

Application Form for Southbound Wealth Management Connect Service
跨境理財通南向通服務申請表

Please complete this Application Form for applying the Southbound Wealth Management Connect Service (this “**Application Form**”). This Application Form and Account Opening Form (Individual Account) completed by you shall, together, be considered to be a single and fully integrated application form for the Southbound Wealth Management Connect Service. In order to provide you with the Southbound Wealth Management Connect Service, the information provided in this Application Form and the Account Opening Form (Individual Account) will be transferred to and shared with CITIC Securities South China Company Limited (中信証券華南股份有限公司) or other eligible broker in Mainland China partner with CITIC Securities Brokerage (HK) Limited (“**CSBHK**”), for the same purpose.

請填寫此跨境理財通南向通投資戶服務申請表（以下簡稱“**本申請表**”）。您所填寫的**本申請表**和**客戶開戶表格（個人戶口）**將一並視為跨境理財通南向通服務的一份完整申請表。為了提供給您跨境理財通南向通服務，**本申請表**及**客戶開戶表格（個人戶口）**中提供的信息將被轉移並與中信証券華南股份有限公司或其他與中信証券經紀（香港）有限公司（“**中信証券經紀香港**”）合作的中國內地合資格經紀商共享，並用於相同目的。

Capitalised terms used in this Application Form shall have the same meanings as those defined in the Terms and Conditions for Southbound Wealth Management Connect Service (the “**Southbound Terms**”) unless otherwise defined herein. All parts of this Application Form must be completed. The English version of this Application Form is the governing version and shall prevail if there is any discrepancy between the English version and the Chinese version.

本申請表中使用的首字母大寫術語應具有《跨境理財通南向通服務條款和條件》（以下簡稱“**南向通服務條款**”）中定義的相同含義，除非在此另有定義。本申請表所有部分必須完整填寫。本申請書英文版為主導版本，在英文版與中文版之間如有任何差異，應以英文版本為準。

SECTION 1 – Applicant’s Declaration

第一部分 – 申請人聲明

1. I, the undersigned, with the particulars set out in this Application Form and the Account Opening Form (Individual Account), fully understand and agree to be bound by the following terms and conditions for my application and use of the Southbound Wealth Management Connect Service and the CSBHK Southbound Investment Account:

我，即下述簽署人，在**本申請表**和**客戶開戶表格（個人戶口）**中提供的資料上，完全理解並同意受以下條款和條件的約束，以申請和使用中信証券經紀香港跨境理財通南向通服務和中信証券經紀香港南向通投資戶：

- (i) this Application Form;
本申請表;
- (ii) the Account Opening Form (Individual Account);
客戶開戶表格（個人戶口）;
- (iii) Terms and Conditions for Securities Trading, and applicable addenda, as may be amended or supplemented from time to time;
《証券買賣條款》和適用的附加條款，可能會不時進行修訂或補充;
- (iv) Southbound Terms;
南向通服務條款;
- (v) the Privacy Policy Statement; and
《私隱政策聲明》；及
- (vi) other terms and conditions applicable to the Southbound Wealth Management Connect Service as agreed between CSBHK and me as amended from time to time.
根據中信証券經紀香港與我之間不時修訂的其他適用於跨境理財通南向通服務的條款和條件。

(the terms set out in (i) to (vi) above are collectively referred as “**Terms**”)
(上述第 (i) 至 (vi) 項中的條款統稱為“**條款**”)

2. I confirm that I have received and read a copy of the current version of the Terms in the language of my choice (English or Chinese). I fully understand the provisions of the Terms and agree that the relationships, transactions, and dealings between CSBHK and myself under the Southbound Wealth Management Connect Service are subject to and governed by the Terms (as amended from time to time). And I have been invited to seek independent advice with respect to the Southbound Wealth Management Connect Service if I wish.

我確認已收到並閱讀了以我選擇的語言（英文或中文）撰寫的最新版本的條款副本。我完全理解條款的規定，並同意在跨境理財通南向通服務下，中信証券經紀香港與我之間的關係、交易和交往受到條款（不時修訂）的約束和管轄。我已被邀請如有需要，可尋求獨立諮詢關於跨境理財通南向通服務的事宜。

3. I understand, represent, warrant, confirm and undertake to CSBHK that :
我明白、代表、確認並向中信証券經紀香港承諾：

- (i) in respect of the role and responsibility of CS and CSBHK:
關於中信証券和中信証券經紀香港的角色及責任：

- (a) CS and CSBHK are partner securities brokers for the purposes of the Southbound Scheme.

中信証券和中信証券經紀香港為跨境理財通南向通下的合作券商。

- (b) CSBHK is supervised by the Authorities in Hong Kong and is subject primarily to the laws and regulations of Hong Kong. All transactions relating to the Eligible Products are also subject to the laws and regulations of Hong Kong.

中信証券經紀香港受到香港相關監管機構的監管，主要受到香港的法律和法規的約束。所有與合資格產品相關的交易也受到香港的法律和法規的約束。

- (c) CS provides the CS Remittance Account to me. In doing so, CS is supervised by the Authorities in Mainland China and are subject primarily to the laws and regulations of Mainland China.

中信証券為客戶提供中信証券匯款戶。在此過程中，中信証券受到中國內地相關監管機構的監管，主要受到中國內地的法律和法規的約束。

- (d) CS and CSBHK perform their respective roles and functions as securities brokers. CSBHK is not an agent or local office of CS and does not represent CS. Neither CS nor CSBHK will be liable to me, whether jointly or severally, for the actions or non-actions by the other.

中信証券和中信証券經紀香港分別執行其作為證券經紀人的角色和功能。中信証券經紀香港不是中信証券的代理或本地辦事處，也不代表中信証券。無論是中信証券還是中信証券經紀香港，都不會對客戶對另一方的行為或不作為承擔連帶或單獨的責任。

- (ii) in respect of the opening of the CSBHK Southbound Investment Account:
就開立中信証券經紀香港南向通投資戶：

- (a) the CSBHK Southbound Investment Account is opened in my sole name which is identical to the name of my CS Remittance Account; I am the sole legal and beneficial owner of the CSBHK Southbound Investment Account and I have not authorized and will not authorize a third party to operate the CSBHK Southbound Investment Account; and I am acting and will always act as principal and not as agent for any other person; 中信証券經紀香港南向通投資戶以我個人名義開立，該名義與我的中信証券匯款戶名稱相同。我是中信証券經紀香港南向通投資戶唯一合法和受益人所有人，我未授權並且不會授權第三方操作中信証券經紀香港南向通投資戶。我作為主事人行事，並且不作為其他人的代理人；

- (b) I meet the eligibility requirements prescribed by CSBHK and the Applicable Requirements (including but not limited to that apart from the CSBHK Southbound Investment Account and the CS Remittance Account, and I do not hold any other

accounts with licensed corporation in Hong Kong or investment accounts with securities broker in Mainland China for the purpose of the Southbound Scheme);

我符合中信証券經紀香港和適用要求所規定的資格（包括但不限於除中信証券經紀香港南向通投資戶和中信証券匯款戶外，我在香港沒有持有跨境理財通南向通服務為目的其他持牌公司的帳戶，也沒有在中國大陸擁有跨境理財通南向通服務為目的證券經紀人的投資賬戶。）；

- (c) I only designate one account with CS as my CS Remittance Account which shall be paired with my CSBHK Southbound Investment Account for fund remittance, and I will not change the designated CS Remittance Account once it has been paired with the CSBHK Southbound Investment Account, save with the consent of CS and CSBHK; and

我只指定一個於中信証券的賬戶作為我的中信証券匯款戶，該帳戶將與我的中信証券經紀香港南向通投資戶配對用於資金匯款，一旦我的中信証券匯款戶與我的中信証券經紀香港南向通投資戶配對成功後，我將不會更改指定的中信証券匯款戶，除非經中信証券和中信証券經紀香港同意；並且

- (d) I will immediately notify CSBHK in writing if my CS Remittance Account is suspended, terminated or otherwise changed in a way which may affect the Southbound Wealth Management Connect Service;

如果我的中信証券匯款戶被暫停、終止或以任何可能影響向我提供跨境理財通南向通服務，我將立即以書面形式通知中信証券經紀香港；

- (iii) I have complied with and will continue to comply with Terms and the Applicable Requirements in respect of the Southbound Wealth Management Connect Service (which may be subject to change from time to time without prior notice to me);

我已遵守並將繼續遵守與跨境理財通南向通服務相關的條款和適用要求（可能隨時更改而無需事先通知我）；

- (iv) I will only use the CSBHK Southbound Investment Account strictly for the sole purpose of the Southbound Wealth Management Connect Service by pairing such account with the CS Remittance Account, and I have not used and will not use the CSBHK Southbound Investment Account for any other purposes or functions which may otherwise be applicable to an account opened and maintained with CSBHK;

我僅將中信証券經紀香港南向通投資戶用於與中信証券匯款戶配對，並專門用於跨境理財通南向通服務的目的。我並未使用，也不會使用中信証券經紀香港南向通投資戶進行任何其他可能適用於在中信証券經紀香港開立的其他帳戶的功能；

- (v) I have not used and will not use the Southbound Wealth Management Connect Service in any way that is illegal, in breach of any Applicable Requirements or in contravention of any rights of CSBHK or any third party;

我並未使用，也不會以任何非法方式使用跨境理財通南向通服務，違反任何適用要求，或違反中信証券經紀香港或任何第三方的權利；

- (vi) I have assessed and understand the risks relating to the Southbound Wealth Management Connect Service (including but not limited to those as set out in the Risk Disclosure Statement to this Application Form) and I can and am willing to take those risks and be responsible for the consequences of those risks;

我已評估並瞭解與跨境理財通南向通服務相關的風險（包括但不限於本申請表隨附的風險披露聲明中所列的風險），並且我能夠且願意承擔這些風險，並對這些風險的後果負責；

- (vii) I have not executed or created and will not execute or create, or permit or allow to arise or subsist, any encumbrance whatsoever (including but not limited to any mortgage, pledge, lease, trust, bailment, lien, security interest, charge or other similar arrangement) over or affecting the funds

in the CSBHK Southbound Investment Account, Eligible Product purchased under the Southbound Wealth Management Connect Service and any investment returns arising from such Eligible Product (or any part thereof) in favour of any other person without prior consent from CSBHK;

未經中信証券經紀香港事先同意，我未執行或創建，也不會執行或創建，或允許產生或存在任何形式的負擔（包括但不限於任何抵押、抵押、租賃、信託、保管、留置權、擔保權、負擔或其他類似安排），影響中信証券經紀香港南向通投資戶中的資金、跨境理財通南向通服務下購買的合資格產品以及由該等合資格產品產生的任何投資回報（或其任何部分）的權益；

- (viii) I understand that my CSBHK Southbound Investment Account is opened and maintained with CSBHK in Hong Kong for investment in and holding Eligible Product in Hong Kong, and is paired with my CS Remittance Account for cross-boundary fund remittance under the Southbound Wealth Management Connect Service;

我瞭解我的中信証券經紀香港南向通投資戶是在香港與中信証券經紀香港開立和維護的，並與我在中國大陸與中信証券開立和維護的中信証券匯款戶配對，用於跨境理財通南向通服務下的跨境資金匯款；

- (ix) I understand that the Terms are CSBHK's agreement with me for my CSBHK Southbound Investment Account under the Southbound Wealth Management Connect Service. The operation of my CS Remittance Account is subject to CS's terms and conditions and agreements applicable to such account provided by CS and I will at all times comply with CS's terms and conditions and agreements applicable to such account provided by CS from time to time. I understand the terms and risks associated with the use of my CS Remittance Account, and CSBHK has no obligation to advise or otherwise update me about the CS Remittance Account or any change in the Applicable Requirements and shall not be liable to me in any event in respect of my CS Remittance Account;

我理解條款是中信証券經紀香港與我就跨境理財通南向通服務所開立的中信証券經紀香港南向通投資戶所達成的協議。我使用中信証券匯款戶的操作受制於中信証券屆時與我的條款和條件及相關協議，我將遵守中信証券不時提供的相關帳戶的條款和條件。我瞭解使用中信証券匯款戶所涉及的條款和風險，中信証券經紀香港無義務就中信証券匯款戶或任何適用要求的變更向我提供建議或更新，並且在任何情況下對我的中信証券匯款戶不承擔責任；

- (x) I understand and acknowledge that CS is incorporated in Mainland China and is not an licensed corporation in Hong Kong as defined in the Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong) and is not subject to the supervision of the Hong Kong Securities and Futures Commission. I understand the rules and procedures relevant to transactions in Hong Kong financial market, and will consider my own circumstances before making investment decisions;

我理解並承認中信証券是在中國內地註冊成立的，並且不是根據香港證券及期貨條例（香港法例第 571 章）的定義在香港獲得牌照的公司，也不受香港證券及期貨事務監察委員會監管。我瞭解與香港財富管理產品市場的交易相關的規則和程序，並在做出投資決策之前已經考慮了自己的情況；

- (xi) I understand the CSBHK Southbound Investment Account and the CS Remittance Account are paired together for closed-loop transfer and remittance of funds for the sole purpose of using the Southbound Wealth Management Connect Service. I am allowed to remit funds to my CSBHK Southbound Investment Account only from my paired CS Remittance Account (and not from any other account(s) or through any other means). Fund transfers between the CSBHK Southbound Investment Account and any other accounts in Mainland China or from my other accounts with CSBHK to my CSBHK Southbound Investment Account are not allowed in connection with the Southbound Wealth Management Connect Service.

我明白中信証券經紀香港南向通投資戶和中信証券匯款戶被配對在一起，僅用於使用跨境理財通南向通服務的封閉迴圈轉賬和匯款。我只能將資金從我的配對的中信証券匯款戶（而不是從任何其他賬戶或通過任何其他方式）匯款到我的中信証券經紀香港南向通

投資戶。不允許在與跨境理財通南向通服務有關的情況下，將資金從中信証券經紀香港南向通投資戶與中國內地的任何其他賬戶之間進行轉賬，或者從我在中信証券經紀香港的其他賬戶轉賬到我的中信証券經紀香港南向通投資戶。

- (xii) I understand that cross-boundary remittance of RMB from my CS Remittance Account to my CSBHK Southbound Investment Account is subject to the aggregate and individual investor quotas imposed by the Applicable Requirements and other requirements as CSBHK may specify from time to time;
 我瞭解從我的中信証券匯款戶向我的中信証券經紀香港南向通投資戶進行跨境人民幣匯款受到適用要求所規定的總額和個人投資者配額的限制，以及中信証券經紀香港不時指定的其他要求；
- (xiii) all transfers and remittance under the Southbound Wealth Management Connect Service are subject to the Applicable Requirements including any exchange control and other requirements as the Applicable Requirements and other requirements as CSBHK may specify from time to time. If I breach any Applicable Requirements (such as when the funds in my CSBHK Southbound Investment Account are mistakenly transferred to an account in breach of the Applicable Requirements), I undertake to immediately rectify such breach by taking such actions as CSBHK may prescribe for compliance with the Applicable Requirements (which may include depositing funds into my CSBHK Southbound Investment Account);
 所有在跨境理財通南向通服務下的轉賬和匯款均受適用要求的限制，包括任何匯兌管制和其他要求，以及中信証券經紀香港不時指定的其他要求。如果我違反任何適用要求（例如，當我的中信証券經紀香港南向通投資戶中的資金被錯誤轉入違反適用要求的帳戶時），我承諾立即通過採取中信証券經紀香港指定的行動來糾正此類違規行為，以符合適用要求（這可能包括將資金存入我的中信証券經紀香港南向通投資戶）；
- (xiv) I understand if I intend to transfer the funds out of my CSBHK Southbound Investment Account, I may remit the funds in RMB from my CSBHK Southbound Investment Account to the CS Remittance Account, subject to the Applicable Requirements and other requirements as CSBHK may specify from time to time. I cannot (a) directly withdraw cash from my CSBHK Southbound Investment Account; or (b) transfer the balance in my CSBHK Southbound Investment Account to any account other than my CS Remittance Account.
 我明白如果我打算將資金從我的中信証券經紀香港南向通投資戶轉出，我可以將人民幣從我的中信証券經紀香港南向通投資戶匯款到中信証券匯款戶，需符合適用要求和中信証券經紀香港不時指定的其他要求。我不能 (a) 直接從我的中信証券經紀香港南向通投資戶提取現金；或者 (b) 將我的中信証券經紀香港南向通投資戶的餘額轉到除我的中信証券匯款戶以外的任何賬戶。
- (xv) I understand that where CSBHK reasonably considers that I am in breach, or may be in breach, of any Applicable Requirements, or the Terms, CSBHK will take further actions as requested by the Authorities or at CSBHK's sole discretion, including but not limited to suspending or terminating my use of the Southbound Wealth Management Connect Service and the CSBHK Southbound Investment Account;
 我理解如果中信証券經紀香港合理認為我違反或可能違反任何適用要求或條款，中信証券經紀香港將根據當局的要求或中信証券經紀香港自行決定採取進一步措施，包括但不限於暫停或終止我使用跨境理財通南向通服務和中信証券經紀香港南向通投資賬戶；
- (xvi) I am fully responsible for all costs, expenses and taxes incurred in connection with the use of the Southbound Wealth Management Connect Service and agree to indemnify CSBHK on demand from and against all losses, damages, costs, expenses and taxes which CSBHK may incur in connection with the use of the Southbound Wealth Management Connect Service by me. I further agree that CSBHK is not responsible for advising on or handling any tax issues in connection with the Southbound Wealth Management Connect Service, and CSBHK does not provide any service or assistance in relation to tax issues;
 我對使用跨境理財通南向通服務所產生的所有費用、開支和稅款全權負責，並同意在中信証券經紀香港要求下對中信証券經紀香港因我使用跨境理財通南向通服務而產生的所

有損失、損害、費用、開支和稅款進行賠償。我進一步同意，中信証券經紀香港不負責就跨境理財通南向通服務的任何稅務問題提供諮詢或處理，並且中信証券經紀香港不提供任何與稅務問題相關的服務或協助；

- (xvii) all the information provided by me in connection to the Southbound Wealth Management Connect Service is, and remains, true, accurate, correct and complete and I shall immediately inform CSBHK if any such information has become incorrect or not updated;
 我在使用跨境理財通南向通服務時提供的所有資訊都是真實、準確、正確和完整的，如果任何這樣的資訊變得不正確或未更新，我將立即通知中信証券經紀香港；
- (xviii) I will provide CSBHK with such information and documents as CSBHK may reasonably request from time to time for the purpose of verifying my identity and providing the Southbound Wealth Management Connect Service;
 我將根據需要，向中信証券經紀香港提供中信証券經紀香港合理要求的資訊和文件，以驗證我的身份並向我提供跨境理財通南向通服務；
- (xix) CSBHK may liaise with, and rely on information on me provided by CS for the purpose of verifying my identity and the CS Remittance Account, and providing the Southbound Wealth Management Connect Service. CSBHK is entitled to assume that such information is, and remains, true, accurate, correct and complete, and the I agree that CSBHK may request such information from CS for the sole purpose of providing Southbound Wealth Management Connect Service and I shall indemnify CSBHK against all losses in reliance on such information; and
 中信証券經紀香港可能與中信証券聯繫，並依賴中信証券提供的關於我的資訊，以驗證我的身份和中信証券匯款帳戶，並提供跨境理財通南向通服務。中信証券經紀香港有權假定該等資訊是真實、準確、正確和完整的，我同意中信証券經紀香港可能出於提供跨境理財通南向通服務的唯一目的要求中信証券提供該等資訊，並且我將對依賴該等資訊產生的所有損失對中信証券經紀香港進行賠償；並且
- (xx) I am using my own funds for the purposes of the Southbound Wealth Management Connect Service and has not raised funds from others.
 我使用自己的資金進行跨境理財通南向通服務，並未從他人籌集資金。

SECTION 2 - Consents related to Personal Data

第二部分 - 與個人資料相關的同意函

I have read and understood the Privacy Policy Statement published by CSBHK as set out on its website at <https://www.citics.com.hk/customer-service.php>, as amended and/or supplemented from time to time. For the purposes of providing the Southbound Wealth Management Connect Service to me, I consent to CSBHK's collection, use, processing and/or disclosure of my personal data for the purposes listed on its Privacy Policy Statement.

我已閱讀並理解中信証券經紀香港不時修訂及補充的《私隱政策聲明》，並刊載於網站 <https://www.citics.com.hk/customer-service.php>（“私隱政策聲明”）。就跨境理財通南向通服務而言，我同意中信証券經紀香港就其在《私隱政策聲明》中列舉的目的收集、使用、處理和/或披露的個人資料。

In particular, I expressly consent to CSBHK's collection, use, processing or disclosure of my sensitive personal data/sensitive personal information (as provided by any applicable laws of personal data or privacy protection law in the relevant jurisdiction(s) (the “**sensitive personal data**”), disclose to its affiliates and certain third parties and/or cross-border transfer by ticking the relevant boxes below.

特別是，我明確同意中信証券經紀香港根據適用的個人數據或隱私保護法律的規定（在相關司法管轄區）收集、使用、處理或披露我的敏感個人數據/敏感個人信息（以下簡稱“**個人敏感資料**”），並勾選下面的相關選框，將其披露給其關聯公司和特定第三方和/或跨境轉移。

- (i) Consent related to Sensitive Personal Data
與個人敏感資料相關的同意

By ticking this box, I understand and acknowledge that for the purposes listed on Privacy Policy Statement of CSBHK, as amended and/or supplemented from time to time, my sensitive personal data may be collected, processed, used and/or disclosed by CSBHK or other parties as provided below under “Consent related to Personal Data Disclosure and/or Processing by Other Entities”. I hereby expressly agree and consent to such collection, processing, use and/or disclosure of my sensitive personal data in accordance with the Privacy Policy Statement of CSBHK.

透過勾選此方框，我理解並承認，出於中信證券經紀香港不時修訂及補充的《私隱政策聲明》中信證券經紀香港列出的目的，中信證券經紀香港或其他人可能根據下述“向其他實體披露和/或處理個人資料相關的同意”來收集、處理、使用和/或披露我的個人敏感資料。我在此明確同意根據中信證券經紀香港的私隱政策聲明中的規定收集、處理、使用和/或披露我的個人敏感資料。

(ii) Consent related to Personal Data Disclosure to and/or Processing by Other Entities
向其他實體披露和/或處理個人資料相關的同意

By ticking this box, I understand, acknowledge and consent that CSBHK may disclose my personal data to (i) CITIC Securities South China Company Limited or other eligible broker in Mainland China partner with CSBHK; (ii) the affiliates of CSBHK; (iii) any third party service providers; (iv) CSBHK or its affiliate’s professional advisers (including lawyers) and agents or third parties necessary for CSBHK performing/providing services to me (including but not limited to the executing brokers, clearing houses and settlement agents); (v) CSBHK or its affiliate’s auditors; (vi) any person to whom disclosure is permitted or required by law or any court order; (vii) any local or foreign government agencies, regulatory authorities and statutory bodies having jurisdiction over CSBHK or its affiliates; and/or (viii) any successors and assigns, whether located in or outside the relevant jurisdiction. Upon request by me, CSBHK may provide me (where available) with the privacy policies of third parties to whom CSBHK provide my personal data.

勾選此方框，我理解、承認並同意中信證券經紀香港可向下述機構披露我的個人資料：(i) 中信證券華南股份有限公司或其他與中信證券經紀香港合作的中國內地合資格經紀商共享；(ii) 中信證券經紀香港的關聯公司；(iii) 任何第三方服務提供商；(iv) 中信證券經紀香港或其關聯公司的專業顧問（包括律師）及中信證券經紀香港因向我履行/提供服務所需的代理人或第三方（包括但不限於中信證券經紀香港的執行經紀人、清算所和結算代理人）；(v) 中信證券經紀香港或其關聯公司的審計師；(vi) 法律或任何法院命令允許或要求向其披露的任何人；(vii) 對中信證券經紀香港或中信證券經紀香港的關聯公司有管轄權的任何當地或外國政府機構、監管機構和法定機構；及/或 (viii) 任何繼任者和受讓人，無論位於相關司法管轄區之內還是之外。根據我的要求，中信證券經紀香港還可以向我（如果有）提供第三方的隱私政策，若中信證券經紀香港曾向該第三方提供過我的個人資料。

(iii) Consent related to Cross-Border Transfer
與跨境轉移相關的同意書

By ticking this box, I understand, acknowledge and consent that my personal data may be transferred by CSBHK or its affiliate outside of the relevant jurisdiction to their other affiliates, their third party service providers, CSBHK or its affiliate’s professional advisers, agents and to any other person, body, agency, organization or entity as provided above under “Consent related to personal data Disclosure and/or Processing by Other Entities”, which shall be carried out in accordance with the personal data protection law of the relevant jurisdiction. I also understand and acknowledge that I have the rights conferred to me under the relevant personal data protection laws and regulations in my jurisdiction.

通過勾選此方框，我理解、承認並同意我的個人資料可能由中信證券經紀香港或中信證券經紀香港的關聯公司進行跨境轉移給其關聯公司，中信證券經紀香港的第三方服務提供商、中信證券經紀香港或其關聯公司的專業顧問、代理人以及上述“向其他實體披露和/或處理個人資料相關的同意”中規定的任何其他個人、團體、機構、組織或實體，並應按照相關司法管轄區的個人資料保護法來執行。我理解並承認，我擁有根據我的司法管轄區的相關個人資料保護法律和法規授予我的權利。

For the avoidance of doubt, under relevant circumstances where the personal data protection law of the relevant jurisdictions permits CSBHK to collect, use, process or disclose the personal data without my consent, such permission granted by the law shall continue to apply.

為免生疑問，若相關司法管轄區的個人資料保護法允許中信証券經紀香港在未經我同意的情況下收集、使用、處理或披露個人資料，法律授予的此類權利繼續適用。

SECTION 3 – Complaints

第三部分 – 投訴

If I am not satisfied with the Southbound Wealth Management Connect Service, I understand I may contact CSBHK through its available channels listed on the “Complaint” section of its website at <https://www.citics.com.hk/en/>. If necessary, CSBHK may refer the complaint to or collaborate with the partner securities broker to address and resolve the customer's concerns or complaints.

如果我對跨境理財通南向通服務不滿意，我可以通過其網站 <https://www.citics.com.hk/en/> 的“投訴”部分列出的可用渠道聯繫中信証券經紀香港。如有需要，中信証券經紀香港可能會將投訴轉介給合作券商，以解決客戶的問題並解決其關切。

SECTION 4 – Applicant’s Particulars and Signature

第四部分 – 申請人的詳細資料和簽名

Name in Chinese:

中文名字:

Name in English:

英文名字:

PRC Resident Identity Card No:

中國內地居民身份證號碼:

CS Remittance Account No:

中信証券匯款戶號碼:

Partnering Broker :

夥伴券商:

CITIC Securities South China Company Limited

中信証券華南股份有限公司 (636)

Applicant’s Signature

申請人的簽署

Date

日期

Risk Disclosure Statement 風險披露聲明

The following Risk Disclosure Statement form part of Application Form for Southbound Wealth Management Connect Service
以下風險披露聲明構成《跨境理財通南向通服務申請表》的一部分

This Risk Disclosure Statement does **NOT** disclose all of the risks and other significant aspects of Southbound Wealth Management Connect Service. The Customer should read and fully understand the risk with respect to the Eligible Product as disclosed in 1) the Terms and Conditions for Securities Trading, as may be amended or supplemented from time to time; and 2) the offering documents in connection with the offering of the Eligible Product in Hong Kong. The Customer should only undertake such transactions only if he/she understands the nature and key features of the product and the extent of his/her exposure to risk. The Customer should carefully consider whether the proposed investment is appropriate in light of his/her experience, objectives, financial resources and other relevant circumstances. Please read this Schedule carefully, and ask questions and take independent professional advice as the Customer consider appropriate. To learn more, you can also refer to SFC's web-site via the following link:

此風險披露聲明並未披露跨境理財通南向通服務的所有風險和其他重要方面。客戶應閱讀並充分瞭解有關合格產品的風險，該風險披露在以下文件中披露：1)《證券買賣條款》，可能會不時修訂或補充；以及2)與在香港發行合格產品相關的發售文件。只有在理解產品的性質和主要特點以及自身面臨的風險程度的情況下，客戶才應進行此類交易。客戶應仔細考慮根據自身經驗、目標、財務資源和其他相關情況，所建議的投資是否適合。請仔細閱讀此時間表，如有疑問，請提出問題並諮詢獨立專業意見，以客戶認為適當的方式。欲瞭解更多信息，您也可以參考證監會的網站，請點擊以下鏈接：

<https://apps.sfc.hk/edistributionWeb/gateway/EN/circular/intermediaries/supervision/doc?refNo=24EC6>

1. Investment risk 投資風險

The Hong Kong investment products involve investment risk. For example, there may not be guarantee that the Customers will be able to recoup their investment principal or receive any dividends or distributions, or the investment products will achieve the established investment goals or successfully execute the established investment strategy.

香港的投資產品存在投資風險。例如，無法保證客戶能夠收回投資本金或獲得任何股息或分配，或者投資產品能夠實現既定的投資目標或成功執行既定的投資策略。

2. Quota limits 配額限制

The Southbound Scheme is subject to both aggregate quota and individual quota limits. The instructions for remittances from the Mainland China to Hong Kong under the Southbound Scheme may be put on hold as a result of the aggregate quota being used up while remittances from Hong Kong back to the Mainland China and investment instructions using funds already remitted to the CSBHK Southbound Investment Account will not be affected.

跨境理財通南向通受到總額度和個人額度限制。由於總額度用盡，根據南向計劃從中國內地匯款到香港的指示可能會被暫停，但從香港匯款回中國內地和使用已匯入中信證券經紀香港南向通投資戶的資金進行投資指示將不受影響。

3. Different market conventions and practices on the Mainland China and in Hong Kong 中國內地與香港的不同市場習俗和實踐

The classification and naming of Mainland investment products may differ from those in Hong Kong (including SFC-authorized funds). The Customers should refer to the offering documents of Hong Kong investment products for details on the features and investment strategies of the investment products, and should not rely solely on the product name or classification in making an investment decision.

中國內地的投資產品的分類和命名可能與香港（包括證監會授權的基金）不同。客戶應參考香港投資產品的發售文件，

以瞭解投資產品的特點和投資策略的詳細信息，並不應僅僅依賴產品名稱或分類來做出投資決策。

4. Concentration risk/Hong Kong market risk 集中風險/香港市場風險

The Hong Kong investment products are mainly those invested in Hong Kong market-related securities and may face additional concentration risks. Investing in the Hong Kong market may involve different risks, including policy, taxation, economic, foreign exchange, legal, regulatory, and liquidity risks.

香港的投資產品主要是投資於香港市場相關證券，可能面臨額外的集中風險。在香港市場投資可能涉及不同的風險，包括政策風險、稅務風險、經濟風險、外匯風險、法律風險、監管風險和流動性風險。

5. Foreign exchange risk 外匯風險

Under the Southbound Wealth Management Connect Service, the Customer is only permitted to conduct cross-boundary fund remittance in RMB. If required, the Customer may need to convert RMB into other foreign currencies (or vice versa) for the Southbound Wealth Management Connect Service. It is important to note that the Customer will be exposed to exchange rate risk due to currency fluctuations when converting RMB into foreign currencies for the Southbound Wealth Management Connect Service.

在跨境理財通南向通服務下，客戶只被允許以人民幣進行跨境資金匯款。如果需要，客戶可能需要將人民幣轉換為其他外幣（或反之）用於跨境理財通南向通服務。需要注意的是，在將人民幣轉換為外幣進行跨境理財通南向通服務時，客戶將面臨匯率風險，因為貨幣匯率可能出現波動。

6. Liquidity risk 流動性風險

The Hong Kong investment products may come with lock-up periods and may only open for subscriptions and redemptions during designated periods. Customers may not be able to redeem their investment at any time.

香港的投資產品可能會設有封閉期，並且只能在指定的時間段內進行認購和贖回。客戶可能無法隨時贖回他們的投資。

7. Risks associated with Hong Kong investment products 與香港投資產品相關的風險

- (i) **Information disclosure risk:** Hong Kong wealth management firms/issuers or Hong Kong distributing brokers will disclose information according to the product offering documents. The Customers should take note on the arrangement and check the relevant information proactively.

信息披露風險：香港的財富管理公司/發行人或香港的分銷經紀商將根據產品提供文件披露信息。客戶應注意安排並主動檢查相關信息。

- (ii) **Payment delay:** Hong Kong investment products may not be able to sell their assets in the market to pay for the gains and repay principal to the Customers in a timely manner. The Customers may not be able to redeem their investment timely and are exposed to the risks of product maturity delay.

支付延遲：香港的投資產品可能無法及時出售其市場上的資產以支付收益並償還本金給客戶。客戶可能無法及時贖回其投資，並面臨產品到期延遲的風險。

- (iii) **Product return comparison benchmark (if applicable):** the return comparison benchmark is for reference only and by no mean warrant or guarantee returns by the product issuers. Customers' actual returns will depend on the final payouts of the Eligible Product.

產品回報比較基準（如適用）：回報比較基準僅供參考，並不意味著產品發行人保證回報。客戶的實際回報將取決於符合資格產品的最終支付。

- (iv) **Early termination:** Wealth management firms/the issuers may have the right to terminate the products before the maturity dates. The Customers may not be able to have the expected returns and subject to re-investment risks.

提前終止：財富管理公司/發行人可能有權在到期日之前終止產品。客戶可能無法獲得預期的回報，並面臨再投資風險。

Besides, Hong Kong investment products invest in different Hong Kong assets, e.g. money market instruments, bonds, equities etc, and thus will involve in the risk of the relevant assets. For example, investment in bonds or debt instruments is subject to the credit risk of the issuers which may not be able to make timely payments of principal and/or interest. In the event of a default or credit rating downgrading of the issuers of the bonds or debt instruments held by the Hong Kong investment product, valuation of the product's portfolio may become more difficult and Customers may suffer a substantial loss as a result.

此外，香港的投資產品投資於不同的香港資產，例如貨幣市場工具、債券、股票等，因此將涉及相關資產的風險。例如，對於債券或債務工具的投資，存在發行人信用風險，可能無法按時支付本金和/或利息。如果香港投資產品持有的債券或債務工具的發行人違約或信用評級下調，產品組合的估值可能變得更加困難，客戶可能因此遭受重大損失。

The Customers should refer to the product offering documents (including the risk disclosure statement) for the detail risks of the relevant products.

客戶應參閱產品文件（包括風險披露聲明）以瞭解相關產品的詳細風險。

8. Compliance with the Applicable Requirements 遵守適用要求

The use of the Southbound Wealth Management Connect Service is subject to the Applicable Requirements, including laws and regulations issued by Authorities in the Mainland China and in Hong Kong. These requirements may change over time and can impact the operation of the CSBHK Southbound Investment Account. CSBHK reserves the right to modify, suspend, or terminate the account without prior notice to comply with the Applicable Requirements. CSBHK is not liable for any losses incurred by the Customer or any third party related to the use of the CSBHK Southbound Investment Account under the Southbound Wealth Management Connect Service.

使用跨境理財通南向通服務需要遵守適用要求，包括中國內地和香港相關監管機構發布的法律和法規。這些要求可能會隨時間變化，並可能影響中信證券經紀香港南向通投資戶的運營。中信證券經紀香港保留在不事先通知的情況下修改、暫停或終止賬戶以符合適用要求的權利。中信證券經紀香港對客戶或任何第三方因使用跨境理財通南向通服務下的中信證券經紀香港南向通投資戶而產生的任何損失不承擔責任。

9. Designation of a CS Remittance Account 指定一個中信證券匯款戶

The CSBHK Southbound Investment Account is exclusively intended for the Southbound Wealth Management Connect Service, which must be paired with the Customer's CS Remittance Account and is conditional upon CS's opening the Customer's CS Remittance Account. It cannot be used for any other purposes or functions typically associated with an account at CSBHK. The Customer must adhere to CSBHK's specified procedures and requirements, including designating a CS Remittance Account for funds remittance. Only one CS Remittance Account can be designated, and changes require consent from CS and CSBHK. The CS Remittance Account is operated under the terms and conditions of CS and other agreements with CS, and the Customer is responsible for obtaining relevant information and understanding the associated terms and risks.

