

## 美國股票買賣服務申請書

## US Stock Trading Services Application Form

^ 此欄為必需填寫資料，其他則為非必須填寫。Personal information in the field with ^ is mandatory to be provided. Otherwise, it is optional for customer(s) to provide the information.

# 請將不適用者刪去 Please delete whichever is inapplicable.

## 1. 客戶資料 Customer Information

本人欲申請大新銀行有限公司 ( "銀行" ) 提供的美國股票買賣服務，並同意接受銀行之"綜合章則及條款" / "「VIP 銀行服務」綜合章則及條款"及"個人銀行服務協議 ( 股票買賣服務 )" ( 以及其各自不時的修訂 ) 的約束。

I wish to apply for the US Stock Trading Services provided by Dah Sing Bank, Limited ("Bank") and agree to be bound by the "Master Terms and Conditions" / "Master Terms and Conditions for VIP Banking Services" and the "Personal Banking Services Agreement (Stock Trading Services)" of the Bank, each as may be amended from time to time.

英文姓名 ( 姓氏先行 ) ^ English Name (Surname first) ^	# 先生 / 太太 / 小姐 # Mr. / Mrs. / Miss
中文姓名 Chinese Name ^	
證件類別及號碼^ Identity Document Type & No. ^	<input type="checkbox"/> 身份証 ID Card / <input type="checkbox"/> 護照 Passport / <input type="checkbox"/> 其他(請註明) Other (please specify) _____  證件號碼 Identity Document No: _____  簽發國家 Country of Issue: _____
聯絡電話 Contact Telephone No. ^	

注意：

閣下以相同證件類別及號碼於銀行開立之股票戶口均會開通美國股票買賣服務，唯股票結算賬戶必須是以申請人之名義於銀行開立之綜合貨幣戶口。就聯名股票戶口而言，所有聯名戶口持有人必須申請美國股票買賣服務並各自填妥及向銀行提交本申請書，方可為聯名股票戶口開通美國股票買賣服務。經銀行指定之電子途徑使用美國股票買賣服務之前，閣下需備有有效之電郵地址、啟用證券戶口的網上月結單及網上通知書\*、以及啟用銀行之美股證券交易 App。

已設立之股票交易狀況電子通知將會同時應用於所有股票市場(包括但不限於美國股票買賣服務)。

Note:

The US Stock Trading Services will be activated for all of your securities accounts opened at the Bank under the same identity document type and no., provided that the Securities Settlement Account must be a Multicurrency Account opened at the Bank under the name of the applicant.

For joint securities account, all joint account holders must apply for the US Stock Trading Services and each of them must fill in and submit this Application Form to the Bank before the US Stock Trading Services can be activated for the joint securities account.

You should maintain a valid e-mail address, activate e-statement & e-advice for securities account\* and activate the Bank's US Securities Trading App before using US Stock Trading Services via the Bank's dedicated electronic channel.

Your existing Stock Order Status e-Alert Service will also be applied to all stock markets (including but not limited to the US Stock Trading Services).

\* 啟用電郵通知及停止收取證券戶口紙張月結單及紙張通知書 activate email notification and suppress paper statement & paper advice for securities account

## 2. 聲明及協議 Declaration and Agreement

本人承認、聲明及確認：

I hereby acknowledge, declare and confirm that:

本人聲明及保證本人是所有投資交易之主事及最初負責為發出指示負責之人士，亦是獲取及承擔投資交易之商業及經濟利益及風險之人士。本人承諾若本人並非與投資交易有關之該位人士，除非本人已向大新銀行有限公司 ( "銀行" ) 提供有關人士之全名、地址及聯絡資料，否則本人將不會要求銀行進行該投資交易。

I represent and warrant that in respect of investment transactions, unless the Bank has been notified otherwise by me in writing, I am acting as principal and am the person ultimately responsible for originating instructions in relation to all such investment transactions and am the person who stands to gain the commercial and economic benefit and/or bear the commercial and economic risks of such investment transactions. I undertake that if I am not such a person in relation to any investment transaction, I will not request the Bank to accept such an instruction unless I have provided the full name, address and contact details of the relevant persons to the Bank.

本人已收到及閱讀一份風險披露聲明 ( 載於"個人銀行服務協議 ( 美國股票買賣服務 )" )，並明白及同意其所載內容。本人確認已按本人所選擇的語言 ( 英

文或中文) 獲提供一份風險披露聲明及獲邀請閱讀該風險聲明、提出問題及徵求獨立的意見(如本人有此意願)。

I have received and read a copy of the Risk Disclosure Statements and understand and agree with its contents. I confirm that a copy of the Risk Disclosure Statements (as contained in the "Personal Banking Services Agreement (US Stock Trading Services)") was provided to me in a language of my own choice (English or Chinese) and I was invited to read the Risk Disclosure Statements, to ask questions and take independent advice if I wish.

本人特此確認, 本人並無定居或居住於對購買或持有任何海外證券設有任何限制的國家, 且本人並未被禁止購買或交易任何海外證券, 或作為代理人代表被禁止購買或交易任何海外證券的人士行事。如本人(在作為聯名賬戶持有人的情況下, 吾等任何一人)受到任何限制(不論因居籍、居住地或其他情況發生變動), 本人須立即通知銀行。

I hereby confirm that I am not domiciled or resident in a country where there is any restriction on the purchase or holding of any overseas securities, and that I am not subject to, and am not acting on behalf of any person who is subject to, any prohibition against the purchase or dealing in any overseas securities. If I (in case of joint account holders, any one of us) become subject to any restrictions (whether by reason of a change of domicile, residence or otherwise), I shall inform the Bank immediately.

本人確認已收妥、閱讀、明白及同意遵從銀行可能會不時修改的 (a) "海外證券服務附錄" (載於"個人銀行服務協議(美國股票買賣服務)") 及 (b) "海外證券服務 - 美國股票收費表"。

I hereby confirm that I have received, read, understood and agree to be bounded by (a) the "Addendum for Overseas Securities Services" (as contained in the "Personal Banking Services Agreement (US Stock Trading Services)") and (b) the "Overseas Securities Services – US Stocks Fee and Charges" (both as may be amended from time to time by the Bank).

本人已知悉及同意 (a) 並非所有美國股票及 / 或產品均可透過銀行進行交易, 而在不損害銀行一般有關拒絕接受指示的情況下, 銀行可就美國股票及/或產品而言, 全權自行決定接受或拒絕任何指示或在接受指示時附加任何條款; 及 (b) 可透過銀行進行交易之美國股票及/或產品之資料可由銀行不時作出修改。

I acknowledge and agree that (a) not all US stocks and/or products are available for trade through the Bank and without prejudice to the generality of the Bank's right in refusing to accept an instruction, the Bank has the right to accept or refuse any instruction or to prescribe any condition for accepting an instruction in respect of a US stock or product at its sole discretion; and (b) the information as to which US stocks and / or products are available for trade may be amended by the Bank from time to time.

本人特此確認本人並非: (a) 《1986年美國國內收入法》(經修訂)第7701(a)(30)條及其相關規定或《美國證券法》S規例第902(k)條規則所界定的美國人士, 或 (b) 《1986年美國國內收入法》(經修訂)第1471(d)(3)及第1473(2)條及其相關規定所界定的美國擁有的外國實體。本人亦確認本人並非作為代理人代表任何美國人士或任何美國擁有的外國實體行事。如本人(在作為聯名戶口持有人的情況下, 吾等任何一人)未來成為美國人士或美國擁有的外國實體, 本人承諾將立即通知銀行。

I hereby confirm that I am not: (a) a U.S. Person within the meaning of Section 7701(a)(30) and the regulations thereunder of the United States Internal Revenue Code of 1986 (as amended) or Rule 902(k) of Regulation S of the United States Securities Law, or (b) a U.S. owned foreign entity, as defined in Sections 1471(d)(3) and 1473(2) and the regulations thereunder of the United States Internal Revenue Code of 1986 (as amended). I also confirm that I am not acting as agent on behalf of any U.S. Person or any U.S. owned foreign entity. I undertake to immediately notify the Bank should I (in case of joint account holders, any one of us) become or am deemed to be a U.S. Person or a U.S. owned foreign entity at any future time.

本人確認並同意銀行會保留有關權利, 如本人之結算賬戶內沒有足夠款項支付相關費用, 可從本人其他戶口內扣除。

I acknowledge and agree that the Bank reserves its right to deduct related charges from any of my account(s) if my settlement account does not have enough money to pay for relevant charges.

本人確認已收到、閱讀及明白銀行的“美國股票買賣服務資料摘要”, 並同意有關內容和受有關條款及細則(如有)(以及其不時之修訂)約束。

I have received, read and understood the Bank's "US Stock Trading Services Factsheet", and agree to the contents and to be bound by the terms and conditions (if any) thereof (as may be amended from time to time).

本人亦確認已收到、閱讀及明白“個人銀行服務協議(美國股票買賣服務)”, 當中包括以下文件(除以上已提及之“風險披露聲明”及“海外證券服務附錄”外):

"美國股票買賣之買入 / 沽出指示條款及細則";

"登記流動通訊裝置之章則及條款"; 及

"大新手機應用程式用戶協議"。

並同意有關內容和受有關條款及細則(以及其各自不時之修改)約束。

I have also received, read and understood the "Personal Banking Services Agreement (US Stock Trading Services)", which contains the following documents (besides the Risk Disclosure Statements and the "Addendum for Overseas Securities Services" already mentioned above):

"Terms and Conditions for Buy/Sell Orders for US Stock Trading";

"Terms and Conditions for Registration of Mobile Device"; and

"Dah Sing Bank Mobile Securities Trading User Agreement",

and agree to the relevant contents and to be bound by the relevant terms and conditions (each as may be amended from time to time).

本人謹此同意儘管“海外證券服務 - 美國股票收費表”、“美國股票買賣服務資料摘要”及 / 或“個人銀行服務協議(美國股票買賣服務)”中有任何相反的規定, 銀行可按其獨有及絕對酌情權, 給予本人事先通知隨時及不時修正或修改任何或所有“海外證券服務 - 美國股票收費表”、“美國股票買賣服務資料摘要”及 / 或“個人銀行服務協議(美國股票買賣服務)”內之任何協議、披露、聲明、內容及/或條款。本人謹此同意其在該(等)修訂的相關生效日期後使用銀行的美國股票買賣服務, 即構成本人接納該(等)修訂。

I hereby agree that, notwithstanding anything contained in the "Overseas Securities Services – US Stocks Fee and Charges", "US Stock Trading Services Factsheet" and/or "Personal Banking Services Agreement (US Stock Trading Services)" to the contrary, any agreements, disclosures, declarations, contents and/or terms contained in the "Overseas Securities Services – US Stocks Fee and Charges", "US Stock Trading Services Factsheet" and/or "Personal Banking Services Agreement (US Stock Trading Services)" may be amended or modified by the Bank at its sole and absolute discretion at any time and from time to time by giving me prior notice. I hereby agree that my use of the Bank's US Stock Trading Services after the relevant effective date(s) of such amendment(s) shall constitute my acceptance of such amendment(s).

本人明白並同意銀行之交易商或會於下列情況下在相關到期日 / 時間前取消有效期多於一個美股交易日的買入 / 沽出指示: (1) 該買入 / 沽出指示的相關

股份的企業行動導致股票合併 / 分拆、股票交換或股票分配；(2)有關公司發行股息，而股息金額超出前一天收盤價格的 3%，或不論股息金額大小，股息是額外股息或特別股息及 / 或(3) 銀行之交易商認為適用的任何其他情況。

I understand and agree that the Buy/Sell Order(s) that is/are valid for more than one U.S trading day may be cancelled before the relevant expiry date/time by the broker of the Bank if (1) a corporate action on the relevant stock(s) of such Buy/Sell Order(s) results in stock consolidation/split, exchange for shares, or distribution of shares; (2) the relevant company issues a dividend where the dividend payment amount exceeds 3% of the prior day's closing price, or the dividend is an extra/special dividend, regardless of the dividend payment amount and/or (3) any other situations where the broker of the Bank deems applicable.

本人明白並同意，如股份進行合併或某些未能預計的情況出現，銀行可能（但並無義務）以其絕對酌情權於美股常規交易時段前取消所有未被執行的沽出指示，而銀行概不保證或擔保該取消必定會被執行或成功完成。本人亦同意，倘若前述之取消未被執行或成功完成，銀行不須就沽空本人相關沽出指示下的任何股票承擔任何責任。

I understand and agree that if there is any share consolidation conducted or any unexpected situation occurred, the Bank may (but is not obliged to), at its absolute discretion, cancel any unexecuted Sell Order before the regular trading hours, and the Bank makes no warranty or guarantee that such cancellation must be proceeded or completed successfully. I further agree that, if the said cancellation is not proceeded or completed successfully, the Bank shall not be liable for overselling any of the stock(s) under my relevant Sell Order.

本人明白並同意銀行只提供指定之電子途徑買賣美股，銀行僅接受以其指定之電子途徑向銀行發出的投資指示（包括但不限於證券交易指示）。

I understand and agree that only the dedicated electronic channel is provided by the Bank for conducting the US stock trading, and the Bank will only accept investment instructions (including but not limited to those in relation to securities transactions) given to the Bank through the Bank's dedicated electronic channel.

本人確認並同意銀行可全權自行決定是否接受此申請。

I acknowledge and agree that this application is subject to the Bank's approval at its sole discretion.

本人同意銀行有權隨時給本人事先通知更改或修訂以上任何的聲明及協議。

I agree that the Bank may revise, amend or modify any of the above declarations and agreements from time to time at its sole discretion by giving me prior notice.

本人同意如本申請書的中英文版本有任何歧義，概以英文版本為準。

I agree that in case of any conflict or inconsistency between the English and Chinese versions of this Application Form, the English version shall prevail.

### 3. 職員聲明 Staff Declaration

本人，\_\_\_\_\_，已按客戶所選擇的語言（英文或中文）提供風險披露聲明予客戶，並已邀請客戶閱讀該風險披露聲明、提出問題及徵求獨立的意見（如客戶有此意願）。

I have provided the customer with the risk disclosure statement in the language of his own choice (English or Chinese). I have also invited the customer to read the risk disclosure statement, ask questions and take independent advice if the customer wishes.

職員簽署

Signature of the Staff

金管局記錄冊號碼

HKMA Registration No.

職員編號

Staff Number

日期

Date

### 4. 客戶確認 Acknowledgement by Customer

本人知悉，聲明及確認上述提供之資料全屬真實、完備及正確。本人承諾有關資料如有任何變更時，將立即以書面通知銀行。

I hereby acknowledge, declare and confirm that the information provided above is true, complete and correct. I further undertake to notify the Bank promptly in writing whenever there is any change to any of such information.

S.V.

客戶簽署 Signature of Customer

戶口持有人 Account Holder

日期 Date

### 銀行專用 For Bank Use Only

Branch Code	Agent Code	Approved by	CSS Input Time	CSS Input By	Authorized by
<input type="checkbox"/> Completed W-8-BEN form checking		<input type="checkbox"/> Completed CSS input checking		<input type="checkbox"/> Complete FATCA (US indicia) & CRS due diligence checking with update record in system (If necessary)	
<input type="checkbox"/> Completed valid e-mail address checking		<input type="checkbox"/> Suppressed paper statement & paper advice for securities account			