

Client Declaration – Application for Foreign Stock Trading Access Right

Please complete the application form and email to Customer Services Department online@cmschina.com.hk. Please put “✓” in for the selected service (one or multiple, if applicable):

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. China Merchants Securities(HK) Co., Limited (“CMSHK”) has the rights to 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 loss, damages, claim, or any other liability whatsoever.

Market	Client must declare nationality/ place of incorporation, citizenship, residency, tax residency status or others of the account holder(s) and/or principle shareholder(s)/ ultimate beneficial owner(s) of the captioned account in accordance to the laws of corresponding Government.	Declaration
Australia	Please activate the Australia Stock Trading Service for me/us. I/We do not hold <u>Australian</u> nationality/ place of incorporation/ citizenship/ residency/ tax residency status.	<input type="checkbox"/>
Canada	Please activate the Canada Stock Trading Service for me/us. I/We do not hold <u>Canada</u> nationality/ place of incorporation/ citizenship/ residency/ tax residency status.	<input type="checkbox"/>
Finland	Please activate the Finland Stock Trading Service for me/us. I/We do not hold <u>Finnish</u> nationality/ place of incorporation/ citizenship/ residency/ tax residency status.	<input type="checkbox"/>
Japan	Please activate the Japan Stock Trading Service for me/us. I/We confirm that I/we are <u>not an Officer</u> (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"/>

Notes:

1 Client has to update account particulars within 30 days after any change in nationality/ place of incorporation/ citizenship/ residency/ tax residency status/address/ officer status.

2 CMSHK will suspend the relevant trading service without prior notice when client changes nationality/ place of incorporation/ citizenship/ residency/ tax residency status to one of the places mentioned above.

3 Client may bear the relevant legal responsibility if he/she makes or provide misleading, false or incorrect representation and information which violates any applicable laws and regulations.

Account No.:			
Primary Account Holder's Name:		Secondary Joint Account Holder's Name:	
Client Signature:		Client Signature:	
Date of Signature:		Date of Signature:	
只供本行使用 For Official Use Only			
A.E's Name:		A.E's Signature:	
Handled by OPS:			