中信證券經紀香港南向通投資戶專門用於跨境理財通南向通服務，必須與客戶的中信證券匯款戶配對。它不能用於與中信證券經紀香港賬戶通常相關的任何其他目的或功能。客戶必須遵守中信證券經紀香港的指定程序和要求，包括指定一個用於資金匯款的中信證券匯款戶。只能指定一個中信證券匯款戶，變更需要得到中信證券和中信證券經紀香港的同意。中信證券匯款戶根據中信證券的條款和條件以及與中信證券的其他協議進行操作，客戶負責獲取相關信息並瞭解相關的條款和風險。

10. Restrictions on funds transfer and remittance 資金轉賬和匯款的限制

All funds transfer and remittance under the Southbound Wealth Management Connect Service are subject to the Applicable Requirements and other specified requirements by CSBHK. The Customers can only transfer funds in RMB through a closed-loop funds flow channel by pairing their CSBHK Southbound Investment Account with their CS Remittance Account for the sole purpose of the Southbound Wealth Management Connect Service, subject to applicable quotas. If the applicable individual investor quota is exceeded, cross-boundary fund remittance in RMB will be refused by CSBHK or only remit the amount of the remaining individual investor quota. CSBHK does not accept cross-boundary remittance for any other purpose. CSBHK processes fund transfers during business hours, but reserves the right to reject instructions for the Southbound Wealth Management Connect Service. There is no guarantee that instructions can be successfully processed, which may result in liquidity risk and inability to purchase or sell Eligible Product at prevailing market prices in a timely manner.

在跨境理財通南向通服務下的所有資金轉賬和匯款都受到適用要求和中信證券經紀香港指定的其他要求的約束。客戶只能通過將他們的中信證券經紀香港南向通投資戶與他們的中信證券匯款戶配對，通過一個封閉迴圈的資金流通道轉移人民幣，僅用於跨境理財通南向通服務，並受到適用的配額限制。如果超過適用的個人投資者配額，中信證券經紀香港將拒絕跨境人民幣匯款，或者中信證券經紀香港只匯款剩餘的個人投資者配額的金額。中信證券經紀香港不接受任何其他目的的跨境匯款。中信證券經紀香港在營業時間內處理資金轉賬，但保留拒絕跨境理財通南向通服務的指示的權利。不能保證能成功處理指示，這可能導致流動性風險以及無法及時以當前市場價格購買或出售合資格產品。

The Customer shall only use the funds in his/her CSBHK Southbound Investment Account to invest in the Eligible Products. The Customer cannot withdraw cash, nor transfer the balance from his/her CSBHK Southbound Investment Account to any other account, except to the CS Remittance Account.

客戶只能使用其中信證券經紀香港南向通投資戶中的資金進行合資格產品投資。客戶不能提取現金，也不能將其中信證券經紀香港南向通投資戶的餘額轉移至其他任何帳戶，除非轉至中信證券匯款戶。

11. Suspension or termination of the CSBHK Southbound Investment Account and/or the Southbound Wealth Management Connect Service 暫停或終止中信證券經紀香港南向通投資戶和/或跨境理財通南向通服務

CSBHK may suspend or terminate the Customer's use of the Southbound Wealth Management Connect Service and/or the Customer's CSBHK Southbound Investment Account either with notice without reason, or immediately without giving the prior notice for reasons such as:

中信證券經紀香港可能因以下原因暫停或終止客戶使用跨境理財通南向通服務和/或客戶的中信證券經紀香港南向通投資戶，並無需提供理由，或者無需提前通知即可立即執行：

- (i) CSBHK determines that the Customer is in breach, or may be in breach, of these Southbound Terms or any Applicable Requirements;
中信證券經紀香港確定客戶違反或可能違反這些南向通服務條款或任何適用要求；

- (ii) the Customer's CS Remittance Account is suspended or terminated;
客戶的中信証券匯款戶被暫停或終止;
- (iii) CSBHK ceases to be eligible to provide Southbound Wealth Management Connect Service, the provision of these Southbound Terms becomes, or will become, illegal or impracticable due to the change in Applicable Requirements, or 中信証券經紀香港因不再符合提供跨境理財通南向通服務的資格，根據適用要求的變更，使得提供這些南向通服務條款變得非法或不可行，或者將變得非法或不可行；或
- (iv) our relationship with the CS with whom the Customer hold his/her CS Remittance Account is suspended or terminated.
我們與客戶持有他/她的中信証券匯款戶的中信証券的關係被暫停或終止。

If the Customer terminates the Southbound Wealth Management Connect Service and/or close his/her CSBHK Southbound Investment Account, the Customer will also need to take such steps as CSBHK requires, including disposing, selling or terminating all the investments and converting all funds into RMB and remitting all funds back to the CS Remittance Account. The suspension or termination of the Southbound Wealth Management Connect Service and/or the CSBHK Southbound Investment Account

may cause losses, and CSBHK will not be responsible for any such losses.

如果客戶終止跨境理財通南向通服務和/或關閉他/她的中信証券經紀香港南向通投資戶，客戶也將需要採取中信証券經紀香港要求的步驟，包括處置、出售或終止所有投資，並將所有資金兌換為人民幣並將所有資金匯至中信証券匯款戶。暫停或終止跨境理財通南向通服務和/或中信証券經紀香港南向通投資戶可能會導致損失，中信証券經紀香港將不對任何此類損失負責。

12. **Taxation** **稅收**

The Customer bears full responsibility for any taxes related to transactions conducted under the Southbound Wealth Management Connect Service. CSBHK does not provide advice or assistance regarding tax issues, liabilities, or obligations associated with the Southbound Wealth Management Connect Service. It is recommended that the Customer seek independent tax advice to understand the potential tax implications before engaging in transactions under the Southbound Wealth Management Connect Service.

客戶需承擔與跨境理財通南向通服務下進行的交易相關的所有稅負。中信証券經紀香港不提供關於與跨境理財通南向通服務相關的稅務問題、負債或義務的建議或協助。建議客戶在進行跨境理財通南向通服務下的交易之前尋求獨立的稅務建議，以瞭解可能的稅務影響。