

Application Form for Opening Additional Securities Trading Account and/or Stock Options Trading Account and/or Remittance Account under the Northbound Scheme of the Cross-Boundary Wealth Management Connect in the Guangdong-Hong Kong-Macao Greater Bay Area

開立額外證券交易帳戶及／或股票期權交易帳戶及／或「粵港澳大灣區跨境理財通」的北向通匯款專戶申請表

Existing Account Name 現有帳戶名稱	
Existing Account Type 現有帳戶類型	<input type="checkbox"/> Cash Account 現金帳戶 <input type="checkbox"/> Margin Account 保證金帳戶
Existing Account No. 現有帳戶號碼	

I/We hereby declare to GF Securities (Hong Kong) Brokerage Limited (“GFSHK”) that the information of my/our aforesaid account opened and maintained with GFSHK is accurate and up-to-date, and authorize GFSHK to open the following Additional Securities Trading Account and/or Stock Options Trading Account and/or Remittance Account under the Northbound Scheme of the Cross-Boundary Wealth Management Connect in the Guangdong-Hong Kong-Macao Greater Bay Area (“Additional Account”) by using the information of my/our aforesaid account:

本人／吾等謹此向廣發証券(香港)經紀有限公司(「廣發証券(香港)」)聲明本人／吾等在廣發証券(香港)所開立及維持的上述帳戶的資料均是準確無誤及最新，並授權廣發証券(香港)以上述本人／吾等帳戶的資料用作開立下述額外證券交易帳戶及／或股票期權交易帳戶及／或「粵港澳大灣區跨境理財通」的北向通匯款專戶(「額外帳戶」)：

1. Type of Additional Account (Please tick “✓” in the appropriate box)

額外帳戶類型(請於適當的空格內填上別號“✓”)

- Cash Securities Trading Account (“Cash Account”)
現金證券交易帳戶(「現金帳戶」)
- Margin Securities Trading Account (“Margin Account”) (Please provide additional documents if the existing account is a Cash Account, e.g. Declaration of Group of Connected Margin Clients etc.)
保證金證券交易帳戶(「保證金帳戶」)(如現有帳戶為現金帳戶，請提供額外文件，如關聯保證金客戶組別聲明等)
- U.S. Stock Options Trading Services [Only for (1) Margin Account with U.S. stock services, (2) clients who has a valid IRS W-8 series form, and (3) clients who has completed the “Derivatives Knowledge Assessment Form” and assessed with knowledge of derivatives.]
美國股票期權交易服務 [只限(1)已開通美國股票服務的保證金帳戶(2)持有有效IRS W-8系列表格的客戶、以及(3)已完成《衍生產品知識評估表格》並被評估為具備衍生產品知識的客戶]
- H.K. Stock Options Trading Account (Please open a Margin Account before opening a H.K. Stock Options Trading Account if the existing account is a Cash Account)
香港股票期權交易帳戶(如現有帳戶為現金帳戶，請先開立保證金帳戶後再開立香港股票期權交易帳戶)
- Cash Account as defined in *New Capital Investment Entrant Scheme/ Capital Investment Entrant Scheme

(Please provide additional documents) *Delete as appropriate

《新資本投資者入境計劃》／《資本投資者入境計劃》下所界定的現金帳戶（請提供額外文件）
刪去不適用者

- Trading Account as per the discretionary management arrangement entered into with GFSHK's affiliate companies e.g. GF Asset Management (Hong Kong) Limited
根據與廣發証券(香港)的關聯公司，如廣發資產管理(香港)有限公司，訂立的全權委託管理安排下的理財專戶
- “Global Tailor Plus” Discretionary Account (as Cash Account) (Please execute the “Global Tailor Plus Investment Advisory Services Agreement”, the “Global Tailor Plus Investment Advisory Services Discretionary Account Authorization Agreement” and the “Global Tailor Plus Investment Strategy” of the relevant portfolio.) [Professional Investor Only]
寰宇智配委託專戶（為現金帳戶）（請簽訂《「寰宇智配」投資顧問服務協議書》、《「寰宇智配」投資顧問服務全權委託帳戶授權協議》、以及相關組合的《投資組合策略方案說明書》）[只限專業投資者]
- Remittance Account under the Northbound Scheme of the Cross-Boundary Wealth Management Connect in the Guangdong-Hong Kong-Macao Greater Bay Area (as Cash Account)
「粵港澳大灣區跨境理財通」的北向通匯款專戶（為現金帳戶）
- Other (Please specify) 其他(請註明): _____

2. Please provide the reason of opening an Additional Account if the type of this Additional Account is same as the existing account (if applicable)

如額外帳戶與現有帳戶的類型相同，請提供開立額外帳戶的原因（如適用）

Client Declaration 客戶聲明

I/We hereby acknowledge and confirm that:

本人／吾等謹此知悉及確認：

- The information of my/our aforesaid account opened and maintained with GFSHK, including but not limited to, and where applicable, the nationality, education level, occupation, place of incorporation, business nature, company structure, tax and/or financial status, etc., are true, accurate, up-to-date and consistent with GFSHK's existing records, and agree GFSHK to use the information of my/our aforesaid account for opening additional account.

本人／吾等在廣發証券(香港)所開立及維持的上述帳戶的資料，包括但不限於國籍、教育程度、職業、註冊國家、業務性質、公司架構、稅務及／或財務狀況等（如適用），均是真實、準確、最新及與留存於廣發証券(香港)之現有記錄是一致的，並同意廣發証券(香港)以上述本人／吾等帳戶的資料用作開立額外帳戶。

- I/We have received, read and understood the latest Terms and Conditions for Client Accounts (including the schedules, appendices and annexes, if any), and the “Notice to Individual Clients on the Collection of Personal Data” set out in the Terms and Conditions, and I/we accept and agree to be bound by these terms and provisions.

本人／吾等已收到、閱悉及明白最新的客戶帳戶之條款及細則（包括其附表、附錄及附件（如有）），以及載於該等條款及細則內的《有關收集個人資料的致個人客戶通知》，而本人／吾等接納並同意受該等條款及

規定約束。

- Where applicable, I/we have received, read and understood the terms set out in the Appendix 1 in relation to Standing Authority (Client Securities) for my/our additional Margin Account, and I/we hereby agree to give such standing authority to GFSHK pursuant to the relevant terms and applicable rules.

如適用，就本人／吾等的額外保證金證券帳戶，本人／吾等已收到、閱悉及明白附件一有關常設授權（客戶證券）之條款內容，且本人／吾等同意謹此按相關條款及法規向廣發證券(香港)賦予該等常設授權。

- Where applicable, I/we have received, read and understood the terms set out in the Appendix 2 in relation to Standing Authority (Client Money – Global Securities Transaction), and I/we hereby agree to give such standing authority to GFSHK pursuant to the relevant terms and applicable rules.

如適用，本人／吾等已收到、閱悉及明白附件二有關常設授權（客戶款項 – 環球證券交易）之條款內容，且本人／吾等同意謹此按相關條款及法規向廣發證券(香港)賦予該等常設授權。

- Where applicable, I/we have received, read and understood the terms set out in the Terms and Conditions for Client’s Accounts in relation to U.S. Stock Options Trading, and I/we hereby accept and agree to be bound by the provisions of relevant terms and applicable rules, including but not limited to Seventh Schedule – Terms for U.S. Stock Options Trading.

如適用，本人／吾等已收到、閱悉及明白客戶帳戶之條款及細則中有關美國股票期權交易之條款內容，且本人／吾等謹此接納並同意受相關條款及法規約束，包括但不限於《附表七 – 美國股票期權交易條款》。

- The risk disclosure statements (as contained in the Terms and Conditions for Client Accounts) were provided to me/us in a language of my/our choice (English or Chinese).

本人／吾等已獲提供以本人／吾等選擇的語言（英文或中文）所撰寫的風險披露聲明（載於客戶帳戶條款及細則內）。

- I/We was/were invited to read the risk disclosure statements, and to ask questions and take independent advice if I/we so wishes.

本人／吾等已獲邀閱讀風險披露聲明，並按本人／吾等意願提出問題及諮詢獨立意見。

- Where applicable, I have received, read, understood and signed the Application Form for the Cross-Boundary Wealth Management Connect Scheme (Northbound Scheme).

如適用，本人已收到、閱悉、明白及簽署「跨境理財通「北向通」服務申請表格」。

- Where applicable, I have received, read and understood the terms set out in the Terms and Conditions of Cross-boundary Wealth Management Connect (“WMC”) Scheme (Northbound Scheme), Schedule – Key Information and Risk Disclosure Statement, and Notice to Individual Clients relating to the Personal Information Protection Law of the People’s Republic of China, and I accept and agree to be bound by these terms and provisions.

如適用，本人已收到、閱悉及明白「跨境理財通「北向通」服務之條款及細則」、「附表 – 資訊概要及風險披露聲明」、及「有關《中華人民共和國個人信息保護法》致個人客戶通知」之條款內容，而本人接納並同意受該等條款及規定約束。

Client Signature 客戶簽署

Client Signature or
Company Authorized Signature(s) and Company Chop (if applicable)
客戶簽署或公司授權人簽署及公司印章（如適用）

Date
日期

Declaration by GFSHK Licensed Staff 廣發証券(香港)持牌員工聲明

I 本人_____ (Licensed Person's Name 持牌代表姓名) (CE No.中央編號:_____)

hereby declare 謹此聲明：

- I have provided to the above-named client with the risk disclosure statements (as contained in the Terms and Conditions for Client Accounts) in a language of the client's choice (English or Chinese).
本人已向上述客戶提供以客戶選擇的語言（英文或中文）所撰寫的風險披露聲明（載於客戶帳戶條款及細則內）。
- I have invited the client to read the risk disclosure statements, ask questions and take independent advice if the client so wishes.
本人已邀請客戶閱讀風險披露聲明、並按客戶意願提出問題及諮詢獨立意見。
- I have fully explained the contents of risk disclosure statements to the client in a language which the client understands.
本人已用客戶能理解的語言向其解釋本風險披露聲明的內容。
- I have confirmed with client that the account information maintained with GFSHK are true, accurate, up-to-date and consistent with GFSHK's existing records. If there is any discrepancy noted in relation to the account information and/or authorization (for corporate client), the required supporting documents will be affixed.
本人已與客戶確認維持於廣發証券(香港)的帳戶資料均是真實、準確、最新及與留存於廣發証券(香港)之現有記錄是一致的。倘本人知悉客戶的任何帳戶資料及／或授權（適用於公司客戶）存在差異，將同時會提供有關佐證文件。

Licensed Person's Signature 持牌代表簽署

Licensed Person's Signature 持牌代表簽署

Date 日期

只供內部使用 For Office Use Only					
Additional Account No.:				AE Code:	
Signature	SV	Reviewed by	Approved by	Inputted by	Checked by
Name					
Date					

Appendix 1 附件一

Standing Authority (Client Securities) (For Margin Securities Account Clients Only)

常設授權 (客戶證券) (僅供保證金證券帳戶客戶填寫)

This Standing Authority (this "Authority") covers all securities purchased or held by GFSHK on my/our behalf.
本常設授權 (本「授權」) 涵蓋所有由廣發證券香港代表本人/吾等購買或持有之證券。

Pursuant to Section 7 of the Securities and Futures (Client Securities) Rules, this Authority authorizes GFSHK to
根據《證券及期貨 (客戶證券) 規則》第7條的規定，本授權授權廣發證券香港：

1. apply any of my/our securities or securities collateral in accordance with a securities borrowing and lending agreement;
依據證券借貸協議運用本人/吾等任何證券或證券抵押品；
2. deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provided to me/us; and/or
將本人/吾等任何證券抵押品存放於認可財務機構，作為向本人/吾等提供財務通融的抵押品；及/或
3. deposit any of my/our securities collateral with a recognized clearing house or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of GFSHK's settlement obligations and liabilities,
將本人/吾等任何證券抵押品存放於認可結算所或另一獲發牌或獲註冊進行證券交易的中介人，作為解除及履行廣發證券香港在交收上的義務和法律責任的抵押品。

without notice to me/us. 而無須通知本人/吾等。

I/We understand that the recognized clearing house or the intermediary licensed or registered for dealing in securities will have a first fixed charge over my/our securities collateral to the extent of GFSHK's settlement obligations and liabilities.

本人/吾等明白認可結算所或其他獲發牌或獲註冊進行證券交易的中介人，將因應廣發證券香港在交收上的責任及法律責任而對本人/吾等的證券抵押品設定第一固定抵押。

This Authority does not cover any consideration I/we must pay or be paid for my/our borrowing, lending, or depositing any of my/our securities. Any consideration must be set in a separate agreement between GFSHK and me/us.

本授權並不涵蓋本人/吾等就本人/吾等任何證券的借取、貸出或存放而必須支付或收取的任何代價。任何代價均須由廣發證券香港與本人/吾等另行簽署協議訂明。

GFSHK is accountable to me/us for the return of any securities borrowed, lent, or deposited under this Authority.

廣發證券香港須向本人/吾等負責退還根據本授權而借入、貸出或存放之任何證券。

I/We understand that a third party may have rights to my/our securities, which GFSHK must satisfy before my/our securities can be returned to me/us.

本人/吾等明白，第三方可能對本人/吾等的證券擁有權利，廣發證券香港必須在本人/吾等的證券可退回本人/吾等之前達成該等權利。

This Authority is valid for a period of up to twelve (12) months from the date hereof or such other date when this account being successfully opened at GFSHK (whichever the later) unless otherwise terminated by GFSHK or revoked by me/us by giving a 30-day prior written notice; in the event of the latter, revocation shall take effect ten (10) business days after the date of actual receipt of the notice by GFSHK unless otherwise determined by GFSHK. This Authority shall be deemed to be renewed on a continuing basis for a further period of not more than twelve (12) months provided that a written notification of renewal is issued to me/us at least fourteen (14) days before the expiry date of this Authority, and I/we do not object to such renewal before the expiry date.

本授權以本文件日期或成功在廣發證券香港開立此帳戶的其他日期 (取較後者) 起計十二(12)個月內有效，除非廣發證券香港另行予以終止或本人/吾等藉給予30日事先書面通知而撤銷則作別論；如由本人/吾等藉給予30日事先書面通知而撤銷，有關撤銷將於廣發證券香港實際收到有關通知的日期後十(10)個營業日生效，除非廣發證券香港另行決定則作別論。本授權將被視作連續再續期不多於十二(12)個月，惟必須在本授權的屆滿日期前最少十四(14)日向本人/吾等發出續期書面通知，而本人/吾等於屆滿日期前並無反對有關續期。

I/We confirm that this Authority has been explained to me/us and I/we fully understand the contents of this Authority and have sought, or have had the opportunity to seek independent advice concerning its contents and effects.

本人/吾等確認，本人/吾等已獲解釋明白本授權，而本人/吾等完全明白本授權的內容，並已尋求或已有機會尋求有關本授權的內容及後果的獨立意見。

Standing Authority (Client Money) – Global Securities Transaction

常設授權(客戶款項) – 環球證券交易

This “Standing Authority (Client Money) – Global Securities Transaction” (this “Authority”) covers money held or received by GFSHK in Hong Kong including any interest derived from the holding of the money which does not belong to GFSHK but held by GFSHK in one or more segregated account(s) on my/our behalf (the “Monies”).

本「常設授權(客戶款項) – 環球證券交易」(本「授權」)涵蓋廣發證券香港在香港持有或收到的款項，包括從持有該等並非屬於廣發證券香港但由廣發證券香港代表本人/吾等在一個或多個獨立帳戶持有的款項(「款項」)所取得的任何利息。

Unless otherwise defined, all terms or expressions used in this Authority shall have the same meanings as set out in the Securities and Futures Ordinance and the Securities and Futures (Client Money) Rules as amended from time to time.

