



客戶聲明書 - 申請環球股票交易使用權限
(English version on reverse side)

致：輝立証券(香港)有限公司

請填妥此申請表格並電郵至客戶服務部 cs@phillip.com.hk。如有任何查詢，請致電客戶服務熱線 (852)2277-6555。

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，作為申請以下股票市場的交易服務，明白這些聲明不構成申請成功。輝立証券(香港)有限公司（“輝立証券”）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。	<input type="checkbox"/>
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。	<input type="checkbox"/>
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。	<input type="checkbox"/>
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。	<input type="checkbox"/>
日本	請為本人/吾等開啓日本股票交易服務。本人/吾等確認本人/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)	<input type="checkbox"/>
韓國	請為我/吾等開啓韓國股票交易服務，我/吾等沒有持有韓國國籍、公民或稅務居民資格亦非於韓國成立之法人。	<input type="checkbox"/>

- 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，向輝立証券更新帳戶資料。
 - 2 如客戶的國籍、公民或稅務居民資格改為以上地方，輝立証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。
 - 4 查詢服務狀態，POEMS 外國股票交易平台的“設定其他市場”或致電外國股票交易熱線 +852 2277 6678 / 電郵 foreignstock@phillip.com.hk。

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 [開戶表核對員]		簽署日期	
核對客戶簽署 [交收部]		系統更新/服務生效日期	



Client Declaration - Application for Foreign Stock Trading Access Right

(中文版本在後頁)

Please complete the application form and email to Customer Service Department cs@phillip.com.hk. For enquiry, please contact our hotline at (852) 2277 6555. 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. Phillip Securities (Hong Kong) Limited ("PSHK") 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.	<input type="checkbox"/>
Canada	Please activate the Canada Stock Trading Service for me/us. I/We do not hold <u>Canada</u> nationality / citizenship / tax residency status.	<input type="checkbox"/>
Finland	Please activate the Finland Stock Trading Service for me/us. I/We do not hold <u>Finnish</u> nationality / citizenship / tax residency status.	<input type="checkbox"/>
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.	<input type="checkbox"/>
Japan	Please activate the Japan Stock Trading Service for me/us. I/We confirm that I/we are <u>not an Officer</u> (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.	<input type="checkbox"/>
Korea	Please activate the Korea Stock Trading Service for me/us. I/We do not hold <u>Korean</u> nationality / citizenship / tax residency status and we are not established as a legal entity in Korea.	<input type="checkbox"/>

- Notes: 1 Client has to update account particular within 30 days after any change in nationality / citizenship / tax residency status/ address/ Officer status.
- 2 PSHK 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.
- 4 To check service status, by visiting "Markets Setting" tab of POEMS Foreign Stock trading platform or calling Foreign Stock Trading Hotline at +852 2277 6678 or email : foreignstock@phillip.com.hk

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 [Designated Officers]		Date of Signature:	
Signature verified by [Settlement]		System Input/ Effective Date:	