

Application Form for Northbound Wealth Management Connect Service
跨境理財通北向通服務申請表

Please complete this Application Form for applying the Northbound 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 Northbound Wealth Management Connect Service. In order to provide you with the Northbound 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 CSBHK, for the same purpose.

請填寫此跨境理財通北向通服務申請表（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北向通服務的一份完整申請表。為了提供給您跨境理財通北向通服務，**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（以下簡稱“**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 Northbound Wealth Management Connect Service (the “**Northbound 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《跨境理財通北向通服務條款和條件》（以下簡稱“**北向通服務條款**”）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 Northbound Wealth Management Connect Service and the CSBHK Northbound Remittance Account:

我，即簽署人，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北向通服務和中信証券經紀香港北向通匯款戶：

(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) the Northbound Term;

北向通服務條款;

(v) the Privacy Policy Statement; and

《私隱政策聲明》；及

(vi) other terms and conditions applicable to the Northbound 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北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 Northbound 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 Northbound 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北向通服務下，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北向通的事宜。

3. I understand, represent, 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 Northbound Scheme.

中信証券和中信証券經紀香港為跨境理財通北向通下的合作券商。

(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 Investment 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投資戶。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 Northbound Remittance Account:

就開立中信証券經紀香港北向通匯款戶：

(a) the CSBHK Northbound Remittance Account is opened in my sole name which is identical to my name of my CS Investment Account. I am the sole legal and beneficial owner of the CSBHK Northbound Remittance Account and I have not authorized and will not authorize a third party to operate the CSBHK Northbound Remittance Account. And I am acting and will always act as principal and not as agent for any other person;

中信証券經紀香港北向通匯款戶以我個人名義開立，該名義與我的中信証券投資戶名稱相同。我是中信証券經紀香港北向通匯款戶的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北向通匯款戶。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 Northbound Remittance Account and the CS Investment 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 Northbound Scheme);

我符合中信証券經紀香港和適用要求所規定的資格要求（包括但不限於除中信証券經紀香港北向通匯款戶和中信証券北向通投資賬戶外，我在香港沒有持有跨境理財通北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北向通服務為目的證券經紀人的賬戶）；

- (c) I only designate one account with CS as my CS Investment Account which shall be paired with my CSBHK Northbound Remittance Account for fund remittance, and I will not change the designated CS Investment Account once it has been paired with my CSBHK Northbound Remittance 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投資戶，該帳戶將與我的中信証券經紀香港北向通匯款戶配對用於資金匯款，一旦我的中信証券投資戶與我的中信証券經紀香港北向通匯款戶配對成功後，我將不會更改指定的中信証券投資戶，除非經中信証券和中信証券經紀同意；並且
- (d) I will immediately notify CSBHK in writing if my CS Investment Account is suspended, terminated or otherwise changed in a way which may affect the Northbound Wealth Management Connect Service;
 如果我的中信証券投資戶被暫停、終止或以任何可能影響向我提供跨境理財通北向通的方式，我將立即以書面形式通知中信証券經紀香港；
- (iii) I am a Hong Kong resident who hold Hong Kong identity card (including permanent and non-permanent residents);
 我是持有香港身份証的香港居民（包括永久和非永久居民）；
- (iv) I have complied with and will continue to comply with the Terms and the Applicable Requirements in respect of the Northbound 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北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）；
- (v) that, notwithstanding anything stated in the Terms, I only use the CSBHK Northbound Remittance Account strictly for the sole purpose of the Northbound Wealth Management Connect Service by pairing such account with the CS Investment Account, and I have not used and will not use the CSBHK Northbound Remittance Account for any other purposes or functions which may otherwise be applicable to an account opened and maintained with CSBHK;
 根據條款中所述的任何內容，我僅僅將中信証券經紀香港北向通匯款戶用於與中信証券投資戶配對，並專門用於跨境理財通北向通服務的目的。我並未使用，也不會使用中信証券經紀香港北向通匯款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；
- (vi) I have not used and will not use the Northbound 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北向通服務，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；
- (vii) I have assessed and understand the risks relating to the Northbound 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北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：

- (viii) 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 Northbound Remittance Account, Eligible Products purchased under the Northbound Wealth Management Connect Service and any investment returns arising from such Eligible Products (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、信托、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北向通匯款戶中的資金、跨境理財通北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；
- (ix) I understand that RMB is currently not freely convertible and the conversion of RMB is subject to the Applicable Requirements; and the actual arrangement of the Northbound Wealth Management Connect Service depends on the Applicable Requirements prevailing at the relevant time;
我瞭解人民幣目前並非自由兌換，人民幣的兌換受到適用要求的限制；跨境理財通北向通服務的實際安排取決於適用要求屆時的規定；
- (x) I understand that my CSBHK Northbound Remittance Account is opened and maintained with CSBHK in Hong Kong and is paired with my CS Investment Account for cross-boundary fund remittance under the Northbound Wealth Management Connect Service, while my CS Investment Account is opened and maintained with CS in Mainland China for investment in and holding Eligible Products;
我瞭解我的中信証券經紀香港北向通匯款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投資戶配對，用於跨境理財通北向通服務下的跨境資金匯款；而我的中信証券投資戶是在中國內地與中信証券開立和維護的，用於投資和持有合資格產品；
- (xi) I understand that Terms are CSBHK's agreement with me for my CSBHK Northbound Remittance Account under the Northbound Wealth Management Connect Service. The operation of my CS Investment 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 Investment Account, and CSBHK has no obligation to advise or otherwise update me about the CS Investment Account or any change in the Applicable Requirements and shall not be liable to me in any event in respect of my CS Investment Account;
我理解條款是中信証券經紀香港與我就跨境理財通北向通服務所開立的中信証券經紀香港北向通匯款戶所達成的協議。我使用中信証券投資戶的操作受制於中信証券的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投資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投資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投資戶不承擔責任；
- (xii) I understand and acknowledge that CS is incorporated in Mainland China and is not a 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. CS cannot carry on any regulated activities in Hong Kong. Any investments maintained with CS are not protected under the Investor Compensation Fund in Hong Kong. I understand the rules and procedures relevant to transactions in the Mainland

China wealth management product 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。中信証券在香港無法從事任何受規管的活動。在中信証券保管的任何投資都不受香港投資者補償基金的保護。我瞭解中國內地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；

- (xiii) I understand the CSBHK Northbound Remittance Account and the CS Investment Account are paired together for closed-loop transfer and remittance of funds for the sole purpose of using the Northbound Wealth Management Connect Service. I am allowed to remit funds (i) to my CS Investment Account only from my paired CSBHK Northbound Remittance Account (and not from any other account(s) or through any other means) and (ii) from my CS Investment Account only to the paired CSBHK Northbound Remittance Account (and not to any other account(s) or through any other means). Fund transfers between the CSBHK Northbound Remittance Account and any other accounts in Mainland China or from my other accounts with CSBHK to CS Investment Account or any other accounts in Mainland China are not allowed in connection with the Northbound Wealth Management Connect Service;
- 我明白中信証券經紀香港北向通匯款戶和中信証券投資戶被配對在一起，僅用於使用跨境理財通北向通服務的封閉回圈轉帳和匯款。我只能將資金 (i) 從其配對的中信証券經紀香港北向通匯款戶（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投資戶，以及(ii)只能從我的中信証券投資戶匯款到配對的中信証券經紀香港北向通匯款戶（而不是到任何其他賬戶或通過任何其他方式）。不允許在與跨境理財通北向通服務有關的情況下，將資金從中信証券經紀香港北向通匯款戶與中國內地的任何其他賬戶之間進行轉帳，或者從我在中信証券經紀香港的其他賬戶轉帳到中信証券投資戶或中國內地的任何其他賬戶；
- (xiv) I understand that cross-boundary remittance of RMB from my CSBHK Northbound Remittance Account to my CS 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經紀香港北向通匯款戶向我的中信証券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；
- (xv) all transfers and remittance under the Northbound 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 Northbound Remittance 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 Northbound Remittance Account);
- 所有在跨境理財通北向通服務下的轉帳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北向通匯款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北向通匯款戶）；
- (xvi) I understand I can only effect cross-boundary fund remittance in RMB under the Northbound Wealth Management Connect Service through a closed-loop funds flow channel between my CSBHK Northbound Remittance Account and my CS Investment Account, subject to the Applicable Requirements (including but not limited to any applicable quota) and other requirements prescribed by CSBHK from time to time.

我明白我只能通過在我的中信証券經紀香港北向通匯款戶和我的中信証券投資戶之間的封閉回圈資金流通道，在跨境理財通北向通服務下進行人民幣的跨境匯款，需符合適用要求（包括但不限於任何適用的配額）和中信証券經紀香港不時規定的其他要求。

- (xvii) Any third-party fund transfer to the CSBHK Northbound Remittance Account is strictly prohibited. I acknowledge and agree that only fund transfers initiated by me as the fund transferor, whether from a bank or other broker to the CSBHK Northbound Remittance Account are permissible. CSBHK reserves the right to reject any fund transfer if the name of the fund transferor is not identical to my name as account holder of the CSBHK Northbound Remittance Account.

嚴禁任何第三方向中信証券經紀香港北向通匯款戶轉帳。我承認並同意，只有由我作為資金轉讓人發起的資金轉帳，無論是從銀行還是其他經紀商到中信証券經紀香港北向通匯款戶，都是允許的。如果資金轉讓人的名字與我的中信証券經紀香港北向通匯款戶的賬戶持有人的名字不相同，中信証券經紀香港保留拒絕任何資金轉帳的權利。

- (xviii) 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 Northbound Wealth Management Connect Service and the CSBHK Northbound Remittance 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北向通服務和中信証券經紀香港北向通匯款戶；

- (xix) I am fully responsible for all costs, expenses and taxes incurred in connection with the use of the Northbound 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 Northbound 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 Northbound 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北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北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北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；

- (xx) all the information provided by me in connection to the Northbound 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北向通服務時提供的資訊都是真實、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；

- (xxi) 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 Northbound 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北向通服務；

- (xxii) CSBHK may liaise with, and rely on the information on me provided by CS for the purpose of verifying my identity and the CS Investment Account, and providing the Northbound Wealth Management Connect Service. CSBHK is entitled to assume that such information is, and remains, true, accurate, correct and complete, and I agree that CSBHK may request such information from CS for the sole purpose of providing Northbound 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投資帳戶，並提供跨境理財通北向通服務。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北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

- (xxiii) I am using my own funds for the purposes of the Northbound 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北向通服務，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 Northbound 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”）。就跨境理財通北向通服務而言，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，出於中信証券經紀香港不時修訂及補充的《私隱政策聲明》中信証券經紀香港列出的目的，中信証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証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、承認並同意中信証券經紀香港可向下述機構披露我的個人資料：(i) 中信証券華南股份有限公司或其他與中信証券經紀香港合作的中國內地合資格經紀商共享；(ii) 中信証券經紀香港的關聯公司；(iii) 任何第三方服務提供商；(iv) 中信証券經紀香港或其關聯公司的專業顧問（包括律師）及中信証券經紀香港因向我履行/提供服務所需的代理人或第三方（包括但不限於中信証券經紀香港的執行經紀人、清算所和結算代理人）；(v) 中信証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) 對中信証券經紀香港或中信証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，中信証券經紀香港還可以向我（如果有）提供第三方的隱私政策，若中信証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証券經紀香港或中信証券經紀香港的關聯公司進行跨境轉移給其關聯公司，中信証券經紀香港的第三方服務提供商、中信証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 Northbound 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.

如果我對跨境理財北向通服務不滿意，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：

Hong Kong Resident Identity Card No:
香港身份證號碼：

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 Northbound Wealth Management Connect Service.
以下風險披露聲明構成《跨境理財通北向通服務申請表》的一部分。

This Risk Disclosure Statement does **NOT** disclose all of the risks and other significant aspects of Northbound Wealth Management Connect Service. In light of the risks, you, the Customer, should undertake such transactions only if you understand the nature and key features of the product and the extent of your exposure to risk. You should carefully consider whether the proposed investment is appropriate for you in light of your experience, objectives, financial resources and other relevant circumstances. Please read this Schedule carefully, and ask questions and take independent professional advice as you 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揭示所有與跨境理財通北向通服務相關的風險和其他重要方面。考慮到這些風險，您作為客戶，只有在理解產品的性質和主要特徵以及您承擔風險的程度時，才應進行此類交易。您應根據您的經驗、目標、財務資源和其他相關情況，仔細考慮所提議的投資是否適合您。請仔細閱讀此附件，並在您認為適當的情況下提問並尋求獨立的專業建議。要瞭解更多，您也可以通過以下鏈接參考證監會的網站：

<https://www.ifec.org.hk/web/en/investment/investment-products/wealth-management-connect/index.page>

1. Investment risk 投資風險

Like other investment products outside Mainland China, Mainland investment products (including Mainland investment products and Mainland funds) 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. 像中國內地以外的其他投資產品一樣，中國內地的投資產品（包括中國內地的投資產品和中國內地的基金）也涉及投資風險。例如，可能無法保證客戶能夠收回他們的投資本金或收到任何股息或分配，或者投資產品將實現確定的投資目標或成功執行確定的投資策略。

2. Quota limits 配額限制

The Northbound Scheme is subject to both aggregate quota and individual quota. The instructions for remittances from Hong Kong to the Mainland China under the Northbound Scheme may be put on hold as a result of the aggregate quota being used up while remittances from the Mainland China back to Hong Kong and investment instructions using funds already remitted to the CS Investment Account will not be affected. If the amount that a Customer under the Northbound Scheme plans to remit exceeds his/ her remaining individual investor quota, CSBHK will refuse to remit the funds or only remit the amount of the remaining individual investor quota.

跨境理財通北向通受到總配額和個人配額的限制。由於總配額已用完，因此在跨境理財通北向通下從香港匯款到中國內地的指示可能會被擱置，而從中國內地匯款回香港以及使用已匯款到中信証券投資戶的資金的投資指示將不會受到影響。如果跨境理財通北向通下的一個客戶計劃匯款的金額超過他/她剩餘的個人投資者配額，中信証券經紀香港將拒絕匯款該筆資金或只匯款剩餘的個人投資者配額的金額。

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). Customers should refer to the offer documents of Mainland investment products and contact the relevant financial institution

in the Mainland China concerned 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的不同（包括證監會授權的基金）。客戶應參考中國內地投資產品的發售文件，並聯繫中國內地相關的金融機構瞭解投資產品的特性和投資策略的詳情，並且不應僅依賴產品名稱或分類來做出投資決定。

4. Concentration risk/Mainland China market risk 集中風險/中國內地市場風險

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

中國內地投資產品主要是投資於與中國內地市場相關的證券，可能面臨額外的集中風險。投資於中國內地市場可能涉及不同的風險，包括政策、稅收、經濟、外匯、法律、監管和流動性風險。

5. Foreign exchange risk 外匯風險

Under the Northbound 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 other foreign currencies into RMB for the Northbound 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 foreign currency into RMB for the Northbound Wealth Management Connect Service.

在跨境理財通北向通服務下，客戶只被允許進行人民幣的跨境資金匯款。如果必要，客戶可能需要將其他外幣兌換為人民幣以進行跨境理財通北向通服務。值得注意的是，當客戶將外幣兌換為人民幣進行跨境理財通北向通服務時，由於貨幣波動，客戶將面臨匯率風險。

6. Liquidity risk 流動性風險

Mainland China 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.

中國內地的投資產品可能有封閉期，並且可能只在指定期間開放認購和贖回。客戶可能無法隨時贖回他們的投資。

7. Risks associated with Mainland China investment products 與中國內地投資產品相關的風險

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

信息披露風險：中國內地的財富管理公司/發行人或中國內地的分銷經紀商將根據產品發售文件披露信息。客戶應注意該安排並積極檢查相關信息。

(ii) **Payment delay:** Mainland China 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.

付款延遲：中國內地的投資產品可能無法及時在市場上出售其資產以支付收益並向客戶償還本金。客戶可能無法及時贖回他們的投資，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 wealth management products.

產品回報比較基準（如適用）：回報比較基準僅供參考，並不代表產品發行人的保證或保證回報。客戶的實際回報將取決於財富管理產品的最終支付金額。

- (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。客戶可能無法獲得期望的回報並面臨再投資風險。

Besides, Mainland China investment products invest in different Mainland China 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 Mainland China investment product, valuation of the product's portfolio may become more difficult and Customers may suffer a substantial loss as a result.

此外，中國內地的投資產品投資於不同的中國內地資產，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，投資於債券或債務工具需要承擔發行人可能無法及時支付本金和/或利息的信用風險。如果中國內地投資產品持有的債券或債務工具的發行人發生違約或信用評級下調，該產品的投資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。

Customers should refer to the product offering documents (including the risk disclosure statement, available for download at the online or mobile platform of the Mainland securities broker) for the detail risks of the relevant products.

客戶應參考產品發售文件（包括風險披露聲明，可在中國內地證券經紀商的在綫或移動平臺上下載）以獲得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 Northbound 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 Northbound Remittance 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 Northbound Remittance Account under the Northbound Wealth Management Connect Service.

使用跨境理財通北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，並可能影響中信証券經紀香港北向通匯款戶的運營。中信証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。中信証券經紀香港對客戶或任何第三方因使用跨境理財通北向通服務下的中信証券經紀香港北向通匯款戶而產生的任何損失不承擔責任。

9. Designation of a CS Investment Account 指定一個中信証券投資戶

The CSBHK Northbound Remittance Account is exclusively intended for the Northbound Wealth Management Connect Service, which must be paired with the Customer's CS Investment 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 Investment Account for funds remittance. Only one CS Investment Account can be designated, and changes require consent from CS and CSBHK. The CS Investment 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.

中信証券經紀香港北向通匯款戶專門用於跨境理財通北向通服務，必須與客戶的中信証券投資戶配對。它不能用於與中信証券經紀香港賬戶通常相關的任何其他目的或功能。客戶必須遵守中信証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証券投資戶。只能指定一個中信証券投資戶，變更需要得到中信証券和中信証券經紀香港的同意。中信証券投資戶根據中信証券的條款和條件以及與中信証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 資金轉帳和匯款的限制

All funds transfer and remittance under the Northbound 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 Northbound Remittance Account with their CS Investment Account for the sole purpose of the Northbound 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 CSBHK 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 Northbound 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 Products at prevailing market prices in a timely manner.

在跨境理財通北向通服務下的所有資金轉帳和匯款都受到適用要求和中信証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証券經紀香港北向通匯款戶與他們的中信証券投資戶配對，通過一個封閉回圈的資金流通道轉移人民幣，僅用於跨境理財通北向通服務，並受到適用的配額限制。如果超過適用的個人投資者配額，中信証券經紀香港將拒絕跨境人民幣匯款，或者中信証券經紀香港只匯款剩餘的個人投資者配額的金額。中信証券經紀香港不接受任何其他目的的跨境匯款。中信証券經紀香港在營業時間內處理資金轉帳，但保留拒絕跨境理財通北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。

11. Suspension or termination of the CSBHK Northbound Remittance Account and/or the Northbound Wealth Management Connect Service 暫停或終止中信証券經紀香港北向通匯款戶和/或跨境理財通北向通服務

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

中信証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北向通服務和/或客戶的中信証券經紀香港北向通匯款戶，無理由即可提前通知，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 Northbound Terms or any Applicable Requirements;
中信証券經紀香港確定客戶違反或可能違反這些北向通服務條款或任何適用要求;
- (ii) the Customer's CS Investment Account is suspended or terminated;
客戶的中信証券投資戶被暫停或終止;
- (iii) CSBHK ceases to be eligible to provide Northbound Wealth Management Connect Service;
中信証券經紀香港不再有資格提供跨境理財通北向通服務;
- (iv) the provision of these Northbound Terms becomes, or will become, illegal or impracticable due to the change in Applicable Requirements, or 由於適用要求的變更, 提供這些北向通服務條款變得或將變得非法或不可行; 或
- (v) our relationship with the CS with whom the Customer hold his/her CS Investment Account is suspended or terminated.
我們與客戶持有他/她的中信証券投資戶的中信証券的關係被暫停或終止。

If the Customer terminates the Northbound Wealth Management Connect Service and/or close his/her CS 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 to the CSBHK Northbound

Remittance Account. The suspension or termination of the Northbound Wealth Management Connect Service and/or the CS 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北向通服務和/或關閉他/她的中信証券投資戶, 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經紀香港北向通匯款戶。暫停或終止跨境理財通北向通服務和/或中信証券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 Northbound Wealth Management Connect Service. CSBHK does not provide advice or assistance regarding tax issues, liabilities, or obligations associated with the Northbound 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 Northbound Wealth Management Connect Service.

客戶需承擔與跨境理財通北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北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北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。