

中信証券經紀(香港)有限公司 (“中信証券經紀香港”)

CITIC Securities Brokerage (HK) Ltd (“CSBHK”)

證券帳戶號碼:

Securities A/C No. : _____

客戶姓名:

Client Name : _____

Consent Letter - Northbound Program Trading Reporting of China Connect Program

(Only applicable to Corporate/Institutional clients or Eligible individual clients)

確認函——中華通北向程序化交易申報

(僅適用於公司/機構客戶或合資格個人客戶)

Background

The *Northbound Program Trading Reporting Regime* became effective on 7 July 2025. The associated *Reporting Guidelines* will commence on 12 January 2026, following a three month transition period.

For further details, please refer to the “Northbound Program Trading Reporting” section of the HKEX Stock Connect website^[^1].

北向程序化交易申報制度已於 2025 年 7 月 7 日生效，相關《申報指引》將在三個月過渡期後，於 2026 年 1 月 12 日開始實施。

詳情請參閱港交所 (HKEX) 互聯互通網站“北向程序化交易申報 (Northbound Program Trading Reporting)”欄目。^[^1]

Confirmation

I/We hereby confirm the following:

確認

本人/我們特此確認如下：

1. **No Prior Requirements 無相關北向程序化交易需求**

- I/We have not previously been subject to the requirements of the *Northbound Program Trading Reporting Regime*.
本人/我們此前未曾適用北向程序化交易申報制度的相關要求。
- If this status changes, I/We undertake to promptly notify you and to complete all required Northbound Program Trading Reporting.
如該狀態發生變化，本人/我們承諾將及時通知貴方，並完成所有所需的北向程序化交易申報。

2. **Subject to Requirements 適用相關北向程序化交易需求**

- In order to continue engaging in Northbound Program Trading, and prior to conducting such trading for the first time from 12 January 2026, I/We will complete the Northbound Program Trading Reporting Template (available under the “Northbound Program Trading Reporting” section of the HKEX Stock Connect website) for both the Shanghai Stock Exchange and the Shenzhen Stock Exchange, and submit it to CSBHK.
為繼續參與北向程序化交易，並在自2026年1月12日起首次進行該等交易之前，本人/我們將就上海證券交易所及深圳證券交易所分別填寫《北向程序化交易申報模板》（可在港交所互聯互通網站“北向程序化交易申報”欄目下載），並提交至CSBHK。
- I/We have been subject to the requirements of the Northbound Program Trading Reporting Regime, and confirm that:
- 本人/我們已適用北向程序化交易申報制度的相關要求，並確認：
 - a. I/We have received a copy of the Addendum titled “Updates to China Connect Services Addendum for Engaging in Program Trading with respect to China Connect Securities”.
本人/我們已收到題為《就中國互聯互通證券程序化交易對中國互聯互通服務補充條款的補充文件（Addendum）副本。
 - b. I/We have read and understood the contents of the Addendum.
本人/我們已閱讀並理解該補充文件的內容。
 - c. I/We acknowledge and accept the terms of the Addendum, and agree to be bound by them.
本人/我們確認並接受該補充文件的條款，並同意受其約束。

- d. I/We undertake to complete the Northbound Program Trading Reporting Template and comply with any related requirements.
本人/我們承諾將完成《北向程序化交易申報模板》並遵守任何相關要求。

^{^1} https://www.hkex.com.hk/mutual-market/stock-connect/reference-materials/northbound-program-trading-reporting?sc_lang=zh-HK

**Customer
Signature(s):**
客戶簽署:

Date:
日期:
