

Client Name 客戶姓名：\_\_\_\_\_

Account No. 客戶賬號：\_\_\_\_\_



## ACCOUNT OPENING FORM

### 開戶表格

(Corporate/ Institution Account)

(法團/ 機構賬戶)

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 (公司/ 機構)**  
**Client Information Statement (Corporate/ Institution)**

<b>Trading Account(s) 交易帳戶</b>			
<b>Account Type</b> 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		
<b>Trading Service</b> 交易服務：	<input type="checkbox"/> Hong Kong Stock 港股 <input type="checkbox"/> Bonds and Funds 債券及基金 <input type="checkbox"/> US Stock 美股 <input type="checkbox"/> China Connect Stocks 中華通股票 <sup>1</sup>		
<b>Additional Services</b> 附加服務：	<input type="checkbox"/> 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 <u>電郵地址</u> 以供通知使用者名稱及密碼		
<b>A. Corporate Information</b> 公司資料			
<b>Company Name</b> 公司名稱	(Chinese 中文)	<b>Nature of Entity</b> 公司類別	<input type="checkbox"/> Private Limited Company 私人有限公司 <input type="checkbox"/> Public Listed Company 公開上市公司 <input type="checkbox"/> Others 其他: _____
	(English 英文)		
<b>Type of Company</b> 公司類別：	<input type="checkbox"/> State-owned Company 國有企業 <input type="checkbox"/> Limited Company 有限公司 <input type="checkbox"/> Fund Management/Asset Management 基金管理/資產管理 <input type="checkbox"/> Not-for-Profit Organization 非牟利組織 <input type="checkbox"/> Others (please state) 其他 (請註明) : _____ <input type="checkbox"/> Listed Company 上市公司 <input type="checkbox"/> Partnerships and Unincorporated bodies 合夥及非法團團體 <input type="checkbox"/> Local Government Financing Vehicles (LGFV) 地方融資平台 <input type="checkbox"/> Non-Bank Financial Institution 非銀行金融機構		
<b>Nature of Business</b> 業務性質	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 <hr/> Please select if licensed corporation 如為持牌公司，請選擇 <input type="checkbox"/> Bank 銀行 <input type="checkbox"/> Non-Bank Financial Institution 非銀行金融機構 <input type="checkbox"/> Fund /Asset Manager 基金/資產經理 <input type="checkbox"/> Broker/ Dealer 經紀人/經銷商 <input type="checkbox"/> Mutual Fund 互惠基金 <input type="checkbox"/> Others 其他: _____ Regulated by 監管方為：_____ Country 國家：_____		
<b>Client Type for Investor Identification Purpose</b> 投資者識別碼客戶類別： (if any)如有	Funds 基金 Others 其他 Please specify	Fund Managers 基金經理	Relevant Regulated Intermediary 相關受規管中介人 <sup>2</sup>
<b>Place of Incorporation / Establishment</b> 註冊/成立地點	<b>Relevant Regulatory Body, Exchange Membership, Professional or Trade Associations (If Applicable)</b> 相關監管機構、交易所會籍或商會 (如適用)		

<sup>1</sup> 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.

<sup>2</sup> 相關受規管中介人指符合以下說明的持牌法團或註冊機構：(i) 進行自營交易，或(ii) 就透過為另一人開立和維持的帳戶發出的交易指令向該人提供證券經紀服務。

A Relevant Regulated Intermediary also refers to an LC or RI which (i) carries out proprietary trading; or (ii) provides securities brokerage services for another person in respect of orders placed through an account opened and maintained for that person.

Date of Incorporation 成立日期	year 年 month 月 day 日	Certificate of Incorporation No. 註冊證書編號	Business Registration Number 商業登記證編號	
Registered Address 註冊地址				
Business Address 營業地址				
Correspondence Address 通訊地址	(If different from Business Address 如異於營業地址)			
Corporate E-mail Address 公司電郵地址				
Geographic Location of Business 業務所在地		Phone No. 公司電話		
U.S. Tax Obligation 美國稅務責任	<input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是 (TIN No 納稅人識別碼: _____)	Global Intermediary Identification Number (GIIN) 全球中介人身份號碼		
Contact Person Name 聯絡人名稱:	(Chinese 中文)	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 Number. 號碼: _____ Issuing Country 簽發國家: _____	
	(English 英文/ Pinyin 拼音)			
Contact Person E-mail Address 聯絡人電郵地址		Contact Person Phone No. 聯絡人電話		
Relationship between Client and Contact Persons 聯絡人與公司關係				
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			
Address for Daily / Monthly Statements 寄送日/月結單的地址	(choose one only 只可選一項) Electronic Services to E-mail Address 經電子服務發送到電郵地址 Mailing Services to (HK\$20 each) 郵遞服務寄送到 (每封 20 元港幣) <input type="checkbox"/> Registered Office Address 註冊地址 <input type="checkbox"/> Business Address 辦事處地址 <input type="checkbox"/> Correspondence Address 通訊地址		Preferred Statement Language 結單語言	<input type="checkbox"/> English 英語 <input type="checkbox"/> Chinese 中文* *部分結單系統只支援英文
<b>B. Shareholder Information 股東資料</b>				
Is the Client a listed company? 客戶是否一家上市公司?				
<input type="checkbox"/> Yes 是 Place of Listing 上市地: _____ Stock Code(s) 上市編號: _____		<input type="checkbox"/> No 不是 The individuals who are the ultimate beneficial owners of the shares of the Company are shown as below: 以下為公司股權最終實益擁有人:		
Shareholder(s) Name 股東姓名	Nationality 國籍	ID Type and No. 身份證明文件類別及號碼	Contact Phone No. 聯絡電話	Address 地址
(1)  Shareholding 股權(%)				
(2)  Shareholding 股權(%)				

(3)				
Shareholding 股權(%)				
(4)				
Shareholding 股權(%)				

**C. Director Information**  
董事資料

Director(s) Name 董事姓名	Nationality 國籍	ID Type and No. 身份證明文件類別及號碼	Contact Phone No. 聯絡電話	Address 地址

**D. Ultimate Beneficial Owner(s) of the Account and Ultimate Originator(s) of all Transaction**  
最終權益擁有人及最終戶口交易指示發出者

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受益人。

Yes 是

Name 名稱：\_\_\_\_\_

Nationality 國籍：\_\_\_\_\_

Address 地址：\_\_\_\_\_

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

Date of Birth 出生日期：\_\_\_\_\_

No 否

I/We hereby declare that I/we am/are ultimately responsible for originating instructions for the transactions of the Account(s):

本人/吾等現聲明本人/吾等全權負責發出該賬戶之交易指示：

Yes 是

No Please fill in the **Authority Form** 請填寫委託授權表格

If you are a collective investment scheme, discretionary account and/or discretionary trust, please fill in particulars of the investment manager/trustee or any other person(s) who is responsible for the investment decision.

如屬集體投資計劃、全權委託賬戶及/或全權信託，請填寫投資經理/受託人或負責作出投資決定的其他人士的詳盡資料。

Yes 是

Name 名稱：\_\_\_\_\_

Nationality 國籍：\_\_\_\_\_

Address 地址：\_\_\_\_\_

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

Date of Birth 出生日期：\_\_\_\_\_

No 否

**E. Designated Bank Account & Settlement Details**

指定銀行戶口及結算詳情

1. Please provide the copy of a 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(檔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	
<b>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)</b>			
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		
<b>F. Financial Profile and Anticipated Activities 財務狀況及預期戶口活動</b>			
<b>Financial Profile 財務狀況 (Not Applicable for Institutional Client) (機構客戶不適用)</b>			
Paid-up Capital 繳足股本	(HKD) (港元)	Net Asset Value 淨資產值	(HKD) (港元)
Net Profit (After Tax) in preceding year 上一年除稅後純利	(HKD) (港元)	Year 年份	
<b>Information in relation the Initial Source of Funds 首次資金來源信息 (choose one or more 可選多項)</b> <input type="checkbox"/> Trading Profits 營業利潤 <input type="checkbox"/> Investment 投資收入 <input type="checkbox"/> Manufacturing Profits 生產收益 <input type="checkbox"/> Dividend/Interest Income 股息/利息收入 <input type="checkbox"/> Service Income 服務收入 <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> Others (Please specify) 其它(請註明): _____			
<b>Place of Source of Funds (Tick more than one box, if appropriate) 資金來源地 (如需要, 可勾選多個)</b> <input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Other locations 其他地區 Recurring			
<b>Recurring Source of Funds 持續資金來源</b> <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) _____			
<b>Estimated annual income (in HK\$) 估計年度收入 (港元)</b> <input type="checkbox"/> Less than 少於 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"/> over 多於 5,000,000			
<b>Approximate net value of assets (in HK\$) 概約資產淨值 (港元)</b> <input type="checkbox"/> Less than 少於 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"/> over 多於 40,000,000			
<b>Anticipated level of account activities (in HK\$) 預期投資金額 (港元)</b> <input type="checkbox"/> Less than 少於 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"/> over 多於 40,000,000			
<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 請註明): _____			
<b>Investment Experience &amp; Derivative Products Knowledge 投資經驗及衍生產品認識 (Not Applicable for Institutional Account) (機構客戶不適用)</b>			
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(其他請註明): _____		
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 Products and Investment Experience (Local or Overseas)	Does the Client have any Investment products and Investment Experiences? 客戶有沒有買賣產品及投資經驗? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please fill the below form 是, 請填寫以下投資經驗:		

**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  
 ✓)

	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(其他請述明): _____	

The Client acknowledges and understands Central China International Securities Co., 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. Your directors or authorized persons or investment decision makers underwent training or attended courses on derivative products.  
 貴公司的董事或獲授權人士或其投資決策者曾接受有關衍生產品的培訓或修讀相關課程
2. Your directors or authorized persons or investment decision makers has current or previous work experience related to derivative products.  
 貴公司的董事或獲授權人士或其投資決策者現時或過去擁有與衍生產品有關的工作經驗
3. Your directors or authorized persons or investment decision makers 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.  
 貴公司的董事或獲授權人士或其投資決策者於過去 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

**Related Account 關連賬戶**

Does your company have rights or benefits in any securities account with Central China International Securities Co., Limited?

貴公司是否對中州國際證券有限公司已開立的任何證券賬戶具有權益？

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

**Disclosure 披露**

a) Is any of your company's directors or shareholders an employee or agent of a person licensed by or registered with Securities and Futures Commission Hong Kong?

貴公司之任何董事或股東是否證券及期貨事務監察委員會之持牌或註冊人士之雇員或代理人？

- 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) Is any of your company's shareholders a U.S. Person (i.e. U.S. Citizen, U.S. Resident, U.S. Passport or Green Card holder)?

貴公司之任何股東是否美國人士(即：美國公民、美國居民、美國護照或綠卡持有人)？

- 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 \_\_\_\_\_

c) Is your company holding or will acquire or hold securities beneficially owned by or for a U.S. person?

貴公司是否現持有又或將會以信託人身份替其他美籍人士買入或持有證券？

- No 不是  
 Yes 是

d) Is any of your company's directors, shareholders and/or its authorized persons, their respective spouses, partners, children or parents, or a spouse or a partner of a child of such individual, or close associate of such individual is or has been entrusted with a prominent public function in any place (which shall include a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official)?

貴公司之任何董事、股東及/或其授權人、其各自的配偶、伴侶、子女或父母、或該名個人的子女的配偶或伴侶、或與該名個人有關係密切的人是否在任何地方擔任或曾擔任重要的公職(包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事)?

- No 不是  
 Yes 是

If Yes, please provide 如是，請提供資料如下：

\_\_\_\_\_

e) Is your company or your company's authorized person a senior officer or director or major shareholder of any listed company?

貴公司或貴公司之授權人是否任何上市公司的高級職員/董事/大股東?

- No 不是  
 Yes 是

Please provide the name of the authorized person, position and name of the listed company and the place of listing

請提供該授權人士姓名，職位，上市公司的名稱和上市地點：

\_\_\_\_\_

**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 you 與貴公司的關係

**G. Declaration of Relationship  
關係聲明**

Is your shareholder and/or director related to any director, officer or employee of Central China International Securities Co., Limited or its affiliates, e.g. family member or do they hold any beneficial interest?

閣下之股東及/或董事是否與中州國際證券有限公司之任何董事、主管人員或雇員或其聯號有任何關連，如家庭成員或有任何實益權益？

- No 否  
 Yes 是 (please insert details below 請填寫以下資料)

Name 姓名	Position 職位	Relationship 關係
_____	_____	_____

Is your shareholder's and/or director's spouse a client of Central China International Securities Co., Limited or its affiliates?

閣下之股東及/或董事之配偶是否中州國際證券有限公司或其聯號之客戶？

- No 否  
 Yes 是 (please insert details below 請填寫以下資料)

Name of Account 賬戶姓名/名稱	Central China International Securities Co., Limited 中州國際證券有限公司/ or its affiliates (Please Specify) 或其聯號(請列明)	Account Number 賬戶號碼
_____	_____	_____

Does your shareholder and/or director and/or your shareholder and/or director's spouse control 35% or more of the voting rights of any client of Central China International Securities Co., Limited or its affiliates?

閣下之股東及/或董事及/或閣下之股東及/或董事之配偶有否控制中州國際證券有限公司或其聯號任何客戶 35% 或以上的表決權？

- No 否



中州國際  
CENTRAL CHINA INTERNATIONAL

(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

Yes 是 (please insert details below 請提供資料)

Name of Account 賬戶姓名/名稱 Central China International Securities Co., Limited 中州國際證券有限公司/  
or its affiliates (Please Specify) 或其聯號(請列明) Account Number 賬戶號碼

### H. Credit Reference (For Margin Account Only) 信貸參考(只適用於保證金賬戶)

Other Broker references 其它經紀商參考資料

Name of Broker 經紀商名稱 Address 地址 Type of Account 賬戶類別 Account Number 賬戶號碼

\_\_\_\_\_  
\_\_\_\_\_

### I. 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：

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。

### J. Declaration by Client(s) 客戶聲明

We hereby declare that the information given in this form is true and correct and that we have not willfully withheld any material fact(s). We understand that 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. We understand that our submission of this form and the acceptance of this form by you in no way implies approval for opening of the Account for us and that you reserves the right to reject our application.

吾等謹此聲明表格上提供之所有資料均為真實及正確，吾等並未刻意隱瞞任何重要事實。除上述提供的資料外，吾等清楚閣下會要求吾等提供更多相關的資料或證明文件。吾等明白吾等遞交此表格及閣下接納此表格並非表示閣下同意開立帳戶予吾等，並清楚閣下保留拒絕吾等開戶申請之權力。

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

如吾等被歸類為「對衍生產品沒有認識」，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。儘管吾等可能並沒有相關衍生產品交易經驗，吾等可能基於其獨立判斷仍要求進行衍生產品交易。吾等願意承擔所有相關衍生產品風險。

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.

吾等向閣下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 we intend to conduct trading in China Connect Securities through the Shanghai-Hong Kong Stock Connect and Shenzhen-Hong Kong Stock Connect, we hereby confirm and acknowledge that:

如吾等有意使用「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，吾等謹此確認及知悉：

(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;

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 us, if it is found that 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」有權不向吾等提供中華通服務及有權要求貴司不接納吾等指示；

- (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 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 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 條所述吾等及其他人士的資料；

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).

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, we hereby consent to you to report 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，吾等同意（並在必要時為符合 FATCA 或適用的當地法律）向閣下匯報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。

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

吾等明白，閣下從吾等收到之資料，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 and/or Central China International Futures Company 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 our behalf or account, or persons representing the same; and 代或為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集團成員的法律或規例要求或其他原因。

We have carefully read and understood the contents of the Client Agreement. We expressly agree and consent, as evidence by 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). We have satisfied with the explanations and clarifications provided to us. We hereby declare that we 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).

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。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。吾等充分理解相關問題的解釋和說明，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。

We also acknowledge that 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).

吾等等並在此聲明，吾等確認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。

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).

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。

Name of Director / Authorized Representative 董事/獲授權代表姓名	Signature of Director / Authorized Representative and / or Chop of the Company 董事/獲授權代表簽署及/或公司蓋章	Date 日期 (dd/mm/yyyy 年)
<b>Witness 見證人</b>		
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。		Profession/Title 所屬專業 / 銜頭
Signature of Witness 見證人簽署	Name of Witness (Block Capital) 見證人姓名	Witness' Qualification 見證人資格
	Witness' Licensed No 見證人牌照號碼	Date 日期 (dd/mm/yyyy 年)

## 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



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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 聯繫方式：+852-2500 1313

Fax No. 傳真號碼：+852-2250 5113

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
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



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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 聯繫方式：+852-2500 1313 Fax No. 傳真號碼：+852-2250 5113

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

Name of Account Executive 客戶主任名稱:		Signature of Account Executive 客戶主任簽署		Date 日期 (dd/mm/yyyy 年)		A/E Code 客戶主任編號:	
Documentation checked 文件核實		Name of Assessor 稽核實人名稱		Signature of Assessor 稽核實人簽署		Date 日期 (dd/mm/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: _____							
<b>Declaration by CENTRAL CHINA INTERNATIONAL SECURITIES CO., LIMITED Staff 中州國際證券有限公司職員聲明</b> 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:		Name of the Licensed Person 持牌人姓名		Signature of the Licensed Person 持牌人簽署			
<input type="checkbox"/> Face to Face 面對面 <input type="checkbox"/> Telephone 電話 (Recorded Line No. 錄音電話號碼): _____		CE No. 中央編號: _____		Date 日期 (dd/mm/yyyy 年)			
<b>Commission Rate 佣金: Securities Trading Account (證券交易帳戶)</b>							
Market 市場		Brokerage % 傭金百分率		Minimum Amount 最低金額			
Others 其它: _____		Others 其它: _____		Others 其它: _____			
<b>Account Opening Approved By 開戶批核</b> Central China International Securities Co., Limited 中州國際證券有限公司有限公司  Authorized director(s)/Responsible Officer(s)'s Signature 獲授權董事/負責人員簽署  Date 日期 (dd/mm/yyyy 年)							
<b>FOR STAFF ONLY</b>							
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/mm/yyyy 年)		Date 日期 (dd/mm/yyyy 年)		Date 日期 (dd/mm/yyyy 年)			