

致：中信建投（国际）证券有限公司（香港证监会中央编号：BAU373）（统称“中信建投国际”）
地址：香港中环交易广场二期 18 楼

寄信人：客户姓名：_____
客户账号：_____

日本市场股票交易声明书

日本《金融商品取引法》（FIEA）订明了证券交易、禁止内幕交易、市场操纵和其他不公平行为的相关规定。为了防止不公平交易，阁下交易日本市场股票前必须知悉及同意：

一、一般性声明

- ☐ i. 本人 / 吾等已阅读并理解由日本证券交易所发布的有关防止不公平交易的说明：
<https://www.jpx.co.jp/english/regulation/ensuring/preventing/index.html>
- ☐ ii. 本人 / 吾等明白及同意中信建投国际有权限制接受来自本人 / 吾等的下单 / 交易指令（不限于可疑交易）；
- ☐ iii. 中信建投国际已经向本人 / 吾等充分解释了有关不公平交易的法规的目的。

二、关于“企业内部人员”的特别声明

依据 FIEA 第 166 条规定，上市公司“企业内部人员”包括：主要股东（即该公司前十大股东之一，或持有该公司 3%或以上已发行的股份）、客户、业务伙伴、员工等。

- ☐ 本人 / 吾等**不属于**“企业内部人员”
- ☐ 本人 / 吾等**属于**下列上市公司的“企业内部人员”（如本表格上的空位不够，请另纸填写数据并一并递交）

股票代码	股票名称	持仓数量

- ☐ 本人 / 吾等确认向中信建投国际发出交易指示时，有关交易并非基于内幕消息且不属于市场操控类别；

确认及同意：

本人 / 吾等确认已阅读及同意上述就防止不公平交易的声明，并保证如上述信息有任何更新，会立刻通知中信建投国际。

客户签署
日期

To: China Securities (International) Brokerage Company Limited (SFC CE No.: BAU373) ("CSIB")

Address: 18/F, Two Exchange Square, Central, Hong Kong

From: Client Full Name: _____

Account No.: _____

Consent Letter on Japan Market Stock Trading

The Financial Instruments and Exchange Act (FIEA) provides regulations related to securities trading and prohibits insider trading, market manipulation and other unfair acts. To prevent Unfair Trading in relation to the Japan Market Stock Trading, I/We acknowledge and agree that:

Part 1 General Declaration

- ☐ i. I/We have read and understood the explanation on prohibited trading published by the Japan Exchange at: <https://www.jpx.co.jp/english/regulation/ensuring/preventing/index.html>
- ☐ ii. I/We accept and agree that at the discretion of CSIB, they may restrict the acceptance of orders from me/us, in whole or in part, not limited to suspicious transactions;
- ☐ iii. CSIB has fully explained the purpose of regulations concerning unfair trading to me/us.

Part 2 Additional Declaration regarding to "Corporate Insider"

As stipulated in Article 166 of the FIEA, "Corporate Insider" of a listed company includes major shareholder (i.e. one of the top 10 shareholders in the stated company, or holding 3% or more of the shares issued), client, business partner, employee, etc.

- ☐ I/We **do not fall** under the category of "Corporate Insider"
- ☐ I/We **fall** under the category of "Corporate Insider" of the the following listed company(ies) (If the space provide in this form is insufficient, provide particulars on a separate sheet and return it with this form)

Stock Code	Stock Name	Number of Shares Held

- ☐ I/we confirm that when placing an order to CSIB, the transaction is not based on insider information and does not fall under the category of Market Manipulation.

Acknowledgement and Consent

I/We acknowledge that I/We have read and understand the content of the above declaration for preventing Unfair Trading, and I/We undertake to promptly notify CSIB in the event of any changes to the aforementioned information.

Signed by: _____

Date: