

## 環球證券買賣服務申請／取消表格

### 申請人資料

中文姓名：	英文姓氏： 英文名字：	證券賬戶號碼：
身份證明文件： <input type="checkbox"/> 身份證 <input type="checkbox"/> 護照 <input type="checkbox"/> 其他(請註明) _____ 簽發地：_____		
號碼：_____		
本人(等)／本公司需申報是否屬於以下類別： <input type="checkbox"/> 是 <input type="checkbox"/> 否 (請於適當方格加上✓號)		
(a) 持有中國內地身份證明文件的個人		
(b) 聯名賬戶持有人(如聯名賬戶持有人中有任何一方屬(a)條規定的內地投資者)		
(c) 中國內地註冊的法人及非法人組織		

註：中華通北向交易服務不適用於中國內地身份證持有人/中國內地註冊的法人及非法人組織。

### 登記／取消環球證券買賣服務(請於適當方格加上✓號)

<input type="checkbox"/> 申請環球證券買賣服務	<input type="checkbox"/> 取消環球證券買賣服務
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註：若閣下擬進行美國證券交易，必須另行簽填 W-8BEN 表格交回本行。

### 登記結算賬戶 (若閣下已登記招商永隆一卡通賬戶為證券結算賬戶，則無須再次登記)

<input type="checkbox"/> 招商永隆一卡通賬戶號碼：_____	
除賬戶／服務申請及委託書指定之港元結算賬戶，本人(等)／本公司擬登記及指定以下本人(等)／本公司於招商永隆銀行有限公司(「貴行」)持有之存款賬戶為結算賬戶，用作證券買賣、結算及託管相關服務之付款及收款賬戶：	
<input type="checkbox"/> 綜合儲蓄存款賬戶號碼：_____	<input type="checkbox"/> 人民幣儲蓄存款賬戶號碼：_____

註：若閣下擬進行內地證券交易，必須指定人民幣儲蓄存款賬戶作結算用途。

## 環球證券買賣的額外風險披露聲明

### ● 買賣非香港交易所上市證券的風險

客戶必須先瞭解環球證券買賣的性質以及將面臨的風險，然後方可進行環球證券的買賣。特別是，環球證券的買賣並不受香港交易所所管轄，並且不會受到投資者賠償基金所保障。客戶應根據本身的投資經驗、風險承受能力以及其他相關條件，小心衡量自己是否適合參與進行該等交易，如有疑問，應先徵求獨立專業意見。

### ● 在香港以外地方收取或持有的客戶資產的風險

本銀行在香港以外地方收取或持有的客戶資產，是受到有關環球司法管轄區的適用法律及規例所監管的。這些法律及規例與香港的《證券及期貨條例》(第 571 章)及根據該條例制訂的規則可能有所不同。因此，有關客戶資產將可能不會享有賦予在香港收取及持有的客戶資產的相同保障。假如交易所參與者或與本銀行合作的證券商號因為經營倒閉而令顧客遭受金錢上之損失時，投資者賠償基金之責任只限於香港《證券及期貨條例》中所規定之有效索償。

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本人(等)／本公司，要求招商永隆銀行有限公司(「貴行」)根據貴行的《賬戶及服務一般條款》(「條款」)向本人(等)／本公司提供環球證券買賣服務。除非另行定義，否則本表格所用的詞語應具有與條款中規定相同的意思。本人(等)／本公司確認並同意：

- 貴行可將本人(等)／本公司的個人／公司及交易等相關及所需資料提供予由貴行委託的第三方用以辦理各國對當地證券市場之證券交易／結算／託管等相關活動所實施的監管法例及稅務規定要求下的申報用途。本人(等)／本公司同意遵守各國及貴行委託的第三方之申報要求，並承諾本人(等)／本公司的個人／公司資料如有任何改動，會即時通知貴行作出更新；

2. 貴行乃按《賬戶及服務一般條款》(可經貴行不時修訂)提供環球證券買賣服務,並受貴行不時向本人(等)/本公司提供的任何其他與環球證券買賣服務相關的條款及條件所規限。本人(等)/本公司亦已確認明白及接受所有與進行環球證券買賣相關的風險;
3. 環球證券買賣將受當地交易所規則和條例及適用的當地法律所規限。本人(等)/本公司在該等買賣中所獲得的保障,無論在程度及種類方面均可能與聯交所上市規則和條例及香港法例所提供的有顯著差異。本人(等)/本公司確認並完全明白,倘本人(等)/本公司在聯交所以外的其他交易所進行的交易中蒙受金錢損失,本人(等)/本公司將不會享有按《證券及期貨條例》成立的投資者賠償基金所賦予的索償權利;
4. 本人(等)/本公司須按全數彌償的基準,承擔任何相關政府、結算系統或市場施加的所有適用稅項、徵費及所有適用印花稅。所有該等徵費及稅項(包括但不限於預扣稅),貴行均可從本人(等)/本公司的結算賬戶中扣除。本人(等)/本公司應視乎情況尋求專業稅務意見;
5. 本人(等)/本公司須就海外賬戶稅收合規法案規例適用於買賣美股的情況諮詢本人(等)/本公司的顧問意見;
6. 連接貴行網上銀行網站用作傳遞買賣盤、執行及結算交易,以支持貴行自動化「環球證券買賣」服務之自動化環球證券買賣設施/系統,就任何目的而言,由並非貴行代理人之獨立服務供應商提供。貴行已盡合理努力委任有信譽之供應商,但不會為供應商的任何行為或疏忽而承擔任何責任;
7. 貴行可能終止本人(等)/本公司透過貴行網上銀行網站登錄自動化環球證券買賣設施/系統,而且並不承擔因此而導致或遭受之任何損失或賠償;
8. 本人(等)/本公司接受環球證券電子交易確實存在之獨特風險。除非是貴行直接導致之故意行為不當或疏忽,否則貴行或獨立服務供應商將不會就該等風險有任何責任;
9. 透過自動化環球證券買賣設施/系統於互聯網及電子通訊網絡發出之通訊可能遭到非貴行或其他持牌或註冊人能控制範圍內之公共及非可靠互聯網或其他原因而導致之傳輸暫時中斷、終止、截取或錯誤資料傳送所影響。透過互聯網或電子通訊傳送至自動化環球證券買賣設施/系統之訊息無法保證完全安全。本人(等)/本公司須明白及承擔經由貴行網上銀行傳送或接收信息/指示之任何延誤、遺失、轉移、修改、損壞或病毒感染之風險。除非是貴行範圍內直接導致之故意行為不當或疏忽導致,否則貴行或獨立服務供應商將不會就招致或/遭受之任何損失或風險承擔責任;
10. 本人(等)/本公司於選擇之市場進行證券交易,須受所選市場適用之法律及規則、市場要求、操作程序和條款及細則規限(如有),而本人(等)/本公司同意受其約束;
11. 《賬戶及服務一般條款》內之條款及細則,特別是「網上銀行服務」章節,適用於所有經貴行網上銀行網站傳遞至自動化環球證券買賣設施/系統所有交易,並附加及補充於此列出之條款及細則。由是,當本人(等)/本公司登錄自動化環球證券買賣設施/系統並經網上銀行網站發出指示,即表示本人(等)/本公司接受《賬戶及服務一般條款》之條款及細則生效且具有法律約束力;
12. 本人(等)/本公司確認本人(等)/本公司已閱及明白貴行之《個人資料收集聲明- 中華通北向交易服務》並明白此收集聲明乃補充《招商永隆銀行有限公司關於個人資料(私隱)條例致客戶的通知》之內容。本人(等)/本公司謹此表示同意貴行及由貴行委託的第三方按《個人資料收集聲明- 中華通北向交易服務》之條款及所提及之目的使用本人(等)/本公司之個人資料;
13. 於此列出之條款及細則的中英文本如有不符,概以英文為主。

日期: .....年.....月.....日

(供個人客戶使用)

(供公司客戶使用)

簽署、蓋章及交付人

簽署人

客戶姓名\*

獲授權人士/獲授權代表姓名\*\*

\* 如屬聯名戶,須由全體聯名戶主簽署

\*\* 簽署本表的獲授權人士/獲授權代表必須是「賬戶/服務申請及委託書」(或其任何修改)下的獲授權人士/獲授權代表。

銀行專用

Br/Dept:	Maker:	s.v.:	Checker:
OPC-ITS Input:	OPC Checker:	OPC-Phillip Handling:	OPC Checker:
			Remark:

## Application/Cancellation Form for Global Securities Trading Services

**Information of Applicant**

Name in Chinese:	Surname : Given / Middle Name :	Securities Account No.:
Identification Document: <input type="checkbox"/> ID <input type="checkbox"/> Passport <input type="checkbox"/> Others (please specify) _____ Place of Issue: _____ No.: _____ I/We declare whether it falls into the following categories: <input type="checkbox"/> Yes <input type="checkbox"/> No ( <b>Please tick the box as appropriate</b> ) (a) individuals that possess Mainland ID documents (b) holders of a joint account if one of the holders is considered as Mainland investor under (a) (c) corporate or unincorporated entities which are registered in the Mainland.		

*Note: Northbound Trading under Stock Connect is not applicable to individuals that possess Mainland ID documents/corporate or unincorporated entities which are registered in the Mainland.*

**Global Securities Trading Services Registration/Cancellation (Please tick the box as appropriate)**

<input type="checkbox"/> Application for Global Securities Trading Services	<input type="checkbox"/> Cancellation of Global Securities Trading Services
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*Note: Please also complete W-8BEN Form if you trade US stocks.*

**Settlement Account Registration (If you have already registered All-In-One account as securities settlement account, no need to register again)**

<input type="checkbox"/> CMB Wing Lung All-In-One Card Account No.: _____	
In addition to the Hong Kong Dollar Settlement Account specified in “Application and Mandate for Accounts/Services”, I/we intend to register and designate the following deposit account(s) maintained with CMB Wing Lung Bank Limited (“the Bank”) as the Settlement Account(s), for making payment for and receiving proceeds arising from trading, settlement and custodian of securities:	
<input type="checkbox"/> Combination Savings Account No.: _____	<input type="checkbox"/> RMB Savings Account No.: _____

*Note: Please register and designate RMB savings account as settlement account if you trade mainland stocks.*

### Additional Risk Disclosure Statements for Global Securities Trading

**● Risk of Trading of Non-HKEx Listed Securities**

Customer should only undertake global securities trading if you understand the nature of global securities trading and the extent of your exposure to risks. In particular, global securities trading is not regulated by the SEHK and will not be covered by the Investor Compensation Fund. Customer should carefully consider whether such trading is appropriate for you in light of your experience, risk profile and other relevant circumstances and seek independent professional advice if you are in doubt.

**● Risk of Customer Assets Received or Held Outside Hong Kong**

Customer assets received or held by us outside Hong Kong are subject to the applicable laws and regulations of the relevant global jurisdiction which may be different from Hong Kong’s Securities and Futures Ordinance (Cap.571) and the rules made thereunder. Consequently, such customer assets may not enjoy the same protection as that conferred on customer assets received or held in Hong Kong. In the event of default committed by an exchange participant or our dealing partnership resulting in the customers suffering pecuniary loss, the liability of the Investor Compensation Fund will be restricted to valid claims as provided for in the Hong Kong’s Securities and Futures Ordinance.

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I/We, the undersigned, hereby request CMB Wing Lung Bank Limited (“the Bank”) to provide the service of global securities trading to me/us in accordance with the terms and conditions set forth in the Bank’s General Conditions for Accounts and Services (the “Conditions”). Unless otherwise defined, terms used in this form shall bear the same meaning as defined in the Conditions. I/We further acknowledge and agree that:

1. the Bank provide my/our necessary personal/corporate and trading related information to third parties appointed by the Bank for reporting as required under the regulatory laws and taxation requirements imposed on securities trading/ settlement/ custody related activities that conducted in securities market of different countries. I/We agree to comply with the reporting requirements of different countries and the Bank’s appointed third parties, and undertake to update the Bank immediately on any change of my/our information;
2. the service of global securities trading will be subject to the Bank’s “General Conditions for Accounts and Services” (amended by the Bank from time to time) and any other terms and conditions imposed on the service of global securities trading provided by the Bank to me/us from time to time. I/We also acknowledge our understanding and acceptance of all related risks in conducting global securities transactions;
3. trading in global markets will be subject to the rules and regulations of local exchanges and applicable local laws where the level and type of protection in relation to those tradings may be markedly different from that afforded by the rules and regulations of SEHK and applicable laws of Hong Kong. I/We further acknowledge and recognize that tradings executed on exchanges other than the SEHK will not be subject to a right to claim under the Investor Compensation Fund established under the “Securities and Futures Ordinance” where I/we suffer a pecuniary loss;

4. I/we am/are liable on a full indemnity basis for all applicable taxes, levies, imposed by any Government, relevant Clearing System, or Market and all applicable stamp duties. All such taxes (including but not limited to withholding taxes), levies and duties may be deducted by the Bank from my/our settlement account maintained with the Bank. I/We should seek professional tax advice where appropriate;
5. I/we should consult my/our own advisors about the application of FATCA for my/our trading in US stock under the FATCA rules;
6. the automated global securities trading facilities/systems for order-routing, execution and settlement of trades which are connected to the Bank's NET Banking website in support of the Bank's automated "Global Securities Trading" services are provided by an independent service provider which is not the Bank's agent for any purpose. The Bank have used reasonable efforts to appoint a reputable service provider, but will not assume any responsibility for any act or omission of the service provider;
7. the Bank may terminate my/our access to the automated global securities trading facilities/systems through the Bank's NET Banking website and shall not be responsible for any losses or damages incurred or suffered as a result thereof;
8. I/we accept the existence of risks unique to electronic trading of global securities. Except to the extent directly caused by the Bank's wilful misconduct or negligence, neither the Bank or the independent service provider shall have any liability with respect or referable to such risks;
9. communications over the internet and telecommunication networks through the automated global securities trading facilities/systems may be subject to transmission blackout, interruption, interception, or incorrect data transmission due to the public and unreliable nature of the internet or other reasons that are beyond the Bank, other licensed or registered person's control. Messages sent over the internet or telecommunication networks to the automated global securities trading facilities/systems cannot be guaranteed to be completely secure. I/We shall be aware of and bear the risk of any delay, loss, diversion, alteration, corruption or virus infection of any messages/instructions either sent to or received from and through the Bank's NET Banking. Neither the Bank or the independent service provider shall be responsible for any losses or damages incurred or suffered as a result thereof except to the extent directly caused by the Bank's wilful misconduct or negligence;
10. in my/our trading of securities in a selected market, I/we will also be subject to the laws and regulations, market requirements, operating procedures and the terms and conditions applicable to the selected market, if any, and I/we agree to be bound by the same;
11. the terms and conditions set out in the Conditions, in particular, the section of "NET Banking Service" apply to all transactions passed through to the automated global securities trading facilities/systems via the Bank's NET Banking website in addition to, and supplemental to, the terms and conditions set out herein. Accordingly, the terms and conditions in the Conditions legally binding and take effect when I/we signify my/our acceptance by accessing the automated global securities trading facilities/systems and placing an order via the Bank's NET Banking website;
12. I/we acknowledge I/we have read and understand the content of the "Personal Information Collection Statement – Northbound China Connect Trading Services" and understand this collection statement is the supplement to "CMB Wing Lung Bank Limited Notice to Customers relating to the Personal Data (Privacy) Ordinance" of the Bank. I/We hereby signify my/our consent for the Bank and third parties appointed by the Bank to use my/our personal data on the terms of and for the purposes set out in the "Personal Information Collection Statement – Northbound China Connect Trading Services"
13. the English version of the terms and conditions set out herein prevails over the Chinese version.

Dated the ..... day of .....

*(For Individual Customer)*

SIGNED, SEALED AND DELIVERED by

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*(For Corporate Customer)*

SIGNED by

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Name of Customer \*

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Name of Authorized Person/Representative\*\*

\* For Joint Account, it must be signed by all account holders

\*\* Authorized Person(s)/Representative(s) signing this form must be the Authorized Person(s)/ Representative(s) under the "Application and Mandate for Accounts/Services" (or any amendment thereto).

**For Bank Use Only**

Br/Dept:		Maker:	s.v.:	Checker:
OPC-ITS Input:	OPC Checker:	OPC-Phillip Handling:	OPC Checker:	Remark: