

Personal Internet Banking Securities Account (Cash) Opening Instruction

Step 1: Login Personal Internet Banking, click the “Account Services”, choose “Apply for Account Opening”, select “Securities Account (Cash)” and click the “Open Now” to start the application.

The screenshot shows the 'Apply for Account Opening' page. The left sidebar has 'Account Services' and 'Apply for Account Opening' highlighted. The main content area has three icons: 'Integrated Account', 'Securities Account (Cash)', and 'Funds, Bonds & Structured Products'. The 'Securities Account (Cash)' icon is highlighted with a red box. Below it, a red box highlights the 'Product Introduction-Securities Account (Cash)' section, which contains text about two-factor authentication and a red 'Open Now' button.

Step 2: Fill out “Account Basic Information”, and then select settlement account, investment account statement language, statement receiving method and input date of birth.

The screenshot shows the 'Apply Securities Account' page. The left sidebar has 'Investments' highlighted. The main content area has a red box around the 'Account Basic Information' section. Below it, a red box highlights the 'Settlement Account' dropdown menu. Another red box highlights the 'Investment Account Statement Language' (with 'Traditional Chinese' and 'English' buttons) and 'Statement Delivery Method' (with 'e-Statement' and 'By Mail' buttons) section. A third red box highlights the 'Please input your birth date for confirmation:' field with a date input box and a hint 'e.g. 02/08/1970 (DD/MM/YYYY)'. There are also 'Add to My Menu' and 'Transaction Tips' buttons at the top right.

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Step 3: Ready through “Employment Confirmation Declaration” and confirm if client is agree with it.

<div style="background-color: #f2f2f2; padding: 5px; margin-bottom: 5px;">Account</div> <div style="padding: 5px; margin-bottom: 5px;">Apply Investment Account</div> <div style="padding: 5px; margin-bottom: 5px;">Apply for Instrument-Linked and Structured Deposit Account</div> <div style="padding: 5px; margin-bottom: 5px;">Lucky Draw</div> <div style="padding: 5px; margin-bottom: 5px;"> Bill Payment ▼ </div> <div style="padding: 5px; margin-bottom: 5px;"> Insurance ▼ </div> <div style="padding: 5px; margin-bottom: 5px;"> Loan ▼ </div> <div style="padding: 5px; margin-bottom: 5px;"> Card ▼ </div> <div style="padding: 5px; margin-bottom: 5px;"> Electronic Services ▼ </div> <div style="padding: 5px; margin-bottom: 5px;"> Customer Service ▼ </div> <div style="padding: 5px;"> e-Service Center ▼ </div>	<div style="border: 1px solid #ccc; padding: 5px; margin-bottom: 10px;"> <div style="background-color: #e91e63; color: white; padding: 2px; text-align: center; font-weight: bold;">Employment Confirmation and Declaration</div> <p style="font-size: small; margin-top: 10px;">I hereby declare and confirm that I am not currently employed by a licensed corporation or registered institution regulated by the SFC and will promptly inform the Bank in writing as soon as reasonably practicable and send to the Bank a consent letter from my employer if I become so employed in future.</p> <div style="border: 2px solid yellow; padding: 5px; display: flex; justify-content: space-around; margin-top: 5px;"> <input type="button" value="Agree"/> <input type="button" value="Do not agree"/> </div> </div> <div style="border: 1px solid #ccc; padding: 5px;"> <div style="background-color: #e91e63; color: white; padding: 2px; text-align: center; font-weight: bold;">Self-Certification Form</div> <p style="font-size: small; margin-top: 10px;">Instructions: Please complete the self-certification and declaration in this document in respect of your taxation treatment with the agreement(s) relevant to the service(s) applied.</p> <p style="font-size: small; margin-top: 5px;">Important notes:</p> <ul style="list-style-type: none"> The Bank is required to obtain information relating to its clients' tax residency status to comply with its obligations under law, including the U.S. Foreign Account Tax Compliance Act ("FATCA") and the Inland Revenue Ordinance ("IRO"). For the purposes of the IRO, you should note that it is an offence under section 80(2E) of the IRO if any person, in making a self-certification, 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. \$10,000). Information collected in this self-certification form may be transmitted by the Bank to the Inland Revenue Department for transfer to the tax authority of another jurisdiction and/or the U.S. Internal Revenue Service. Clients should report all changes in his/her tax residency status to the Bank. All parts of this form must be completed (unless not applicable or otherwise specified). If you are unsure about any of the information to be included in this certification and declaration, please contact your tax advisor. <p style="font-size: x-small; margin-top: 5px;">Please ensure all fields marked with a # symbol are complete.</p> </div>
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Step 4: Complete/Update “Part 1: Client’s identification details” in “Self-Certification Form”.

Part 1: Client's identification details	
Name #	
Hong Kong Identity Card / Passport / Other ID Number #	
Current residence address #	Country/Region: Hong Kong, China <input type="checkbox"/>
	Forward: <input type="text"/>
	Room/Floor: <input type="text"/>
	Block/Building: <input type="text"/>
	Estate: <input type="text"/>
	Region/Count/Street: <input type="text"/>
	State/Prefecture/Province: KLN
Postal Code: <input type="text"/>	
Mailing address (if different to the current residence address)	Country/Region: Hong Kong, China <input type="checkbox"/>
	Forward: <input type="text"/>
	Room/Floor: <input type="text"/>
	Block/Building: <input type="text"/>
	Estate: <input type="text"/>
	Region/Count/Street: <input type="text"/>
	State/Prefecture/Province: KWUN TONG KLN
Postal Code: <input type="text"/>	
Date of birth #	**/**/
Place of birth #	Town/City#: <input type="text"/>
	Province/State: <input type="text"/>
	Country#: Hong Kong, China <input type="checkbox"/>
<p>Note: The above addresses are for CRS information reporting purpose only, and will not update the record in the Bank. If you would like to amend the addresses shown above, please return the completed Changing Address and/or Customer Information Instruction Form to or visit any of our branches for the amendment.</p>	

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Step 5: Complete/Update “Part 2: Jurisdiction of Residence and Taxpayer Identification Number (“TIN”) or its Functional Equivalent #”

Part 2: Jurisdiction of Residence and Taxpayer Identification Number (“TIN”); or its Functional Equivalent #

Tax Residency Status Self-certification

Please complete the following table indicating:

(a) the jurisdiction of residence (including Hong Kong) where you are a resident for tax purposes; and
 (b) your TIN for each jurisdiction indicated.

Please indicate **all** jurisdictions of residence.

If you are a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. For TIN of other countries, you may refer to the website of OECD.

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

- Reason A – The jurisdiction where you are a resident for tax purposes does not issue TINs to its residents.
- Reason B – You are unable to obtain a TIN. Explain why you are 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.

Jurisdiction of Residence	TIN (if any)	Enter Reason A, B or C if no TIN is available	Enter an explanation of why you are unable to obtain a TIN if you selected Reason B
Hong Kong, China <u>Update</u>		Please Select <input type="checkbox"/>	
Please Select <input type="checkbox"/>		Please Select <input type="checkbox"/>	
Please Select <input type="checkbox"/>		Please Select <input type="checkbox"/>	
Please Select <input type="checkbox"/>		Please Select <input type="checkbox"/>	
Please Select <input type="checkbox"/>		Please Select <input type="checkbox"/>	

1 The term “TIN” means Taxpayer Identification Number or a functional equivalent in the absence of a TIN. A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual or an Entity and used to identify the individual or Entity for the purposes of administering the tax laws of such jurisdiction. Some jurisdictions do not issue a TIN. However, these jurisdictions often utilize some other high integrity number with an equivalent level of identification (a “functional equivalent”) (e.g. a social security/insurance number, citizen/personal identification/service code/number, and resident registration number).

2 “Reportable account” has the meaning given to it in section 50A of the IRO.

Part 3: Agreement And Declaration

I acknowledge and agree the [Agreement and Declaration](#)

I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete.

Utilization of Customer Information in Investment Corner
 I hereby agree that the staff of the Bank may access and utilize my deposit information in the Investment Corners for providing me full banking services and facilitating my banking and investment process.

Step 6: Click into “Agreement and Declaration” and read through it carefully; if client agree with it, tick “I acknowledge and agree the Agreement and Declaration”. Then click “agree”

Part 3: Agreement And Declaration

I acknowledge and agree the [Agreement and Declaration](#)

I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete.

Utilization of Customer Information in Investment Corner
 I hereby agree that the staff of the Bank may access and utilize my deposit information in the Investment Corners for providing me full banking services and facilitating my banking and investment process.

Additional Service

Service Type: Automated Phone Securities Service

Additional Service Item: In order to provide better service and alternatives, while the new securities account can be operated through Internet Banking, you must apply Phone Banking Service at the same time. You can handle securities transactions through our service hotline (852) 218 95588 and choose Automated Phone Securities Service. If you are in Mainland China, you can dial a local call 95588*, and press 8 roaming service, which you will be able to use our Phone Banking/Automated Phone Securities Service.

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Step 7: Additional Service- if client has opened the Phone Banking Account, please choose to activate APSS or not, then click "Proceed". (picture 1)

Additional Service- if client has not opened the Phone Banking Account, the client need to activate APSS and set up pin for Phone Banking Service with 8 digits number password, then click "Proceed". (picture 2)

(picture 1)

Additional Service

Service Type: Automated Phone Securities Service

Additional Service Item: In order to provide better service and alternatives, while the new securities account can be operated through Internet Banking, you must apply Phone Banking Service at the same time. You can handle securities transactions through our service hotline (852) 218 95588 and choose Automated Phone Securities Service. If you are in Mainland China, you can dial a local call 95588*, and press 8 roaming service, which you will be able to use our Phone Banking/Automated Phone Securities Service.

Phone Banking Account Number:

Service Reminder: You have opened the above Phone Banking Account, you can key in your Phone Banking Account Number and the existing and pin, then you can access and use the service. If you forget the service pin, please visit any of our branches for service amendment.

Activate APSS? yes no

Proceed Clear

(picture 2)

Additional Service

Service Type: Automated Phone Securities Service

Additional Service Item: In order to provide better service and alternatives, while the new securities account can be operated through Internet Banking, you must apply Phone Banking Service at the same time. You can handle securities transactions through our service hotline (852) 218 95588 and choose Automated Phone Securities Service. If you are in Mainland China, you can dial a local call 95588*, and press 8 roaming service, which you will be able to use our Phone Banking/Automated Phone Securities Service.

Account Registration: Auto-registration

Will you apply Automated Phone Securities Service? yes no

Please set up pin for Phone Banking Service/Automated Phone Securities Service: (Please input 8 digits number same login password of Internet Banking)

Please Re-enter Pin:

Proceed Clear

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Step 8: Check the content of “Apply Securities Account”, if the content is correct, click “Proceed”.

Apply Securities Account☆ Add to My Menui Transaction Tips

Please check the following information.

Selected Account Type: Consolidated Investment Account – Securities (Cash)

Account Signature and Transaction Setting: Based on

Consolidated Statement : Based on the address, frequency and delivery method of

Settlement Account :

Registered Mailing Address :

Mobile Phone Number :

Email Address .

Investment Account Statement Language : English


Statement Delivery Method : e-Statement

Phone Banking Services : New Application

Self-Certification Form

Instructions:

Please complete the self-certification and declaration in this document in respect of your taxation treatment with the agreement(s) relevant to the service(s) applied.



Part 3: Agreement And Declaration

I acknowledge and agree the [Agreement and Declaration](#)

I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete.

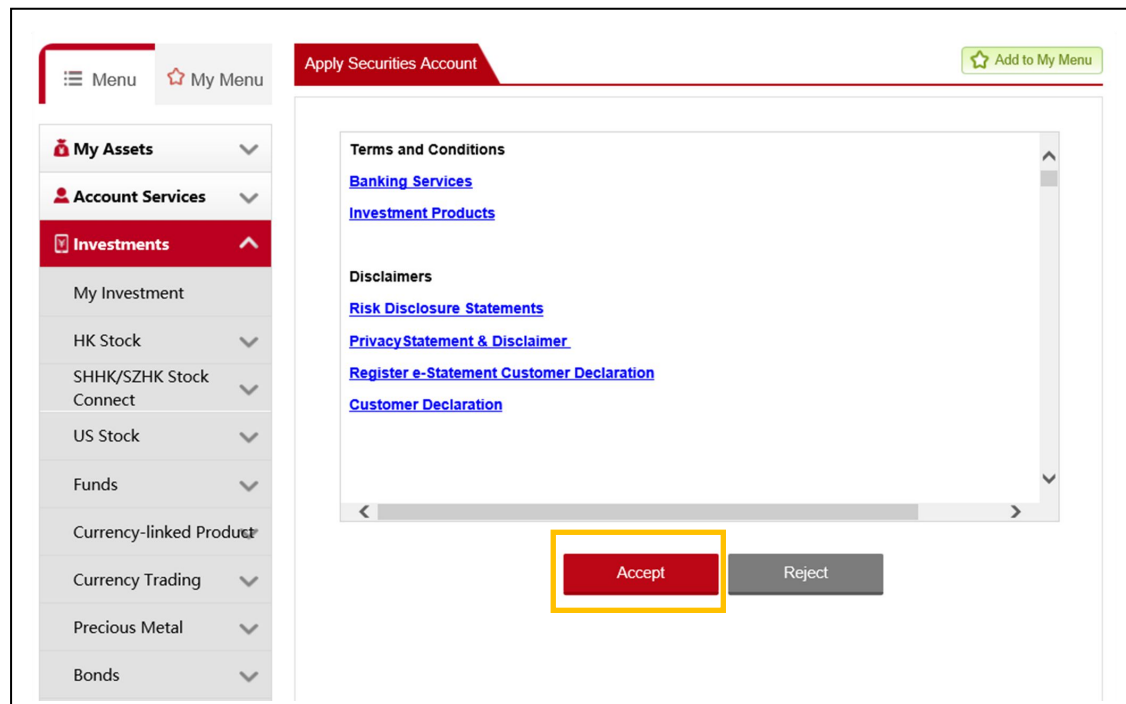
Utilization of Customer Information in Investment Corner
I hereby agree that the staff of the Bank may access and utilize my deposit information in the Investment Corners for providing me full banking services and facilitating my banking and investment process.

Proceed

Cancel

Personal Internet Banking Securities Account (Cash) Opening Instruction

Step 9: Read through “Terms and Conditions” carefully. If client agree with it, click “Accept”.



Step 10: Once page shows “transaction successful”, the application of opening securities account (cash) is completed. Please note client will be able to use account after 1 business day.

Risk Disclosure :

Securities: Investment involves risk and the prices of securities products fluctuate. The prices of securities may move up or down, sometimes dramatically, and may become valueless. It is as likely that loss will be incurred rather than profit made as result of buying and selling investment. The risk of loss in financing a transaction by deposit of collateral is significant. You may sustain losses in excess of your cash and any other assets deposited as collateral with the licensed or registered person. You may be called upon at short notice to make additional margin or interest payments. If the required margin or interest payments are not made within the prescribed time, your collateral may be liquidated without your consent. Moreover, you will remain liable for any resulting deficit in your account and interest charged on your account. You should undertake your own research and study before you trade or invest. You should carefully consider whether trading or investment is suitable in light of your own financial position and investment objectives. You are advised to seek independent financial and professional advice before you trade or invest.

The price of the warrants and Callable Bull/Bear Contracts (“CBBC”) may move up or down rapidly and investors may sustain a total loss of their investment. Past performance of the underlying asset is not an indicator of future performance. You should ensure that you understand the nature of the warrants and CBBC and carefully study the risk factors set out in the relevant listing documents of the warrants and CBBC and where necessary, seek independent professional advice. Warrants that are not exercised will have no

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value upon expiry. CBBC has a mandatory call feature and may be terminated early, in such case, (i) in the case of Category N CBBCs, an investor will not receive any residual value and (ii) in the case of Category R CBBCs, the residual value may be zero.

Investor should bear in mind the key risks of ETFs which include but not limited to political, economic, currency, and other risks of a specific sector or market related to the underlying index; liquid secondary market may not exist for ETFs; changes in the net asset value of the ETFs may deviate from the performance of the tracking index, ETFs may invest in single country and sector; ETFs with tracking index relating to emerging markets may be subject to a greater risk of loss than investments in developed markets; and like all investments, and ETF is subject to the risk of change in policy of the reference market.

Leveraged and inverse products (L&I Products) are derivative products structured as funds. L&I Products are different from conventional ETFs. They do not share the same characteristics and risks. L&I Products are not designed for holding longer than one day; it is for short-term trading or hedging purposes. When L&I Products are held after a period of time, their return may deviate from and may be uncorrelated to the multiple (in the case of leveraged products) or the opposite (in the case of inverse products) of the return of the underlying index. Investors may suffer significant or even total losses. Trading L&I Products involves investment risk and are not intended for all investors. There is no guarantee of repaying the principal amount. Investors should read the relevant offering documents of leveraged and inverse products and ensure they understand the key product features and related risks before making an investment.

RMB Risk Disclosure:

The Chinese Renminbi is currently a restricted currency. Due to the exchange controls and/or restrictions which may be imposed by the PRC government on the convertibility or utilization of RMB from time to time, there is no guarantee that disruption in the transferability, convertibility or liquidity of RMB will not occur. There is thus a likelihood that you may not be able to convert the Chinese Renminbi received into other freely convertible currencies.

Major risks of China Connect Securities (SZSE/SSE Securities)

Investor Compensation Fund – Trading in China Connect Securities (SZSE/SSE Securities) does not enjoy the protections afforded by the Investor Compensation Fund established under the SFO. Accordingly, unlike the trading of SEHK-listed securities, you will not be covered by the Investor Compensation Fund in respect of any loss you may sustain by reason of a default by any SFC licensed or registered person.

Quota on Northbound Trading – Relevant governmental or regulatory bodies may impose quotas on the trading of China Connect Securities (SZSE/SSE Securities) from time to time depending on market conditions and readiness, the level of cross-boundary fund flows, stability of the market and other factors and considerations. You should read the relevant details on such quota restrictions, including the quota limit, level of quota utilization, balance of available quota and the applicable restrictions and arrangements published on SEHK website from time to time to ensure you have the most updated information.

Difference in Trading Day – Stock Connect (Shanghai-Hong Kong / Shenzhen-Hong Kong Stock Connect) is open for trading only when (a) each of the HKEx and SZSE/SSE is open for trading; and (b) banking services are available in both Hong Kong and Shenzhen/Shanghai on the corresponding money settlement days. If any of the relevant exchange is not open or if the banks in either Hong Kong or Shenzhen/Shanghai are not open for money settlement business, you will not be able to conduct any Northbound Trading. You should take note of the days on which the Stock Connect (Shanghai-Hong Kong/Shenzhen-Hong Kong Stock Connect) operates and decide according to your own risk tolerance capability whether or not to take on the risk of price fluctuations in China Connect Securities (SZSE/SSE Securities) during the time when the Stock Connect (Shanghai-Hong Kong / Shenzhen-Hong Kong Stock Connect) is not available for Northbound Trading.

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The recalling of eligible stocks – When a stock is recalled from the scope of eligible stocks for trading via the Stock Connect (Shanghai-Hong Kong/Shenzhen-Hong Kong Stock Connect), the stock can only be sold but restricted from being bought. This may affect the investment portfolio or strategies of investors. Investors should therefore pay close attention to the list of eligible stocks as provided and renewed from time to time by SZSE/SSE and SEHK.

Important Notice

The above risk disclosure statements cannot disclose all the risks involved. Before making investment decision, you should thoroughly study the offering documents, financial reports and relevant risk disclosure statements issued by the issuer of the investment product(s). Further you should consider your own circumstances including financial position, investment experience and objective to ensure the investment is suitable for your particular investment needs and risk tolerance capacity. You should seek independent financial and professional advice before trading or investment. This promotional material does not constitute an offer or solicitation for the purchase or sales of any investment products. This promotional material is issued by Industrial and Commercial Bank of China (Asia) Limited (the “Bank”) and the contents have not been reviewed by Securities and Futures Commission.

For details, please visit any of our branches. We are delighted to provide you with further information. You may also call our customer service hotline at 218 95588 or browse our [website www.icbcasia.com](http://www.icbcasia.com).