer such information to the relevant China Connect Market Operator (directly or through the relevant China Connect Clearing House) from time to time for the purposes set out in (c) and (d) below; and (iii) disclose such information to the relevant regulators and law enforcement agencies in Hong Kong so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; 以及由相關中華通結算機構為市場監測監控 目的和執行交易所規則而合併、驗證和配對的 BCAN 和 CID 資訊 (資訊由中華通結算機構或交易所保存) ; (ii) 為符合下文 (c)及(d)規定的目的, 不時將有關資料 (直接或通過相關中華通結算機構) 轉移給中華通市場運營者; (iii)向香港的相關監管機構和執法機構披露有關資料, 以促進其香港金融市場法定職能的履行;

(c) to allow the relevant China Connect Clearing House to: (i) collect, use and store your BCAN and CID to facilitate the consolidation and validation of BCANs and CID and the mapping of BCANs and CID with its investor identification database, and provide such consolidated, validated and mapped BCANs and CID information to the relevant China Connect Market Operator, the Exchange/SEHK and the relevant SEHK Subsidiary; (ii) use your BCAN and CID for the performance of its regulatory functions of securities account management; and (iii) disclose such information to the Mainland regulatory authorities and law enforcement agencies having jurisdiction over it so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets; and 允許相關中華通結算機構: (i)收集、使用以及儲存您的 BCAN 和 CID, 以促進 BCAN 和 CID 的整合和驗證, 以及 BCAN 和 CID 與投資者資料庫的配對, 並將相應整合、驗證和配對的 BCAN 和 CID 資訊提供給相關中華通市場運營者、交易所 及其相關聯交所子公司; (ii)使用您的 BCAN 和 CID 來履行其證券帳戶管理的監管職能; (iii)向有管轄權的內地監管機構及 執法機構披露有關資料, 以促進其內地金融市場的監管、監察及執法職能的履行

(d) to allow the relevant China Connect Market Operator to: (i) collect, use and store your BCAN and CID to facilitate their surveillance and monitoring of securities trading on the relevant China Connect Market through the use of the China Connect Service and enforcement of the rules of the relevant China Connect Market Operator; and (ii) disclose such information to the Mainland regulatory authorities and law enforcement agencies so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets. 允許相關中華通市場運營者: (i)收集、使用以及存儲您的 BCAN 和 CID, 通過使用中華通服務及執行相關中華通市場營運商的規則, 以促進其中華通市場的證券交易的監測監控; (ii)向內地監管機構和執法機構披露有關資料, 以協助履行其對金融市場的監管、監察及執法職能。

By instructing ZUNDIAO in respect of any transaction relating to China Connect Securities, We acknowledge and agree that ZUNDIAO may use our personal data for the purposes of complying with the requirements of the Exchange/SEHK and its rules as in force from time to time in connection with the Stock Connect Northbound Trading. We also acknowledge that despite any subsequent purported withdrawal of consent by us, our personal data may continue to be stored, used, disclosed, transferred and otherwise processed for the above purposes, whether before or after such purported withdrawal of consent. Failure to provide ZUNDIAO with the consent and/or updated CID Form (if any) as described in this Declaration may mean that ZUNDIAO will not, or will no longer be able to, as the case may be, carry out our trading instructions or provide us with Stock Connect Northbound Trading Service (other than to sell, transfer out or withdraw my/our existing holdings of securities, if any). 通過向尊迪奧證券發出關於中華通證券交易的指示, 我(們)知悉並同意, 為符合與中華通北向交易相關而不時更新的交易所要求和規則, 尊迪奧證券可以使用我(們)的個人資料。我(們)亦知悉, 儘管我(們)隨後聲稱撤回同意, 但無論在我(們)聲稱撤銷同意之前或之後, 我(們)的個人資料仍可繼續存儲、使用、披露、轉移以及其他處理以達到上述目的。未能向尊迪奧證券提供上述客戶的個人資料或同意, 意味著尊迪奧證券將不會或不能 (視情況而定) 執行我(們)的交易 指令或向我(們)提供中華通北向交易服務。

We have acknowledged, read and understood the contents of the Policy of ZUNDIAO on Personal Data Privacy provided by ZUNDIAO. By ticking the box below, We hereby provide our consent for ZUNDIAO to use our personal data on the terms of and for the purposes set out in the Policy of ZUNDIAO on Personal Data Privacy. We hereby state that the above information given is complete and accurate and that no false or misleading information or false statements have been given. 我(們)確認我(們)等已經閱讀並理解尊迪奧證券對於個人資料私隱的政策的内容。通過勾選下面的方框, 我(們)同意 尊迪奧證券根據尊迪奧證券對於個人資料私隱的政策中的條款和目的使用我(們)的個人資料。

