

COMPLIANCE DECLARATION FOR CHINESE MAINLAND INVESTORS
中國內地投資者合規聲明書

致：核聚證券有限公司
TO: The Core Securities Company Limited

本人／吾等為在核聚證券有限公司（「核聚證券」）開立及／或維持帳戶之目的，謹此作出正式、不可撤銷且具法律約束力之聲明、確認及承諾如下：

In support of my/our application to open and/or maintain an account with The Core Securities Company Limited ("TCSCCL"), I/we hereby make this formal, irrevocable, and legally binding declaration, confirmation, and undertaking that:

1. 本人／吾等用於支持本人／吾等投資活動及相關結算的所有資金，均來自中國內地以外的合法來源，且完全符合所有適用之法律法規及外匯管制規定。
All funds used to support my/our investment activities and related settlements are derived from lawful sources outside of the Chinese Mainland, and are in full compliance with all applicable laws, regulations, and capital control requirements.
2. 本人／吾等並無任何曾因使用、提供或涉及可疑或偽造文件而被任何持牌法團、註冊機構或銀行關閉或暫停的帳戶。
I/We do not have any account that has previously been closed or suspended by any licensed corporation, registered institution, or banking institution globally due to the use, provision, or involvement of questionable or forged documents.
3. 本聲明所載資料如有任何變更，本人／吾等承諾將於 7 個營業日內以書面形式通知核聚證券，並依要求提交經獨立專業人士核證之最新支持文件。
I/We undertake to notify TCSCCL in writing within seven (7) business days of any change to the information contained in this written declaration, and to provide updated, independently certified supporting documents upon demand.
4. 本人／吾等明確且不可撤銷地理解並同意，執法機構或監管機關如有要求，核聚證券可在無需事先通知或取得本人／吾等進一步同意的情况下，披露本人／吾等的個人資訊（包括個人資料及／或敏感個人資料）及其他相關資料。
I/We explicitly and irrevocably understand and agree that, upon request by law enforcement agencies or regulatory authorities, TCSCCL may disclose my/our personal information (including personal data and/or sensitive personal data) and other relevant information without prior notice or the requirement of further consent from me/us.

CRITICAL LEGAL NOTICE (重要法律告示)

本人／吾等已充份閱讀、理解並同意，本聲明書構成本人／吾等與核聚證券客戶協議書中不可分割且具最高法律效力之組成部份。

I/We have fully read, understood, and agreed that this Compliance Declaration constitutes an integral part of the Client Agreement between me/us and TCSCCL, carrying overriding legal effect.

本人／吾等特此明確知悉並同意，提交任何偽造、變更或具誤導性的文件屬嚴重違約及刑事違法行為。一經發現或合理懷疑存在任何此等偽造行為，核聚證券擁有絕對及唯一的酌情權，可隨時實施立即限制交易、暫停提取本人／吾等之款項及證券、停用所有交易功能或永久關閉帳戶，而無需事先通知本人／吾等或取得本人／吾等的同意，且核聚證券對引致的任何市場滑價、錯失投資機會、強制平倉、期權到期、商業損失，以及間接或相應引起的損失或損害概不承擔任何法律責任。此外，核聚證券將履行其法定職責，考慮將所有相關的個人及交易資料一併向相關監管機構及／或執法部門（包括香港證券及期貨事務監察委員會、香港警務處及／或聯合財富情報組）作出正式舉報，此舉可能會導致根據香港法律進行即時刑事調查及刑事訴訟。

I/We hereby explicitly acknowledge and agree that the submission of any forged, altered, or misleading documentation constitutes a severe contractual breach and criminal infraction. Upon the detection or reasonable suspicion of any such falsification, TCSCCL retains the absolute and sole discretion to enforce an immediate transaction block, suspend the withdrawal of my/our money and securities, deactivate all trading functions, or permanently close the Account without prior notice to me/us or prior consent from me/us and without liability for any resulting market slippage, missed investment opportunities, forced liquidation, option expirations, commercial losses, indirect or consequential losses or damages. Furthermore, TCSCCL shall fulfill its statutory duties to consider filing a formal report, alongside all associated personal and transactional data, with relevant regulators and/or law enforcement agencies (including the SFC, the Hong Kong Police Force and/or the Joint Financial Intelligence Unit) which may result in immediate criminal investigation and criminal prosecution under the laws of Hong Kong.

客戶簽署 / Client Signature(s): _____

客戶姓名 / Client Full Name: _____

身分證明文件或護照號碼 / Identification Document or Passport Number: _____

帳戶號碼 / Account Number: _____

日期 / Date: _____