

Client Name 客戶姓名：\_\_\_\_\_

Account No. 客戶賬號：\_\_\_\_\_



## ACCOUNT OPENING FORM

### 開戶表格

(Individual / Joint Account)

(個人 / 聯名賬戶)

For 適用於：

Central China International Securities Co., Limited (CE Number: BF1947)

中州國際證券有限公司(中央編號：BF1947)

Central China International Futures Company Limited (CE Number: BJ1877).

中州國際期貨有限公司(中央編號：BJ1877)

Registered Office: Suites 1505-1508, Two Exchange Square, 8 Connaught Place, Central, Hong Kong

註冊辦事處：香港中環交易廣場二期康樂廣場 8 號 1505-1508 室

Tel. 電話：(852) 2500 1313 Fax 傳真：(852) 2250 5113 Email 電郵：cs@ccnew.com.hk

**IMPORTANT: If this Account Opening Form is accompanied by a Chinese version, in the event of any inconsistency, the English version of this Account Opening Form shall prevail.**

重要提示：倘若本開戶表格附帶中文版，而與英文版有任何歧義，以英文版為準。

客戶資料表 (個人)  
 Client Information Statement (Individual)

<b>Account Opening Form 開戶表格</b>			
<b>Account Nature 賬戶形式：</b> <input type="checkbox"/> Individual 個人 <input type="checkbox"/> Joint 聯名			
<b>Account Type 賬戶類別：</b>	<b>Central China International Securities Co., Limited</b> 中州國際證券有限公司		<input type="checkbox"/> Cash Securities Account 現金證券賬戶
	<b>Central China International Futures Company Limited</b> 中州國際期貨有限公司		<input type="checkbox"/> Margin Securities Account 保證金證券賬戶
<b>Internet Trading Service 網上交易服務</b>		<input type="checkbox"/> Hong Kong Stock 港股 <input type="checkbox"/> US Stock 美股 <input type="checkbox"/> Future and Options 期貨期權	
<b>A. Individual/ Primary Joint Account Holder</b> 個人/聯名賬戶主要持有人			
<b>1. Client Data 客戶資料</b>			
<b>Name of Client 客戶名稱：</b>	(Chinese 中文)	<b>Gender 性別：</b> <input type="checkbox"/> 男 Male <input type="checkbox"/> 女 Female	<b>Date of Birth 出生日期</b> Year 年 Month 月 Day 日
	(English 英文/ Pinyin 拼音)	<b>Education Level 教育程度：</b> <input type="checkbox"/> Primary or below 小學或以下 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Post-secondary 大專或以上	
<b>ID Type and No. 身份證明文件類別及號碼：</b>	<input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照 / 往來港澳通行證 Issuing Country 簽發國家：	<b>Marital Status 婚姻狀況：</b> <input type="checkbox"/> Single 未婚 <input type="checkbox"/> Others 其他： <input type="checkbox"/> Married 已婚	
	Number. 號碼：	<b>Place of Birth 出生地：</b>	<b>Nationality 國籍：</b>
<b>Mobile Phone No. 手提電話：</b> ( )-	<b>Email Address 電郵地址：</b>		<b>Fax No. 傳真號碼：</b> ( )-
<b>Residence/ Home Address 住宅地址：</b>	(P.O. Box address is not acceptable 恕不接受中央郵箱地址) (Postal Code 郵編)		<b>Home Phone No. 住宅電話：</b> ( )-
<b>Mailing/ Correspondence Address 通訊地址：</b>	<input type="checkbox"/> Residence/ Home Address 住宅地址 <input type="checkbox"/> Office Address 公司地址 <input type="checkbox"/> Others (Please Specify) 其他(請說明)： (Postal Code 郵編)		
(If your Mailing/ Correspondence Address is same as Residence/ Home Address, Residence/ Home Address will be displayed in statement) (如閣下的通訊地址與住宅地址一樣，住宅地址將設置為結單上顯示之地址)			
<b>2. Employment Status 工作狀況</b>			
<input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Employer 僱主 <input type="checkbox"/> Self-Employed 自僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Housewife 家庭主婦 <input type="checkbox"/> Others 其他：			
<b>Name of Employer 僱主名稱：</b>		<b>Nature of Business 業務性質：</b>	
<b>Office Address 公司地址：</b> (Postal Code 郵編)			
<b>Office Tel No. 公司電話號碼：</b>	<b>Year in Occupation 從業年數：</b>	<b>Position 職位：</b>	<b>Year(s) of Service 入職年期：</b>
<b>3. Financial Summary 財務資料摘要</b>			
<b>Source of Income 收入來源</b> (choose one or more 可選多項)	(If unemployed, must specify source of funds 如非受雇，必須填寫資金來源) <input type="checkbox"/> Salary & Commission 薪金及佣金 <input type="checkbox"/> Business Profit 業務溢利 <input type="checkbox"/> Investment 投資 <input type="checkbox"/> Dividend/Interest 股息/利息 <input type="checkbox"/> Rent 租金 <input type="checkbox"/> Pension 退休金 <input type="checkbox"/> Family Income 家庭收入 <input type="checkbox"/> Savings 儲蓄 <input type="checkbox"/> Others 其他 (Please specify 請說明)：		
<b>Estimated annual income (in HK\$) 估計年度收入 (港元)</b>	<input type="checkbox"/> ≤ 200,000 <input type="checkbox"/> 200,001 – 500,000 <input type="checkbox"/> 500,001 – 1,000,000 <input type="checkbox"/> 1,000,001 – 2,000,000 <input type="checkbox"/> 2,000,001 – 5,000,000 <input type="checkbox"/> ≥ 5,000,001		
<b>Asset Items 資產項目</b>	<input type="checkbox"/> Land and Property 房地產 <input type="checkbox"/> Cash / Deposit 現金 / 存款 <input type="checkbox"/> Stock 股票 <input type="checkbox"/> Fund 基金 <input type="checkbox"/> Bond 債券 <input type="checkbox"/> Bullion 貴金屬 <input type="checkbox"/> Vehicle(s) 車輛 <input type="checkbox"/> Company/Shares 公司/股份 <input type="checkbox"/> Others 其他 (Please specify 請說明)：		
<b>Total Net Asset Value (HKD) 資產淨值(港元)</b>	<input type="checkbox"/> ≤ 500,000 <input type="checkbox"/> 500,001 – 1,000,000 <input type="checkbox"/> 1,000,001 – 3,000,000 <input type="checkbox"/> 3,000,001 – 8,000,000 <input type="checkbox"/> 8,000,001 – 40,000,000 <input type="checkbox"/> ≥ 40,000,001		

**4. Investment Experience & Derivative Products Knowledge 投資經驗及衍生產品認識**

<b>Investment Objective 投資目的</b>	<input type="checkbox"/> Capital Gain 資本增值 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Dividend Income 股息收益 <input type="checkbox"/> Others 其他(Please specify 請註明) : _____				
<b>Investment Products and Investment Experience (Local or Overseas) 曾買賣產品及投資經驗 (本地或海外) (tick as appropriate) (請於適當空格填上 ✓)</b>		< 1 year 少於一年	1-5 years 一至五年	6-10 years 六至十年	>10 years 多於十年
	Shares 股票				
	Callable Bull/Bear Contracts (CBBC)/ Derivative Warrants 牛熊證 / 衍生權證(窩輪)				
	G.E.M. Listed Shares 創業板				
	Futures and Options 期貨及期權				
	Hedge Funds 對沖基金				
	Mutual Funds/Unit Trust 互惠基金/單位信託基金				
	Structured Investment Products 結構性產品				
	Fixed Income Securities 固定收益證券				
Others (Please specify) 其他 (請註明)					

The Client acknowledges and understands Central China International Securities Co., Limited and/or Central China International Futures Company Limited will assess whether the Client has adequate knowledge on derivative products according to the information the Client provided. (please answer all questions)  
 客戶知悉及明白中州國際證券有限公司及/或中州國際期貨有限公司將根據以下的資料以評估客戶是否對衍生工具產品有認識。(請回答所有問題)

- ☐ 1. The Client underwent training or attended courses on derivative products.  
 客戶曾接受有關衍生產品的培訓或修讀相關課程。
- ☐ 2. The Client has current or previous work experience related to derivative products.  
 客戶現時或過去擁有與衍生產品有關的工作經驗。
- ☐ 3. The Client has executed five or more transactions within the past three years in derivative products (local or overseas), e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, Commodities, Structured Products, and Exchange Traded Funds, etc.  
 客戶於過去 3 年曾執行 5 次或以上有關衍生產品(本地或海外)的交易，例如衍生權證、牛熊證、股票期權、期貨及期權、商品、結構性產品及交易所買賣基金等。
- ☐ Callable Bull/Bear Contracts (CBBC) / Derivative Warrants 牛熊證/ 衍生權證(窩輪)  
☐ Synthetic Exchange Traded Funds (ETF) 合成 ETF  
☐ Derivative Warrants 衍生認股證      ☐ G.E.M. Listed Shares 創業板  
☐ Equity Linked Products 股票掛鉤產品      ☐ Futures and Options 期貨或期權合約交易  
☐ Stock Options 股票期權      ☐ Others (Please specify) 其他 (請註明) : \_\_\_\_\_

**5. Related Account 關連賬戶**

Do you have rights or benefits in any securities or other account with Central China International Securities Co., Limited and/or Central China International Futures Company Limited?  
 閣下是否對中州國際證券有限公司及/或中州國際期貨有限公司已開立的任何證券或其他賬戶具有權益？

<input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是	Name of Account 賬戶名稱	Central China International Securities Co., Limited and/or Central China International Futures Company Limited (Please Specify) 中州國際證券有限公司及/或中州國際期貨有限公司 (請列明) <input type="checkbox"/> Central China International Securities Co., Limited 中州國際證券有限公司 <input type="checkbox"/> Central China International Futures Co., Limited 中州國際期貨有限公司	Account Number 賬戶號碼
	_____	_____	_____

**6. Disclosure 披露**

- a) Are you a person, or director or employee of a person, licensed by or registered with the Securities and Futures Commission of Hong Kong?  
 閣下是否香港證券及期貨事務監察委員會發牌或註冊人士或註冊公司之董事或雇員？  
☐ No 不是  
☐ Yes 是  
 Name of the Licensed Institution(s)  
 持牌或註冊人士名稱：\_\_\_\_\_  
 (Please provide employer's consent letter 請提供僱主之書面同意書)
- b) Are you an employee/account executive or the relative of employee/account executive of Central China International Securities Co., Limited, Central China International Futures Company Limited or its associated companies?  
 閣下是否中州國際證券有限公司及/或中州國際期貨有限公司或其聯營公司的僱員／營業經紀或該人士的親屬？  
☐ No 不是  
☐ Yes 是      Name of Employee/Account Executive 僱員/營業經紀姓名：\_\_\_\_\_ Relationship 關係：\_\_\_\_\_
- c) Are you a substantial shareholder\*, a senior officer or director of any (listed) company whose shares are traded on any exchange or market?  
 閣下是否任何其股份在交易所或市場買賣的(上市)公司之主要股東\*、高級人員或董事？  
 \* "substantial shareholder" means, in relation to a company, a person who is entitled to exercise, or control the exercise of, 10% or more of the voting power at any general meeting of that company.  
 「主要股東」指，就一間公司而言，任何人士其於該公司之任何股東大會有權行使，或可控制行使，10%或以上之投票權  
☐ No 不是  
☐ Yes 是      Company Name 公司名稱：\_\_\_\_\_  
 Stock Code 上市編號：\_\_\_\_\_

d)	<p>Is your spouse, children or immediate family members a client of Central China International Securities Co., Limited and/or Central China International Futures Company Limited? 閣下的配偶、子女或直屬親屬是否中州國際證券有限公司及/或中州國際期貨有限公司的客戶？</p> <p><input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是</p> <p>Name 名稱: _____ Relationship 與閣下的關係: _____</p> <p>Account Type 賬戶類別: <input type="checkbox"/> Cash Securities Account 現金證券賬戶 <input type="checkbox"/> Margin Securities Account 保證金證券賬戶 <input type="checkbox"/> Futures and Options Account 期貨期權賬戶</p> <p>Account No. 賬戶號碼: _____</p>		
e)	<p>Do you alone or jointly with your spouse control 35% or more of the voting rights of any corporate client of Central China International Securities Co., Limited and/or Central China International Futures Company Limited? 閣下是否單獨或與配偶共同控制中州國際證券有限公司及/或中州國際期貨有限公司的任何公司客戶 35% 或以上的表決權？</p> <p><input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是</p> <p>Company Name 公司名稱: _____</p> <p>Account No. 賬戶號碼: _____ Client ID 客戶賬號: _____</p>		
f)	<p>Are you, your family members or your close associates a politically exposed person, senior government official or senior executive of a state-owned corporation? 閣下、閣下的家人或親密夥伴是否政治人物、高級政府官員或國有企業高級行政人員？</p> <p><input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是</p> <p>If yes, please specify 如果是, 請述明具體: _____</p>		
g)	<p>Are you a citizen of the United States of America? 閣下是否美國公民？</p> <p><input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是</p> <p>If yes, my taxpayer identification no. (T.I.N.) is _____ 如是, 本人之納稅人識別號碼 (T.I.N.) 為 _____</p> <p>Are you a resident of the United States of America for US federal income tax purposes? (Includes green card holder) 本人聲明本人為美國居民(包括綠卡持有者)。</p> <p><input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是</p> <p>If yes, my taxpayer identification no. (T.I.N.) is _____ 如是, 本人之納稅人識別號碼 (T.I.N.) 為 _____</p>		
h)	<p>Are you holding or holding on behalf of other citizen or resident of the United States of America as a trustee any securities? 閣下是否持有或以信託人的身份替其他美國公民或居民買入或持有證券？</p> <p><input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是</p>		
<b>Introducer 介紹人 (If applicable 如適用)</b>			
<b>Name of Introducer</b> 介紹人姓名	<b>Address</b> 地址	<b>Tel No.</b> 聯絡電話	<b>Relationship with Client</b> 與客戶的關係

**B. Secondary Joint Account Holder**  
**聯名賬戶第二持有人**
**1. Client Data 客戶資料**

Name of Client 客戶名稱：	(Chinese 中文)	Gender 性別： <input type="checkbox"/> 男 Male <input type="checkbox"/> 女 Female	Date of Birth 出生日期	Year 年	Month 月	Day 日
	(English 英文/ Pinyin 拼音)	Education Level 教育程度： <input type="checkbox"/> Primary or below 小學或以下 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Post-secondary 大專或以上				
ID Type and No. 身份證明文件類別及號碼：	<input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照 / 往來港澳通行證 Issuing Country 簽發國家：_____	Marital Status 婚姻狀況： <input type="checkbox"/> Single 未婚 <input type="checkbox"/> Others 其他： <input type="checkbox"/> Married 已婚				
	Number. 號碼：_____	Place of Birth 出生地：	Nationality 國籍：			
Mobile Phone No. 手提電話： ( ) - _____	Email Address 電郵地址：_____		Fax No. 傳真號碼： ( ) - _____			
Residence/ Home Address 住宅地址：	(P.O. Box address is not acceptable 恕不接受中央郵箱地址)					Home Phone No. 住宅電話： ( ) - _____
Mailing/ Correspondence Address 通訊地址：	<input type="checkbox"/> Residence/ Home Address 住宅地址 <input type="checkbox"/> Office Address 公司地址 <input type="checkbox"/> Others (Please specify) 其他 (請註明) : _____ (Postal Code 郵編) _____					
(If your Mailing/ Correspondence Address is same as Residence/ Home Address, Residence/ Home Address will be displayed in statement) (如閣下的通訊地址與住宅地址一樣，住宅地址將設置為結單上顯示之地址)						

**2. Employment Status 工作狀況**

<input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Employer 僱主 <input type="checkbox"/> Self-Employed 自僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Housewife 家庭主婦 <input type="checkbox"/> Others 其他：_____			
Name of Employer 僱主名稱：		Nature of Business 業務性質：	
Office Address 公司地址： (Postal Code 郵編) _____			
Office Tel No. 公司電話號碼：	Year in Occupation 從業年數：	Position 職位：	Year of Service 入職年期：

**3. Financial Summary 財務資料簡要**

Source of Income 收入來源 (choose one or more 可選多項)	(If unemployed, must specify source of funds 如非受雇，必須填寫資金來源) <input type="checkbox"/> Salary & Commission 薪金及佣金 <input type="checkbox"/> Business Profit 業務溢利 <input type="checkbox"/> Investment 投資 <input type="checkbox"/> Dividend/Interest 股息/利息 <input type="checkbox"/> Rent 租金 <input type="checkbox"/> Pension 退休金 <input type="checkbox"/> Family Income 家庭收入 <input type="checkbox"/> Savings 儲蓄 <input type="checkbox"/> Others 其他 (Please specify 請述明) : _____		
Estimated annual income (in HK\$) 估計年度收入 (港元)	<input type="checkbox"/> ≤ 200,000 <input type="checkbox"/> 200,001 – 500,000 <input type="checkbox"/> 500,001 – 1,000,000 <input type="checkbox"/> 1,000,001 – 2,000,000 <input type="checkbox"/> 2,000,001 – 5,000,000 <input type="checkbox"/> ≥ 5,000,001		
Asset Items 資產項目	<input type="checkbox"/> Land and Property 房地產 <input type="checkbox"/> Cash / Deposit 現金 / 存款 <input type="checkbox"/> Stock 股票 <input type="checkbox"/> Fund 基金 <input type="checkbox"/> Bond 債券 <input type="checkbox"/> Bullion 貴金屬 <input type="checkbox"/> Vehicle(s) 車輛 <input type="checkbox"/> Company/Shares 公司/股份 <input type="checkbox"/> Others 其他 (Please specify 請述明) : _____		
Total Net Asset Value (HKD) 資產淨值(港元)	<input type="checkbox"/> ≤ 500,000 <input type="checkbox"/> 500,001 – 1,000,000 <input type="checkbox"/> 1,000,001 – 3,000,000 <input type="checkbox"/> 3,000,001 – 8,000,000 <input type="checkbox"/> 8,000,001 – 40,000,000 <input type="checkbox"/> ≥ 40,000,001		

**4. Investment Experience & Derivative Products Knowledge 投資經驗及衍生產品認識**

Investment Objective 投資目的	<input type="checkbox"/> Capital Gain 資本增值 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Dividend Income 股息收益 <input type="checkbox"/> Others (Please specify 請註明): _____					
Investment Products and Investment Experience (Local or Overseas) 曾買賣產品及投資經驗 (本地或海外) (tick as appropriate) (請於適當空格填上✓)	Shares 股票	< 1 year 少於一年	1-5 years 一至五年	6-10 years 六至十年	>10 years 多於十年	
	Callable Bull/Bear Contracts (CBBC)/ Derivative Warrants 牛熊證 / 衍生權證(窩輪)					
	G.E.M. Listed Shares 創業板					
	Futures and Options 期貨及期權					
	Hedge Funds 對沖基金					
	Mutual Funds/Unit Trust 互惠基金/單位信託基金					
	Structured Investment Products 結構性產品					
	Fixed Income Securities 固定收益證券					
	Others (Please specify) 其他 (請註明)					

The Client acknowledges and understands Central China International Securities Co., Limited and/or Central China International Futures Company Limited will assess whether the Client has adequate knowledge on derivative products according to the information the Client provided. (please answer all questions)  
 客戶知悉及明白中州國際證券有限公司及/或中州國際期貨有限公司將根據以下的資料以評估客戶是否對衍生工具產品有認識。(請回答所有問題)

- ☐ 1. The Client underwent training or attended courses on derivative products.  
 客戶曾接受有關衍生產品的培訓或修讀相關課程。
- ☐ 2. The Client has current or previous work experience related to derivative products.  
 客戶現時或過去擁有與衍生產品有關的工作經驗。
- ☐ 3. The Client has executed five or more transactions within the past three years in derivative products (local or overseas), e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, Commodities, Structured Products, and Exchange Traded Funds, etc.  
 客戶於過去 3 年曾執行 5 次或以上有關衍生產品(本地或海外)的交易, 例如衍生權證、牛熊證、股票期權、期貨及期權、商品、結構性產品及交易所買賣基金等。
- ☐ Callable Bull/Bear Contracts (CBBC) / Derivative Warrants 牛熊證/ 衍生權證(窩輪)  
☐ Synthetic Exchange Traded Funds (ETF) 合成 ETF  
☐ Derivative Warrants 衍生認股證      ☐ G.E.M. Listed Shares 創業板  
☐ Equity Linked Products 股票掛鉤產品      ☐ Futures and Options 期貨或期權合約交易  
☐ Stock Options 股票期權      ☐ Others (Please specify) 其他 (請註明): \_\_\_\_\_

**5. Related Account 關連賬戶**

Do you have rights or benefits in any securities or other account with Central China International Securities Co., Limited and/or Central China International Futures Company Limited?  
 閣下是否對中州國際證券有限公司及/或中州國際期貨有限公司已開立的任何證券或其他賬戶具有權益?

<input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是	Name of Account 賬戶名稱	Central China International Securities Co., Limited and/or Central China International Futures Company Limited (Please Specify) 中州國際證券有限公司及/或中州國際期貨有限公司 (請列明) <input type="checkbox"/> Central China International Securities Co., Limited 中州國際證券有限公司 <input type="checkbox"/> Central China International Futures Company Limited 中州國際期貨有限公司	Account Number 賬戶號碼
	_____	_____	_____

**6. Trading Instructions 交易指示**

The Account can be traded under the verbal instruction of (please tick the appropriate box):  
 此帳戶可根據以下口頭指示方式交易(請在適當空格加✓):

- ☐ Either one of the account holder; or  
 任何一位帳戶持有人
- ☐ Both account holders  
 兩位帳戶持有人

**7. Disclosure 披露**

- a) Are you a person, or director or employee of a person, licensed by or registered with Securities and Futures Commission Hong Kong?  
 閣下是否香港證券及期貨事務監察委員會發牌或註冊人士或註冊公司之董事或雇員?  
☐ No 不是  
☐ Yes 是  
 Name of the Licensed institution(s)  
 持牌或註冊機構名稱: \_\_\_\_\_  
 (Please provide employer's consent letter 請提供僱主之書面同意書)
- b) Are you an employee/account executive or the relative of employee/account executive of Central China International Securities Co., Limited, Central China International Futures Company Limited and/or its associated companies?  
 閣下是否中州國際證券有限公司及/或中州國際期貨有限公司或其聯營公司的僱員/營業經紀或該人士的親屬?  
☐ No 不是  
☐ Yes 是  
 Name of Employee/Account Executive 僱員/營業經紀姓名: \_\_\_\_\_ Relationship 關係: \_\_\_\_\_



- c) Are you a substantial shareholder\*, a senior officer or director of any (listed) company whose shares are traded on any exchange or market?  
 閣下是否任何其股份在交易所或市場買賣的(上市)公司之主要股東\*、高級人員或董事？  
 \* "substantial shareholder" means, in relation to a company, a person who is entitled to exercise, or control the exercise of, 10% or more of the voting power at any general meeting of that company.  
 「主要股東」指，就一間公司而言，任何人士其於該公司之任何股東大會有權行使，或可控制行使，10%或以上之投票權

☐ No 不是  
☐ Yes 是

Company Name 公司名稱: \_\_\_\_\_

Stock Code 上市編號: \_\_\_\_\_

- d) Is your spouse, children or immediate family members a client of Central China International Securities Co., Limited and/or Central China International Futures Company Limited?  
 閣下的配偶、子女及直屬親屬是否中州國際證券有限公司及/或中州國際期貨有限公司的證券客戶？

☐ No 不是  
☐ Yes 是

Name 名稱: \_\_\_\_\_

Relationship 與閣下的關係: \_\_\_\_\_

Account Type 賬戶類別: ☐ Cash Securities Account  
 現金證券賬戶

☐ Margin Securities Account  
 保證金證券賬戶

☐ Futures and Options Account  
 期貨期權賬戶

Account No. 賬戶號碼: \_\_\_\_\_

- e) Do you alone or jointly with your spouse control 35% or more of the voting rights of any client of Central China International Securities Co., Limited, Central China International Futures Company Limited or its affiliates?  
 閣下是否單獨或與配偶共同控制中州國際證券有限公司、中州國際期貨有限公司或其聯營公司的任何客戶 35%或以上的表決權？

☐ No 不是  
☐ Yes 是

Company Name 公司名稱: \_\_\_\_\_

Account No. 賬戶號碼: \_\_\_\_\_

Client ID 客戶賬號: \_\_\_\_\_

- f) Are you, your family members or your close associates a politically exposed person, senior government official or senior executive of a state-owned corporation?  
 閣下、閣下的家人或親密夥伴是否政治人物、高級政府官員或國有企業高級行政人員？

☐ No 不是  
☐ Yes 是

If yes, please specify 如果是，請述明具體: \_\_\_\_\_

- g) Are you a citizen of the United States of America?  
 閣下是否美國公民？

☐ No 不是  
☐ Yes 是

If yes, my taxpayer identification no. (T.I.N.) is \_\_\_\_\_

如是，本人之納稅人識別號碼 (T.I.N.) 為 \_\_\_\_\_

Are you a resident of the United States of America for US federal income tax purposes? (Includes green card holder)

本人聲明本人為美國居民(包括綠卡持有者)。

☐ No 不是  
☐ Yes 是

If yes, my taxpayer identification no. (T.I.N.) is \_\_\_\_\_

如是，本人之納稅人識別號碼 (T.I.N.) 為 \_\_\_\_\_

- h) Are you holding or holding on behalf of other citizen or resident of the United States of America as a trustee any securities?  
 閣下是否持有或以信託人的身份替其他美國公民或居民買入或持有證券？

☐ No 不是  
☐ Yes 是

### C. Ultimate Beneficial Owner(s) of the Account

#### 最終權益擁有人

I/We hereby declare that I/we am/are the ultimate beneficial owner(s) of the Account(s).

本人/吾等現聲明本人/吾等為該賬戶之最終權益擁有人。

☐ Yes 是

☐ No 不是

Name 名稱: \_\_\_\_\_ ID/ Passport No. 身份證 / 護照號碼: \_\_\_\_\_

Nationality 國籍: \_\_\_\_\_ Date of Birth 出生日期: \_\_\_\_\_

Address 地址: \_\_\_\_\_

Please provide the certified true copy of ID Card or Passport and Address Proof (within the recent 3 months) of Account Holder.

請提供賬戶持有人的身份證或護照核證副本及住址證明(最近3個月內)。

**D. Designated Bank Account & Settlement Details**  
**指定銀行戶口及結算詳情**

1. Please provide the copy of statement or passbook (the document must be in full and your name, bank name and bank account number must be shown) as a proof  
 請提供指定銀行存款戶口的銀行結單或存摺副本 (文件須為完整並清楚顯示客戶名稱、銀行名稱及銀行賬戶號碼) 以作證明

Bank Name 銀行名稱：		Account No. 賬戶號碼：	
Account Name 賬戶名稱：		Currency 貨幣：	<input type="checkbox"/> HKD 港元 <input type="checkbox"/> RMB 人民幣 <input type="checkbox"/> USD 美元

  

Bank Name 銀行名稱：		Account No. 賬戶號碼：	
Account Name 賬戶名稱：		Currency 貨幣：	<input type="checkbox"/> HKD 港元 <input type="checkbox"/> RMB 人民幣 <input type="checkbox"/> USD 美元

2. Settlement Details 結算詳情 (for HK market DVP settlement only) (只適用於香港市場貨銀對付結算)

Custodian Bank 託管銀行		Account Name 賬戶名稱	
CCASS ID (if applicable): 中央結算系統號碼 (如適用)		Securities Account No. 證券賬戶號碼	

**E. Communication Method**  
**通訊方式**

Method of Account Statement Collection (please check one) 戶口結單收取方式 (請 選擇一項)	<input type="checkbox"/> By email to the E-mail Address for both daily and monthly account statements. 戶口日結單及月結單電郵至電郵地址。	Preferred Statement Language 結單語言	<input type="checkbox"/> English 英語
	<input type="checkbox"/> By post to the Mailing/ Correspondence Address for both daily and monthly account statements. (HK\$20 each) 戶口日結單及月結單郵寄至通訊地址。(每封港幣 20 元正)		<input type="checkbox"/> Chinese 中文

**F. Marketing Information (Please refer to Personal Information Collection Statement)**  
**公司宣傳資料 (請參閱個人資料收集聲明)**

- ☐ The Client(s) expressly agree that Central China International Securities Co., Limited and/or Central China International Futures Co., Limited shall use the Client's personal data for direct marketing as stipulated in Personal Information Collection Statement, and wish to receive any direct marketing materials or messages from Central China International Securities Co., Limited and/or Central China International Futures Co., Limited via the following channel(s)  
 客戶 (等) 清楚同意中州國際證券有限公司及/或中州國際期貨有限公司將客戶的個人資料根據個人資料收集聲明所載使用於直接促銷，並且同意收到中州國際證券有限公司及/或中州國際期貨有限公司經以下途徑發出的任何直接促銷資料或訊息：  
☐ Any Channel 任何途徑 ☐ E-mail 電郵 ☐ Mail 郵件 ☐ SMS 短訊 ☐ Phone 電話
- ☐ The Client(s) do not wish Central China International Securities Co., Limited and/or Central China International Futures Co., Limited to provide the Client's personal data to any other persons for their use in direct marketing, whether or not such persons are members of the Central China International Securities Co., Limited and/or Central China International Futures Co., Limited.  
 客戶 (等) 不希望中州國際證券有限公司及/或中州國際期貨有限公司將客戶的個人資料提供予任何其他人士作直接促銷用途，不論該等人士是否中州國際證券有限公司及/或中州國際期貨有限公司成員。

**G. Declaration by Client(s)**  
**客戶聲明**

- The undersigned Client(s) agree to open the above account(s) with Central China International Securities Co., Limited and/or Central China International Futures Company Limited.  
 以下簽名之客戶 (等) 同意與中州國際證券有限公司及/或中州國際期貨有限公司開立上述帳戶。
- The Client(s) have read and understood the provisions of the Terms and Conditions for Securities Account and/or Terms and Conditions for Futures Account (as amended from time to time) applicable to the type of account(s) that the Client(s) agree to open and the Client(s) accept to be bound by the same. The Client(s) has been advised by the Company to seek independent legal advice.  
 客戶 (等) 已閱讀並明白在證券帳戶條款及條件及/或期貨業務條款和條件中所載的適用於客戶 (等) 所選擇之帳戶類別之一切條款 (及其不時作出的修改)，並接受這些條款的約束。本公司已建議客戶 (等) 尋求獨立法律意見。
- The Client(s) acknowledge and confirm that the Client(s) have read the relevant risk disclosure statements and disclaimers which were provided in a language of the Client's choice as set out in the Terms and Conditions. The Client(s) also acknowledge and confirm that the Client(s) were invited to read the risk disclosure statements and disclaimers as set out in the Terms and Conditions, ask questions, and take independent advice if the Client(s) wish.  
 客戶 (等) 知悉及確認已閱讀其所選擇語言之條款及條件內有關風險披露聲明與免責聲明。客戶 (等) 亦知悉及確認已獲邀參閱關於條款及條件內有關之風險披露聲明與免責聲明、提出問題及按其意願諮詢獨立意見。
- The Client(s) have received the English or Chinese versions of the Terms and Conditions for Securities Account and/or Futures Account.  
 客戶 (等) 已收取了中州國際證券有限公司及/或中州國際期貨有限公司之英文/或中文版本證券帳戶及/或期貨帳戶條款及條件。



5. If the Client(s) are characterized as "without knowledge of derivatives", the Client(s) further acknowledge that the Client(s) have carefully read the relevant risks associated with investing in derivative products which specified in the Risk Disclosure Statement in the Terms and Conditions for Securities Account and/or the Risk Disclosure Statement in the Terms and Conditions for Futures Account and fully understood the relevant risks herewith. Although the Client(s) might not have relevant derivatives product(s) trading experience, the Client(s) may still base on the own independent judgement of the Client(s) to request for entering into transaction(s) of derivatives product(s) and would take all risks associated. 如客戶（等）被歸類為「對衍生產品沒有認識」，客戶（等）進一步確認已仔細閱讀在證券帳戶條款及條件所載所載風險披露聲明及／或期貨業務條款和條件所載之風險披露聲明書所列明的有關投資衍生產品所涉及的風險，並完全明白其中所述之相關風險。儘管客戶（等）可能並沒有相關衍生產品交易經驗，客戶（等）可能基於其獨立判斷仍要求進行衍生產品交易。客戶（等）願意承擔所有相關衍生產品風險。
6. The Client(s) are NOT (1) resident(s) of the United States of America ("US") or (2) residents of Canada ("CN"), whether for US or CN securities or tax laws or for any other purposes. The Client(s) also confirm that the Client(s) are not acting as agent on behalf of any US resident and/or CN resident. The Client(s) undertake to immediately notify Central China International Securities Co., Limited and/or Central China International Futures Company Limited should the Client(s) become or be deemed to be (1) resident(s) of the US or (2) resident(s) of CN at any future time. 無論就美國或加拿大的證券或稅務法例或其他方面而言，客戶（等）均並非（1）美國居民或（2）加拿大居民。客戶（等）亦確認，客戶（等）並不代表任何美國居民及／或加拿大居民行事。客戶（等）承諾，如客戶（等）日後成為或被視作（1）美國居民或（2）加拿大居民，將立即通知中州國際證券有限公司及／或中州國際期貨有限公司。
7. The Client(s) acknowledge that the Client(s) have read the Personal Information Collection Statement and agreed to the terms in it. The Client(s) understand and acknowledge that Central China International Securities Co., Limited and/or Central China International Futures Company Limited intends to use the Client's personal data for direct marketing and Central China International Securities Co., Limited and/or Central China International Futures Company Limited may not so use the Client's data unless Central China International Securities Co., Limited and/or Central China International Futures Company Limited has received my/our consent to such intended use. The Client(s) expressly acknowledge, confirm and agree that unless the Client(s) decide to opt out the use of the Client's personal data for direct marketing as stated in Section F or by giving notice to Central China International Securities Co., Limited and/or Central China International Futures Company Limited at any time as stipulated in Personal Information Collection Statement, Central China International Securities Co., Limited and/or Central China International Futures Company Limited shall use the Client's personal data for direct marketing as stipulated in Personal Information Collection Statement by whatsoever channels.  
 客戶（等）承認已詳閱個人資料收集聲明，並完全同意其條款。客戶（等）明白及承認中州國際證券有限公司及／或中州國際期貨有限公司擬把客戶（等）的資料使用於直接促銷及中州國際證券有限公司及／或中州國際期貨有限公司須收到客戶（等）對該資料使用的同意，否則不得如此使用該資料。客戶（等）清楚明白、承認及同意除非客戶（等）決定如第 F 部份所述或根據有關個人資料收集聲明所載隨時通知中州國際證券有限公司及／或中州國際期貨有限公司而拒絕該等使用，中州國際證券有限公司及／或中州國際期貨有限公司能將根據個人資料收集聲明所載使用客戶（等）的個人資料以任何途徑於直接促銷。
8. For Client(s) using the Internet Trading Services: 適用於使用網上交易服務之客戶：
  - a) the Client(s) have read and understood the provisions of the Internet Trading Agreement as set out in the Terms and Conditions for Securities Account of Central China International Securities Co., Limited and/or Terms and Conditions for Futures Account of Central China International Futures Company Limited and the Client(s) accept to be bound by the same. 客戶（等）已經閱讀並明白在中州國際證券有限公司的證券帳戶條款及條件及／或中州國際期貨有限公司的期貨業務條款和條件中，所載之互聯網交易協議的條款，並接受這些條款的約束。
  - b) Central China International Securities Co., Limited and/or Central China International Futures Company Limited will send the Internet Trading Account No. and Password to the Client(s) via "Short Message Service" (SMS) and/or email unless otherwise requested by the Client(s) in advance. 除非客戶（等）另有要求，中州國際證券有限公司及／或中州國際期貨有限公司將以手提電話短訊及／或電子郵件寄出網上交易帳號及密碼。
9. For Futures and Options Account Client(s): 適用於期貨期權賬戶客戶：
  - a) Central China International Futures Company Limited is hereby given the authorization to submit a claim with Hong Kong Futures Exchange Limited ("HKFE") in respect of the Client's open positions to the effect that HKFE will calculate and collect margin in respect of such positions on a portfolio basis.  
 本公司在此獲授權向香港期貨交易所有限公司（簡稱「期交所」）提交關於客戶（等）之持倉以組合基礎計算及收取相關之按金。
  - b) the Client(s) were invited to read the reporting requirements and the responsibilities of reporting set out in the Rules of the HKEx and in the Securities and Futures (Contracts Limits and Reportable Positions) Rules and related guidance notes issued by the SFC.  
 客戶（等）已獲邀請閱讀列於聯交所規則、證券及期貨（合約限量及須申報的持倉量）規則及由證監會發出的申報規定及責任。
10. For Cash Securities and/or Margin Securities and/or Futures and Options Account Client(s): 適用於現金證券賬戶及／或保證金證券賬戶及／或期貨期權賬戶客戶：
  - a) the Client(s) represent, warrant, confirm and undertake as follows 客戶（等）陳述、保證、確認和承諾如下：
    - i. where the Client trades any securities and futures products traded in the U.S., that the Client is not a "U.S. Person", which means any one or more of the following (in the case of paragraphs (aa)-(cc), unless applicable laws, rules and regulations provide that such person is not subject to the United States federal income taxation on his worldwide income): 倘若客戶買賣任何在美國交易的證券及／或期貨產品，客戶並非「美國人士」，即指符合下文所述的任何一項或多項條件的人士（就第(aa)至(cc)段而言，若根據適用的法律、規則及規例規定該等人士毋須就其全球範圍內的入息繳納美國聯邦入息稅，則該等人士並非美國人士）：
      - (aa) a citizen of the United States 美國公民；
      - (bb) a person that is not a citizen or national of the United States and who meets either the "green card" test or the "substantial presence" test under the Internal Revenue Code of 1986, as amended, and/or any other applicable laws, rules and regulations for the calendar year  
 並非美國公民或國民，但已符合《1986 年國內收入法》（經修訂）和／或任何其他適用的法律、規則及規例規定下的「綠卡」測試或在相關日曆年「在境內逗留相當長時間」的測試的人士；
      - (cc) a person electing to be treated as a tax resident of the United States; and 選擇作為美國稅務居民的人士；及
      - (dd) any other person that is subject to the United States federal income taxation on his worldwide income regardless of its source,  
 不論其入息來源，須就其全球範圍內的入息繳納美國聯邦入息稅的任何其他人士，

而且，倘若客戶成為「美國人士」，客戶應立即通知中州國際證券有限公司及/或中州國際期貨有限公司，並於該等情況發生後一個月內（或中州國際證券有限公司及/或中州國際期貨有限公司決定的任何其他時限內）將其持有的所有在美國交易的證券及/或期貨產品的權益轉讓；客戶確認，在該等情況下，因該等產品產生的所有利息、收益、利息和分派均應按最高的預扣稅稅率或中州國際證券有限公司及/或中州國際期貨有限公司不時決定的任何其他預扣稅預扣。

ii. that the Client is not a director or officer, or shareholder who holds 10% or more of the interests in the shares of, a company listed on any stock exchange in the United States.

客戶並非在美國任何證券交易所上市的任何公司的董事或行政人員，亦非持有任何此類上市公司的百分之十或以上股權的股東。

b) the Client(s) acknowledge that the Terms and Conditions for Securities Account and/or Terms and Conditions for Futures Account were provided and the Client(s) has read, understand, and agree to the terms set forth in the same.

客戶（等）確認已獲得證券帳戶條款及條件及/或期貨業務條款和條件，並已詳閱及清楚明白並同意以上條款和條件之內容。

11. The Client(s) hereby declare that the information contained in this Account Opening Form is true and accurate. Central China International Securities Co., Limited and/or Central China International Futures Company Limited ("Companies") is / are entitled to rely fully on such information and representations for all purposes, unless it / they receive(s) notice in writing of any change. The Client(s) also undertake to notify the Companies immediately (in any event, within 30 days) of any changes to the information given above. Upon request, the Client(s) shall also promptly (in any event, within 30 days) provide the Companies any additional documentation, including without limitation to the self-certification, in relation to the changes to such information. If the additional documentation is not provided timely, the Client(s) understand that the Companies may disclose and / or submit certain of the Client's account information in relation to the changes to the competent regulatory or Government Authority in the relevant jurisdiction(s) (including without limitation to U.S. Internal Revenue Service, U.S. Department of the Treasury and the Hong Kong Inland Revenue Department) for the purpose of complying with FATCA, Common Reporting Standard and other related laws, regulations, codes and rules. The Companies are authorized at any time to contact anyone, including the Client's banks, brokers or any credit agency, for the purposes of verifying the information provided on this Client Information Statement.

客戶（等）謹此聲明客戶（等）載於開戶表格中之資料是真實和準確的。除非中州國際證券有限公司及/或中州國際期貨有限公司接到更改有關本資料表內容的書面通知，否則上述公司有權完全依賴此等資料及聲明作一切用途。客戶（等）亦同意如上述資料有任何改變，會立即（在任何情況下，在 30 天內）通知上述公司。如上述公司要求，客戶（等）亦會盡快（在任何情況下，在 30 天內）向上述公司提供所需的額外檔，包括但不限於更新資料變更後的自我證明。如客戶（等）未能在指定時間內提供所需的額外檔，客戶（等）明白上述公司可能根據有關的資料變更向相關司法管轄區內的合資格監管及/或政府當局（包括但不限於美國國家稅務局、美國財政部和香港稅務局）披露及/或提交客戶之相關賬戶資料，以符合 FATCA、《共同匯報標準條例》和其他相關法規、守則和規則的規定。上述公司獲授權可隨時就核對本資料事宜，與任何人包括客戶之銀行、經理或任何信用機構進行諮詢。

12. If there is a discrepancy between English and Chinese version of the Account Opening Form, the English version shall prevail.

如開戶表格之中英文版本文義有歧義，將以英文版本為準。



Signature of Individual Account Holder  
個人賬戶持有人簽署

Name of Individual Account Holder  
個人賬戶持有人姓名

Date 日期 (dd 日/mm 月/yyyy 年)

Signature of Secondary Joint Account Holder  
(Joint Account Client only)  
聯名賬戶第二持有人簽署 (只適用於聯名賬戶之客戶)

Name of Secondary Joint Account Holder  
(Joint Account Client only)  
聯名賬戶第二持有人姓名 (只適用於聯名賬戶之客戶)

Date 日期 (dd 日/mm 月/yyyy 年)

#### Witness 見證人

I am a Hong Kong SFC licensed or registered person, an affiliate of a licensed or registered person, a JP (Justice of the Peace), or a professional person such as a branch manager of a bank, certified public accountant, lawyer or notary public, hereby certify that I have witnessed the signing of this Agreement and have sighted the related identity documents of the Client.

本人為香港證監會的持牌人或註冊人、持牌人或註冊人的聯繫人士、太平紳士或專業人士例如銀行分行經理、執業會計師、律師或公證人。茲核證本人見證客戶簽立本協議，並驗證有關客戶身份證明文件。

Name of Witness (Block Capital)  
見證人姓名

Witness' Qualification  
見證人資格

Signature of Witness  
見證人簽署

Witness' Licensed No 見證人牌照號碼

Date 日期 (dd 日/mm 月/yyyy 年)

(FOR OFFICIAL USE ONLY 以下內容只供本公司使用)

**H. Approval of Account Opening**  
**開戶批核**

A/E Code 經紀人/客戶主任編號:	Name of Account Executive 經紀人/客戶主任名稱	Signature of Account Executive 經紀人/客戶主任簽署	Date 日期 (dd 日/mm 月/yyyy 年)
Documentation checked 文件核實	Name of Assessor 文件核實人名稱	Signature of Assessor 文件核實人簽署	Date 日期 (dd 日/mm 月/yyyy 年)

 ASSESSMENT RESULT 評估結果  
 The above Client is characterized as a client 上述客戶被歸類為  
☐ without knowledge of derivatives 「對衍生工具沒有認識」  
☐ with knowledge of derivatives 「對衍生工具有認識」

I have assessed the Client's money laundering risk based on the criteria of high money laundering risk as defined in the Compliance Manual (Anti-money Laundering) and my knowledge of Client:

本人已跟據合規監察手冊(反洗黑錢政策)內高洗黑錢風險的定義及本人對客戶的認識作出洗黑錢風險分類評估：

 Money Laundering Risk Classification 洗黑錢風險分類: \*Low Risk 低風險 / High Risk 高風險  
 (\*delete as appropriate 請刪除不適用選項)

Money Laundering Risk Classification checked by 洗黑錢風險分類核實人: \_\_\_\_\_ Date 日期: \_\_\_\_\_

**Declaration by CENTRAL CHINA INTERNATIONAL SECURITIES CO., LIMITED Staff 中州國際證券有限公司職員聲明**

I, a licensed or registered person, hereby declare that I have provided the above Client with a copy of the Risk Disclosure Statement (including the relevant risks associated with investing in RMB securities and exchange-traded derivative products), the Risk Disclosure Statement in the Stock Option Trading Agreement (if applicable) and the Risk Disclosure Statement in the Internet Securities Trading Agreement (if applicable) in a language of Client's choice (English or Chinese) and invited the Client to read the Risk Disclosure Statement referred to in the Cash Client's Agreement and/or the Margin Client's Agreement, the Risk Disclosure Statement in the Stock Option Trading Agreement (if applicable) and the Risk Disclosure Statement in the Internet Securities Trading Agreement (if applicable), to ask questions and take independent advice if the client wishes. If the Client is characterized as "without knowledge of derivatives", I further declare that I have explained to the Client the relevant risks associated with trading of exchange-traded derivative products which specified in the Clause 22 (4) to 22 (9) of the Risk Disclosure Statement and the Client fully understood the relevant risks herewith.

本人，以持牌人或註冊人身份，確認本人已按照上述客戶選擇的語言(英文或中文)提供風險披露聲明書(包括有關買賣人民幣證券及在交易所買賣的衍生產品所涉及的風險)，股票期權交易協議書所載之風險披露聲明書(如適用)及互聯網證券交易協議書所載之風險披露聲明書(如適用)及提示客戶閱讀證券帳戶條款及條件及／或證券帳戶條款及條件之風險披露聲明書，股票期權交易協議書所載之風險披露聲明書(如適用)，及互聯網證券交易協議書所載之風險披露聲明書(如適用)，亦邀請客戶如有需要可以提出問題及徵求獨立的意見。如客戶被歸類為「對衍生產品沒有認識」，本人進一步確認已向客戶解釋在風險披露聲明內所列明的有關購買在交易所買賣的衍生產品所涉及的風險，及客戶已完全明白其中所述之相關風險。

Risk Disclosed By 風險披露途徑:

- ☐
- Face to Face 面對面
- 
- ☐
- Telephone 電話

(Recorded Line No. 錄音電話號碼):

 Signature of the Licensed Person  
 持牌人簽署

 Name of the Licensed Person  
 持牌人姓名

CE No. 中央編號:

 Date 日期  
 (dd 日/mm 月/yyyy 年)

**Declaration by CENTRAL CHINA INTERNATIONAL FUTURES COMPANY LIMITED Staff 中州國際期貨有限公司職員聲明**

I, a licensed or registered person, hereby declare that I have provided the above Client with a copy of the Risk Disclosure and Disclaimer Statements and the Risk Disclosure Statement in the Internet Futures Trading Agreement (if applicable) in a language of Client's choice (English or Chinese) and invited the Client to read the Risk Disclosure and Disclaimer Statements in the Futures Client's Agreement, and the Risk Disclosure Statement in the Internet Futures Trading Agreement (if applicable), to ask questions and take independent advice if the client wishes. If the Client is characterized as "without knowledge of derivatives", I further declare that I have explained to the Client the relevant risks associated with futures and options trading which specified in the Risk Disclosure and Disclaimer Statements and the Client fully understood the relevant risks herewith.

本人，以持牌人或註冊人身份，確認本人已按照上述客戶選擇的語言(英文或中文)提供風險披露及免責聲明書及互聯網期貨交易協議書所載之風險披露聲明書(如適用)，及提示客戶閱讀期貨業務條款及條件之風險披露及免責聲明書及互聯網期貨交易協議書所載之風險披露聲明書(如適用)，亦邀請客戶如有需要可以提出問題及徵求獨立的意見。如客戶被歸類為「對衍生產品沒有認識」，本人進一步確認已向客戶解釋在風險披露及免責聲明書內所列明的有關期貨及期權買賣所涉及的風險，及客戶已完全明白其中所述之相關風險。

Risk Disclosed By 風險披露途徑:

- ☐
- Face to Face 面對面
- 
- ☐
- Telephone 電話

(Recorded Line No. 錄音電話號碼):

 Signature of the Licensed Person  
 持牌人簽署

 Name of the Licensed Person  
 持牌人姓名

CE No. 中央編號:

 Date 日期  
 (dd 日/mm 月/yyyy 年)

**Commission Rate 佣金: Securities Trading Account (證券交易帳戶)**

Market 市場	Brokerage % 傭金百分率	Minimum Amount 最低金額	
	I: T:	I:	T:
	I: T:	I:	T:
	I: T:	I:	T:
	I: T:	I:	T:
Market 市場	Margin Interest Rate % 融資利率	Trading Limit 交易限額	Loan Limit 信貸限額
Central China International Securities Co., Limited 中州國際證券有限公司  Authorized director(s)/Responsible Officer(s)'s Signature 獲授權董事／負責人員簽署		Central China International Futures Company Limited 中州國際期貨有限公司  Authorized director(s)/Responsible Officer(s)'s name 獲授權董事／負責人員姓名	
Date 日期 (dd 日/mm 月/yyyy 年)		Date 日期 (dd 日/mm 月/yyyy 年)	
System Input by 系統錄入人:		Data check by 錄入資訊核實人:	
Date 日期 (dd 日/mm 月/yyyy 年)		Date 日期 (dd 日/mm 月/yyyy 年)	
Date 日期 (dd 日/mm 月/yyyy 年)		Date 日期 (dd 日/mm 月/yyyy 年)	
Remarks 附註:			





(FOR OFFICIAL USE ONLY 只供本公司使用)	
Account No. 客戶賬號	

Company Address: Suites 1505-1508 Two Exchange Square, 8 Connaught Place, Central, Hong Kong  
公司地址：香港中環康樂廣場 8 號交易廣場 2 座 1505-1508 室  
Contact 聯繫方式：+852-2500 1313 Fax No. 傳真號碼：+852-2250 5113

**Form 1 : Standing Authority (Client Money)**  
**表格一：常設授權書 (客戶款項)**

To: Central China International Securities Co., Limited 中州國際證券有限公司  
Central China International Futures Company Limited 中州國際期貨有限公司  
Suites 1505-1508, Two Exchange Square, 8 Connaught Place, Central, Hong Kong  
香港中環交易廣場二期康樂廣場 8 號 1505-1508 室

Dear Sir / Madam,  
敬啟者：

**Standing Authority for Transfer of Client Money between Central China International Securities Co., Limited and Central China International Futures Company Limited**  
**於中州國際證券有限公司及中州國際期貨有限公司客戶款項轉帳之客戶證券的常設授權**

This authority is given pursuant to the Securities and Futures (Client Money) Rules, which covers money held or received by you in Hong Kong (including any interest derived from holding the money which does not belong to you) in one or more segregated account(s) on my/our behalf ("Monies").

本授權根據（證券及期貨（客戶款項）規則）涵蓋貴公司為我/我們在香港持有或收取並存放於一個或多個獨立賬戶內的款項（包括因持有並非屬於貴公司的款項而產生之任何利息）（下稱「款項」）。

I/We authorize you to:  
我/我們授權貴公司：

1. Combine or consolidate any or all segregated accounts of any name whatsoever and either individually or jointly with others, maintained by Central China International Securities Co., Limited and/or Central China International Futures Company Limited and/or any of its Associates ("Central China International") from time to time and you may transfer any sum of Monies to and between such segregated account(s) to satisfy my/our obligations or liabilities to any member of the Central China International, whether such obligations and liabilities are actual or contingent, primary or collateral, secured or unsecured, or joint or several; and 組合或合併（個別地或與其他賬戶聯合進行）中州國際證券有限公司及/或中州國際期貨有限公司及/或其任何聯繫人士（下稱「中州國際」）所維持的任何或全部獨立賬戶，貴公司可將該等獨立賬戶內任何數額之款項作出轉移，以符合我/我們對中州國際任何成員確實、或然、原有、附帶、有抵押、無抵押、共同或分別的義務或法律責任；及
2. Transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by members of the Central China International. 從中州國際的成員於任何時候維持的任何獨立賬戶之間來回調動任何數額之款項。

You may do any of these things without giving me/us notice.  
貴公司可不向我/我們發出通知而採取上述行動。

This authority is given to Central China International Securities Co., Limited and Central China International Futures Company Limited in consideration of its agreeing to continuously maintain any account for me/us under the abovementioned companies.

本授權乃鑑於中州國際證券有限公司及中州國際期貨有限公司同意繼續我/我們於該公司的戶口。

This authority is given without prejudice to other authorities or rights which Central China International may have in relation to dealing in Monies in the segregated accounts. 本授權並不損害中州國際可享有有關處理該等獨立賬戶內款項的其他授權或權利。

This authority is valid for a period of 12 months from the date of signing this Form.  
本授權由本資料表簽發日期起 12 個月內有效。

This authority may be revoked by giving you written notice to the address specified on this Form. Such notice shall take effect upon the expiry of 14 days from the date of your actual receipt of such notice.

我/我們可以向貴公司在資料表所列明之地址發出書面通知，以撤回本授權。有關的生效日期為貴公司真正收到該等通知後 14 日起計算。

I/We understand that this authority shall be deemed to be renewed on a continuing basis without my/our written consent if you issue me/us a written reminder at least 14 days prior to the expiry date of this authority, and I/we do not object to such deemed renewal before such expiry date.

我/我們明白貴公司若在本授權的有效期限 14 日前發出書面通知，以提醒本授權即將屆滿，而我/我們沒有在本授權屆滿前反對此授權續期，本授權書應當作已被續期。

In the event of any difference in interpretation or meaning between the Chinese and English version of this authority, I/we agree that the English version shall prevail. 倘若本授權的中文本與英文本在解釋或意義方面有任何歧義，我/我們同意應以英文本為準。

I/We have read, understand and accept the contents of this authority.  
我/我們已閱讀、明白及同意本授權的內容。

註 Note:  
Applicable to Securities Margin Account Holders Only  
只適用於證券孖展客戶

Under situations where a client does not hold any Monies in any or all segregated accounts of any name whatsoever and either individually or jointly with others, maintained by Central China International Securities Co., Limited and the client draws a margin loan against the value of the collateral in his/her accounts for the purposes of settling any margin and/or settlement requirements of any account; the client is exposed to, among other things, increased market risks, increased margin trading risks and additional interest costs.

當客戶在中州國際證券有限公司的個人和聯名戶口沒有現金結餘時，若透過他/她的個人及/或聯名戶口進行股票融資貸款，提取資金以滿足其他戶口的按金或交收要求，客戶將面對額外的風險，包括市場風險、保證金交易風險和需要承擔額外的利息成本。

Yours faithfully,  
此致



Signature of Client  
客戶簽署  
Name 姓名:  
Date 日期:

Signature of Joint Account Holder (If Applicable)  
聯名賬戶持有人簽署(如適用)  
Name 姓名:  
Date 日期: