

買賣日本證券申請及客戶聲明書
Application and Client Declaration
for Japan Stock Trading

致：國元證券經紀(香港)有限公司

To: Guoyuan Securities Brokerage (Hong Kong) Limited

帳戶姓名：_____

帳戶號碼：_____

Account Name: _____

Account No.: _____

本人/吾等欲申請開通日本股票市場的交易服務。本人/吾等並確認本人/吾等並非於日本上市公司擔任 Officer 有關職位(就Officer 的定義，請參閱日本證券業協會發出的 Rules Concerning Solicitation for Investments and Management of Customers, etc. by Association Members 第 15 段)

I/We hereby apply for activating the trading service for Japanese stock markets and declare that I am/we are not an Officer (as defined under Article 15 of the Rules Concerning Solicitation for Investments and Management of Customers, etc. by Association Members issued by Japan Securities Dealers Association) of any company listed on the Japan Exchange.

本人/吾等確認上述聲明不確保或構成該申請的成功。國元證券經紀(香港)有限公司("國元證券")將根據戶口資料和相關法規作出最終和不可抗辯的決定及可不時更改服務狀態而不予通知，和不會承擔任何形式的責任或賠償。

I/We confirm the above declaration does not guarantee or constitute the success of such application. Guoyuan Securities Brokerage (Hong Kong) Limited ("Guoyuan") will make a final and uncontestable decision and may from time to time amend 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.

備註 Notes :

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，請在改變發生後30日內，向國元證券更新帳戶資料。Client has to update account particulars within 30 days after any change in nationality / citizenship / tax residency status/ address / Officer status.
2. 如客戶作出誤導性、虛假或不正確的陳述，以致觸犯日本相關當地條例，客戶有可能承擔相關的法律責任。Client may bear the relevant legal responsibility if the relevant client makes or provides misleading, false or incorrect representation and information which violates the local laws and regulations in Japan.

客戶聲明及簽署 (公司客戶請加蓋公司蓋章)

Client Declaration and Signature (Company with Chop)

 S.V._____
客戶姓名 Name of Client:

日期 Date :