Client Name 客戶姓名:	
Account No. 客戶賬號:	
Account No. 各户败弧:	



ACCOUNT OPENING FORM

開戶表格

(Joint Account) (聯名賬戶)

Central China International Securities Co., Limited (CE Number: BFI947) 中州國際證券有限公司(中央編號: BFI947)

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

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,以英文版為准。

客戶資料表 (聯名賬戶) Client Information Statement (Joint Account)

Trading Account(s) 交易帳戶						
Account Type 賬戶類別:	現金證 □ Margin S	curities Account 与賬戶 Securities Account 登券賬戶				
Trading Service 交易服務:	□ Hong Kong Stock 港股 □ US Stock 美股 □ Bonds and Funds 債券及基金 □ China Connect Stocks 中華通股票 ¹					
Additional Services 附加服務:	□ Internet Trading Services 網上交易服務 Our email address below for notifying the User ID and the Password 吾等以下之 電郵地址 以供通知使用者名稱及密碼					
			Joint Account Holder .賬戶主要持有人			
1. Client Data 客戶資	卧					
Name of Client	(Chinese ‡	文)	Gender 性別: □男 Male □女 Female	Date of Birth 出生日期	年	onth Day 月 日
客戶名稱:		文/ Pinyin 拼音)	Education Level 教育程度:	Secondary	ary 大專或以上	
ID Type and No.	☐ ID Card ☐ Passport	身份證 護照/ 往來港澳通行證	Marital Status 婚姻狀況:	☐ Single 未婚 ☐ Married 已如		
身份證明文件類別及號碼:	Issuing Country 簽發國家: Number.		Place of Birth 出生地:	Nationality (Region) 國籍(地區):		
	號碼:					
Mobile Phone No. 手提電話: ()		Email Address 電郵地址:			Home Phone No (If 住宅電話 (如有): ()	
Residence/ Home Address 住宅地址:	(P.O. Box add	ress is not acceptable 恕不接受中央郵箱地址)			(Postal Co	de 郵編
Correspondence Address 通訊地址:		ce/ Home Address 住宅地址 Please Specify) 其他(請說明):	Office Address 公司地	址	(Postal Code ∄	
(If your Mailing/ Correspo (如閣下的通訊地址與住	ondence Addr 宅地址一樣,	ess is same as Residence/ Home Addre 住宅地址將設置為結單上顯示之地	ess, Residence/ Home A	Address will be dis)
2. Employment Status	→ 佐 44×112					
□ Full-time Employment □ Others 其他:		□Part-time Employment 兼職	☐ Self-Em	ployed 自僱	□ Retired 退休	□Student 學生
Occupation Industry 職業行業 (Please refer Appendix for List of Industries and fill in the relevant number (行業列表請參考附錄,並填寫相關 代號)						
Office Address 公司地址: (Postal Code 郵編)						

 $^{^1}$ 根據香港交易所於 2022 年 6 月 24 日發出的通告,中證監、上交所及深交所限制對內地投資者參與滬深股通交易的市場諮詢及交易。中華通股票交易服務由 2022 年 7 月 25 日開始並不適用於中國境內客戶申請。

 $^{^{2}}$ 若無穩定工作來源,請填妥《無穩定收入表格》。If you do not have a stable source of employment, please complete the "No Fixed Assets/Income proof form ".



Account No. 客戶賬號

Company Address: Suites 1505-1508 Two Exchange Square, 8 Connaught Place, Central, Hong Kong 公司地址:香港中環康榮廣場 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

 Occupation
 Position
 Year(s) of Service

 職業
 中心

3. Financial Summary	財務資料簡要
Place of origin of the funding source 資金來 源地	□Hong Kong 香港 □Others 其他:
Information in relation the Initial Source of Funds 首次資金來源信 息 (choose one or more 可選多項)	(If unemployed, must specify source of funds 如非受僱,必須填寫資金來源) □ Salary & Commission 薪金及佣金 □ Business Profit 業務溢利 □ Investment 投資 □ Dividend/Interest 股息/利息□ Rent 租金 □ Pension 退休金 □ Family Income 家庭收入 □ Savings 儲蓄 □ Others 其他 (Please specify 請述明): □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □
Recurring Source of Funds 持續資金來源	□ Same as the Initial Source of Funds 與首次資金來源相同 □ Others (please specify) 其他(請註明)
Estimated annual income (in HK\$) 估計年度收入(港元)	$ \begin{array}{c ccccccccccccccccccccccccccccccccccc$
Asset Items 資產項目	□ Land and Property 房地產 □ Cash / Deposit 現金 / 存款 □ Stock 股票 □ Fund 基金 □ Bond 債券 □ Bullion 貴金屬 □ Vehicle(s) 車輛 □ Company/Shares 公司/股份 □Others 其他(Please specify 請應明):
Ownership of Residence 住宅業權 (Please check one only) (請選擇其一)	□Owned with Mortgage 自置有按揭 □ Owned without Mortgage 自置無按揭 □ Rented 租賃 □ Dorm 宿舍 □Others 其他 (Please specify 請指明):
Total Net Asset Value (HKD) 資產淨值(港元)	
Bankruptcy 破產記錄	Have the client ever declared bankruptcy? 閣下是否曾宣佈破產? □ No 不是 □ Yes 是 If yes, please specify 如是,請述明:
3.2 Investment Expe	rience & Derivative Products Knowledge 投資經驗及衍生產品認識
Investment Objective 投資目的	□ Capital Gain 資本增值 □ Hedging 對沖 □ Speculation 投機 □ Dividend Income 股息收益 □ Others 其他(Please specify 請述明):
Investment Horizon 投資期	□ No constraint 沒有限制 □ Short Term(<3 months)短期(少於 3 個月) □ Medium Term(3-12 months) 中期(3-12 個月) □ Long Term(.>1 year)長期(1 年以上)
Investment Experience 投資經驗	□Have never invested 從不投資(請直接填寫第 5 部份) □Have investment Experiences 擁有投資經驗
Investment Products and Investment Experience (Local or Overseas) 曾賈竇產品及投資經驗 (本地或海外) (tick as appropriate) (請於適當空格填上✓)	Years of Experience 投資經驗 Shares 股票 Callable Bull/Bear Contracts (CBBC)/ Derivative Warrants 牛熊



Account No. 客戶賬號

and r 客戶	isks of derivative prod 知悉及明白中州國際 The Client underwen	und understands Central China International Securitie lucts according to the information the Client provided 證券有限公司將根據以下的資料以評估客戶是否對 training or attended courses on derivative products. 生產品的培訓或修讀相關課程。	. (please answer all questions)	
□ 2.		t or previous work experience related to derivative pro 有與衍生產品有關的工作經驗。	oducts.	
	Bull/Bear Contracts Stock Options, Futus 客戶於過去 3 年曾 易所買賣基金等。	res and Options, Commodities, Structured Products, a 執行 5 次或以上有關衍生產品(本地或海外)的交易	nd Exchange Traded Funds, etc.	
	Related Account		in International Committee Co. I insite	- 10
閣下	ou nave rights or bene 是否在中州國際證券	fits in any securities or other account with Central Ch 有限公司已開立的任何證券或與其他賬戶具有權。	ina international Securities Co., Limito 益?	ed?
	ア 目	Name of Account 賬戶名稱		Account Number 賬戶號碼
□ N	o 不是 es 是			
	Disclosure 披露			2
a)		director or employee of a person, licensed by or regis 券及期貨事務監察委員會發牌或註冊人士或註冊公 Name of the Licensed Institution(s) 持牌或註冊人士名稱:	₹司之董事或僱員?	Commission of Hong Kong?
b)	Are you an employe	(Please provide employer's consent letter 請提供僱e/account executive or the relative of employee/accou	主之書面同意書) nt executive of Central China Internati	onal Securities Co. Limited or its associated
0)	companies? 閣下是否為中州國 □ No 不是	祭證券有限公司或其聯營公司的僱員/營業經紀或	該人士的親屬?	
c)	☐ Yes 是	Name of Employee/Account Executive 僱員/營業終 I shareholder*, a senior officer or director of any (liste	E紀姓名:ed) company whose shares are traded o	Relationship 關係:
ς,	閣下是否在任何交 *"substantial shareho at any general meeting	易所或市場買賣的(上市)公司之主要股東*、高級力older" means, in relation to a company, a person whong of that company. 一間公司而言,任何人士其於該公司之任何股東方 Company Name 公司名稱:	《員或董事? o is entitled to exercise, or control the o 大會有權行使,或可控制行使,10%	exercise of, 10% or more of the voting power 或以上之投票權
d)	Is your spouse, child	Stock Code 上市編號:ren or immediate family members a-client of Central		
u)	閣下的配偶、子女! □ No 不是 □ Yes 是	或直屬親屬是否中州國際證券有限公司的客戶?	cima incinational Securities Co., Em	inica.
		Name 名稱:Account Type 賬戶類別: □ Cash Securities Acco 現金證券賬戶	Relationship 與閣下的關係 Margin Securities Acco 保證金證券賬戶	:unt
		Account No.賬戶號碼:		
e)	Limited?	tly with your spouse control 35% or more of the votin 共同控制中州國際證券有限公司的任何公司客戶 3		stral China International Securities Co.,
		Company Name 公司名稱:		
		Account No.賬戶號碼:		
f)	corporation?	members or your close associates a politically expos 或親密夥伴是否政治人物、高級政府官員或國有企		or senior executive of a state-owned



Account No. 客戶賬號

□ 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					
□ Yes 是	If yes my taxpayer identifica	tion no. (T.I.N.) is			
□ 1cs Æ	加具,木人之幼科人識別別	福 (T.I.N.) 為	-		
	和是一个人之前几个时间	LUMY (1.1.11.) /// // // // // // // // // // // // /			
Are you a residen	t of the United States of America	for US federal income tax purposes? (Inclu	ides green card holder)		
	美國居民(包括綠卡持有者)。	for objected meome tax purposes. (men	ides green eard noider)		
□ No 不是					
☐ Yes 是	If yes, my taxpayer identifica	tion no. (T.I.N.) is			
_ /-	1 H 1. 1. 1. 1. 1. 1. 1. 1. 1. 1. 1. 1. 1.	to protect the same as as as a Mills			
h) Are you holding of	or holding on behalf of other citize	凭畴 (T.I.N.) 為 on or resident of the United States of Amer	ica as a trustee any securi	ties?	
閣下是否持有或	以信託人的身份替其他美國公民	記載居民買入或持有證券?	ion as a trastee any securi		
□ No 不是					
□ Yes 是					
Introducer 介紹人 (If a	annlicable 如適田)				
Name of		Address	Tel No.	Relatio	onship with Client
Introducer		地址	聯絡電話		P客戶的關係
介紹人姓名		-c-ar.	497%0 4500	7	
71 11 12 12 12 12					
Į.			J		
		B. Secondary Joint Account Hold	er		
		聯名賬戶第二持有人			
Relationship with	Primary Account Holder:與第	一名客戶的關係: Parents 5	C母 Sp	ouse 配偶	
		Sons/Dau	ighters 子女 Otl	hers 其他:	
1. Client Data 客戶					
	(Chinese 中文)	Gender 性別:	D (CD) (I		
		□男 Male	Date of Birth	Year Moi	nth Day
Name of Client		□女 Female	出生日期		用 日
客戶名稱:	(English 英文/ Pinyin 拼音)		Primary or below		, , , , , , , , , , , , , , , , , , ,
	(===g====)()(==========================	Education Level			
			□ Secondary 中學	1 2-545/1	
		教育程度:	☐ Secondary 中學☐ Post-secondary 大		
	□ ID Card 身份證		☐ Post-secondary 大	專或以上	
ID Type and No	□ ID Card 身份證 □ Passport 護照 / 往來港灣	Marital Status	☐ Post-secondary 大☐ Single 未婚 [
ID Type and No. 良份證明立供類別及	□ Passport 護照 / 往來港测	Marital Status 類通行證 婚姻狀況:	□ Post-secondary 大 □ Single 未婚 □ Married 已婚	專或以上 Others 其他:	
身份證明文件類別及號	□ Passport 護照 / 往來港测	Marital Status 婚姻狀況: Place of Birth	☐ Post-secondary 大 ☐ Single 未婚 ☐ Married 已婚 Nat	專或以上 Others 其他: ionality (Region)
	□ Passport 護照 / 往來港源 Issuing Country 簽發國家: Number.	Marital Status 類通行證 婚姻狀況:	☐ Post-secondary 大 ☐ Single 未婚 ☐ Married 已婚 Nat	專或以上 Others 其他:)
身份證明文件類別及號碼:	□ Passport 護照 / 往來港灣 Issuing Country 簽發國家: Number. 號碼:	Marital Status 婚姻狀況: Place of Birth 出生地:	□ Post-secondary 大 □ Single 未婚 □ Married 已婚 Nat	專或以上 □ Others 其他: ionality (Region 奮(地區):)
身份證明文件類別及號碼: Mobile Phone No.	□ Passport 護照 / 往來港灣 Issuing Country 簽發國家:Number. 號碼: □ Email Address	Marital Status 婚姻狀況: Place of Birth 出生地:	□ Post-secondary 大 □ Single 未婚 □ Married 已婚 Nat 図第	專或以上 Others 其他: ionality (Region f (地區): me Phone No.)
身份證明文件類別及號碼: Mobile Phone No. 手提電話:	□ Passport 護照 / 往來港灣 Issuing Country 簽發國家: Number. 號碼:	Marital Status 婚姻狀況: Place of Birth 出生地:	□ Post-secondary 大 □ Single 未婚 □ Married 已婚 Nat 図第	專或以上 Others 其他: ionality (Region (地區): me Phone No.)
身份證明文件類別及號碼: Mobile Phone No.	□ Passport 護照 / 往來港灣 Issuing Country 簽發國家:Number. 號碼: □ Email Address	Marital Status 婚姻狀況: Place of Birth 出生地:	□ Post-secondary 大 □ Single 未婚 □ Married 已婚 Nat 図第	專或以上 Others 其他: ionality (Region f (地區): me Phone No.)
身份證明文件類別及號碼: Mobile Phone No. 手提電話: ()-	□ Passport 護照 / 往來港灣 Issuing Country 簽發國家:Number. 號碼: □ Email Address	Marital Status 婚姻狀況: Place of Birth 出生地:	□ Post-secondary 大 □ Single 未婚 □ Married 已婚 Nat 図第	專或以上 Others 其他: ionality (Region (地區): me Phone No.)
身份證明文件類別及號碼: Mobile Phone No. 手提電話: ()- Residence/ Home	□ Passport 護照 / 往來港灣Issuing Country 簽發國家: Number. 號碼: □ Email Address 電郵地址: □ □ Passport 護照 / 往來港灣Issuing Country 簽發國家: □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □	Marital Status 婚姻狀況: Place of Birth 出生地:	□ Post-secondary 大 □ Single 未婚 □ Married 已婚 Nat 図第	專或以上 Others 其他: ionality (Region (地區): me Phone No.)
身份證明文件類別及號碼: Mobile Phone No. 手提電話: ()- Residence/ Home Address	□ Passport 護照 / 往來港灣Issuing Country 簽發國家: Number. 號碼: □ Email Address 電郵地址: □ □ Passport 護照 / 往來港灣Issuing Country 簽發國家: □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □	Marital Status 婚姻狀況: Place of Birth 出生地:	□ Post-secondary 大 □ Single 未婚 □ Married 已婚 Nat 図第	專或以上 Others 其他: ionality (Region (地區): me Phone No. 電話:)-)
身份證明文件類別及號碼: Mobile Phone No. 手提電話: ()- Residence/ Home	□ Passport 護照 / 往來港灣Issuing Country 簽發國家: Number. 號碼: □ Email Address 電郵地址: □ □ Passport 護照 / 往來港灣Issuing Country 簽發國家: □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □	Marital Status 婚姻狀況: Place of Birth 出生地:	□ Post-secondary 大 □ Single 未婚 □ Married 已婚 Nat 図第	專或以上 Others 其他: ionality (Region (地區): me Phone No.)
身份證明文件類別及號碼: Mobile Phone No. 手提電話: ()- Residence/ Home Address 住宅地址:	□ Passport 護照 / 往來港灣Issuing Country 簽發國家:Number. 號碼: □ Email Address 電郵地址: □ (P.O. Box address is not acceptable \$\frac{3}{2}\$	Marital Status 婚姻狀況: Place of Birth 出生地: SCR 接受中央郵箱地址)	Post-secondary 大 Single 未婚 Married 已婚 Nat 図集	專或以上 Others 其他: ionality (Region (地區): me Phone No. 電話:)
身份證明文件類別及號碼: Mobile Phone No. 手提電話: ()- Residence/ Home Address 住宅地址: Correspondence	Passport 護照 / 往來港灣Issuing Country 簽發國家:Number. 號碼: Email Address 電郵地址: (P.O. Box address is not acceptable address is n	Marital Status 婚姻狀況: Place of Birth 出生地: SC不接受中央郵箱地址) GC (中宅地址) Office Address 公司	Post-secondary 大 Single 未婚 Married 已婚 Nat 図集	專或以上 Others 其他: ionality (Region (地區): me Phone No. 電話:)
身份證明文件類別及號碼: Mobile Phone No. 手提電話: ()- Residence/ Home Address 住宅地址: Correspondence Address	□ Passport 護照 / 往來港灣Issuing Country 簽發國家:Number. 號碼: □ Email Address 電郵地址: □ (P.O. Box address is not acceptable \$\frac{3}{2}\$	Marital Status 婚姻狀況: Place of Birth 出生地: SC不接受中央郵箱地址) GC (中宅地址) Office Address 公司	Post-secondary 大 Single 未婚 Married 已婚 Nat Married 已婚 (Post-secondary 大	專或以上 Others 其他: ionality (Region f (地區): me Phone No. 三電話:)- stal Code 郵編)
身份證明文件類別及號碼: Mobile Phone No. 手提電話: ()- Residence/ Home Address 住宅地址: Correspondence	Passport 護照 / 往來港灣Issuing Country 簽發國家:Number. 號碼: Email Address 電郵地址: (P.O. Box address is not acceptable address is n	Marital Status 婚姻狀況: Place of Birth 出生地: SC不接受中央郵箱地址) GC (中宅地址) Office Address 公司	Post-secondary 大 Single 未婚 Married 已婚 Nat Married 已婚 (Post-secondary 大	專或以上 Others 其他: ionality (Region (地區): me Phone No. 電話:)
身份證明文件類別及號碼: Mobile Phone No. 手提電話: ()- Residence/ Home Address 住宅地址: Correspondence Address 通訊地址:	Passport 護照 / 往來港灣Issuing Country 簽發國家: Number. 號碼: Email Address 電郵地址: (P.O. Box address is not acceptable 第 Residence/ Home Address Others (Please Specify) 其	Marital Status 婚姻狀況: Place of Birth 出生地: SC不接受中央郵箱地址) G 住宅地址 (他(請說明):	Post-secondary 大 Single 未婚 Married 已婚 Nat 図第 Hor	專或以上 Others 其他: ionality (Region (地區): me Phone No. 電話:)- stal Code 郵編)
身份證明文件類別及 碼: Mobile Phone No. 手提電話: ()- Residence/ Home Address 住宅地址: Correspondence Address 通訊地址: (If your Mailing/ Corres	Passport 護照 / 往來港灣 Issuing Country 簽發國家: Number.	Marital Status 婚姻狀況: Place of Birth 出生地: SC不接受中央郵箱地址) G 住宅地址 (計説明): Gidence/ Home Address, Residence/ Home Address.	Post-secondary 大 Single 未婚 Married 已婚 Nat 図第 Hor	專或以上 Others 其他: ionality (Region (地區): me Phone No. 電話:)- stal Code 郵編)
身份證明文件類別及 碼: Mobile Phone No. 手提電話: ()- Residence/ Home Address 住宅地址: Correspondence Address 通訊地址: (If your Mailing/ Corres (如閣下的通訊地	□ Passport 護照 / 往來港灣 Issuing Country 簽發國家: Number. 號碼: □ Email Address 電郵地址: □ (P.O. Box address is not acceptable 第 □ Others (Please Specify) 其 □ pondence Address is same as Res 址與住宅地址—樣,住宅地址將	Marital Status 婚姻狀況: Place of Birth 出生地: SC不接受中央郵箱地址) G 住宅地址 (他(請說明):	Post-secondary 大 Single 未婚 Married 已婚 Nat 図第 Hor	專或以上 Others 其他: ionality (Region (地區): me Phone No. 電話:)- stal Code 郵編)
身份證明文件類別及號碼: Mobile Phone No. 手提電話: ()- Residence/ Home Address 住宅地址: Correspondence Address 通訊地址: (If your Mailing/ Corres (如閣下的通訊地 2. Employment State	Passport 護照 / 往來港灣Issuing Country 簽發國家: Number. 號碼: Email Address 電郵地址: (P.O. Box address is not acceptable 第 Chessidence / Home Address Others (Please Specify) 其 pondence Address is same as Res 址與住宅地址一樣,住宅地址將 us 工作狀況 ³	Marital Status 婚姻狀況: Place of Birth 出生地: SC不接受中央郵箱地址) GC 在宅地址 Office Address 公司: EC (請說明): Gidence/ Home Address, Residence/ Home Address 公司: ED (可能) Address Address 公司: ED (可能) Address Address 公司: ED (可能) Address Addr	Post-secondary 大 Single 未婚 Married 已婚 Nat 國籍 (Po	專或以上 Others 其他: ionality (Region (地區): me Phone No. c電話:)- stal Code 郵編 lin statement))
身份證明文件類別及號碼: Mobile Phone No. 手提電話: ()- Residence/ Home Address 住宅地址: Correspondence Address 通訊地址: (If your Mailing/ Corres (如閣下的通訊地	Passport 護照 / 往來港灣Issuing Country 簽發國家: Number. 號碼: Email Address 電郵地址: (P.O. Box address is not acceptable 第 Chessidence / Home Address Others (Please Specify) 其 pondence Address is same as Res 址與住宅地址一樣,住宅地址將 us 工作狀況 ³	Marital Status 婚姻狀況: Place of Birth 出生地: SC不接受中央郵箱地址) GC 在宅地址 Office Address 公司: EC (請說明): Gidence/ Home Address, Residence/ Home Address 公司: ED (可能) Address Address 公司: ED (可能) Address Address 公司: ED (可能) Address Addr	Post-secondary 大 Single 未婚 Married 已婚 Nat 國籍 (Po	專或以上 Others 其他: ionality (Region (地區): me Phone No. 電話:)- stal Code 郵編)

³ 若無穩定工作來源,請填妥《無穩定收入表格》。If you do not have a stable source of employment, please complete the "No Fixed Assets/Income proof form ".



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 騑繋方式:+852-2500 1313 Fax No.傳真號碼: +852-2250 5113

Occupation Industry 職業行業 (Please refer Appendix for List of Name of Employer Industries and fill in the relevant 僱主名稱: number 行業列表請參考附錄,並填寫相關 代號) Office Address 公司地址: (Postal Code 郵編 Position Year of Service Occupation 職業: 職位: 任職年期: Financial Summary 財務資料簡要 Place of origin of the funding source 資金來 □Others 其他:_ □Hong Kong 香港 源地 Information in relation (If unemployed, must specify source of funds 如非受僱,必須填寫資金來源) the Initial Source of ☐ Salary & Commission 薪金及佣金 ☐ Business Profit 業務溢利 ☐ Investment 投資 □ Dividend/Interest 股息/利息 Funds 首次資金來源信 ☐ Family Income 家庭收入 ☐ Pension 退休金 ■ Savings 儲蓄 Rent 租金 息 (choose one or more □ Others 其他 (Please specify 請述明): _ 可選多項) Recurring Source of Same as the Initial Source of Funds 與首次資金來源相同 **Funds** □ Others (please specify) 其他 (請註明) 持續資金來源 **Estimated annual** $\begin{array}{c|cccc} & \subseteq 200,000 & & \bigcirc 200,001 - 500,000 \\ \hline & 1,000,001 - 2,000,000 & \bigcirc 2,000,001 - 5,000,000 \\ \end{array}$ 500,001 - 1,000,000income (in HK\$) $\ge 5,000,001$ 估計年度收入(港元) **Asset Items** □ Land and Property 房地產 □ Cash / Deposit 現金 / 存款 □ Stock 股票 ☐ Fund 基金 □ Bond 債券 資產項目 □ Bullion 貴金屬 □ Vehicle(s) 車輛 □ Company/Shares 公司/股份 □Others 其他(Please specify 請雄明): Ownership of Residence 住宅業權 □Owned with Mortgage 自置有按揭 □ Owned without Mortgage 自置無按揭 □ Rented 租賃 □ Dorm 宿舍 □Others 其他 (Please check one only) (Please specify 請指明):_ (請選擇其一) Total Net Asset Value ☐ 500,001 - 1,000,000 ☐ 1,000,001 - 3,000,000 (HKD) 3,000,001 - 8,000,000 $\square \ge 40,000,001$ 8,000,001 - 40,000,000 資產淨值(港元) Have the client ever declared bankruptcy? 閣下是否曾宣佈破產? □ No 不是 **Bankruptcy** □ Yes 是 破產記錄 If yes, please specify 如是,請述明:_ 3.2 Investment Experience & Derivative Products Knowledge 投資經驗及衍生產品認識 **Investment Objective** Capital Gain 資本增值 ☐ Hedging 對沖 ☐ Speculation 投機 投資目的 Others 其他(Please specify 請述明): Dividend Income 股息收益 **Investment Horizon** □ No constraint 沒有限制 □ Short Term (<3 months) 短期(少於3個月) 投資期 ☐ Medium Term(3-12 months) 中期(3-12 個月) □ Long Term (.>1 year) 長期 (1年以上) **Investment Experience** □Have never invested 從不投資(請直接填寫第5部份) □Have investment Experiences 擁有投資經驗 投資經驗 Years of Experience 投資經驗 Shares 股票 Investment Products Callable Bull/Bear Contracts (CBBC)/ Derivative Warrants 牛痘 and Investment Experience (Local or 證/衍生權證(窩輪) Overseas) G.E.M. Listed Shares 創業板 曾買賣產品及投資經驗 Futures and Options 期貨及期權 (本地或海外) Mutual Funds/Unit Trust 互惠基金/單位信託基金 (tick as appropriate) Structured Investment Products 結構性產品 (請於適當空格填上 ✓) Fixed Income Securities 固定收益證券 Others (Please specify) 其他 (請註明)



Account No. 客戶賬號

The Client acknowledges and understands Central China International Securities Co., Limited will assess whether the Client has adequate knowledge of the nature and risks of 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將根據以下的資料以評估客戶是否對衍生工具產品的性質及風險有認識。(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。				
4.	Related Account 關	連賬戶		
		efits in any securities or other account with Central China International S 注有限公司已開立的任何證券或其他賬戶具有權益?	Securities Co., Limited?	
	o 不是 es 是	Name of Account 賬戶名稱	Account Number 賬戶號碼	
5.	Trading Instruction	 us 交易指示		
		under the verbal instruction of (please tick the appropriate box):		
此收	产可似像以下口頭指	示方式交易(請在適當空格加✔):		
□ E	Either one of the accou 任何一位帳戶持有人	int holder; or	Both account holders 兩位帳戶持有人	
☐ E	Sither one of the accou 任何一位帳戶持有人 Disclosure 披露	int holder; or	兩位帳戶持有人	
□ E	Either one of the accou 任何一位帳戶持有人 Disclosure 披露 Are you a person, or	int holder; or	兩位帳戶持有人 ies and Futures Commission Hong Kong? ?	
☐ E	Bither one of the account 在一位帳戶持有人 Disclosure 披露 Are you a person, on 閣下是否為香港證 □ No 不是 □ Yes 是 Are you an employe	director or employee of a person, licensed by or registered with Securit 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僱員 Name of the Licensed institution(s) 持牌或註冊機構名稱:	兩位帳戶持有人 ies and Futures Commission Hong Kong? ?	
6. a)	Either one of the account 任何一位帳戶持有人 Disclosure 披露 Are you a person, on 閣下是否為香港證 □ No 不是 □ Yes 是 Are you an employed companies?	r director or employee of a person, licensed by or registered with Securit 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僱員 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)	兩位帳戶持有人 ies and Futures Commission Hong Kong? ? Intral China International Securities Co., Limited or its associated	
6. a)	Are you an employe companies? 图下是否為中州國 No 不是 Yes 是 Are you a substantial lahar power at any genera	director or employee of a person, licensed by or registered with Securit 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僱員 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) e/account executive or the relative of employee/account executive of Ce 際證券有限公司或其聯營公司的僱員/營業經紀或該人士的親屬? Name of Employee/Account Executive 僱員/營業經紀姓名: dl shareholder*, a senior officer or director of any (listed) company whos 易所或市場買賣的(上市)公司之主要股東*、高級人員或董事? eholder" means, in relation to a company, a person who is entitled to example of that company. 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,	m位帳戶持有人 les and Futures Commission Hong Kong? ? Intral China International Securities Co., Limited or its associated Relationship 關係: les shares are traded on any exchange or market? Recreise, or control the exercise of, 10% or more of the voting 或可控制行使,10%或以上之投票權	
6. a) b)	Are you an employe companies? Are you a substantia 閣下是否為中州國 No 不是 Yes 是 Are you a substantia 閣下是否在任何交 "substantial shar power at any genera 「主要股東」指,	rdirector or employee of a person, licensed by or registered with Securit 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僱員 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) e/account executive or the relative of employee/account executive of Ce 際證券有限公司或其聯營公司的僱員/營業經紀或該人士的親屬? Name of Employee/Account Executive 僱員/營業經紀姓名: dl shareholder*, a senior officer or director of any (listed) company whos 易所或市場買賣的(上市)公司之主要股東*、高級人員或董事?eholder" means, in relation to a company, a person who is entitled to explaneting of that company.	m位帳戶持有人 les and Futures Commission Hong Kong? ? Intral China International Securities Co., Limited or its associated Relationship 關係: les shares are traded on any exchange or market? Recreise, or control the exercise of, 10% or more of the voting 或可控制行使,10%或以上之投票權	
6. a) b)	Are you an employe companies? 图下是否為中州國 No 不是 Yes 是 Are you a substantia 閣下是否在任何交 "substantial shar power at any genera 「主要股東」指, No 不是	director or employee of a person, licensed by or registered with Securit 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僱員 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) e/account executive or the relative of employee/account executive of Ce 際證券有限公司或其聯營公司的僱員/營業經紀或該人士的親屬? Name of Employee/Account Executive 僱員/營業經紀姓名: dl shareholder*, a senior officer or director of any (listed) company whos 易所或市場買賣的(上市)公司之主要股東*、高級人員或董事? eholder" means, in relation to a company, a person who is entitled to example of that company. 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,	md位帳戶持有人 ies and Futures Commission Hong Kong? ? Intral China International Securities Co., Limited or its associated Relationship 關係:	



(FOR OFFICIAL USE ONLY 只供本公司使用)

Account No. 客戶賬號

		Name 名稱:	Relationshir	9 與閣下的關係:
		Account Type 賬戶類別:□ Cash Securities Account 現金證券賬戶	•	Securities Account
		况並設分級尸 Account No.賬戶號碼:		豆分州(C)
e)	Do you alone or join affiliates?	ntly with your spouse control 35% or more of the votin	g rights of any client	of Central China International Securities Co., Limited or its
	閣下單獨或與配偶 □ No 不是 □ Yes 是	共同控制中州國際證券有限公司或其聯營公司的任	任何客戶 35%或以上的	的表決權?
		Company Name 公司名稱:		
		Account No.賬戶號碼:	Client ID 客	戶賬號:
f)	Are you, your family corporation?	y members or your close associates a politically expose	ed person, senior gove	ernment official or senior executive of a state-owned
		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?	
		If yes, please specify 如果是, 請述明具體:		
g)	閣下是否美國公民	the United States of America?		
	□ 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		
	本人聲明本人為美	f the United States of America for US federal income 國居民(包括綠卡持有者)。	tax purposes? (Includ	es green card holder)
	□ 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)		holding on behalf of other citizen or resident of the Un 信託人的身份替其他美國公民或居民買人或持有證		a as a trustee any securities?
		C. Designated Bank A 指定銀行	ccount & Settlement F戶口及結算詳情	Details
1.	Please provide the co	ppy of statement or passbook (the document must b	e in full and your na	me, bank name and bank account number must be
		大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	亍名稱及銀行賬戶號碼)以作證明
	k Name 子名稱:		Account No. 賬戶號碼:	
	ount Name :名稱:		Currency 貨幣:	□ HKD港元 □ RMB 人民幣 □ USD 美元
	k Name		Account No.	
銀行	行名稱:		賬戶號碼:	
	ount Name 名稱:		Currency 貨幣:	□ HKD 港元 □ RMB 人民幣 □ USD 美元
2.	Settlement Details 紹	算詳情 (for HK market DVP settlement only) (只知	適用於香港市場貨銀	對付結算)
	odian Bank 記銀行		Account Name 賬戶名稱	



員。

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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 騑繋方式:+852-2500 1313 Fax No.傳真號碼: +852-2250 5113

CCASS ID (if applicable): Securities 中央結算系統號碼 Account No. 證券賬戶號碼 (如適用) **Communication Method** 通訊方式 By email to the E-mail Address for both daily and monthly account ■ English 英語 Method of Account statements. **Preferred Statement Collection** 戶口日結單及月結單電郵至電郵地址。 Statement ☐ Chinese 中文 (please check one) Language 戶口結單收取方式(請 By post to the Mailing/ Correspondence Address for both daily and 結單語言 選擇一項) monthly account statements. (HK\$20 each) *部分結單系統只支援英文 戶口日結單及月結單郵寄至通訊地址。(每封港幣20元正) E. 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 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 via the following channel(s) 客戶(等)清楚同意中州國際證券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,並且同意中州國際證券有限公司使用 我的個人資料做任何直接促銷用途。 The Client(s) do not wish Central China International Securities 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. 客戶(等)不希望中州國際證券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成

F. Declaration by Client(s) 客戶聲明

I/We hereby declare that I/we am/are the only party who has the ultimate interests in the Account and the information given in this form is true and correct and that I/We have not willfully withheld any material fact(s). I/We understand that I/we may be required to provide additional information or submit documentary proof as to the information provided in this form when requested to do so. I/We understand that my/our submission of this form and the acceptance of this form by you in no way implies approval for opening of the Account for me/us and that you reserve the right to reject my/our application.

本人/吾等謹此聲明本人/吾等為帳戶的最終實益擁有人,表格上提供之所有資料均為真實及正確,本人/吾等並未刻意隱瞞任何重要事實。除上述提供的資料外,本人/吾等清楚貴司會要求本人/吾等提供更多相關的資料或證明文件。本人/吾等明白本人/吾等遞交此表格及貴司接納此表格並非表示貴司同意開立帳戶予本人/吾等,並清楚貴司保留拒絕本人/吾等開戶申請之權力。

If I/we am/are characterized as "without knowledge of derivatives", I/we further acknowledge that I/we 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 (as amended from time to time) and fully understood the relevant risks herewith. Although I/we might not have relevant derivatives product(s) trading experience, I/we may still base on the own independent judgement of me/us to request for entering into transaction(s) of derivatives product(s) and would take all risks associated.

如本人/吾等被歸類為「對衍生產品沒有認識」,本人/吾等進一步確認已仔細閱讀在證券帳戶條款及條件中所載風險披露聲明(及其不時作出的修改)及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。儘管本人/吾等可能並沒有相關衍生產品交易經驗,本人/吾等可能基於其獨立判斷仍要求進行衍生產品交易。本人/吾等願意承擔所有相關衍生產品風險。

I/We request you to open a Securities Trading Account ("the Account") and agree to abide by the rules and regulations of The Stock Exchange of Hong Kong Limited ("SEHK") or any other regulatory body(ies) as amended from time to time governing the purchase and sale of securities quoted on the SEHK or any other exchanges.

本人/吾等向貴司申請開立證券買賣帳戶,並同意遵守香港聯合交易所有限公司("聯交所")及其他監管機構不時修訂以監管於聯交所或其他交易所進行證券買賣之條例及規則。

If I/we intend to conduct trading in China Connect Securities through the Shanghai-Hong Kong Stock Connect and Shenzhen-Hong Kong Stock Connect, I/we hereby confirm and acknowledge that:

如本人/吾等有意使用「滬港股票市場交易互聯互通機制」及「深港股票市場交易互聯互通機制」(「滬港通」及「深港通」)進行中華通證券交易,本人/吾等謹此確認及知悉:

- (i) I/we agree to abide by the Shanghai Stock Exchange ("SSE")/Shenzhen Stock Exchange ("SZSE") Rules and laws and regulations of Mainland China relating to the use of the China Connect Service and the trading of China Connect Securities; 本人/吾等同意遵守上海證券交易所「上交所」/深圳證券交易所「深交所」規則以及中國內地有關使用中華通服務及買賣中華通證券的法律及規例;
- (ii) the Hong Kong Exchange and Clearing Limited ("Exchange") has the power not to extend the China Connect Service to me/us and the power to require you not to accept instructions from me/us, if it is found that I/we have or may have committed any abnormal trading conduct set out in or fail to comply with the SSE/SZSE Rules and the laws and regulations of Mainland China relating to the use of the China Connect Service and the trading of China Connect Securities; 倘發現本人/吾等曾經或可能觸犯上交所規則及中國內地有關使用中華通服務及買賣中華通證券的法律及規例的不尋常交易活動、或未有遵守上交所/深交所規則及中國內地有關使用中華通服務及買賣中華通證券的法律及規例的法律及規例,香港交易及結算所有限公司「交易所」有權不向本人/吾等提供中華通服務及有權要求貴司不接納本人/吾等指



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: +852-22

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(iii) if the SSE/SZSE Rules are breached, or if the disclosure and other obligations referred to in the listing rules of the SSE/SZSE or the SSE/SZSE Rules are breached, SSE/SZSE has the power to carry out investigations, and may, through the Exchange or the SEHK Subsidiary, require you to provide relevant information and materials (including the information and personal data of me/us and other persons referred to in the SEHK Rule 537) to assist in its investigation; and

若上交所/深交所規則遭違反或倘上交所/深交所上市規則或上交所規則提及的披露及其他責任遭違反,上交所/深交所有權進行調查,並可透過交易所或聯交所子公司要求貴司提供相關資料及材料(包括聯交所規則第537條所述其他人士及本人/吾等的資料及個人資料)和協助調查;及

(iv) the Exchange may (for the purpose of assisting SSE/SZSE in its regulatory surveillance of the SSE/SZSE Market and enforcement of the SSE/SZSE Rules and as part of the regulatory cooperation arrangement between the Exchange, the SEHK Subsidiary and SSE/SZSE), at the request of SSE/SZSE, require you to provide information concerning me/us and other persons referred to in the SEHK Rule 537 with respect to any China Connect orders input or China Connect Securities Trades made or entered into by you on my/our behalf;

為協助上交所在上交所/深交所市場執行規管監察及實施上交所/深交所規則,及作為交易所、聯交所子公司與上交所/深交所訂立規管合作安排的一部分,交易所或會應上交所/深交所要求,要求貴司就貴司代為輸入的中華通買賣盤、或貴司代為輸入或進行的中華通證券交易提供規則第537條所述本人/吾等及其他人士的資料;

I/We acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

本人/吾等知悉及同意,財務機構可根據《稅務條例》(第112章)有關交換財務帳戶資料的法律條文,(a)收集本表格所載資料並可備存作自動交換財務帳戶資料用途及(b)把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報,從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

Pursuant to FATCA or applicable local laws, I/we hereby consent to you to report my/our personal data to the U.S. applicable local regulators or tax authorities where necessary in order to comply with FATCA or applicable local laws.

根據FATCA或相關當地法律,本人/吾等同意並在必要時為符合FATCA或適用的當地法律,向貴司匯報本人/吾等的個人資料到美國或適用的當地監管機構或稅務機關。

I/We understand that you may provide the data received from me/us to the following person: -

本人/吾等明白,貴司從本人/吾等收到之資料,可以提供予以下人士:

- (a) any Central China International Securities Co., Limited Group Member;
- 任何中州國際證券有限公司集團成員;

(b) any nominees in whose name securities or other assets may be registered; 任何代名人,而證券或其他資產是以該代名人的名義登記的;

- (c) any contractor, agent or service provider which provides administrative, data processing, financial, computer, telecommunication, payment or securities clearing, financial, professional or other services to any Central China International Securities Co., Limited Group Member or to any other person to whom the Data is passed;
 - 為任何中州國際證券有限公司集團成員或為其他經辦資料之人士提供行政、數據處理、財政、電腦、電訊、付款或證券結算、財務、專業服務或其他服務的任何承辦商、代理人或服務供應商;
- (d) any person with whom Central China International Securities Co., Limited enter into or proposes to enter into transaction on my behalf or account, or persons representing the same; and
 - 代或為本人/吾等與中州國際證券有限公司進行或提議進行交易之任何人士,或代表該等人士之人士;及
- (e) Governmental, regulatory or other bodies or institutions, whether as required by law, regulations applicable to any Central China International Securities Co., Limited Group Member, or otherwise.

政府、監管機構或其他團體或機構,不論是因為適用於任何中州國際證券有限公司成員的法律或規例要求或其他原因。

I/We have carefully read and understood the contents of the Client Agreement. I/We expressively agree and consent, as evidence by my/our signature(s) below, to each and all the terms and conditions contained in the Terms and Conditions for Securities Account (as amended from time to time). I/We have satisfied with the explanations and clarifications provided to me/us. I/We hereby declare that I/we am/are willing and capable of fulfilling the duties and obligations as specified in the Terms and Conditions for Securities Account (as amended from time to time).

·本人/吾等已仔細審閱並理解附帶的證券帳戶條款及條件(及其不時作出的修改)的全部內容。本人/吾等的以下簽名表明客戶完全同意和接受此客戶協議書的全部條款和條件。本人/吾等充分理解相關問題的解釋和說明,本人/吾等有能力並願意履行承擔此證券帳戶條款及條件(及其不時作出的修改)規定的權利和義務。

I/We also acknowledge that I/we have been invited to ask questions about the relevant laws and regulations, commission and fees schedules as well as the Risk Disclosure Statement in the Terms and Conditions for Securities Account (as amended from time to time).

本人/吾等等並在此聲明,本人/吾等確認本人/吾等有被邀請詢問有關法律法規、佣金費用和此證券帳戶條款及條件(及 其不時作出的修改)中有關風險披露聲明等問題。

I/We agree and confirm the Specimen Signature(s) herein under will be used to verify all written instructions given relating to the operation of the Account(s). 本人/吾等同意並確定下列簽署式樣將被用作核證任何就帳戶運作之書面指示。

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 Primary Joint Account Holder 聯名賬戶第一持有人簽署

Name of Individual Account Holder 聯名賬戶第一持有人姓名

Date 日期 (dd 日/mm 月/yyyy 年)



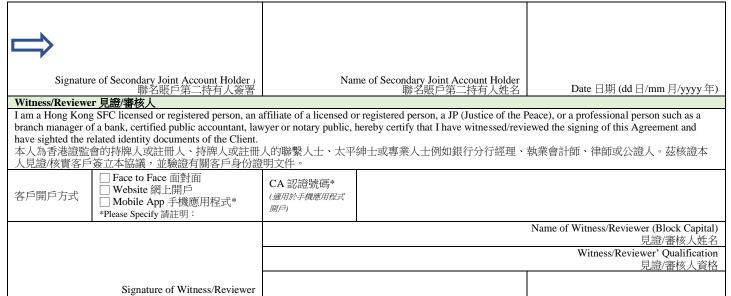
見證/審核人簽署

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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

Date 日期 (dd 日/mm 月/yyyy 年)



Witness/Reviewer' Licensed No 見證/審核人牌照號碼

APPENDIX – List of Industries no. 1 - 33 附錄 -	- 行業列表項目 1-33	
1. Beauty/Healthcare Services 美容/保健服務	2. Business Services 商業服務	3. Cash Intensive Business (e.g. Restaurant, Retail Store, etc) 現金密集型企業(例如:餐廳、零售店等)
4. Casino and Gambling Related Business	5. Construction & Engineering	6. Dealers in Art, Antique or Auction houses
賭場及其他與賭博相關的業務	建築及工程	藝術、古董經銷商或拍賣行
7. Dealers in Car, Boat or Plane 汽車、船舶或飛機經銷商	8. Dealers in Jewel, Gem or Precious Metal 珠寶,寶石或貴金屬經銷商	9. Embassies 大使館
10. Entertainment	11. Finance	12. Insurance
娛樂場所	金融	保險
13. Legal	14. Licensed non-Government Organization	15. Logistics
法律行業	經許可非政府組織	物流業
16. Manufacturer of Ammunition and Weapon 彈藥及武器製造商	17. Manufacturing 製造業	18. Mining/Trading in Precious Metals, Oil or Natural Gas 貴金屬、石油或天然氣開採或貿易商
19. Money Services Business (e.g. Money Exchange, Money Remitters, Check Cashers) 貨幣服務提供商(例如: 貨幣兌換、匯款或支票兌現)	20. Offshore Banks Located in Tax /Banking Havens 位於稅務/銀行避風港的離岸銀行	21. Pawnshop 當舖
22. Professionals (e.g. Solicitors, Accountants, etc)	23. Public Services	24. Real Estate
專業人士 (例如:律師、會計師)	公共服務	房地產
25. Startups and Fintech	26. Telecommunications	27. Transportation
初創及金融科技	通訊業	運輸業
28. Travel and Tourism	29. Utilities	30. Virtual Currency
旅遊業	公用事業	虛擬貨幣
31. Wholesale/Export/Import	32. Investment holdings	33. Others: Please state
批發/進出口	投資控股	其他: 請說明



Account No. 客戶賬號

(FOR OFFICAL USE ONLY 以下內容只供本公司使用)						
G. Approval of Account Opening 開戶批核						
A/E Code 經紀人/客戶主任編號:	Name of Account Execut 經紀人/客戶主任名		Signature of Account Ex 經紀人/客戶主			Date 日期 (dd 日/mm 月/yyyy 年)
Documentation checked 文件核實						
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」						
Laundering) and my know 本人已跟據合規監察手冊	s money laundering risk based ledge of Client: f(反洗黑錢政策)內高洗黑錢原 lassification 洗黑錢風險分類:	- 風險的定義及本人對客/	与的認識作出洗黑錢風險分		_	(Anti-money
(*delete as appropriate 請服 Money Laundering Risk C	删除不適用選項) lassification checked by 洗黑釒	養風險分類核實人:		Date ⊟	期:	
Declaration by CENTRA	L CHINA INTERNATIONA	L SECURITIES CO., I	LIMITED Staff 中州國際諸		次司職員 磐田	
applicable) and the Risk D invited the Client to read Statement in the Stock Opt ask questions and take ind explained to the Client the Disclosure Statement and t本人,以持牌人或註冊从生產品所涉及的風險),服券帳戶條款及條件及/或之風險披露聲明書(如適戶	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)及是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),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。如客戶被歸賴為「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。如客戶被歸賴為「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。如客戶被歸賴為「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書(如適用)、不過應披露聲明書(如適用)、本人進一步確認已向客戶解釋在風險披露聲明書(如適用)、本人進一步確認已向客戶解釋在風險披露聲明書(如適用)、本人進一步確認已向客戶解釋在風險披露聲明書(如適用)、本人進一步確認已向客戶解釋,如適用,以及用戶數之上的表面,以及用戶數之上的表					
Risk Disclosed By 風險披 「Face to Face 面對面」 Telephone 電話			Signature of the Licensed 持牌	Person 人簽署	Name	e of the Licensed Person 持牌人姓名
(Recorded Line No.錄音電 Online Video 網上視			CE No. 中央	絶・		Date 日期 (dd 日/mm 月/yyyy 年)
Commission Rate 佣金: S	Securities Trading Account (ដ្ឋ	登券交易帳戶)	CE 110. 1 X	59HH JU L		(dd []/mm/)]/yyyy ==
Marke	t 市場	Brokerage %	6 傭金百分率		Minimum Amou	ınt 最低金額
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Marke	I 巾場	Margin Interest	Rate % 融資利率	Tradın	g Limit 交易限額	Loan Limit 信貸限額



Account No. 客戶賬號

Central China International Securities Co., Limited 中州國際證券有限公司			
		Authorized director(s)/Res	sponsible Officer(s)'s Signature 獲授權董事/負責人員簽署
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:	Kept by 保管人:
Date 日期 (dd 日/mm 月/yyyy 年)	Date 年)		Date 日期 (dd 日/mm 月/yyyy 年)