實德證券有限公司
SUCCESS SECURITIES LIMITED

SUCCESS

客戶聲明書–申請環球股票交易使用權限

致: 實德證券有限公司

請填妥此申請表格並交回至交收部。若閣下有任何查詢，歡迎隨時致電(852) 2294 5899 與我們聯絡。

請選擇所需之服務，於 ☐ 內加上"✔"號 (一項或多項，如適合):

我 / 吾等確認以下聲明，作為申請以下股票交易市場的交易服務，明白這些聲明不構成申請成功。實德證券有限公司("實德證券")將根據戶口資料和相關法規作出最終和不可抗辯的決定和不時更改服務狀態，而且不予通知和不會承擔任何形式的責任或賠償。

市場	客戶必須聲明其國籍、公民或稅務居民資格、或其他事項以符合相關市場的政府法規要求。	確認
澳洲	請為我/吾等開啓澳洲股票交易服務，我/吾等沒有持有澳洲國籍、公民或稅務居民資格。	☐
加拿大	請為我/吾等開啓加拿大股票交易服務，我/吾等沒有持有加拿大國籍、公民或稅務居民資格。	☐
芬蘭	請為我/吾等開啓芬蘭股票交易服務，我/吾等沒有持有芬蘭國籍、公民或稅務居民資格。	☐
臺灣	請為我/吾等開啓臺灣股票交易服務，我/吾等沒有持有臺灣或中國的國籍、公民或稅務居民資格，或地址，並且投資資金並不來自以上地方。	☐
日本	請為我/吾等開啟日本股票交易服務。我/吾等確認我/吾等並非於日本上市公司擔任 Officer 有關職位 (請參考 Article 15 of the Rules Concerning Solicitation for Investments and Management of Customers, etc. by Association Members 中 Officer 的定義) 。	☐

備註:　　1. 如客戶的國籍、公民或稅務居民資格，地址，或Officer 資格有所改變，請在發生改變後30 日內，向實德證券更新帳戶資料。

2. 如客戶的國籍、公民或稅務居民資格改為以上地方，實德證券將會停止該市場的交易服務，並不予通知。

3. 如客戶作出誤導性、虛假或不正確的陳述，以致觸犯以上地方的條例，客戶有可能承擔相關的法律責任。

戶口號碼:				
主要帳戶持有人名稱:		聯名帳戶第二持有人名稱:		
客戶簽署:		客戶簽署:		
日期	日　　月　　年	簽署日期		日　　月　　年
只供本行使用 For Official Use Only				
確認客戶國籍資料符合 [客戶主任]		簽署日期		
核對客戶簽署 [交收部]				

To : Success Securities Limited

Client Declaration - Application for Foreign Stock Trading Access Right

Please complete the application form and return to Settlement Department. For enquiry, please contact us at (852) 2294 5899. Please put "✓" in ☐ for the selected service (one or multiple, if applicable):

I/We confirm the following declaration(s), to apply for activating the trading service for particular securities markets, and understand that the declaration(s) does not constitute the success of the application. Success Securities Limited makes a final and uncontestable decision and from time to time amends the service status based on account information and relevant rules and laws, without prior notice and is not liable for any liability or claim in any format.

Markets	Client must declare his/her nationality, citizenship, tax residency status or others in accordance to the laws of corresponding Government.	Declaration
Australia	Please activate the Australia Stock Trading Service for me/us. I/We do not hold <u>Australian</u> nationality / citizenship / tax residency status.	☐
Canada	Please activate the Canada Stock Trading Service for me/us. I/We do not hold <u>Canada</u> nationality / citizenship / tax residency status.	☐
Finland	Please activate the Finland Stock Trading Service for me/us. I/We do not hold <u>Finnish</u> nationality / citizenship / tax residency status.	☐
Taiwan	Please activate the Taiwan Stock Trading Service for me/us. I/We do not hold nationality / citizenship / tax residency status of or address in <u>Taiwan</u> or <u>China</u>. In addition, my/our investment fund does not source from the places.	☐
Japan	Please activate the Japan Stock Trading Service for me/us. I/We confirm that I/we are <u>not</u> an Officer (as it is defined in Article 15 of the Rules Concerning Solicitation for Investments and Management of Customers, etc. by Association Members) of any company listed on the JPX.	☐

Notes:
1. Client has to update account particular within 30 days after any change in nationality / citizenship / tax residency status/ address/ Officer status.
2. Success Securities Limited will suspend the relevant trading service without prior notice when client changes nationality / citizenship / tax residency status to one of the places mentioned above.
3. Client may bear the relevant legal responsibility if he/she makes or provide misleading, false or incorrect representation and information which violates the local laws and regulations.

Account No:					
Primary Account Holder's Name:		Secondary Joint Account Holder's Name:			
Client Signature:		Client Signature:			
Date of Signature:	D M Y	Date of Signature:	D	M	Y
For Official Use Only					
Confirm the client's nationality and the form above are matched [AE]		Date of Signature:			
Signature verified by [Settlement]					