除非另有定義，否則本授權中所用的一切詞語或字句均擁有《證券及期貨條例》及《證券及期貨(客戶款項)規則》(可不時修訂)所載者相同的涵義。

I/We, by providing GFSHK with this Authority, authorizes GFSHK to handle any sum of the Monies in the following manner in its sole discretion without having to provide me/us with any prior notice or to obtain my/our prior instruction/confirmation:

本人/吾等，藉提供廣發證券香港此授權，授權廣發證券香港全權酌情決定按以下形式處理款項的任何金額，而無須給予本人/吾等任何事先通知或取本人/吾等的事先指示/確認：

- (a) transfer any sum of Monies to any securities trading account(s) maintained by GFSHK with its agent broker(s) for purpose of dealing in global securities transactions for and on my/our behalf;
將款項的任何金額轉帳至由廣發證券香港與其代理經紀維持的任何證券買賣帳戶，以為及代表本人/吾等進行環球證券交易；
- (b) transfer any sum of Monies interchangeably between any of the segregated account(s) maintained at any time by GFSHK held for and on my/our behalf; and
在廣發證券香港為及代表本人/吾等持有在任何時候維持的任何獨立帳戶之間互相轉換款項的任何金額；及
- (c) convert any sum of Monies into any currency at such rate of exchange as GFSHK shall in its sole discretion determine as being the then prevailing money market rate for the purpose of dealing in global securities transactions for and on my/our behalf.
將款項按廣發證券香港絕對酌情釐定為當時通行的貨幣市場匯率的匯率轉換至任何貨幣，以為及代表本人/吾等進行環球證券交易。

This Authority is provided to GFSHK in consideration of its agreeing to continue to maintain securities trading account(s) for me/us for trading global securities.

本授權乃提供予廣發證券香港作為廣發證券香港同意繼續為本人/吾等就買賣環球證券而維持證券買賣帳戶的代價。

I/We hereby agree to indemnify and to keep indemnified, GFSHK and its agent broker(s) from and against all losses, damages, interests, costs, expenses, actions, demands, claims or proceedings of whatsoever nature which they (or any of them) may incur, suffer and/or sustain as a consequence of any transaction undertaken in pursuance of this Authority.

本人/吾等謹此同意就廣發證券香港及其代理經紀(或彼等任何一人)因為了本授權進行任何交易而可能招致、蒙受及/或遭受的任何性質的一切損失、損害、利益、費用、支出、法律行動、索求、申索或法律程序，向廣發證券香港及其代理經紀作出彌償及維持獲得彌償。

This Authority is provided without prejudice to other authorities or rights which GFSHK may have in relation to dealing in the Monies in my/our segregated accounts.

本授權在並不損害廣發證券香港就處理本人/吾等的獨立帳戶中的款項而擁有的其他授權或權利的情況下提供。

This Authority is valid for a period of up to twelve (12) months from the date hereof or such other date when this account being successfully opened at GFSHK (whichever the later) unless otherwise terminated by GFSHK or revoked by me/us by giving a 30-day prior written notice; in the event of the latter, revocation shall take effect ten (10) business days after the date of actual receipt of the notice by GFSHK unless otherwise determined by GFSHK. This Authority shall be deemed to be renewed on a continuing basis for a further period of not more than twelve (12) months provided that a written notification of renewal is issued to me/us at least fourteen (14) days before the expiry date of this Authority, I/we you do not object to such renewal before the expiry date.

本授權以本文件日期或當本帳戶成功於廣發證券香港開啟之日期(以較遲者為準)起計十二(12)個月內有效，除非廣發證券香港另行予以終止或本人/吾等藉給予30日事先書面通知而撤銷則作別論；如由本人/吾等藉給予30日事先書面通知而撤銷，有關撤銷將於廣發證券香港實際收到有關通知的日期後十(10)個營業日生效，除非廣發證券香港另行決定則作別論。本授權將被視作連續再續期不多於十二(12)個月，惟必須在本授權的屆滿日期前最少十四(14)日向本人/吾等發出續期書面通知，而本人/吾等於屆滿日期前並無反對有關續期。

I/We confirm that this Authority has been explained to me/us and I/we fully understand the contents of this Authority and have sought, or have had the opportunity to seek independent advice concerning its contents and effects.

本人/吾等確認，本人/吾等已獲解釋明白本授權，而本人/吾等完全明白本授權的內容，並已尋求或已有機會尋求有關本授權的內容及後果的獨立意見。