中國銀行(香港)有限公司
BANK OF CHINA (HONG KONG) LIMITED
香港花園道一號

For BOCHK Use Only
☐ Production of ESS

BANK OF CHINA (Hong Kong) LIMITED (the "Bank") is a bank incorporated in the Hong Kong Special Administrative Region of the People's Republic of China and is not an authorized institution within the meaning of the Commercial Bank Law and Regulation on the Administration of Foreign-funded Banks of the People's Republic of China, nor carrying on banking business in the Mainland China.

Account Opening Form (Including Investment accounts)

As part of the account opening process, you are required to complete this application form and to provide supporting documents (including supporting and other documents required under any laws, regulations or guidelines issued by any regulatory or tax authorities, if applicable).You must provide information and documents that are valid, true, complete, accurate and up-to-date. The information is required from you for the Bank's compliance with its customer due diligence policy, local laws and regulations and/or international standards. It forms an important part of the international efforts to combat money laundering, terrorist financing and fraudulent activity. This application form is for the purpose of opening accounts and/or applying for services by new or existing customers. Failure to provide the required information may result in the Bank's inability to process your application to provide services to you and/or to conduct suitability assessment (where applicable). Please refer to the Bank's "Data Policy Notice" or documents under other relevant headings issued by the Bank and its associate entities from time to time relating to the general policies on the use, disclosure and transfer of personal data. For existing customers, it may not be necessary for you to provide certain background information which you have furnished to the Bank previously, provided that such information remains unchanged. If any such information has changed since you have last completed the account opening/ amendment documentation, then for the purpose of the Bank to comply with its customer due diligence policy, you must promptly provide the Bank with the updated information and in any event, not later than 30 days after such change. Existing information furnished to the Bank is deemed to be valid, true, complete, accurate and unchanged until the Bank is otherwise notified. Notwithstanding that, the Bank has the right to rely on the information obtained or that comes to its knowledge from any source it may consider appropriate to update your existing information in the Bank and may require your confirmation if necessary. Please complete this form in block letters. All service options and instructions are preset to be displayed in English.

Notices: 1) If you open both consolidated and investment account, please complete all sections (except the optional fields). 2) If you open consolidated account only, please finish all parts, and tick "NO" for Section "2. Investment Account", then go to Section "3. Customer Details". 3) If you are existing customer and open an investment account only, please read and complete all sections highlighted in Grey.

1. Customer Particulars (The following customer particulars will be used for purposes of updating the customer's personal data for the accounts / services to be opened and those currently existing.)

(a) Chinese Name: (Surname) _____ (First Name) _____

(b) English Name (Please provide valid passport): (Surname) _____ (First Name) _____

(c) Identification Document Type: (Please ☑)

☐1.Mainland ID Card ☐2.HongKong ID Card (Permanent Resident) ☐3.Hong Kong ID Card (Non-Permanent Resident)

☐4.Macao ID Card (Permanent Resident) ☐5.Macao ID Card (Non-Permanent Resident) ☐ 6.Passport or others (please specify)_____

(d) Identification Document No. : ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

(e) Residential address: 1.Country / Region: (Please ☑) ☐China ☐Others (Please specify) _____

2. Permanent country / region ☐Same As ☐Different from the Residential country / region (Please specify if different)_____

3. Residential Address:_____ 4. Postcode: ☐☐☐☐☐☐

_____

(f) Correspondence Address (Applicable to all newly-opened and existing accounts / services): (Please ☑)

1. ☐Same as Residential Address ☐Different from Residential Address (Please specify)

2. Address: _____ 3. Postcode: ☐☐☐☐☐☐

(g) Jurisdiction of Residence & Taxpayer Identification Number or its Functional Equivalent ("TIN") *

*Complete the table below indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a residence for tax purposes and (b) the account holder's TIN for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence.

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

If a TIN is unavailable, please provide the appropriate reason A, B or C:

Reason A-The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

Reason B-The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.

Reason C-TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

If more than five jurisdictions of residence, please supplement in the blank space of the application form.

Jurisdiction of Residence	TIN	Tick reason A, B or C if no TIN is available	Explain why the account holder is unable to obtain a TIN if you have selected Reason B
(1)		☐A ☐B ☐C	
(2)		☐A ☐B ☐C	
(3)		☐A ☐B ☐C	
(4)		☐A ☐B ☐C	
(5)		☐A ☐B ☐C	

Remarks:

WARNING: It is an offence under section 80 (2E) of the Inland Revenue Ordinance if any person, in making a self-declaration, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. HKD$10,000)

2. Investment Account

Please choose to open an investment account or not {including Securities / Funds / Debt Securities for General Investment Account; including Funds / Debt Securities for Southbound WMC Investment Account}

☐**1. Yes (Please read and complete all sections highlighted in grey)** ☐**2. No (Please go to Section 3 of customer details)**

The customer may be required to complete further procedures and / or documents before conducting transactions in the above investment accounts.

(a) For the opening of: ☐1. General Investment Account ☐2. The Southbound WMC Investment Account*

* The Customer may be required to complete further application procedures and/or documents before conducting transactions under the Southbound WMC Investment Account.

(b) Please complete the following questionnaire (The customer should choose the most appropriate answer for each sections)

(i) Education Level: ☐1.Primary School or Below ☐2. Secondary School ☐3. Post-secondary or tertiary ☐4. University Degree ☐5. Postgraduate or above

(ii) What is the Customer's investment objective (Please ☑)?

☐1.Capital Appreciation ☐2. Yield Enhancement ☐3.Regular Income ☐4.Capital Preservation

(iii) How many years of investment experience does the Customer have in securities products? (Please ☑)

☐1.This is the Customer's first investment ☐2. Less than one year ☐3. Between one and three years

☐4. More than three years but less than five years ☐5. More than five years

(iv) What is the amount of the Customer's investment assets* / liquid capital? (* The sum of the Customer's investment portfolio and cash with the Bank but excluding the value of all Customer's properties or business interests)

☐1.Equivalent to HKD$8,000,000 or above ☐2.HKD$5,000,000 equivalent to less than HKD$8,000,000 equivalent

☐3.HKD$3,000,000 equivalent to less than HKD$5,000,000 equivalent ☐4.HKD$2,000,000 equivalent to less than HKD$3,000,000 equivalent

☐5.HKD$1,000,000 equivalent to led than HKD$2,000,000 equivalent ☐6.Over HKD$360,000 equivalent to less than HK$1,000,000 equivalent

☐7. Equal or less than HKD$360,000

(v) Monthly income (HKD) (Please ☑)

☐ 1. 10,000 or below ☐ 2. 10,001-25,000 ☐ 3. 25,001-50,000 ☐ 4. 50,001-75,000

☐ 5. 75,001-100,000 ☐ 6. 100,001-200,000 ☐ 7. Above 200,001

(vi) What is the Customer's monthly income (From all sources)? { should not be under section (v) }

☐ 1. HKD$80,000 equivalent or above ☐ 2. HKD$50,000 equivalent to less than HKD$80,000 equivalent

☐ 3. HKD$30,000 equivalent to less than HKD50,000 equivalent ☐ 4. Over HKD$10,000 equivalent to less than HKD$30,000 equivalent

☐ 5. Equal or less than HKD$10,000 or equivalent

(vii) Primary Salary/ Income Currency _____

(c) Settlement Accounts

The following accounts shall be the designated fund debit account / settlement account / payment account / designated fund / relevant account for the *Wealth Management* Service / Banking Service, non-*Wealth Management* Service / Banking Service (if applicable), Investment Services applied for under this application form, and the relevant fees and charges for the above mentioned products / services shall be debited from such accounts:

HKD	☐ New savings account	☐ Existing account number:
Foreign Currency	☐ New savings account	☐ Existing account number:
RMB	☐ New savings account	☐ Existing account number:

- The Customer acknowledge customer has read and understood the content of "the Important Notice of Trading China A Shares and A Shares Margin Trading via Shanghai-Hong Kong Stock Connect and Shenzhen-Hong Kong Stock Connect" ("the Important Notice") regarding Personal Information Collection set out in paragraph 19, content of which is subject to revision from time to time. (Compulsory for Opening Securities Accounts; not applicable for Southbound WMC Investment Account)
- By ticking the box below, customer signifies the consent for the Bank to use customer's personal data on the terms of and for the purposes set out in the Important Notice, in particular with reference to paragraph 19 as mentioned.

  ☐ The customer agrees to the Bank's use of the customer's personal data for the purposes set out in paragraph 19 of the Important Notice or as set out in the Important Notice in general.

  ☐ The customer disagrees to the Bank's use of the customer's personal data for the purposes set out in paragraph 19 of the Important Notice.
- Consequences of failing to provide Personal Data or Consent

  Customer understands customer's failure to provide the Bank with customer's personal data or consent as described above may mean that the Bank will not, or no longer be able, as the case may be, to carry out customer's trading instructions or provide customer with the Bank's Northbound Trading Services of Shanghai-Hong Kong Stock Connect and Shenzhen-Hong Kong Stock Connect.

● The Customer acknowledge customer has read and understood the content of "Personal Information/Other Client Information Collection Statement concerning investor identification regime at trading level for the securities market in Hong Kong" ("the Col-lection Statement"), content of which is subject to revision from time to time. (Compulsory for Opening Securities Accounts)

● By ticking the box below, customer signifies the consent for the Bank to use customer's personal data on the terms of and for the purposes set out in the Collection Statement.

☐ The customer agrees to the Bank's use of the customer's personal data for the purposes set out in the Collection Statement.

☐ The customer disagrees to the Bank's use of the customer's personal data for the purposes set out in the Collection Statement.

● Consequences of failing to provide Personal Data or Consent

Customer understands customer's failure to provide the Bank with customer's personal data or consent as described above may mean that the Bank will not, or no longer be able, as the case may be, to carry out customer's trading instructions or provide customer with the Bank's trading services of Hong Kong Stock.

● Chinese Customer Cross-border Disclosure Declaration: Only applicable to Chinese Mainland Customer who uses either or both a resident identity card and a passport issued by the People's Republic of China as an identification document when applying Investment-Related Services

☐ The Customer acknowledges, agrees to, and confirms the acceptance of the "Cross-border Disclosure Declaration" below and affirms that the Customer meets the stipulated requirements.

(a) I confirm that all funds which support the investment activities and related settlements are from lawful sources outside of the Chinese Mainland;
(b) I confirm that I do not have an account that was previously closed or suspended by any licensed corporations or registered institutions due to the use of questionable or forged documents;
(c) I undertake that I will notify BOCHK within 7 business days in the event of any changes in the information in my written declaration; and
(d) I confirm that I understand that upon requests from law enforcement agencies or regulatory authorities, BOCHK may disclose my personal and other relevant information.

In order to comply with applicable regulatory requirements, you agree that Bank of China (Hong Kong) Limited (the "Bank") may request you to provide us with relevant supporting documentation to verify this compliance. Should you fail to fulfil the above requirements or violate of any outbound investment and/or capital control regulations of the Chinese Mainland and/or relevant legal and regulatory requirements in Hong Kong, any existing products and/or services that you have activated will be suspended.

The Bank may not be authorized to provide products and services to you in countries or regions outside Hong Kong. The Bank does not intend to permit the distribution or use of products and services by anyone in any jurisdiction where such activities are restricted or prohibited by law or regulation.

3. Customer Details

(a) Date of Birth: _____Year_____Month_____Day

(b) Gender: (Please ☑) ☐Male ☐Female

(c) Nationality(Country/Region): (Please ☑) ☐China ☐Others (Please specify)_____

(d) Country/Region of Birth: (Please ☑) ☐China ☐Others (Please specify)_____

(e) Occupation: (Please ☑)

☐1. Civil Servant ☐2. Clerk / Secretary ☐3. Manager / Executive ☐4. Employer (Including Self-employed)
☐5. Blue-Collar Worker / Manual Worker ☐6. Service Worker ☐7.Unemployment ☐8. Housewife / Home Worker ☐9. Student
☐10.Retired ☐11.Professional (Please specify) ☐12. Others (Please specify) _____

(f) Business of Employer / Company:_____

(g) Name of Employer / Company: _____ (h) Job title (Optional): _____

(i) Marital Status: (Please ☑) ☐Single ☐Married ☐Divorced or Separated

(j) Contact Number / Details (Please fill in the format Country/Region Code + Area Code + Telephone Number)

Residential Phone No. :

Office Phone No:

Mobile Phone No:

Email Address (in Block Letters):

(This email address shall be used as the key email address for communication between the Customer and the Bank. Customer is reminded to provide a correct and regularly maintained email address. Compulsory for applying e-Statement /e-Advice Services.)

(k) Account Opening Purpose and Reason (At most 3 items can be selected) (Please ☑)

☐ 1. Savings / Fixed deposit ☐ 2. Payroll ☐ 3. Investment ☐ 4. Loan repayment ☐ 5. Daily transaction

☐ 6. Options / Stock / Dividend (Batch) ☐ 7. Personal finance ☐ 8. Retirement plan ☐ 9. Commission

☐ 10. Business transaction ☐ 11. Others (Please specify)_____

(l) Reason for Opening Account in HK (At most 3 items can be selected) (Only applicable to Non-Hong Kong Identity Card Holder)

☐ 1. Immigration ☐ 2. Work ☐ 3. Study (also applicable for relatives) ☐ 4. Investment in Hong Kong ☐ 5. Others (Please specify)_____

(m) Source of funds (At most 3 items can be selected)

☐ 1. Payroll ☐ 2. Retirement fund ☐ 3. Income accumulation ☐ 4. Commission / Bonus / Business Income

☐ 5. Return on investment ☐ 6. Inheritance ☐ 7. Sales of property (Please specify)_____ ☐ 8. Others (Please specify)_____

(n) Expected Overall Customer Account Activity Pattern and Level (Monthly Average) (Please ☑)

Total monthly average receipts and payments after account opened (in HKD equivalent) (Select 1 item only) (For reference only)

☐ 1. 0-50,000 ☐ 2. 50,001-150,000 ☐ 3. 150,001-500,000

☐ 4. 500,001-1,250,000 ☐ 5. 1,250,001 or above, please specify_____

(o) Number of monthly average transactions after account opened (Selected 1 item only) (For reference only)

☐ 0 – 25 ☐ 26 - 50 ☐ 51 - 100 ☐ 101 – 200 ☐ 201 or above (Please specify)_____

(p) Overall Transaction Pattern (At most 3 items can be selected)

☐ 1. Cash ☐ 2. Cheque / Cashier's order ☐ 3. Transfer ☐ 4. Remittance (TT / Bank draft)

☐ 5. Securities Investment ☐ 6. Fund Investment ☐ 7. Others (Please specify)_____

(q) Main Channels of Transactions (At most 3 items can be selected)

☐ 1. Counter transaction ☐ 2. Internet / Mobile banking ☐ 3. ATM ☐ 4. Phone banking ☐ 5. Others (Please specify)_____

4. Accounts / Services (Please ☑)

☐ **1. Wealth Management**[Note1,2] ☐ **2. Enrich Banking**[Note1,2] ☐ 3. Non-integrated Banking Service (Only applicable when specified)[Note1]

(a) ☑ Deposit Accounts (Multiple accounts can be selected)

☐1.HKD Savings Account[Note3,4] ☐2. Multi-currency Savings Account (Statement) (including RMB account)[Note3,7]

☐3. Addition of RMB currency in the existing Multi-currency Savings Account[Note3,7] (Please specify the account number)

☐4. Southbound WMC HKD Savings Account[Note5] and Southbound WMC Multi-Currency Savings Account[Note6] (the "Southbound WMC Savings Accounts", and together with the Southbound WMC Investment Account in section 2 below, the "Dedicated Southbound WMC Investment Account ")

Please provide the account number of the account denominated in Renminbi opened and maintained by the Customer at Greater Bay Area (Shenzhen, Guangzhou, Dongguan, Foshan, Huizhou, Zhongshan, Zhuhai, Jiangmen, Zhaoqing) branch of Bank of China Limited in Mainland China that is dedicated for engaging in the Southbound Scheme: _____

Note 1: The above selection represents the Customer's present choice and replaces any choice in that regard communicated by the Customer to the Bank prior to this application.

Note 2: *Wealth Management* and *Enrich Banking* customers need to fulfill the Total Relationship Balance requirement, in order to enjoy the Integrated Banking Services features and benefits.

Note 3: Qualified for protection by the Deposit Protection Scheme in Hong Kong.

Note 4: As the settlement account for *Wealth Management* / *Enrich Banking*, and the relevant fees and charges for the above mentioned products / services shall be debited from such accounts.

Note 5: The Southbound WMC Savings Accounts serve as the settlement accounts of the Dedicated Southbound WMC Investment Account in section 2 and are intended for specific purposes of Southbound WMC Services only. The Customer should ensure that the Customer is the sole legal and beneficial owner of the Renminbi account designated in this section.

Note 6: Only major currencies including CNY, USD, EUR, GBP, AUD, NZD, CAD, SWF, JPY and SGD will be offered under the Southbound WMC Multi-Currency Savings Account of the Dedicated Southbound WMC Investment Account.

Note 7: **Please complete the following section "Non-Hong Kong Resident's Customer Declaration" (Only applicable to Non-Hong Kong resident's RMB related services) if Non-Hong Kong resident applies for RMB account.**

Non-Hong Kong Resident's Declaration: (Please ☑)

☐1.The Customer is a **Non-Hong Kong Resident, i.e. The Customer is not a holder of Hong Kong Identity Card.** The Customer is not maintaining any account (including but not limited to sole name and joint accounts) with the Bank as holder of Hong Kong Identity Card.

☐2.The Customer is a **Non-Hong Kong Resident, i.e. The Customer is not a holder of Hong Kong Identity Card.** However, the customer was previously a **holder of Hong Kong Identity Card**, and in such identity / status opened account(s) (including but not limited to sole name and joint accounts) with the Bank and is still maintaining it. Please specify the Bank Account Number(s):

(b) ☑Internet Banking and Phone Banking

Settlement account: HKD Savings Account in this application

Activate two-factor authentication for Internet banking (Please ☑) ☐1. Apply ☐2. Not Apply

The Customer will receive the activation password of the Two-factor Authentication device and notifications of specified transactions with the mobile phone number stated in "1. Customer Particulars".

(c) Consent to Use of Deposit Information

☐ The Customer consents (unless and until the Customer otherwise instructs the Bank in writing) to the access to and utilization of the deposits information held with the Bank by Bank staff members for investment and wealth management purposes, so that Bank staff members can provide full banking services to the Customer.

(d) ☑Consolidated Monthly Statement Services (Consolidated the new accounts / services applied for in this application and the existing accounts / services, including existing consolidated monthly statement (if applicable))

(e) Statement Dispatch Method #(Please ☑ one) ☐1.Mail ☐2.Electronic Statement* (Only applicable to Internet Banking and/or Mobile Banking)

Default as "Mail" if it is not specified.

*Applicable only to Consolidated Monthly Statement service, Daily and Monthly Statements of Precious Metal and FX Margin Trading Account, Daily and Monthly Statements of Securities and Securities Margin, the Securities account Advices and Securities Margin trading account Advices, Monthly Statements and Advices of Funds, Daily and Monthly Statements and Advices of Bonds/ Certificates of Deposit, Structured Notes/ Equity Linked Investments, and any other Securities and Securities Margin, Precious Metal and FX Margin, Funds, Bonds, Certificates of Deposit, Structured Notes and Equity Linked Investments Statements and/or Advices as determined by the Bank from time to time. If the Bank is unable to provide the electronic statements and/ or advices, the Bank reserves the right to dispatch hardcopies of statements and/ or advices by mailing. If you agree to apply electronic statement, you can browse the bank account statement via Internet Banking and/or Mobile Banking, and the Bank will not send the statement to you.

(f) Non-investment Products Advice Dispatch Method (Please ☑ one)

☐1. Mail to the correspondence address ☐2. Electronic Advice* (Only applicable to Internet Banking and/or Mobile Banking)

* Please visit the Bank's website for the prevailing types of e-Advice provided by the Bank.

(g) Language Settings (Applicable to all accounts. Services, statements, email and SMS message) @ :(Please ☑ one)

☐1. English ☐2. Simplified Chinese* ☐3. Traditional Chinese

@ Default as "English"if it is not specified.

* Applicable only to Consolidated Monthly Statement service and others will be preset as Traditional Chinese. The Bank may change this scope of service from time to time.

5. Connected Parties

Are you one of the following persons or their relatives: director / supervisor / chief executive / senior management and key staff / chairman of committee / head of department / head of branch / lending officer / controller (holdings 5% or more shareholding along or together with associates who are controllers) of BOCHK or Bank of China Ltd (including their subsidiaries and branches) or BOCHK's subsidiaries, affiliates and other entities over which BOCHK is able to exert control or controller / minority shareholder controller / director /senior management and key staff of such subsidiaries, affiliates and other entities? Would any of your agents be BOCHK or any of its controllers or minority shareholder controllers or directors or their relatives? Would any of your guarantors be any controller, minority shareholder controller or director of BOCHK or their relatives? (Please ☑ in the appropriate box)

☐1.No ☐2.Yes, Name of specified person:_____ Relationship:_____

6. Customer Declaration

The undersigned Customer agrees, confirms, acknowledges and declares that:

1. All information set out in this application form and any document(s) provided by the Customer to the Bank is true, correct and complete. The Customer authorizes the Bank to verify such information from any source it may consider appropriate. The Customer further agrees to notify the Bank promptly in writing upon occurrence of any changes to that information, in any event not later than 30 days after such change, and to provide certified copies of any replacement or documents (including supporting and other documents required under any laws, regulations or guidelines issued by any regulatory or tax authorities, if applicable). The Customer acknowledges that the Bank has the right to rely on the information obtained or that comes to its knowledge from any source it may consider appropriate to update the Customer's existing information and may require the Customer's confirmation if necessary.

2. The Customer has received, read and understood the Bank's Conditions for Services, General Information and General Banking Services Charges, and the relevant terms, conditions, rules, user's manual or reference, brochures and provisions relating to the accounts, products and services applied for in this application form and agrees to be bound by them (as amended by the Bank from time to time).

3. The Customer's application for the accounts, products and/or services applied for in this application form is subject to the approval of the Bank. The Bank has sole discretion whether to approve or reject the Customer's application. Where the Bank charge an application fee, the fee paid by the Customer is not refundable whether the application is approved or not.

4. The Customer understands and agrees that the Bank may at any time at its sole discretion vary the Bank's Conditions for Services, General Information and General Banking Services Charges relating to the accounts, products and services applied for in this application form, with notice using any method including by way of display of such notice in the Bank's premises and/or on publicly accessible sections of the Bank's website (http://www.bochk.com).

5. The Customer has received, read and understood the Bank's Data Policy Notice and agrees to be bound by it (as amended by the Bank from time to time). The Customers represents that all personal data provided by the Customer to the Bank (a) has been collected by lawful means; and (b) is accurate in all material respects so far as the Customer is aware. The Customer agrees to ensure that, in relation to all personal data collected by and provided to the Bank by the Customer, all necessary consent required from the data subjects have been obtained and that the data subjects are aware that their personal data and information may be used, transferred or disclosed by the Bank in accordance with its policies on the use and disclosure of personal data as set out in its Data Policy Notice made available by the Bank to Customer from time to time and that those data subjects are aware that they may have legal rights of access to and correction of information held about them by the Bank. The Customer agrees to the Bank to transfer and deliver all information collected to BOC Credit Card (International) Limited ("BOC Credit Card") (if applicable) for updating the relevant inforation of all the relevant accounts.

6. Unless otherwise specified in the Supplementary Continuation Sheet(s) for Customer Information/Account Services and other relevant documents (if any), no other persons besides the Customer has any interest in the Customer's accounts.

7. Unless otherwise specified in this application form, the Customer is not one of the following persons or their relatives: director/ supervisor / chief executive/ senior management and key staff/ chairman of committee/ head of department/ head of branch/ lending officer/ controller (holding 5% or more shareholding along or together with associates who are controllers) of BOCHK or Bank of China Ltd (including their subsidiaries and branches) nor BOCHK's subsidiaries, affiliates and other entities over which BOCHK is able to exert control or controller/ minority shareholder controller/ director/ senior management and key staff of such subsidiaries, affiliates and other entities nor being any firm, partnership or non-listed company which any of the aforesaid persons or their relatives is/ are able to control. None of the Customer's guarantors is any controller, minority shareholder controller or director of BOCHK or their relatives. The Customer undertakes to inform the Bank in writing immediately if there is a change in this status.

8. The Customer understands that the product(s) / deposit(s) applied for in the "Accounts/Services –Deposit Accounts" section of this application form is/are deposit(s) qualified for protection by the Deposit Protection Scheme in Hong Kong.

9. The Customer understands that:

   (a) Risk of Foreign Currency Trading: Foreign currency investments are subject to exchange rate fluctuations which may provide both opportunities and risks. The fluctuation in the exchange rate of foreign currency may result in losses in the event that customer converts the foreign currency into Hong Kong dollar or other foreign currencies. Currency exchange is also subject to cost (being the spread between the buy and sell of relevant currencies).

   (b) RMB Conversion Limitation Risk: RMB investments are subject to exchange rate fluctuations which may provide both opportunities and risks. The fluctuation in the exchange rate of RMB may result in losses in the event that the customer converts RMB into HKD or other foreign currencies. Currency exchange is also subject to cost (being the spread between the buy and sell of RMB). RMB is currently not fully freely convertible. Individual customers can be offered CNH rate to conduct conversion of RMB through bank accounts and may occasionally not be able to do so fully or immediately, for which it is subject to the RMB position of the banks and their commercial decisions at that moment. Customers should consider and understand the possible impact on their liquidity of RMB funds in advance.

10. Applicable to the collection of Jurisdiction of Residence & Taxpayer Identification Number or its Functional Equivalent ("TIN")

   (a) The Customer acknowledges and agrees that (i)the information is collected and may be kept by the Bank for the purpose of automatic exchange of financial account information, and (ii) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

   (b) The Customer undertakes to advise the Bank of any change in circumstances which affects the tax residency status of the individual or causes the information contained here in to become incorrect, and to provide the Bank with a suitably updated self-certification form within 30 days of such change is circumstances.

11. Applicable to Customers applying for investment accounts, products and services:
   (a) The Customer has received, read and understood the Bank's risk disclosure statements (including the Risk Explanatory Note of Exchange-Traded Derivative Products,services charges related to investment accounts, Rules: Renminbi ("RMB") related accounts, Supplemental Information On RMB Services, the Important Notice of Subscription for / Trading of Listed RMB Equity Products and Important Notice of Trading Shanghai A Shares and A Shares Margin Trading via Shanghai-Hong Kong Stock Connect, and the relevant terms, conditions, rules, user's manual or reference, brochure and/or Rules: Terms and Conditions for e-Statement Service, Questionnaire on Ivestment Preference and provisions, etc relating to the investment accounts, products and services applied for in this application form, and agrees to be bound by them (as amended by the Bank from time to time). These documents were provided in a language of the Customer's choice (English or Chinese). The Bank has explained to the Customer, and the customer confirms that he/she understands the

nature and key features of fees and risks associated with the investment accounts, products and services applied for in this application form. The Customer was invited to read the risk disclosure statements (including the Risk Explanatory Note of Exchange-Traded Derivative Products), to ask questions and take independent advice if it wishes. All of the Customer's enquiries (if any) have been duly answered and explained and the Customer does not require further explanation from the Bank.

(b) The Customer understands and agrees that the Bank may at any time at its sole discretion vary the Bank's risk disclosure statements, and the relevant terms, conditions, rules, user's manual or reference, brochure and provisions relating to the investment accounts, products and services applied for in this application form, with notice using any method including by way of display of such notice in the Bank's premise and/or on publicly accessible sections of the Bank's website (http://www.bochk.com).

(c) The Customer undertakes to inform the Bank in writing immediately if it becomes or ceases (as the case may be) to be employed by any intermediary to carry on any regulated activities as defined in the Securities and Futures Ordinance.

(d) The Customer is not a "US person" or "Canadian resident". If the circumstances of the Customer change so that it becomes or is deemed to be a US or Canadian person or resident, the Customer undertakes to inform the Bank in writing immediately of the change. The Customer understands that in which case the Bank may be obliged to sell its securities and/or close out its outstanding contracts in the Precious Metal/FX Margin account (if any), and cancelled the relevant account, and the Customer agrees to do so. "US Person" means any one or more of the following (unless, in the case of paragraphs (i) to (iii) below, applicable laws, rules and regulations provide that such person is not subject to the federal income taxation of the United States of America on his worldwide income):
(i) a citizen of the United States of America;
(ii) a person that is not a citizen or national of the United States of America and who meets either the "green card" test or the "substantial presence" test under the Internal Revenue Code of 1986, as amended, and/or any other applicable laws, rules and regulations for the calendar year;
(iii) a person electing to be treated as a tax resident of the United States of America; and
(iv) any other person that is subject to the federal income taxation of the United States of America on his worldwide income regardless of its source.

12. Applicable to Non-Hong Kong Residents applying for RMB related services :

(a) The Customer understands that the Bank will only accept the Customer's application to open account(s)in providing RMB services either as Hong Kong resident or non-Hong Kong resident, depending on whether the Customer is a holder of Hong Kong Identity Card. The Bank will provide services to the Customer in accordance with applicable regulatory requirements from time to time, depending on the Customer's status as a Hong Kong resident or non-Hong Kong resident as declared by the Customer.

(b) The Customer undertakes that if the Customer becomes a holder of Hong Kong Identity Card after the declaration date of "Non-Hong Kong Resident's Customer Declaration (Only Applicable to Non-Hong Kong Resident's RMB Related Services)" section of this application form, the Customer shall as soon as practicable inform the Bank of the change. The Customer understands that the Bank will, upon receiving such notification, update its record and provide services according to relevant regulatory requirements applicable to the Customer's status as Hong Kong resident.

(c) The Customer understands that the Bank may at any time and without giving any prior notice close or suspend the Customer's account(s) if the Customer is or shall be in breach of the Customer's declaration and/or undertaking above, and the Bank shall not be liable for any loss or claim in connection with or arising from such breach.

13. Applicable to Customers applying for e-Statement/e-Advice service:

(a) The Customer agrees and confirms that the above new account(s) will be automatically added into his/her Consolidated Statement which will be despatched to him/her according to the current statement setting without further notice. If the Customer has already opted for receiving electronic Consolidated Statement ("e-Statement") or electronic Non-investment Products Advice ("e-Advice"), he/she also confirms that the Customer has read, understood and agreed to the Terms and Conditions for e-Statement/e-Advice service set out below. These terms and conditions (the "Conditions") apply to any customer who agrees to subscribe the e-Statement/e-Advice service (the "Service") offered by the Bank. If there is any inconsistency between these Conditions and the provisions or rules (if any) relevant or applicable to the Service, these Conditions shall prevail over the provisions or rules. Please read them carefully, particularly Condition (d) on the scope of information available through the Service and Condition (g) on the limited availability of such information.

(b) Before the Customer may apply for the Service, he/she agrees to subscribe or confirm that he/she is a current subscriber of the Bank's internet banking service and/or mobile banking service. The Customer must remain as a subscriber of the internet banking service and/ or mobile banking service (as the case may be) and pay the fees and charges referred to in Condition (c) in order to receive the Service. The Bank has the absolute discretion to reject any request for subscription of the Service.

(c) The Customer agrees that by subscribing and using the Service, he/she is bound by these Conditions and to pay all fees and charges which the Bank may prescribe for the subscription and use of the Service.

(d) The statements to be covered by the Service include but are not limited to securities account advices, securities margin trading account advices, funds advices, bonds/certificates of deposit advices and equity linked investments/structured notes advices, daily securities transaction statements, daily statements of securities margin trading account, daily statements of precious metal and FX margin trading account, daily statements of bonds/ certificates of deposit and daily statements of equity linked investments/ structured notes (the "daily statements"), monthly securities statements, monthly statements of securities margin trading account, monthly statements of precious metal and FX margin trading account, monthly statements of funds, monthly statements of bonds/certificates of deposit and monthly statements of equity linked investments/ structured notes (the "monthly statements") and any other securities / precious metal and FX margin/ funds/ bonds/ certificates of deposit/ equity linked investments/ structured notes statements and/or advices which the Bank may determine from time to time (collectively, the "Statements"). For the advices to be covered by the Service (collectively, the "Advices") , please visit the Bank's website for the prevailing types of e-Advice provided by the Bank.

(e) The Customer accepts that the availability of the Statements/Advices on internet banking and/or mobile banking through the Service on the day after the statement date (in the case of daily statements) or within seven (7) days of the statement date (in the case of monthly statements) stated in the Statements or the day after issuance (the "issuing date") of the Advices by the Bank in physical form (in the case of Advices) shall constitute delivery of the Statements/Advices by the Bank to the Customer. The Customer may receive a message from the Bank issued by e-mail and/or SMS to his/her designated e-mail address and/or mobile phone number (as the case may be) each time a Statement/Advice has been delivered through the Service, or other electronic channels as specified by the Bank from time to time, which informs the Customer the availability of the Statement(s)/Advice(s). Please visit the Bank's internet banking and/or mobile banking to check the existing type of e-Statement/e-Advice provided by the Bank. The Customer will keep his/her email address and/or mobile phone number in the Bank's record updated in order to receive such reminders. The Customer should inform the Bank as soon as practicable upon a change in the designated email address and/or mobile phone number.

(f) If the Customer registers to receive e-Statement/e-Advice for any banking/ credit card account(s), all new banking/ credit card account(s) the Customer opens in the future* will be set to receive e-Statement/e-Advice by default and will be registered for the Service automatically. If the Customer consents and registers to receive e-Statement/e-Advice for any investment account(s)/sub-account(s) , all new investment account(s)/sub-account(s) the Customer opens in the future* will be set to receive e-Statement/e-Advice by default and will be registered for the Service automatically.

*Subject to service availability. The default setting for any account can be changed via internet banking, mobile banking, calling Customer Service Hotline,

or visiting any of the Bank's branches if necessary.

(g) The Customer agrees to read the Statements/Advices in a timely manner and accepts that (i) the daily statements are available for twelve (12) months after the relevant statement date, (ii) the Advices are available for twelve (12) months after the issuing date of the relevant Advice, and (iii) the monthly statements are available for a period covering no longer than the previous twenty-four (24)statement cycles.

(h) The Customer should promptly review the relevant Statements/Advices available on the Bank's internet banking and/or mobile banking upon receiving the email and/or SMS reminder (as the case may be) from the Bank to ensure reporting to the Bank as soon as practicable for any errors detected.

(i) The Customer should save an electronic copy in his/her own computer storage, mobile device or other electronic equipment or print a hard copy of the Statements/Advices for future reference.

(j) The Bank shall have the absolute discretion to modify, withdraw or suspend the Service without giving any reason. The Customer acknowledges that although the Service is available for twenty-four (24) hours daily and the Statements/Advices are subject to the availability period referred to in Condition (g), part or all of the Service may not be available at certain times due to maintenance and/or computer or network failure or any causes beyond the Bank's control.