We hereby provide our consent for ZUNDIAO to use our personal data for the purposes set out in the Policy of ZUNDIAO on Personal Data Privacy as part of the Stock Connect Northbound Trading, and confirm We are not Chinese Citizen and holder of identity documents issued by Mainland China or Incorporated association/ Unincorporated association registered in Mainland China, to activate the trading of China Connect Stock. 我(們)同意尊迪奧證券根據尊迪奧證券對於個人資料私隱的政策中的條款和目的使用我(們)的個人資料作為中華通北向交易的一部分所載的目的, 以開通中華通股票交易, 並確認我(們)並非持有中國內地身份證文件的中國公民和在中國內地註冊的法人及非法人組織。

1. We understand that ZUNDIAO has the right to request for other additional documentary proof for purpose of account opening, and we agreed to reasonably satisfy ZUNDIAO's request for the purpose opening of the account. 我(們)明白尊迪奧證券擁有在開立帳戶時要求我(們)提交其它證明文件的權利, 我(們)同意為帳戶的開立需要滿足尊迪奧證券合理的要求。

6. USE OF PERSONAL DATA 使用個人資料

I/ We agree / disagree to the use of my/ our/ Client's Personal Data for direct marketing by ZUNDIAO under Personal Information Collection Statements of the Part H of Client Account Agreement . 本人已閱讀、接受及同意以上客戶聲明之條款。如任何一項聲明與本人資料不符，本人將填妥相關表格並交予尊迪奧證券。

本人/ 吾等 同意 / 不同意尊迪奧證券使用本人/ 吾等/ 客戶的個人資料按個人資料收集聲明（載於客戶協議書的第 H 部份）作直接促銷。

I/we understand that at any time in the future, in respect of direct marketing, I/we are entitled to inform the Data Privacy Officer of ZUNDIAO if I/ we wish to opt-out of the use of my/our/Client's personal data for any of the direct marketing purposes. 本人不同意提供、使用及轉移本人之個人資料作直接促銷目的。

CLIENT SIGNATURE 客戶簽署確認

I/We confirm that I/we have read and fully understood the contents of the Client Account Agreement.

本人 / 吾等 確 認 已 閱 讀 及 完 全 明 白 「 客 戶 協 議 書 」 的 內 容 。

CORPORATE ACCOUNT 公司賬戶

Authorised Signature with Company Chop 公司印章及獲授權人簽名

Authorised Signature with Company Chop 公司印章及獲授權人簽名

Name in Block Letter

姓名正楷

Name in Block Letter

姓名正楷

Date

日期

Date

日期

SIGNED BY WITNESS 見證人簽署

(to be completed by a licensed representative **ZUNDIAO** or Professional (any other licensed or registered person with the SFC, a JP, branch manager of a bank, certified public accountant, lawyer, notary public or others)
 (由**尊迪奧證券**持牌代表或聯繫人士或專業人士(其他證監會持牌人或註冊人、太平紳士、銀行分行經理、執業會計師、律師、公證人或其他)填寫)

I hereby certify that I have witnessed the signature and verified the original identity documents of the persons above.
 本人謹此確認本人已見證及驗證上述簽署人之簽署及有關其身分證明文件之正本。

Signed and Certified by 簽署及驗證	Name of witness 見證人姓名
Occupation/Position 職業/職位	Date 日期

DECLARATION BY LICENSED PERSON 持牌人士聲明

I confirm that I have provided the risk disclosure statements (as contained in the Client Account Agreement) in a language of the Client's choice (English or Chinese) and invited the Client to read the risk disclosure statements, ask questions and take independent advice if the Client wishes.
 本人確認已按照客戶所選擇的語言(英文或中文)提供風險披露聲明(載於客戶協議書),並已邀請客戶閱讀該等風險披露聲明、提出問題及徵求獨立的意見(如客戶有此意願)。

Signature of Licensed Person 持牌人士簽署	Name of Licensed Person 持牌人士姓名
Date 日期	Date 日期

DECLARATION BY LICENSED PERSON 持牌人士聲明

ZUNDIAO Authorised Signature 尊迪奧證券授權人士簽署	Name of Authorised Person 獲授權人士姓名
Position 職位	Date 日期

NOTE 1 備註 1:

If the information provided by the Client indicates any "U.S. Indicia" as below: 如果客戶所提供的資料,有以下任何一項「美國指標」:

- (1) **The Client is a U.S. citizen or resident:** 客戶為美國公民或居民;
- (2) **The Client was born in U.S.:** 客戶在美國出生;
- (3) **The Client holds a current U.S. mailing, residential address (including a U.S. post office box);** 客戶現時擁有美國的郵寄地址、住宅地址(包括美國郵政信箱);
- (4) **The Client holds a current U.S. telephone number;** 客戶現時擁有美國的電話號碼;
- (5) **The Client requests Standing instructions to transfer funds to an account maintained in the U.S.:** 客戶要求以常設授權方式,匯款往一個在美國開立的賬戶;
- (6) **Any of the Directors and/or Authorised Person(s) of the Client holds a U.S. address; or** 賬戶的任何董事及/或獲授權人士擁有美國地址;或
- (7) **The Client used an "in-care-of" or "hold mail" address as his/her sole address.** 客戶以一個代收或代存郵件地址作為其唯一地址。

Then, please choose any 1 of the following options to declare the U.S. or non-U.S. status of the Client or the ultimate beneficial owner of the account: 請客戶或賬戶之最終實益擁有人選擇以下其中一項,申報其美國人或非美國人的身份:

- (a) If the Client or the ultimate beneficial owner of the account holds a U.S. citizenship or lawful permanent resident (green card) status, whether he/she was born in U.S., please complete Form W-9 to establish U.S. status.
 如客戶或賬戶之最終實益擁有人擁有美國公民或美國合法永久居民(綠咭)身份,不論其是否在美國出生,請填寫 **W-9** 表格以確立美國人身份。
- (b) If the Client or the ultimate beneficial owner of the account does NOT hold a U.S. citizenship or lawful permanent resident (green card) status, but has any of the U.S. indicia (2) to (7), please:
 如客戶或賬戶之最終實益擁有人並無擁有美國公民或美國合法永久居民(綠咭)身份,但擁有上述(2)至(7)項美國指標,請

complete Form W-8 and provide a non-U.S. passport or other similar government issued evidence establishing his/her citizenship in a country other than the U.S.; and

填寫 W-8 表格及提供非美國護照或其他由政府發出的證明文件以確立非美國人身咭;及

- (c) if the Client or the ultimate beneficial owner of the account was born in U.S., please provide the copy of the form “Certificate of Loss of Nationality of the United States” or written explanation regarding his/her relinquishment of U.S. citizenship or reason why he/she did not obtain U.S. citizenship at birth.

如客戶或賬戶之最終實益擁有人在美國出生,請提供表格 “Certificate of Loss of Nationality of the United States” 的副本,或書面解釋有關客戶或賬戶之最終實益擁有人放棄美國公民身份或沒有取得美國公民身份的原因。

If the Client or the ultimate beneficial owner of the account does NOT have any U.S. indicia above, no W-8 or W-9 forms are required. 如客戶或賬戶之最終實益擁有人並無擁有上述任何美國指標,則不用填寫 W-8 或 W-9 表格。

NOTE 2 備註 2:

- Any deletion or amendment must be signed by the Client(s).
任何刪除或修改必須由客戶簽署作實。
- Certified copy means a copy of the original that has been sighted by an independent certifier (the “Certifier”). The Certifier can be a licensed representative or affiliate of ZUNDIAO or Professional (any other licensed or registered person with the SFC, a JP, branch manager of a bank, certified public accountant, lawyer, notary public or others).
核證副本是指文件的正本須經由一名獨立合適人士(「核證人」)查看。核證人包括**尊迪奧證券**持牌人士或聯繫人士或專業人士(其他證監會持牌人或註冊人、太平紳士、銀行分行經理、執業會計師、律師公證人或其他)。
- The Certifier must i) sign and date the copy document (printing his/her name clearly in capitals underneath), ii) clearly indicate his/her position or capacity on it and iii) state that it is a true copy of the original (or words to similar effect).
核證人必須 i) 在副本文件上簽署並寫上日期(以大楷清楚列示其姓名), ii) 清楚註明其職位或身分及 iii) 註明該副本文件為正本文件的真確副本(或具類似效力的字詞)。

**FOR INTERNAL USE ONLY 以下僅供
內部填寫**

A.E. Code:	Interest Rate:
Trade Limit/Trading Limit:	Credit Limit/Position Limit:
Commission:	Others:

**A/C OPENING FLOW RECORD 開戶
程式記錄**

Approval by:	Input by:	Checked by:
Date:	Date:	Date: