



**Overseas Stock Trading Application Form**  
**海外股票交易申請表**

客戶名稱 Client Name:	賬戶號碼 Account No:

本人/吾等欲申請開立海外股票交易服務。  
 I/We would like to apply for the Overseas Stock Trading Service.

<input type="checkbox"/> 美股 US Stocks	<input type="checkbox"/> 互聯網交易 Internet Trade
**必須連到 W-8BEN 表格提交。 It is necessary to provide W-8BEN FORM together	
<input type="checkbox"/> 滬港通及深港通 Shanghai Connect and Shenzhen Connect	<input type="checkbox"/> 互聯網交易 Internet Trade

**聲明 Disclaimer:**

- 本服務暫不提供保證金按倉買賣。  
 Currently, our service does not provide margin financing.
- 海外股票意為香港以外之股票。  
 Overseas Stock means all stocks outside Hong Kong stock.
- 深交所創業板指數僅供機構專業投資者買賣。  
 Shenzhen - Hong Kong Connect is only applied to institutional professional investors.
- 本服務只適用於非美國公民/居民及非加拿大居民。  
 Our service is applicable to Non-US Citizen/Resident and Non-Canada Resident only.
- 本服務亦包括外幣兌換，會以當時的價格進行兌換。客戶須留意兌換存在差價。且匯率只作參考用途，並會不時更新。  
 Our service also includes currency conversion, under nominal rate at the time of conversion. Clients should be aware of the spread of currency conversion, and FX rate is for reference only and will be updated from time to time.

本人/我們已閱讀及明白附帶的海外股票交易風險披露聲明。  
 I/We have read and understood the attached Overseas Stock Risk Disclosure Statements.

客戶簽署 Client Signature :          X	日期 Date: _____
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For Internal Usage	
Approver Signature	Date:
Approver Name	Date:
Data Entry Person	Date:
Checker	Date:

## **海外股票交易風險披露聲明 OVERSEAS STOCK RISK DISCLOSURE STATEMENTS**

買賣外國證券包括中國B股及包括在滬港通深港通計劃內的中國A股票的風險

你必須先瞭解外國證券買賣的性質以及將面臨的風險，然後方可進行外國證券的買賣。特別是，儘管昊天國際證券有限公司（“昊天國際證券”）是香港交易所的交易所參與者，外國證券的買賣並不受香港交易所管轄，並且不會受到投資者賠償基金所保障。你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該等買賣及徵求獨立專業意見(如有疑問)。

Risk of Trading of foreign securities, including B Shares listed in the People's Republic of China and shares including A Shares listed in the People's Republic of China within Shanghai-Hong Kong Stock Connect (Northbound Trading Link) and Shenzhen- Hong Kong Stock Connect (Northbound Trading Link)

You should only undertake trading of foreign securities if you understand the nature of foreign securities trading and the extent of your exposure to risks. In particular, foreign securities trading is not regulated by the SEHK and will not be covered by the Investor Compensation Fund despite the fact that Hao Tian International Securities Limited ( “HTIS” ) is an exchange participant of the SEHK. You 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.

暫停或限制交易及價格關係

市場情況(例如市場流通量不足)及/或某些市場規則的施行(例如因價格限制或“停板”措施而暫停任何合約或合約月份的交易)，都可以增加虧損風險，這是因為投資者屆時將難以或無法執行交易或平掉/抵銷倉盤。

Suspension or restriction of trading and pricing relationships

Market conditions (e.g. illiquidity) and/or the operation of the rules of certain markets (e.g. the suspension of trading in any contract or contract month because of price limits or “circuit breakers” ) may increase the risk of loss by making it difficult or impossible to effect transactions or liquidate/offset positions.

存放的款項及財產

對於因應本地或外國的交易而存放的款項或其他財產會有多少保障，尤其是遇上有關公司破產或無力償還債務的時候，閣下必須瞭解清楚。能取回多少款項或財產可能要受特別的規例或當地法例所規管。在某些地區的法例，當閣下無力償還債務的時候，被認定屬於閣下的資產也會像現金一樣按比例分配支付。

Deposited cash and property

You should familiarize yourself with the protections given to money or other property you deposit for domestic and foreign transactions, particularly in the event of a firm insolvency or bankruptcy. The extent to which you may recover your money or property may be governed by specific legislation or local rules. In some jurisdictions, property which had been specifically identifiable as your own will be pro-rated in the same manner as cash for purposes of distribution in the event of a shortfall.

佣金及其他收費

在開始交易之前，你先要清楚瞭解你必須繳付的所有佣金、費用或其他收費。這些費用將直接影響你可獲得的淨利潤(如有)或增加你的虧損。

Commission and other charges

Before you begin to trade, you should obtain a clear explanation of all commission, fees and other charges for which you will be liable. These charges will affect your net profit (if any) or increase your loss.

在其他司法管轄區進行交易

在其他司法管轄區的市場(包括與本地市場有正式連系的市場)進行交易，或會涉及額外的風險。根據這些市場的規例，投資者享有的保障程度可能有所不同，甚或有所下降。在進行交易前，你應先行查明有關你將進行的該項交易的所有規則。你本身所在地的監管機構，將不能迫使你已執行的交易所在地的所屬司法管轄區的監管機構或市場執行有關的規則。有鑒於此，在進行交易之前，你應先向有關商號查詢你本身地區所屬的司法管轄區及其他司法管轄區可提供哪種補救措施及有關詳情。

Transactions in other jurisdictions

Transactions on markets in other jurisdictions, including markets formally linked to a domestic market, may expose you to additional risk. Such markets may be subject to regulation which may offer different or diminished investor protection. Before you trade you should enquire about any rules relevant to your particular transactions. Your local regulatory authority will be unable to compel the enforcement of the rules of regulatory authorities or markets in other jurisdictions where your transactions have been effected. You should ask the firm with which you deal for details about the types of redress available in both your home jurisdiction and other relevant jurisdictions before you start to trade.

貨幣風險

以外幣計算的合約買賣所帶來的利潤或招致的虧損(不論交易是否在你本身所在的司法管轄區或其他地區進行)，均會在需要將合約的單位貨幣兌換成另一種貨幣時受到匯率波動的影響。

Currency risks

The profit or loss in transactions in foreign currency-denominated contracts (whether they are traded in your own or another jurisdiction) will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.

交易設施

電子交易的設施是以電腦組成系統來進行交易指示傳遞、執行、配對、登記或交易結算。然而，所有設施及系統均有可能會暫時中斷或失靈，而你就此所能獲得的賠償或會受制於系統供應商、市場、結算公司及/或參與者商號就其所承擔的責任所施加的限制。由於這些責任限制可以各有不同，你應向為你進行交易的商號查詢這方面的詳情。

Trading facilities

Electronic trading facilities are supported by computer-based component systems for the order-routing, execution, matching, registration or clearing of trades. As with all facilities and systems, they are vulnerable to temporary disruption or failure. Your ability to recover certain losses may be subject to limits on liability imposed by the system provider, the market, the clearing house and/or participant firms. Such limits may vary: you should ask the firm with which you deal for details in this respect.

電子交易

透過某個電子交易系統進行買賣，可能會與透過其他電子交易系統進行買賣有所不同。如果你透過某個電子交易系統進行買賣，便須承受該系統帶來的風險，包括有關系統硬體或軟體可能會失靈的風險。系統失靈可能會導致你的交易指示不能根據指示執行，甚或完全不獲執行。

Electronic trading

Trading on an electronic trading system may differ from trading on other electronic trading systems. If you undertake transactions on an electronic trading system, you will be exposed to risks associated with the system including the failure of hardware and software. The result of any system failure may be that your order is either not executed according to your instructions or is not executed at all.

## 場外交易

在某些司法管轄區，及只有在特定情況之下，有關商號獲准進行場外交易。為你進行交易的商號可能是你所進行的買賣的交易對手方。在這種情況下，有可能難以或根本無法平掉既有倉盤、評估價值、釐定公平價格又或評估風險。因此，這些交易或會涉及更大的風險。此外，場外交易的監管或會比較寬鬆，又或需遵照不同的監管制度；因此，你在進行該等交易前，應先瞭解適用的規則和有關的風險。

### Off-exchange transactions

In some jurisdictions, and only then in restricted circumstances, firms are permitted to effect off-exchange transactions. The firm with which you deal may be acting as your counterparty to the transaction. It may be difficult or impossible to liquidate an existing position, to assess the value, to determine a fair price or to assess the exposure to risk. For these reasons, these transactions may involve increased risks. Off-exchange transactions may be less regulated or subject to a separate regulatory regime. Before you undertake such transactions, you should familiarize yourself with applicable rules and attendant risks.

## 投資美國交易所上市或場外交易證券或美國衍生工具的風險

閣下在投資任何受美國法律規管市場的證券或證券相類的工具前，應先瞭解適用於該等交易的美國規例。美國法律通常適用於美國市場交易，無論客戶所屬的國家法律是否亦同時適用。有眾多（但此非指全部）股票、債券及期權均在美國證券交易所掛牌及交易。納斯達克以往是交易商之間的場外交易市場，現亦已成為一家美國交易所。就在交易所上市的股票、債券及期權而言，每家交易所會發有補充美國證券交易委員會規例的規例，以保障在該交易所進行買賣證券的個人及機構。交易商可以繼續利用交易所掛牌或非交易所掛牌的工具進行場外交易。就未有在交易所掛牌的證券，其交易可以透過在場外電子交易板或載有代理（非真正的）交易商報價之交易商之間的粉紅價單進行。這些交易設施是在納斯達克以外設置。證券期權受美國證券交易委員會及該期權掛牌的證券交易所之規例管轄。期貨合約或商品例如小麥或黃金的期權受美國商品期貨交易委員會之規例管轄。商業期權例如房地產期權則不受美國證券交易委員會或美國商品期貨交易委員會之規則限制。無論閣下意欲投資在美國交易所掛牌的證券、場外交易證券或衍生工具（如期權或期貨），客戶應瞭解監管擬進行交易之市場的有關規例。投資於沒有須在交易所掛牌要求的衍生工具會傾向使風險增加及衍生工具市場的性質傾向使風險進一步增加。場外電子交易板的莊家不能使用電子媒介與其他交易商溝通以執行交易。他們必須以手動方式與市場溝通，即使用標準電話線與其他交易商溝通以執行交易，此舉可能會引致延遲與市場溝通。若在同時交易量增加，可引致場外電子交易板的證券價格波幅擴大及遲誤延長執行時間。客戶在市場落盤時應加倍審慎，並完全瞭解有關外電子交易板交易的風險。市場資料如報價，交易量及市場大小可能未必與納斯達克或掛牌證券預期般一樣保持現況更新。因參與場外證券市場的莊家數目可能較少，該證券的流通量可能大幅較在市場掛牌證券的流通量低。因此，閣下的指示可能只獲部分執行，甚至全部不獲執行。此外，市場落盤所收到的價格可能與輸入買賣盤時的報價有明顯的不同。當某一證券的股份交易減少，可引致賣出／買入價的差距增加及造成價格波動。在某些情況下，未必能在合理時間內為場外證券平倉。場外交易證券的發行商並無責任向投資者提供資訊，與證券交易委員會維持登記或向投資者提供定期報告。

### Risk relating to Trading in US Exchange-listed or Over-the-counter (OTC) Securities or Derivatives

You should understand the US rules applicable to trades in security or security-like instrument in markets governed by US law before undertaking any such trading. US law could apply to trading in US markets irrespective of the law applicable in your home jurisdiction. Many (but by no means all) stocks, bonds and options are listed and traded on US stock exchanges. NASDAQ, which used to be an OTC market among dealers, has now also become a US exchange. For exchange-listed stocks, bonds and options, each exchange promulgates rules that supplement the rules of the US Securities & Exchange Commission (“SEC”) for the protection of individuals and institutions trading in the securities listed on the exchange. OTC trading among dealers can continue in exchange-listed instruments and in instruments that are not exchange-listed at all. For securities that are not listed on any exchange, trading can continue through the OTC bulletin board or through the inter-dealer “pink sheets” that carry representative (not actual) dealer quotes. These facilities are outside of NASDAQ. Options on securities are subject to SEC rules and the rules of any securities exchange on which the options are listed. Options on futures contracts on commodities like wheat or gold are governed by rules of the US Commodity Futures Trading Commission (“CFTC”). There are also commercial options, like options on real estate, that are governed neither by SEC nor CFTC rules. Whether you are intending to trade in US exchange-listed securities, OTC securities or derivatives, you should understand the particular rules that govern the market in which you are intending trade. An investment in any of these instruments tends to increase the risk and the nature of markets in derivatives tends to increase the risk even further.

Market makers of OTC bulletin board are unable to use electronic means to interact with other dealers to execute trades. They must manually interact with the market, i.e. use standard phone lines to communicate with other dealers to execute trades. This may cause delays in the time it takes to interact with the market place. This, if coupled with increase in trade volume, may lead to wide price fluctuation in OTC bulletin board securities as well as lengthy delays in execution time. You should exercise extreme caution when placing market orders and fully understand the risks associated with trading in OTC bulletin board. Market data such as quotes, volume and market size may or may not be as up-to-date as expected with NASDAQ or listed securities. As there may be far fewer market makers participating in OTC securities markets, the liquidity in that security may be significantly less than those in listed markets. As such, you may receive a partial execution or the order may not be executed at all. Additionally, the price received on a market order may be significantly different from the price quoted at the time of order entry. When fewer shares of a given security are being traded, larger spreads between bid and ask prices and volatile swings in price may result. In some cases, the liquidation of a position in an OTC security may not be possible within a reasonable period of time. Issuers of OTC securities have no duty to provide any information to investors, maintain registration with the SEC or provide regular reports to investors.

## 違責風險及交易對手風險

所有產品都具有違責風險及/或交易對手風險。違責風險是指發行商未能根據協定繳付。如遇上經濟不景，發行商未必能成功借貸繼續經營或償還舊債。信貸評級是評估結構性產品違約風險最常用的工具。信貸評級代表信貸評級機構於某一特定時間內的意見，而信貸評級往往會因應發行商的財政狀況或市場情況的改變而作出調整。交易對手風險指交易方無力履行其財務合約責任。雖然信貸評級的評級有一定的可靠性，投資者除了要參考發行商的信貸評級外，更要仔細留意產品的結構本身是否涉及衍生工具，以免招致損失。

### Default Risks & Counterparty Risks

Every investment products contains default risks and/or counterparty risks. Default risk could come from the Issuer’s failure to make payments as agreed. At time of market downturn, an issuer may default due to their inability to raise new debt to roll over or repay old one. Credit ratings are the most common tools used for assessing bond default risk. A rating represents the opinion of the rating agency at a particular point of time and may change over time, due to either changes in the financial status of the issuers or changes in market conditions. Counterparty risk refers to the failure of the trading party in fulfilling their financial contractual obligations. While ratings by credit agencies represented quality assurances, investors should not only reference to the credit ratings of the product issuers, but also seek full understanding of the product structure and its exposure to the financial derivatives in order to avoid financial loss.

## 減低風險交易指示

即使你採用某些旨在預設虧損限額的交易指示(如“止蝕”或“止蝕限價”指示)，也可能作用不大，因為市況可以令這些交易指示無法執行。

### Risk-reducing orders

The placing of certain orders (e.g. “stop-loss” orders, or “stop-limit” orders) which are intended to limit losses to certain amounts may not be effective because market conditions may make it impossible to execute such orders.

# 中華通北向交易委託（投資者識別碼模式）及個人資料收集聲明 客戶同意書

## 處理個人資料是中華通北向交易的一部分

客戶知悉及同意昊天國際證券有限公司（統稱“昊天”）在通過中華通北向交易服務過程中，昊天將被要求進行以下工作：

- (i) 對提交到中華通交易系統的每一個客戶委託，增加一個獨有的券商客戶編碼（以下簡稱“BCAN”）；及
- (ii) 向香港交易所提供已經編配給客戶的 BCAN 及相關客戶識別信息（以下稱“客戶識別信息”或“CID”），交易所可根據交易所規則而不時提出要求。

在處理與客戶賬戶相關的個人數據以及向客戶提供服務時，在不限制昊天已經向客戶作出的通知和已經取得的客戶的同意情況下，作為中華通北向交易服務的一部分，客戶知悉並同意昊天可能會收集、存儲、使用、披露並傳送客戶的個人數據，包括以下內容：

- (a) 不時向聯交所及其子公司披露及傳送客戶的 BCAN 及 CID，包括向中華通交易系統輸入委託指令時標明客戶的 BCAN，並將進一步實時傳遞至相關中華通市場；
- (b) 允許聯交所及其相關子公司：(i) 收集、使用以及存儲客戶的 BCAN、CID 以及由相關中華通結算機構為市場監測監控目的和執行交易所規則而合併、驗證和配對的 BCAN 和 CID 信息（信息由中華通結算機構或聯交所保存）；(ii) 為符合下文 (c) 及 (d) 規定的目的，不時將有關資料（直接或通過相關中華通結算機構）轉移給中華通市場運營者；(iii) 向香港的相關監管機構和執法機構披露有關資料，以促進其香港金融市場法定職能的履行；
- (c) 允許相關中華通結算機構：(i) 收集、使用以及儲存客戶的 BCAN 和 CID，以促進 BCAN 和 CID 的合併、驗證以及 BCAN 和 CID 與投資者數據庫的配對，並將相應合併、驗證和配對的 BCAN 和 CID 信息提供給相關中華通市場運營者、聯交所及聯交所相關子公司；(ii) 客戶的 BCAN 和 CID 來履行其證券賬戶管理的監管職能；(iii) 向有管轄權的大陸監管機構及執法機構披露有關資料，以促進其內地金融市場的監管、監察及執法職能的履行；
- (d) 允許相關中華通市場運營者：(i) 收集、使用以及存儲客戶的 BCAN 和 CID，通過使用中華通服務及執行相關中華通市場營運商的規則，以促進其中華通市場的證券交易的監測監控；(ii) 向大陸監管機構和執法機構披露有關資料，促進履行其內地金融市場的監管、監察及執法職能的履行。

通過向昊天發出關於中華通證券交易的指示，客戶知悉並同意，為符合與中華通北向交易相關而不時更新的聯交所要求和規則，昊天可以使用客戶的個人資料。客戶亦知悉，儘管客戶隨後聲稱撤回同意，但無論在客戶聲稱撤銷同意之前或之後，客戶的個人數據仍可繼續存儲、使用、披露、轉移以及其他處理以達到上述目的。

## Consent Letter on Northbound China Stock Connect Orders (Investor Identification Model) and the Personal Information Collection Statement

### Processing of Personal Data as part of the Stock Connect Northbound Trading

Client has acknowledge and agree that in providing Hao Tian International Securities Limited (“**Hao Tian**”) Stock Connect Northbound Trading Services to me/us, Hao Tian will be required to:

- (i) tag each of client orders submitted to the China Stock Connect (“**CSC**”) with Broker-to-Client Assigned Number (“**BCAN**”) that is unique to client; and
- (ii) provide to The Stock Exchange of Hong Kong Limited (the “**Exchange**”) your assigned BCAN and such identification information (“**Client Identification Data**” or “**CID**”) relating to client as the Exchange may request from time to time under the Rules of the Exchange.

Without limitation to any notification Hao Tian have given client or consent Hao Tian have obtained from client in respect of the processing of client personal data in connection with your account and Hao Tian’s services to client, client acknowledge and agree that Hao Tian may collect, store, use, disclose and transfer personal data relating to client as required as part of Hao Tian’s Stock Connect Northbound Trading Service, including as follows:

- (a) to disclose and transfer client’s BCAN and CID to the Exchange and the relevant SEHK Subsidiaries from time to time, including by indicating client’s BCAN when inputting a China Connect Order into the CSC, which will be further routed to the relevant China Connect Market Operator on a real-time basis;
- (b) to allow each of the Exchange and the relevant SEHK Subsidiaries to: (i) collect, use and store your BCAN, CID and any consolidated, validated and mapped BCANs and CID information provided by the relevant China Connect Clearing House (in the case of storage, by any of them or via HKEX) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange; (ii) transfer such information to the relevant China Connect Market Operator (directly or through the relevant China Connect Clearing House) from time to time for the purposes set out in (c) and (d) below; and (iii) disclose such information to the relevant regulators and law enforcement agencies in Hong Kong so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets;
- (c) to allow the relevant China Connect Clearing House to: (i) collect, use and store client’s BCAN and CID to facilitate the consolidation and validation of BCANs and CID and the mapping of BCANs and CID with its investor identification database, and provide such consolidated, validated and mapped BCANs and CID information to the relevant China Connect Market Operator, the Exchange and the relevant SEHK Subsidiary; (ii) use your BCAN and CID for the performance of its regulatory functions of securities account management; and (iii) disclose such information to the Mainland regulatory authorities and law enforcement agencies having jurisdiction over it so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets; and
- (d) to allow the relevant China Connect Market Operator to: (i) collect, use and store client’s BCAN and CID to facilitate their surveillance and monitoring of securities trading on the relevant China Connect Market through the use of the China Connect Service and enforcement of the rules of the relevant China Connect Market Operator; and (ii) disclose such information to the Mainland regulatory authorities and law enforcement agencies so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets.

By instructing Hao Tian in respect of any transaction relating to China Connect Securities, client acknowledges and agrees that Hao Tian may use client’s personal data for the purposes of complying with the requirements of the Exchange and its rules as in force from time to time in connection with the Stock Connect Northbound Trading. Client also acknowledge that despite any subsequent purported withdrawal of consent by client, client’s personal data may continue to be stored, used, disclosed, transferred and otherwise processed for the above purposes, whether before or after such purported withdrawal of consent.