

关于开通沪港通、深港通的相关文件

Documents for Shanghai/Shenzhen-Hong Kong Stock Connect

Documents	
1.	Additional Provisions and Risk Disclosures for Shanghai/Shenzhen-Hong Kong Stock Connect 有关沪港通/深港通的附加条款及风险披露
2.	Circular to Client and Other Individuals relating to the Personal Data (Privacy) Ordinance 关于个人资料(私隐)条例致客户及其他个别人士的通函
3.	Client Consent on The Northbound Investor ID Model and The Personal Information Collection Statement concerning Northbound China Connect Orders 客户同意书 有关「北向交易投资者标识符模式」及有关中华通北向交易委托的个人资料收集声明
4.	Client Confirmation 客户确认函（适用于新开通的客户签署）

需新开通的客户，适用于以下内容：

Please note that CNI Securities Group Limited has issued the above listed new and/or revised documents. Please review the above listed documents carefully which would form part of the Client Agreement.

请知悉，中国北方证券集团已发出上列新订立及/或已修订的文件。请细阅上列文件，这将成为客户协议的一部分。

Please sign on the paper form of Client Confirmation (which can be found at the last page or downloaded from our company website) to confirm that you have read, understood and accepted all the content in above listed documents.

请在“客户确认”的纸质表格上签署(该纸质表格可在最后一页找到或在我们的公司网站内下载)，以确认您已经阅读、明白及接受上列文件的全部内容

If you have signed on the paper form of Client Confirmation, please give it back to CNI Securities Group Limited by post, email or fax within two weeks. It is very important to receive your response so that we can continue to serve you as our client. In any event, by trading the Shanghai/Shenzhen-Hong Kong Stock Connect Securities through us, you are required to accept all terms and conditions stated in the above listed documents.

如您已在“客户确认”的纸质表格上签署，请在两周内将纸质表格以邮寄、电邮或传真的方式交回中国北方证券集团。得到您的确认是非常重要的，以便我们能够继续为您服务。在任何情况下，您欲通过我们进行沪港通/深港通证券交易，您必须接受上列文件内的全部条款及条件。

已开通过的客户，适用于以下内容：

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在任何情况下，您欲通过我们进行沪港通/深港通证券交易，您必须接受上列文件内的全部条款及条件。

Should you have any questions about the documents listed above, please contact us .

如果您对上列文件有任何问题，请联系我们。

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