

Client Name 客戶姓名：_____

Account No. 客戶賬號：_____



ACCOUNT OPENING FORM

開戶表格

(Individual Account)

(個人賬戶)

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
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)

| Trading Account(s) 交易帳戶 | | | |
|--|--|--|--|
| 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 | | |
| Trading Service 交易服務： | <input type="checkbox"/> Hong Kong Stock 港股 <input type="checkbox"/> US Stock 美股 <input type="checkbox"/> China Connect Stocks 中華通股票 ¹ <input type="checkbox"/> Bonds and Funds 債券及基金 | | |
| Additional Services 附加服務： | <input type="checkbox"/> Internet Trading Services 網上交易服務 My email address below for notifying the User ID and the Password 本人以下之電郵地址以供通知使用者名稱及密碼 | | |
| A. Individual Account Holder 個人賬戶持有人 | | | |
| 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： _____ Number. 號碼： _____ | Marital Status 婚姻狀況： <input type="checkbox"/> Single 未婚 <input type="checkbox"/> Others 其他： <input type="checkbox"/> Married 已婚 | Place of Birth 出生地點： Nationality (Region) 國籍 (地區)： |
| | | | |
| Mobile Phone No. 手提電話： () - _____ | Email Address 電郵地址： _____ | Home Phone No. (If any) 住宅電話 (如適用)： () - _____ | |
| Residence/ Home Address 住宅地址： | (P.O. Box address is not acceptable 恕不接受中央郵箱地址) (Postal Code 郵編 _____) | | |
| 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) | | | |
| 2 Employment Status 工作狀況 ² | | | |
| <input type="checkbox"/> Full-time Employment 全職受僱 <input type="checkbox"/> Part-time Employment 兼職 <input type="checkbox"/> Self-Employed 自僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Student 學生 <input type="checkbox"/> Others 其他： _____ | | | |
| Name of Employer 僱主名稱： | 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 _____) | | |
| Occupation 職業： | Position 職位： | Year(s) of Service 任職年期： | |

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。According to the circular issued on 24/6/2022 by HKEX, CSRC, SSE and SZSE set the limitation to Mainland investors about participating Stock Connect between Mainland and Hong Kong. For Mainland investors, it is not applicable to apply and trade any stocks through Stock Connect since 25/7/2022.

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".

| 3 Risk Profile 風險承受能力 | | | | | | | | | | | | | | | | | |
|---|---|--------------------------|--------------------------|-----------|--|--|--|--------------------------|--|-------------------------------------|--|--------------------------------------|--|--------------------------------|--|--|--|
| 3.1 Financial Summary 財務資料摘要 | | | | | | | | | | | | | | | | | |
| Place of origin of the funding source 資金來源地 | <input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> 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) <input type="checkbox"/> Salary/Commission 薪金/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"/> Rental Income 租金收入 <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 請註明): _____ | | | | | | | | | | | | | | | | |
| Recurring Source of Funds 持續資金來源 | <input type="checkbox"/> Same as the Initial Source of Funds 與首次資金來源相同 <input type="checkbox"/> Others (please specify) 其他 (請註明): _____ | | | | | | | | | | | | | | | | |
| 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 請註明): _____ | | | | | | | | | | | | | | | | |
| Ownership of Residence 住宅業權 (Please check one only) (請選擇其一) | <input type="checkbox"/> Owned with Mortgage 自置有按揭 <input type="checkbox"/> Owned without Mortgage 自置無按揭 <input type="checkbox"/> Rented 租賃 <input type="checkbox"/> Dorm 宿舍 <input type="checkbox"/> Others 其他 (Please specify 請指明): _____ | | | | | | | | | | | | | | | | |
| 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 | | | | | | | | | | | | | | | | |
| Bankruptcy 破產記錄 | Have the client ever declared bankruptcy? 閣下是否曾宣佈破產? <input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是 If yes, please specify 如是，請註明: _____ | | | | | | | | | | | | | | | | |
| 3.2 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 其他 (Please specify 請註明): _____ | | | | | | | | | | | | | | | | |
| Investment Horizon 投資期 | <input type="checkbox"/> No constraint 沒有限制 <input type="checkbox"/> Short Term (<3 months) 短期 (少於 3 個月) <input type="checkbox"/> Medium Term (3-12 months) 中期 (3-12 個月) <input type="checkbox"/> Long Term (>1 year) 長期 (1 年以上) | | | | | | | | | | | | | | | | |
| Investment Experience 投資經驗 | <input type="checkbox"/> Have never invested 從不投資 (Please go to Section 3.3 請直接填寫第 3.3 部份) <input type="checkbox"/> Have investment Experiences 擁有投資經驗 | | | | | | | | | | | | | | | | |
| 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 ✓) | <table border="1"> <thead> <tr> <th></th> <th>Years of Experience 投資經驗</th> </tr> </thead> <tbody> <tr> <td>Shares 股票</td> <td></td> </tr> <tr> <td>Callable Bull/Bear Contracts (CBBC)/ Derivative Warrants 牛熊證 / 衍生權證 (窩輪)</td> <td></td> </tr> <tr> <td>G.E.M. Listed Shares 創業板</td> <td></td> </tr> <tr> <td>Mutual Funds/Unit Trust 互惠基金/單位信託基金</td> <td></td> </tr> <tr> <td>Structured Investment Products 結構性產品</td> <td></td> </tr> <tr> <td>Fixed Income Securities 固定收益證券</td> <td></td> </tr> <tr> <td>Others (Please specify) 其他 (請註明) _____</td> <td></td> </tr> </tbody> </table> | | Years of Experience 投資經驗 | 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 | | 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) _____ | |
| | | Years of Experience 投資經驗 | | | | | | | | | | | | | | | |
| | 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 | | | | | | | | | | | | | | | | |
| | 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 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, 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、商品、結構性產品及交易所買賣基金等。

4 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?
 閣下是否在中州國際證券有限公司已開立的任何證券或與其他賬戶具有權益？

| | | |
|--|-------------------------|------------------------|
| <input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是 | Name of Account 賬戶名稱 | Account Number 賬戶號碼 |
| | _____ | _____ |

5 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?
 閣下是否為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僱員？
 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 or its associated companies?
 閣下是否為中州國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？
 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?
 閣下是否在任何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擁有權行使，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?
 閣下的配偶、子女或直屬親屬是否中州國際證券有限公司的客户？
 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
- 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 corporate client of Central China International Securities Co., Limited?
 閣下單獨或與配偶共同控制中州國際證券有限公司的任何公司客户 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

Introducer 介紹人 (If applicable 如適用)

| Name of Introducer 介紹人姓名 | Address 地址 | Tel No. 聯絡電話 | Relationship with Client 與客戶的關係 |
|-----------------------------|---------------|-----------------|------------------------------------|
| | | | |
| | | | |

C. 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 | | |

D. 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 元整) | | <input type="checkbox"/> Chinese 中文* *部分結單系統只支援英文 |

| | |
|--------------------------------------|---|
| Trade Confirmation 交易核實資料書 | (choose one only 只可選一項) <input type="checkbox"/> No trade confirmation required 不需要交易核實資料書 <input type="checkbox"/> Receive trade confirmation via E-mail 透過電郵索取交易核實資料書 |
|--------------------------------------|---|

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 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直接促銷用途。

The Client 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員。

F. Declaration by Client(s)
客戶聲明

I hereby declare that I am 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 have not willfully withheld any material fact(s). I understand that I 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 understand that my submission of this form and the acceptance of this form by you in no way implies approval for opening of the Account for me and that you reserve the right to reject my application.
 本人謹此聲明本人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，本人並未刻意隱瞞任何重要事實。除上述提供的資料外，本人清楚貴司會要求本人提供更多相關的資料或證明文件。本人明白本人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，並清楚貴司保留拒絕本人開戶申請之權力。

If I am characterized as "without knowledge of derivatives", I further acknowledge that I 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 might not have relevant derivatives product(s) trading experience, I may still base on the own independent judgement of me to request for entering into transaction(s) of derivatives product(s) and would take all risks associated.
 如本人被歸類為「對衍生產品沒有認識」，本人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。儘管本人可能並沒有相關衍生產品交易經驗，本人可能基於其獨立判斷仍要求進行衍生產品交易。本人願意承擔所有相關衍生產品風險。

I 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之條例及規則。

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

如本人有意使用「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，本人謹此確認及知悉：

- (i) I 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 and the power to require you not to accept instructions from me, if it is found that I 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」有權不向本人提供中華通服務及有權要求貴司不接納本人指示；
- (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 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 條所述本人及其他人士的資料；

I 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 hereby consent to you to report my 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，向貴司匯報本人的個人資料到美國或適用的當地監管機構或稅務機關。

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

本人明白，貴司從本人收到之資料，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/futures 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/期貨結算、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 enters into or proposes to enter into transaction on my behalf or account, or persons representing the same; and

代或為本人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 have carefully read and understood the contents of the Client Agreement. I expressly agree and consent, as evidence by my 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 have satisfied with the explanations and clarifications provided to me. I hereby declare that I am 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。本人充分理解相關問題的解釋和說明，本人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 also acknowledge that I 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).


本人並在此聲明，本人確認本人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 agree and confirm the Specimen Signature herein under will be used to verify all written instructions given relating to the operation of the Account(s).

本人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 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) |
|--|--|----------------------------|

Witness/Reviewer 見證/審核人

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/reviewed 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/核實客戶簽立本協議，並驗證有關客戶身份證明文件。

| | | | |
|---|--|--|----------------------------|
| 客戶開戶方式 | <input type="checkbox"/> Face to Face 面對面 <input type="checkbox"/> Website 網上開戶* <input type="checkbox"/> Mobile App 手機應用程式* *暫時停止此項服務： | CA 認證號碼* (適用於手機應用程式開戶) | |
| Signature of Witness/Reviewer 見證/審核人簽署 | | Witness/Reviewer' Licensed No 見證/審核人牌照號碼 | Date 日期 (dd 日/mm 月/yyyy 年) |
| | | Name of Witness/Reviewer (Block Capital) 見證/審核人姓名 | |
| | | Witness/Reviewer' Qualification 見證/審核人資格 | |

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 賭場及其他與賭博相關的業務 | 5. Construction & Engineering 建築及工程 | 6. Dealers in Art, Antique or Auction houses 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 娛樂場所 | 11. Finance 金融 | 12. Insurance 保險 |
| 13. Legal 法律行業 | 14. Licensed non-Government Organization 經許可非政府組織 | 15. Logistics 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) 專業人士 (例如: 律師、會計師) | 23. Public Services 公共服務 | 24. Real Estate 房地產 |
| 25. Startups and Fintech 初創及金融科技 | 26. Telecommunications 通訊業 | 27. Transportation 運輸業 |
| 28. Travel and Tourism 旅遊業 | 29. Utilities 公用事業 | 30. Virtual Currency 虛擬貨幣 |



| | |
|---------------------------------|--|
| (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

| | | |
|---------------------------------------|---------------------------------|-------------------------------------|
| 31. Wholesale/Export/Import 批發/進出口 | 32. Investment holdings 投資控股 | 33. Others: Please state 其他: 請說明 |
|---------------------------------------|---------------------------------|-------------------------------------|

(FOR OFFICIAL 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 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 <input type="checkbox"/> without knowledge of derivatives 「對衍生工具沒有認識」 <input type="checkbox"/> 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: <input type="checkbox"/> Face to Face 面對面 <input type="checkbox"/> 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 % 佣金百分率 | 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 |
| | | | |
| | | | |
| | | | |



| | |
|---------------------------------|--|
| (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

| | | | |
|---|----------------------------|----------------------------|--|
| | | | |
| 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 | | | |
| 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 日期 (dd 日/mm 月/yyyy 年) | Date 日期 (dd 日/mm 月/yyyy 年) | |
| Remarks 附註: | | | |