(k) Unless the Customer has informed the Bank otherwise, the physical form of the Statements/Advices will cease to be sent to the Customer's mailing address in the Bank's record upon the Bank's confirmation that the subscription of the Service has come into effect.

(l) The Bank shall have the right to terminate the Customer's subscription of the Service provided that prior to termination, the Bank shall inform the Customer by notice delivered through the Service or by means which are agreed between the Bank and the Customer generally. Upon termination of the subscription of the Service, physical form of the Statements/Advices shall be delivered to the Customer by mail.

(m) The Customer may terminate the subscription of the Service by giving the Bank prior notice of no less than thirty (30) days. Termination of the Service will generally take place within thirty (30) days of the Bank's receipt of the Customer's termination notice or otherwise on a date to be specified by the Bank. The Customer may give notice to the Bank by updating the subscription status via internet banking, mobile banking, calling Customer Service Hotline, or visiting any of the Bank's branches. Upon termination of the subscription of the Service, physical form of the Statements/Advices shall be delivered to the Customer by mail.

(n) The Bank shall not be liable if the Customer is not able to access the Service. The Customer agrees that delivery of the Statements/Advices through the Service in accordance with Condition (e) shall for all purposes be deemed to have discharged all the Bank's obligations under these Conditions.

(o) The Bank shall use reasonable effort to ensure that the Service is secure and the Customer's Statements/Advices are accessible by authentication of the Customer's password, any authorized biometric authentication or any other authentication means as the Bank may in its absolute discretion accept, but notwithstanding that, the Bank does not warrant the security and confidentiality of all information delivered through the Service.

(p) These Conditions are governed by the laws of the Hong Kong Special Administrative Region (the "HKSAR") and the Customer hereby agrees to submit to the non-exclusive jurisdiction of the HKSAR courts.

(q) In the event of any inconsistency or discrepancy between the English version and Chinese version of these Conditions, the former shall prevail.

(r) Appropriate electronic equipment and software, internet access and a specific email address and/or mobile phone number provided and designated by the Customer are required for using the Service.

(s) Internet, email and/or SMS services may be subject to certain IT risks and disruption.

(t) The Customer may incur additional costs for using the Service, including but not limited to data charges imposed by his/her service providers for using the Service.

(u) The Customer should check his/her designated email account and/ or mobile phone regularly for notifications that the Statements/ Advices are available on the Bank's internet banking and/or mobile banking (as the case may be).

(v) Revocation of consent to the Service will be subject to the giving of such prior notice to the Bank by the Customer as the Bank may reasonably require.

(w) The Customer may be required to pay a reasonable charge for obtaining a hard copy of any e-Statement/e-Advice that is no longer available for access and/or downloading through the Bank's internet banking and/or mobile banking.

14. Applicable to Customers applying for Dedicated Southbound WMC Investment Account:

(a) By applying for or using Dedicated Southbound WMC Investment Account, the Customer is deemed to have accepted the 《Terms and Conditions for Southbound Wealth Management Connect Services》and the other terms and conditions governing the Dedicated Southbound WMC Investment Account and related products and services, as may be prescribed and amended by the Bank from time to time. In particular, the Customer has read and understood the key facts and requirements relating to the Southbound Scheme set out in the《Terms and Conditions for Southbound Wealth Management Connect Services》and agrees to be bound by them.

(b) The Customer confirms and agrees that (i) the Dedicated Southbound WMC Investment Account and the Renminbi account designated in section 2 must be, at all times, the only bank accounts maintained by the Customer in Hong Kong and Mainland China respectively for making investments under the Southbound Scheme; and (ii) the Customer should not conduct any Southbound Scheme activities with other Hong Kong banks.

(c) The Customer confirms and agrees that (i) the fund remitted outward through the Southbound Scheme from Mainland China to Hong Kong and Macao is subject to the quota restrictions that are determined by the regulatory authorities and can be changed at any time without prior notice, (ii) if the Customer simultaneously selects a bank and a licensed corporation for investment under the Southbound Scheme, allocation of his/her individual quota to a bank and a licensed corporation will be subject to the quota restrictions determined by the regulatory authorities from time to time, (iii) if the Customer selects a bank as the only channel for investment under the Southbound Scheme, the Customer is not allowed to open and / or maintain any account with any licensed corporation in Hong Kong for conducting the Southbound Scheme activities and (iv) if the Customer needs to make changes on the selection of bank and/or licensed corporation for investment under the Southbound Scheme, the Customer should first apply to Bank of China Limited for change of contract option* and after the application has been approved and accepted, the relevant arrangements can be changed accordingly.

* if select a bank as the only channel for investment under the Southbound Scheme, the relevant contract option is "only Bank of China Limited"; if select a bank and a licensed corporation for investment under the Southbound Scheme, the relevant contract option is "simultaneously signing contracts with Bank of China Limited and security firm"

(d) If the Customer only selects a bank for investment under the Southbound Scheme, the current individual investor quota that can be applied for allocation to the bank is RMB 3 million. If the Customer simultaneously selects a bank and a licensed corporation for investment under the Southbound Scheme, the

current individual investor quota allocated between the bank and the licensed corporation is RMB 1.5 million each.

(i) In the case where the Customer only selects a bank for investment under the Southbound Scheme and increases the individual investor quota to RMB 3 million, if the Customer subsequently applies for change to select simultaneously a bank and a licensed corporation for investment under the Southbound Scheme according to (c) (iv) above, the individual investor quota of the Customer allocated to the bank should be adjusted to RMB 1.5 million; and (ii) in relation to the adjustment of the individual investor quota, where necessary, the Customer may need to sell certain wealth management products held and remit funds back to the dedicated remittance account at Bank of China Limited so as to lower the quota usage to RMB 1.5 million or below, and in doing so, related transaction costs, fees, and charges may be incurred.

(e) The Customer consents to and authorises the Bank to provide and disclose his/her personal data (including his/her name, identification document number and other particulars, and information relating to the Customer's accounts, transactions and activities relating to Southbound WMC Services) and other information to any applicable regulatory authority, governmental agency (including tax authority), clearing or settlement bank or exchange, or industry or self-regulatory body (collectively, "Regulatory Authorities"), Bank of China Limited, and the agents, contractors, service providers and other persons appointed, dedicated or authorized by such Regulatory Authorities, Bank of China Limited or the Bank in or outside of Hong Kong to support their respective activities and operations in connection with the Southbound Scheme, and for other purposes relating to the Southbound Scheme including for compliance and audit purposes including verifying that other than the Dedicated Southbound WMC Investment Account at the Bank and the dedicated remittance account at Bank of China Limited, the Customer has not maintained any other investment account with any other banks or financial institutions in Hong Kong for making investments under the Southbound Scheme; pairing the two accounts aforesaid; and meeting any other regulatory requirements applicable to the Southbound Scheme. Such personal data and other information may include information relating to the Dedicated Southbound WMC Investment Account, the transactions, remittances and other activities, and any actual or suspected breach of the Customer's obligations or any regulatory requirements in connection with the use of Southbound WMC Services and the related services.

7. Bank Declaration

Our bank hereby declare that we have provided the Customer with the risk disclosure statements in the Conditions for Service, rules and brochures for the services/products in a language (English or Chinese) of the Customer's choice, and we have invited the Customer to read the risk disclosure statements, ask questions and take independent advice (if the Customer wishes)

8. Customer's Signature

Transfer of personal data outside of Hong Kong

(Applicable to Customers applying for Dedicated Southbound WMC Investment Account, products and services under Southbound WMC Services)

For the purposes of providing Southbound WMC Services to me, I consent to the Bank to transfer my personal data (including my name, identification document number and other particulars, and information relating to my accounts, transactions and activities relating to Southbound WMC Services) to places outside of Hong Kong including Mainland China and Macao, where there may not be in place data protection laws which are substantially similar to, or serve the same purposes as, the Personal Data (Privacy) Ordinance. That means my personal data may not be protected to the same or similar level in Hong Kong. I have read paragraph "Applicable to Customers applying for Dedicated Southbound WMC Investment Account" under section 6 (Customer Declaration) above which explains the purposes for transferring the personal data and the types of recipients of the personal data. If I do not give consent, the Bank will be unable to provide Southbound WMC Services to me.

☐ I consent to the transfer of my personal data outside Hong Kong.

Direct Marketing Material Receiving Instruction (Below replace any previous choice communicated by you to "the Bank" and BOC Credit Card (International) Limited ("BOC Credit Card") (if applicable))

(a) **I <u>do not wish</u>** the Bank and BOC Credit Card to use my personal data in direct marketing via the following channel(s) (please use "☒"to select the channel(s)):

☐ 1. Electronic Channels ☐ 2. Mail ☐ 3. Personal Call

If you return the Form without crossing any of the above boxes, it means that you <u>do not wish</u> to opt-out from any form of the Bank and BOC Credit Card's direct marketing.

(b) ☐ To improve and provide more comprehensive services to our customers, the Bank and BOC Credit Card may provide your personal data to other members of the Group* and any other persons for their use in direct marketing of financial, insurance, credit card, securities, commodities, investment, banking and related services and products and facilities and so forth. Please cross the box with "☒" if you **<u>do not wish</u>** the Bank and BOC Credit Card to provide your personal data to the above persons for the above purposes.

***The "Group" means the Bank and its holding companies, branches, subsidiaries, representative offices and affiliates, wherever situated. Affiliates include branches, subsidiaries, representative offices and affiliates of the Bank's holding companies, wherever situated.**

The above represents your present choice regarding whether or not to receive direct marketing materials, and the Bank and BOC Credit Card's intended provision of your personal data to other members of the Group* for their use in direct marketing. This replaces any choice communicated by you to the Bank and BOC Credit Card prior to this application. Please note that your above choice applies to the direct marketing of the classes of products, services and/or subjects as set out in the Bank and BOC Credit Card's Data Policy Notice. Please also refer to the said Notice on the kinds of personal data which may be used in direct marketing and the classes of persons to which your personal data may be provided for them to use in direct marketing.

1. The following specimen signatures and signing arrangement will be applicable to all accounts/products/services applied for in this application.

2. The following specimen signatures and signing arrangement will be applicable to all existing accounts/products/services under the name of the applicant and for all accounts/products/services applied for in this application.

3. The signature and signing arrangement for the existing account (please provide the account number) shall be applicable to all accounts/products/services applied for in this application.

(Please ☑ one) 1.☐ 2.☐ 3.☐ (Fill in the account number if selected option [3]) | | | | | | | | | | | | | | |

Signing Arrangement: In the ONE signature set out above, of which ANY ONE signature(s) will be effective.

As Specimen Signature

Customer's Signature：

S.V.

(The signature must be the same as that in the Bank's record, if any)

Customer's Signature Date：

For BOCHK Use Only

客戶號碼：_____ 分行號：_____ 印鑒號：_____

覆核(一)_____ 覆核(二)_____ 日期：_____

For Witnessing Bank Use Only (All must input)

Name of Witnessing Bank:（Full Name）：_____

PIC：(Name in Block Letter) _____ (Signature)_____ (Position)_____

Authorized Viewer：(Name in Block Letter) _____ (Signature)_____

Declaration: Witnessing Bank has already followed the regulations of Cross Border Attestation Services released by the head office or the business unit of BOC, to ensure customers have met the specific requirements of the offshore account opening requirements.

中国银行见证行一级分行联行行号及机构号码： (一级分行联行行号) __ __ __ __ __ (机构号码) __ __ __ __ __

Reminder:

*witness has already signed, with date specified on the Account Opening Form.

*applicant has presented the proof for account opening (as below)，those documents should be stamped with the printed words of 'CERTIFIED TRUE COPY' or 'Original Sighted' or seals with identical meaning, with date specified, signed by handling staff with full name, and signed by Authorized Signatory staff together with full name.

1. Identity Proof
2. Travel Pass/Proof of nationality(Country/Region)
3. Residential Address proof (Applicable for Investment Account application only)
4. Others(if have)