



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：

- 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 / 吾等不属于 FIEA 第 166 条规定的“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；
- iii. 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）；
- iv. 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。

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。

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:

- 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 do not fall under the category of "Corporate Insider" as stipulated in Article 166 of the Financial Instruments and Exchange Act.(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.);
- iii. 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;
- iv. CSIB has fully explained the purpose of regulations concerning unfair trading to me/us.

Acknowledgement and Consent

I/We acknowledge that I/We have read and understand the content of the above declaration for preventing Unfair Trading.

Signed by: _____

Date: