

**Pre-vetting Application Form for  
Wealth Management Connect Northbound Service  
("Application Form")**

*Please complete this Application Form for applying the Wealth Management Connect Northbound. Information in this Application Form will be transferred to and shared with the Cooperating Bank for the same purpose. Customers are required to designate one account with the Bank as his/her WMC (Northbound) RMB Saving Account for remittance purpose and one account with the Cooperating Bank as his/her Mainland Investment Account for investment purpose which shall be paired together for closed-loop funds flow. Customers cannot change the designated Mainland Investment Account once it has been paired with the WMC (Northbound) RMB Saving Account, save with the consent of the Cooperating Bank and the Bank.*

***The Cooperating Bank, China Construction Bank Corporation, is not an authorized institution under the Banking Ordinance (Cap. 155 of the laws of Hong Kong), and is not subject to the supervision of the Hong Kong Monetary Authority, and that the Cooperating Bank cannot carry on in Hong Kong any banking business or business of taking deposits.***

**To: China Construction Bank (Asia) Corporation Limited ("Bank")**

*Capitalised terms used in this Application Form shall have the same meanings as those defined in the Terms and Conditions for Wealth Management Connect Northbound Service unless otherwise defined herein. All parts of this Application Form must be completed.*

*In case of any inconsistency between this Application Form and (for the WMC (Northbound) RMB Saving Account) the Personal Account Opening Form, this Application Form shall prevail for the purpose of applying for and using the Wealth Management Connect Northbound Service.*

*The English version of this Application Form is the governing version and shall prevail if there is any discrepancy between the English version and the Chinese version.*

I would like to apply for the Wealth Management Connect Northbound Service and provide the following particulars to the Bank:

<b>A. Applicant</b>	
Name in English:	
Name in Chinese:	
HKID Card:	
Type of Identity Document:  <input type="checkbox"/> Mainland Travel Permit for Hong Kong and Macau Residents  <input type="checkbox"/> The People's Republic of China Resident Identity Cards	No. of Identity Document:
Contact Tel. No. (Mobile):	Email Address:

**Change of Reserved Mobile Number for Account Opening in China Construction Bank Corporation**

Reserved Mobile Number (if different from Contact Tel. No., please fill):

I agree to change the reserved mobile number for account opening in China Construction Bank Corporation to the contact tel. number provided above for applying for the Wealth Management Connect Northbound Service.

**B. Designated Accounts for the Wealth Management Connect Northbound Service**

I hereby designate the following bank accounts as the WMC (Northbound) RMB Saving Account (as the remittance account in Hong Kong) and the Mainland Investment Account (as the investment account in the Mainland China) for the purpose of the Wealth Management Connect Northbound Service:

Account Type	Bank	Account Number
WMC (Northbound) RMB Saving Account	China Construction Bank (Asia) Corporation Limited	
Mainland Investment Account	<input type="checkbox"/> I have completed the account-opening process in respect of the Mainland Investment Account with China Construction Bank Corporation.	
	<input type="checkbox"/> I have not completed the account-opening process in respect of the Mainland Investment Account with China Construction Bank Corporation, and will advise the Bank of the relevant details promptly after such account is opened.	N/A

**C. Application of Wealth Management Connect Northbound Service**

I confirm that I have not applied and will not apply the wealth management connect northbound service in other banks.

I hereby declare:

Currently, I have not registered the Wealth Management Connect Northbound Service with any other securities firms / I have no plan to register the Wealth Management Connect Northbound Service with any other securities firms.

Currently, I have registered the Wealth Management Connect Northbound Service with another securities firm / I have the plan to register the Wealth Management Connect Northbound Service with another securities firm.

I confirm that the funds used for Wealth Management Connect Northbound Service are my own funds and I have not raised funds from others.

Preference on application channel for the Mainland Investment Account	<input type="checkbox"/> Electronic Channel ( <i>Applicable only to customers who have registered and used the e-banking service with China Construction Bank Corporation</i> ) <input type="checkbox"/> Branch
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Preference on Mainland city for applying the Wealth Management Connect Northbound Service	<input type="checkbox"/> Guangzhou <input type="checkbox"/> Zhaoqing <input type="checkbox"/> Shenzhen <input type="checkbox"/> Zhongshan <input type="checkbox"/> Zhuhai <input type="checkbox"/> Jiangmen <input type="checkbox"/> Foshan <input type="checkbox"/> Huizhou <input type="checkbox"/> Dongguan
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**D. Applicant's declarations**

1. I, the undersigned, with my particulars set out above, agree that I shall be bound by the following terms and conditions for my application and use of the Wealth Management Connect Northbound Service and the WMC (Northbound) RMB Saving Account (to the extent applicable):

- a) this Application Form;
- b) the “**Terms and Conditions for Wealth Management Connect Northbound Service**” (including the Appendix therein entitled “Risk Disclosure and Other Information”);
- c) the “**Terms and Conditions for Accounts and Related Services (For Individuals)**” (including all schedules attached thereto);
- d) the “**Terms and Conditions for Online Banking Services**”;
- e) the “**eStatement/eAdvice Service Terms and Conditions**”;
- f) the “**Notice to Customers relating to the Personal Data (Privacy) Ordinance**”;
- g) the “**Schedule of Service Fees**”; and
- h) other terms and conditions applicable to the Wealth Management Connect Northbound Service as agreed between the Bank and me as amended from time to time,

(collectively, “**Terms**”), a copy of each of which is annexed to this Application Form.

2. I confirm that I have received and read a copy of the current version in the language of my choice (English or Chinese), and fully understand the provisions of the Terms, and agree that the relationships and all transactions and dealings between the Bank and me under the Wealth Management Connect Northbound Service are subject to and governed by the Terms (as amended from time to time). I have read the Appendix entitled “Risk Disclosure and Other Information” in the “Terms and Conditions for Wealth Management Connect Northbound Service”, and been invited to take independent advice if I wish.

**3. I confirm that:**

- a) I am a resident in Hong Kong;
- b) I meet the eligibility requirements prescribed by the Bank and the Applicable Requirements for the Wealth Management Connect Northbound Service from time to time;
- c) (if applicable) my bank account in the Cooperating Bank set out in Section B above is my Mainland Investment Account for the purpose of the Wealth Management Connect Northbound Service;
- d) the WMC (Northbound) RMB Saving Account can only be used strictly for the sole purpose of the Wealth Management Connect Northbound Service which is paired with the Mainland Investment Account, and cannot be used for any other purposes or functions which may otherwise be applicable to a bank account opened and maintained with the Bank;
- e) I will inform the Bank immediately of any change in my status that may affect my eligibility to maintain the WMC (Northbound) RMB Saving Account and the use of the Wealth Management Connect Northbound Service; and
- f) I consent to the Bank to obtain my personal data and account information of the Wealth Management Connect Northbound Service from the Cooperating Bank from time to time for the purpose of providing the Wealth Management Connect Northbound Service to me.

**4. I acknowledge and confirm that:**

- a) I will comply with all the Applicable Requirements for the Wealth Management Connect Northbound Service (which are subject to change from time to time without prior notice);
- b) I will not use the Wealth Management Connect Northbound Service in any way that is illegal;
- c) I understand the risks associated with the use of the Wealth Management Connect Northbound Service (including those as set out in the Terms, in particular the the Appendix entitled “Risk Disclosure and Other Information” in the “Terms and Conditions for Wealth Management Connect Northbound Service”) and I am willing to take such risks;
- d) I understand that the Terms (in particular the the Appendix entitled “Risk Disclosure and Other Information” in the “Terms and Conditions for Wealth Management Connect Northbound Service”) is not exhaustive. I have the responsibility to seek independent professional advice and undertake my own assessment before entering into any transaction under the Wealth Management Connect Northbound Service;
- e) I understand that my WMC (Northbound) RMB Saving Account is opened and maintained with the Bank and is paired with my Mainland Investment Account for cross-boundary fund remittance under a closed-loop funds flow channel under the Wealth Management Connect Northbound Service, while my Mainland Investment Account is opened and maintained with the Cooperating Bank in Mainland China for investment in and holding Eligible Products in Mainland China;
- f) the Terms are my agreement with the Bank for the application and use of my WMC (Northbound) RMB Saving Account and the Wealth Management Connect Northbound Service. The operation of my Mainland Investment Account is subject to the terms and conditions applicable to such account provided by the Cooperating Bank. I undertake that I will at all times comply with the terms and conditions applicable to such account provided by the Cooperating Bank from time to time. I understand that the Bank has no obligation to advise or otherwise update me about the Mainland Investment Account;
- g) I understand that the Cooperating Bank is incorporated in Mainland China and is not an authorized institution in Hong Kong as defined in the Banking Ordinance (Cap. 155 of the Laws of Hong Kong) and is not subject to the supervision of the Hong Kong Monetary Authority. The Cooperating Bank cannot carry on any banking business or business of taking deposits in Hong Kong. Any deposits maintained with the Cooperating Bank are not protected under the Deposit Protection Scheme in Hong Kong. I understand the rules and procedures relevant to transactions

in the Mainland China wealth management product market, and will consider my own circumstances before making investment decisions;

- h) the funds in the WMC (Northbound) RMB Saving Account under the Wealth Management Connect Northbound Service, the Eligible Products purchased under the Wealth Management Connect Northbound Service and any investment returns arising from such Eligible Products (or any part thereof) must be free from any encumbrance whatsoever (including but not limited to any mortgage, pledge, lease, trust, bailment, lien, security interest, charge or other similar arrangement) in favour of any other person;
- i) I understand that RMB is currently not freely convertible and the conversion of RMB is subject to the Applicable Requirements;
- j) I understand that cross-boundary remittance of RMB between my WMC (Northbound) RMB Saving Account and my Mainland Investment Account is subject to the Applicable Requirements (including any applicable quota) and other requirements prescribed by the Bank from time to time. I understand that the Bank has no obligation to update or advise me as to future changes to the Applicable Requirements;
- k) if I am in breach of any Applicable Requirement (such as when the funds in my WMC (Northbound) RMB Saving Account are mistakenly transferred to an account in breach of the Applicable Requirements), I will rectify the mistake by taking such actions as requested by the Bank (which may include depositing funds into my WMC (Northbound) RMB Saving Account);
- l) I understand that where the Bank reasonably considers that I am in breach, or may be in breach, of any Applicable Requirements, the Bank will file a report with the Authorities immediately and take such further actions as requested by the Authorities, including but not limited to suspending or terminating my use of the Wealth Management Connect Northbound Service and the WMC (Northbound) RMB Saving Account;
- m) I am responsible for all costs, expenses and taxes incurred in connection with my use of the Wealth Management Connect Northbound Service and agree to indemnify the Bank on demand from and against all costs, expenses and taxes which the Bank incurs in connection with my use of the Wealth Management Connect Northbound Service;
- n) the Bank is not responsible for advising or handling any tax issues in connection with the Wealth Management Connect Northbound Service, and the Bank does not provide any service or assistance in relation to tax;
- o) all the information provided by me in connection to the Wealth Management Connect Northbound Service is, and remains, true, accurate, correct and complete;
- p) I will immediately notify the Bank in writing if my Mainland Investment Account is suspended, terminated or otherwise changed in a way which may affect the Wealth Management Connect Northbound Service;
- q) I will provide the Bank with such information and documentary evidence (to the Bank's satisfaction) as the Bank may require from time to time for the purpose of verifying my identity and providing the Wealth Management Connect Northbound Service;
- r) the Bank can liaise with, and rely on information provided by, the Cooperating Bank that opened my Mainland Investment Account for the purpose of verifying my identity and my Mainland Investment Account, and providing the Wealth Management Connect Northbound Service; and
- s) I will not authorise any third party to operate my WMC (Northbound) RMB Saving Account.

5. I confirm that the Bank may keep my information for such period of time as the Bank may reasonably consider appropriate to comply with Applicable Requirements and may store my data locally and/or in Mainland China. The Bank may share my information for the purpose of the Wealth Management Connect Northbound Service to:

- a) the Cooperating Bank that opened and operates my Mainland Investment Account;
- b) the Bank's group members and its service providers;
- c) any Authorities to comply with the Applicable Requirements (such as meeting any aggregate or individual investor quota prescribed by the Applicable Requirements and/or complying with legal or regulatory requirements);
- d) other third parties which are contracted with the Bank for providing services in relation to the Wealth Management Connect Southbound Service; and/or
- e) other third parties as permitted by, and for such purposes according to, the Privacy Policy.

6. Consent to the Cross-Boundary Transfer of Personal Data

For the purposes of providing the Wealth Management Connect Northbound Service to me, the Bank may transfer my personal and account information including but not limited to my name, contact details, account information, cross-border fund transfer information and account status, outside Hong Kong to China Construction Bank Corporation, as the Cooperating Bank, situated in Mainland China, where there may not be in place data protection laws which are substantially similar to, or serve the same purposes as, the Personal Data (Privacy) Ordinance. That means my personal data may not be protected to the same or similar level in Hong Kong. The Bank may also transfer my personal data and account information of the Wealth Management Connect Northbound Service to the relevant regulatory authorities in Mainland China and Hong Kong to comply with the Applicable Requirements.

I consent to the transfer of my personal data and account information of the Wealth Management Connect Northbound Service outside Hong Kong to the Cooperating Bank, and the relevant regulatory authorities in Mainland China and Hong Kong to comply with the Applicable Requirements.

**E. Signature and Confirmation of Applicant**

Name of Applicant:

Signature of Applicant:

Date:

**F. Staff Declaration [For the Bank's internal use]**

I hereby declare that:

1. the Terms (including the Appendix entitled "Risk Disclosure and Other Information" in the "Terms and Conditions for Wealth Management Connect Northbound Service") in the language of the Applicant's choice (English or Chinese) have been provided to the Applicant;
2. the Applicant has been invited to read the Appendix entitled "Risk Disclosure and Other Information" in the "Terms and Conditions for Wealth Management Connect Northbound Service", ask questions and to take independent advice if the Applicant so wishes; and
3. the Applicant is not Vulnerable Customer.

Name of Staff:

HKMA Registration Number:

Signature of Staff:

Date: