



帳戶名稱 Account Name: _____

帳戶號碼 Account No.: _____

中華通北向交易協議及投資者識別碼個人信息收集聲明
China Stock Connect Trading Agreement and Personal Information Collection Statement

本中華通北向交易協議乃是偉祿亞太與客戶簽訂的客戶協議之條款及守則之補充。此協議允許客戶進行中華通北向交易。而偉祿亞太同意向客戶提供中華通北向股票交易的服務。倘若客戶協議與本交易協議之條款發生衝突，以後者之條款為準。

The China Stock Connect Trading Agreement is supplemental to the Terms and Conditions of Client Agreement entered into by Realord Asia Pacific and the Client, which the Client is allowed to conduct trading of China Stock Connect Securities through China Stock Connect and Realord Asia Pacific agrees to provide such trading services to the Client. Where any conflict arises between the Terms and Conditions of Client Agreement and the provisions of this China Stock Connect Trading Agreement, the provisions of the latter shall prevail.

重要事項

以下描述一些通過偉祿亞太透過中華通買賣上海證券交易所及/或深圳證券交易所之重要詳情。

Important Notes

The following describes some of significant aspects of trading the Shanghai Stock Exchange ("SSE") and/or Shenzhen Stock Exchange ("SZSE") securities via China Stock Connect through Realord Asia Pacific.

遵守適用法律和規則

客戶必須遵守中國內地及香港相關之法律及法規，和一切有關交易所之條例。在作出交易指示前，客戶必須接受並同意上述有關中華通之重要詳情及風險，包括但不限於為上海證券交易所之上市條例、上海證券交易所條例、深圳證券交易所之上市條例、深圳證券交易所及其他有關法律及法規負責。以下列出部份中國內地及香港相關之法律及法規，有關中華通交易詳細資料可參閱聯交所。

Compliance with Applicable Laws and Rules

The Client must observe relevant laws and regulations of Mainland China and Hong Kong as well as the rules of the exchanges. The Client must accept and agree the aforesaid and the risks related to China Stock Connect, including but not limited to being liable or responsible for breaching the SSE Listing Rules, SSE Rules, SZSE Listing Rules, SZSE Rules and other applicable laws and regulations before giving instructions. Some of these rules are referred to below; detailed information on trading via China Stock Connect can be referred to on HKEX website.

1. 不容許即日買賣

中華通不允許即日買賣。在交易日（T 日）購買的股票只可在 T+1 日或以後出售。

Day Trading is Not Permitted

The Client is not allowed to carry out day trading through China Stock Connect. A shares bought on trade day (T-day) can only be sold on or after T+1 day.

2. 不容許場外交易

所有交易一定要在上海證券交易所及/或深圳證券交易所進行。場外交易及人手交易將不被允許。

OTC Trading is Not Permitted

All trading must be conducted on SSE and or SZSE, i.e. no over-the-counter (OTC) or manual trades are allowed.

3. 禁止無擔保賣空交易

如客戶欲在交易日出售股票，客戶一定要在同一交易日開市前將股票轉到偉祿亞太相應之中央結算系統戶口。如客戶的賬戶沒有足夠的中華通證券交付，偉祿亞太可行使絕對酌情權拒絕接受客戶的賣盤指示。客戶需自行全數承擔因不遵從本規則所產生的任何風險，損失或成本。

Naked Short Selling is Not Permitted

The Client must have shares transferred to Realord Asia Pacific' s corresponding CCASS account before the commencement of trading on a trading day if he intends to sell the shares during a trading day. If the Client does not have sufficient shares in his account to cover a proposed share order, Realord Asia Pacific may in its absolute discretions reject the Clients sell order. Any risk, loss or cost resulting from the non-compliance of this rule shall be borne by the Client.



4. 股票及款項交收安排
上海證券交易所及/或深圳證券交易所之交易及股票結算將在 T 日進行，而資金（包括交易金額及相關之費用及稅款）將於 T+1 日結算。客戶應確保戶口內有足夠的人民幣作結算之用。
Stock and Money Settlement Arrangement
For SSE and SZSE shares trading, stock settlement will be conducted on T-day, while money (including the transaction amount as well as the related fees and levies) will settle on T+1 day. The Client should ensure you have sufficient RMB in your account for settlement.
5. 取消客戶的交易指令
偉祿亞太將有權在突發情況時（如 8 號風球）或其他在偉祿亞太控制範圍以外影響到交易及交收的情況下，沒有預先通知的情況下取消客戶的交易指令。客戶亦同意偉祿亞太將會因客戶的指示不符合中華通法律或中華通規則，或偉祿亞太合理認為該客戶指示可能與任何中華通法律或中華通規則不符，或應香港交易所（“交易所”）、上海股票交易所、深圳股票交易所或其他中港通法定機構的指示而取消客戶的交易指示。
Realord Asia Pacific's Right to Cancel Client Orders
Realord Asia Pacific may, in its absolute discretion, refuse to execute any order made by the Client without prior notice, if (for example and without limitation) such order is not compliant with any rules, laws, or regulations or if Realord Asia Pacific is required by the SEHK, SSE, SZSE or any other China Stock Connect Authority to reject orders from the Client. The Company may further cancel the Client's orders in case of contingencies such as the hoisting of Typhoon Signal No 8 or any other incident beyond the control of Realord Asia Pacific which may affect order placing or settlement of the transaction.
6. 每日額度限制
在上海證券交易所及/或深圳證券交易所透過中華通購買之證券將受每日額度限制。所以購買指令不保證可透過中華通執行。
Quota Restrictions
Purchases of SSE and or SZSE securities through China Stock Connect are subject to certain daily quota controls. As a result, there is no assurance that a buy order can be successfully placed through China Stock Connect.
7. 交易日及交易時間之差異
中華通之交易日需要在香港及相應內地交易所同時開放市場交易，並在相應的交收日於兩地均有銀行服務。A 股之交易將遵從有關交易所之交易時間。
Difference in trading day and trading hours
China Stock Connect allows trading only on the days when both Hong Kong and the respective Mainland Chinese markets are open for trading, and banking service are available in both markets on the corresponding settlement days. You should also note that A shares trading will follow the trading hours of the Exchange where it is listed.
8. 外資持股比例限制
中國內地法律限制外國投資者對單一國內上市公司之持股量。偉祿亞太在收到香港聯交所強制出售指示後有權強制出售客戶的股票。因此客戶應確保其完全理解中國內地有關持有股份之限制及披露責任之法規，並遵從該等法規。
Foreign Shareholding Restriction
Under Mainland China laws, there is a limit to how many shares a single foreign investor is permitted to hold in a single Mainland China listed company. The Company has the right to force-sell your shares upon receiving a forced-sale notification from SEHK. Accordingly, you should ensure you fully understand the Mainland rules and regulations in relation to shareholding restrictions and disclosure obligations and follow such rules and regulations.
9. 短線交易利潤規例
按中國內地法律，“短線交易利潤規例”要求投資者歸還任何透過中華通購買及出售之中國上市公司證券所獲之得益，如(a)投資者對中國內地之上市公司持股量超過有關中華通監管機構不時制定之門檻，及(b)有關出售交易在購買交易之 6 個月內發生，反之亦然。
Short Swing Profit Rule
Under Mainland China laws, the “short swing profit rule” requires investors to return any profits made from purchases and sales in respect of China Stock Connect securities of a Mainland China listed company if (a) your shareholding in the Mainland China listed company exceeds the threshold prescribed by the relevant China Stock Connect authority from time to time and (b) the corresponding sale transaction occurs within the six months after a purchase transaction, or vice versa.



10. 不受投資者賠償基金保障

客戶應注意在上海證券交易所及/或深圳證券交易所之交易將不受香港投資者賠償基金保障。且因香港投資者並非透過中國內地經紀交易，香港投資者將不受中國內地之中國證券投資者保護基金保障。

Not Covered by Investor Compensation Fund

The Client should note that both SSE and SZSE trading under China Stock Connect will not be covered by Hong Kong's Investor Compensation Fund. As Hong Kong investors are not carrying out SSE and/or SZSE trading through Mainland brokers, they are not protected by China Securities Investor Protection Fund on the Mainland.

11. 警告

上海證券交易所及/或深圳證券交易所可要求香港聯交所指令偉祿亞太向客戶發出警示公告(口頭或書面)，及向某些客戶不提供上海證券交易所及/或深圳證券交易所交易服務。

Warnings

SSE and/or SZSE may request SEHK to require Realord Asia Pacific to issue warning statements (verbally or in writing) to clients, and not to extend SSE and/or SZSE trading service to certain clients.

12. 責任

香港聯交所、香港聯交所之母公司及其子公司、上海證券交易所及/或深圳證券交易所、上海證券交易所及/或深圳證券交易所之子公司及該等之董事、僱員及代理人將不對偉祿亞太、其客戶、或任何第三方因與上海證券交易所及/或深圳證券交易所或中華通有關之交易所做成之任何直接或間接損失負責。

Liability

SEHK, SEHK parent companies and subsidiaries, SSE, SSE subsidiary, SZSE and SZSE subsidiary and their respective directors, employees and agents shall not be responsible or held liable for any loss or damage directly or indirectly suffered by the Company, its clients or any third parties arising from or in connection with SSE and/or SZSE trading or the CSC.

13. 孖展買賣

可供孖展買賣滬股通或深股通股票取決於上交所或深交所不時公佈的「合資格滬股通保證金交易股票名單」或「合資格深股通保證金交易股票名單」及其作押比率。當個別股份的孖展買賣交投超出上交所或深交所訂定的上限時，上交所或深交所會在下一交易日暫停該個別股票的孖展買賣。

Margin Trading

The margin trading of China Stock Connect shares is subject to eligibility requirements as determined by the SSE or the SZSE. The list of eligible shares and their margin ratios may change from time to time. Should the volume of margin trading in a specific share exceed the threshold, the SSE or SZSE will suspend further margin trading of the stock on the next trading day.

客戶知悉並同意如客戶違反或未能遵守交易所、上海股票交易所、深圳股票交易所或其他中華通法定機構所定之法律或規則，客戶須接受監管調查或承擔相關法律後果等風險。

The Client acknowledges that he/she may be liable to regulatory investigations and any legal consequences if he/she are in breach of or fail to comply with the applicable rules, laws, or regulations of the SEHK, SSE, SZSE or any other China Stock Connect Authority.

客戶知悉並同意在相關情況（包括但不限於在中華通監管機構要求或指示）下，偉祿亞太無需事先通知客戶，可按偉祿亞太之絕對酌情決定權暫停、終止或限制客戶通過偉祿亞太進入中華通市場。

The Client acknowledges and accepts that Realord Asia Pacific may, in its absolute discretion, suspend, terminate or limit the Client's access the China Stock Connect through the Company without advance notice to the Client, including but not limited to where requested by the SEHK, SSE, SZSE or any other China Stock Connect Authority.

客戶知悉並同意若交易所、上海股票交易所、深圳股票交易所或其他中華通法定機構有合理的理由相信客戶未能遵守或者違反了任何中華通法律或中華通規則，在偉祿亞太要求下，客戶應向偉祿亞太提供合理要求的資料（若偉祿亞太要求，應包括中文譯本），使偉祿亞太能夠協助相關交易所、上海股票交易所、深圳股票交易所或其他中華通法定機構評估是否存在任何不符合或者違反了任何中華通法律或中華通規則的情況及／或不符或違反的程度。

In the event that the SEHK, SSE, SZSE or any other China Stock Connect Authority have reasonable cause to believe that the Client has failed to comply with or has breached any applicable rules, laws, or regulations, the Client shall, upon the request of Realord Asia Pacific provide such information (including translations into Chinese if so requested) as the Company may reasonably request to enable the Company to assist the SEHK, SSE, SZSE or any other China Stock Connect Authority to assess whether there is any non-compliance or breach of the applicable rules, laws or regulations and/or extent of any noncompliance or breach.



個人信息收集聲明 [中華通北向交易]

Processing of Personal Data as part of the China Stock Connect Northbound Trading

您確認並同意經紀(我們)在向您提供 中華通股票交易北向交易服務時，我們將被要求：

You acknowledge and agree that in providing our Stock Connect Northbound Trading Service to you, we will be required to:

- (i) 將您提交到 CSC 的交易指示加上[您於經紀商的指定號碼 (“BCAN”)] 標記;和
tag each of your orders submitted to the CSC with [a Broker-to-Client Assigned Number ("BCAN") that is unique to you]; and
- (ii) 向交易所提供客戶的 BCAN 以及本交易所根據交易所規則要求的與您有關的個人信息 (“客戶個人信息” 或 “CID”)。
provide to the Exchange your assigned BCAN and such identification information (“Client Identification Data” or “CID”) relating to you as the Exchange may request from time to time under the Rules of the Exchange.

在我們向您提供任何通知或我們向您提供關於處理客戶的帳戶相關的個人信息以及我們向您提供的服務的同意同時，您確認並同意我們作為[中華通股票交易北向交易服務]的一部分，可能會收集、存儲、使用、披露，並根據需要傳輸與您有關的個人信息，包括：

Without limitation to any notification we have given you or consent we have obtained from you in respect of the processing of your personal data in connection with your account and our services to you, you acknowledge and agree that we may collect, store, use, disclose and transfer personal data relating to you as required as part of our [Stock Connect Northbound Trading Service], including as follows:

- (a) 不時向交易所披露及傳遞您的 BCAN 及 CID，包括在輸入中華通交易指示時向交易所披露客戶的 BCAN，並在實時的基礎上進一步傳送至相關向交易所披露市場的運營商;
to disclose and transfer your BCAN and CID to the Exchange and the relevant SEHK Subsidiaries from time to time, including by indicating your BCAN when inputting a China Stock Connect Order into the CSC, which will be further routed to the relevant China Stock Connect Market Operator on a real-time basis;
- (b) 允許各交易所及相關聯交所附屬公司：(i) 收集、使用及儲存您的 BCAN、CID 及任何經有關[中華通結算所提供的合併、驗證及制訂的 BCAN 及 CID 資料 (其中任何一家或通過香港交易所進行存儲) 以進行市場監督以及執行“交易所規則”；(ii) 不時為下文(c)及(d)段所載之目的將有關資料轉讓予相關中華通市場營運者(直接或透過有關中華通結算公司)；及(iii) 向香港的有關監管機構和執法機構披露有關資料，以協助履行其在香港金融市場的法定職能;
to allow each of the Exchange and the relevant SEHK Subsidiaries to: (i) collect, use and store your BCAN, CID and any consolidated, validated and mapped BCANs and CID information provided by the relevant China Stock Connect Clearing House (in the case of storage, by any of them or via HKEX) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange; (ii) transfer such information to the relevant China Stock Connect Market Operator (directly or through the relevant China Stock Connect Clearing House) from time to time for the purposes set out in (c) and (d) below; and (iii) disclose such information to the relevant regulators and law enforcement agencies in Hong Kong so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets;
- (c) 允許相關中華通結算所：(i) 收集、使用和儲存您的 BCAN 和 CID，以整合和驗證 BCAN 和 CID 與其投資者識別數據庫的制訂，並提供此等整合、驗證及制訂 BCAN 及 CID 資料予有關中華通市場經營者，聯交所及有關聯交所附屬公司；(ii) 使用您的 BCAN 和 CID 履行其證券賬戶管理的監管職能；及(iii) 向有管轄權的內地監管機構及執法機構披露有關資料，以便協助履行其對內地金融市場的監管，監察及執法職能；和
to allow the relevant China Stock Connect Clearing House to: (i) collect, use and store your BCAN and CID to facilitate the consolidation and validation of BCANs and CID and the mapping of BCANs and CID with its investor identification database, and provide such consolidated, validated and mapped BCANs and CID information to the relevant China Stock Connect Market Operator, the Exchange and the relevant SEHK Subsidiary; (ii) use your BCAN and CID for the performance of its regulatory functions of securities account management; and (iii) disclose such information to the Mainland regulatory authorities and law enforcement agencies having jurisdiction over it so as to facilitate the performance of their regulatory, surveillance and



enforcement functions with respect to the Mainland financial markets; and

- (d) 允許有關的中華通市場經營者：(i) 通過使用中華通服務執法、收集、使用及儲存您的 BCAN 及 CID，以便監察相關中華通市場上的證券交易及有關中華通市場營運商的規則；及 (ii) 向內地監管機構及執法機構披露有關資料，以協助履行其對內地金融市場的監管，監察及執法職能。
- to allow the relevant China Stock Connect Market Operator to: (i) collect, use and store your BCAN and CID to facilitate their surveillance and monitoring of securities trading on the relevant China Stock Connect Market through the use of the China Stock Connect Service and enforcement of the rules of the relevant China Stock Connect Market Operator; and (ii) disclose such information to the Mainland regulatory authorities and law enforcement agencies so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets.

通過向我們發出與中華通證券有關的任何交易指示，您確認並同意我們可能會使用您的個人資料，以遵守聯交所的規定及其[中華通股票交易北向交易]之相關規則。您也確認並同意，儘管您隨後希望撤回授權，您的個人信息可能被繼續儲存，使用，披露，轉讓和以其他方式處理以達到上述目的。

By instructing us in respect of any transaction relating to China Stock Connect Securities, you acknowledge and agree that we may use your personal data for the purposes of complying with the requirements of the Exchange and its rules as in force from time to time in connection with the [Stock Connect Northbound Trading]. You also acknowledge that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, used, disclosed, transferred and otherwise processed for the above purposes, whether before or after such purported withdrawal of consent.

未能提供個人資料或同意的後果 Consequences of failing to provide Personal Data or Consent

未能向我們提供您的個人信息或上述授權可能意味著我們不會或不能再按情況執行您的交易指令或向您提供我們的中華通股票交易北向交易服務。

Failure to provide us with your personal data or consent as described above may mean that we will not, or no longer be able, as the case may be, to carry out your trading instructions or provide you with our Stock Connect Northbound Trading Service.

確認和同意 Acknowledgement and Consent

本人/吾等確認本人/吾等已閱讀並理解偉祿亞太證券有限公司的中華通北向交易協議及個人信息收集聲明內容。通過勾選下面的方框，本人/吾等同意偉祿亞太證券有限公司根據個人信息收集聲明中的條款和目的使用本人/吾等的個人信息。

I/We acknowledge I/we have read and understand the content of China Stock Connect Trading Agreement 門木 the Personal Information Collection Statement of Realord Asia Pacific Securities Limited. By ticking the box below, I/we agree for Realord Asia Pacific Securities Limited to use my/our personal data on the terms of and for the purposes set out in the Personal Information Collection Statement.

- ☐ 本人/吾等同意偉祿亞太證券有限公司使用本人/吾等之個人資料用於本協議中的目的。
I/We agree to Realord Asia Pacific Securities Limited's use of my/our personal data for the purpose set out in the Personal Information Collection Statement.

客戶簽署：

Client Signature: _____

帳戶名稱：

Account Name: _____

日期：

Date: _____

授權簽署及商業印章(如適用) Authorized Signature(s) and Business Chop/Seal (if applicable)