



Account No. 賬戶號碼:	Margin Account No. 保證金賬號:	Name of AE 客戶經理:
	Futures Account No. 期貨賬號:	Name of AE 客戶經理:
	Cash Account No. 現金賬號:	Name of AE 客戶經理:

CLIENT INFORMATION FORM (CORPORATE ACCOUNT) 客戶資料表格 (公司賬戶)

Please enclose copies of the following document for opening account

1. Proof of address within the last 3 months
2. Certified copy of ID Card(s) / Passport(s) of all director(s), authorized person(s) & major shareholder(s)¹
3. Certified copy of Business Registration Certificate and Certificate of Incorporation or equivalent
4. Certified copy of Memorandum & Articles of Association & other constitutional document
5. Certified copy of Register of Members or equivalent document
6. Certified copy of Register of Directors or equivalent document
7. Certified copy of Board Resolutions
8. Certified copy of Specimen Signature
9. Details of ownership and structure control of the company e.g. an ownership chart which sets out the company name, place of incorporation, and where applicable, the rationale behind the particular structure employed (applicable for companies with multiple layers in their ownership structure)
10. Company Search Report issued within 6 months (applicable to Hong Kong Corporations) or Certificate of Incumbency and Certificate of Good Standing issued by the registered agent within the past 6 months (applicable to overseas corporations) or Company Search Report issued by SAIC (applicable to Mainland China corporations)
11. Personal Guarantee / Corporate Guarantee from ultimate beneficiary (copy of passport/identity card of all guarantors, if applicable)
12. Standing Settlement Instruction OR Client Standing Settlement bank Account

請附上以下各項檔開立賬戶:

1. 最近三個月之地址證明
2. 所有董事、被授權人士及主要股東之身份證明檔認證副本
3. 商業登記證及公司註冊證書或等同檔之認證副本
4. 公司組織章程大綱及其他章程文件之認證副本
5. 股東名冊或等同檔之認證副本
6. 董事名冊或等同檔之認證副本
7. 董事會決議之認證副本
8. 簽名式樣認證副本
9. 公司的擁有權及架構控制, 例如載有公司名稱、註冊成立地點及(如適用)沿用特定架構的背後依據的擁有權圖表(適用於設有層層擁有權架構的公司)
10. 公司查冊報告(香港公司適用)/ 過去六個月內由公司的當地註冊代理人發出之職權證明書及存續證明書的認證副本(海外註冊公司適用)/ 國內工商局發出之公司查冊報告(國內註冊公司適用)
11. 個人擔保書 / 公司擔保書(所有擔保人身份證明檔副本, 如適用)
12. 常設交收指示或客戶常設交收戶口

Notes 注意:

1. Major shareholder is defined as parties or individuals that hold the ultimate beneficial interest, or hold 10% or more voting rights of the of the company.
 主要股東定義為持有有關公司最終權益人士 / 持有有關公司10%或以上投票權之人士。
2. Board resolutions or minutes of meeting confirming the account type (cash, margin and/or futures), authorizing the execution of the Client Agreement and this Client Information Form of China Securities (International) Brokerage Company Limited ("CSIB") and specifying authorized personnel(s) to sign documents or place order on behalf of the company with relevant signature specimen.
 董事會決議或會議紀錄需詳列開設之賬戶種類(現金、保證金或期貨), 授權簽署中信建投(國際)證券有限公司(「中信建投(國際)證券」)的客戶協議及客戶資料表格, 指定授權簽署人和交易代表以及相關之簽署式樣。
3. Copies of items 2 - 8 are required to be certified by a director of the client or a professional person (such as certified public accountant (practicing), lawyer, a current member of the Hong Kong Institute of Chartered Secretaries practicing in Hong Kong or notary public);
 第2 - 8 項檔副本須要由客戶董事或專業人士(例如: 執業會計師、律師、於香港執業的香港特許秘書公會現任成員或公證人)認證;
4. For item 10, copies of the company search report are required to be certified by the relevant company registry or professional third party and copies of the certificate of incumbency are required to be certified by the professional third party.
 就第10項而言, 公司查冊報告副本須由有關公司註冊處或專業第三者認證, 而職權證明書副本須由專業第三者認證。

1. Types of Account and Customer 賬戶及客戶類別

Type of Account 賬戶種類		
<input type="checkbox"/> Margin Account 保證金賬戶	<input type="checkbox"/> Futures Account 期貨賬戶	<input type="checkbox"/> Cash Account 現金賬戶
Do you require trading in Global Markets? 閣下是否需要開通環球市場?		
<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否		
Type of Customer 客戶種類		
<input type="checkbox"/> Corporate 公司	<input type="checkbox"/> Sole Proprietorship/Partnership 獨資公司/合夥	<input type="checkbox"/> Others 其他: _____

5. Major Shareholder(s) (Shareholding of 10% or more) 主要股東 (持有10%或以上股權或投票權)

Name of Shareholder 股東姓名	Shareholding 股權(%)	Passport/ID of shareholder 股東護照/身份證	Shareholder(s) Residential Address 股東住宅地址

6. Financial and Investment Summary 財務及投資資料簡要

Profit / Loss after tax based on the latest audited accounts (in HK\$) 最近期經核數師作實之稅後盈/虧 (港幣) :	<input type="checkbox"/> \$0 – \$500,000	<input type="checkbox"/> \$500,001 – \$3,000,000	<input type="checkbox"/> \$3,000,001 – \$5,000,000
	<input type="checkbox"/> 5,000,001 – 40,000,000	<input type="checkbox"/> >\$40,000,000	<input type="checkbox"/> Other其他: _____
Net Asset Based on the latest audited account(s) (in HK\$) 最近期經核數師作實之淨資產值(港幣) :	<input type="checkbox"/> <HK\$1,000,000	<input type="checkbox"/> \$1,000,001 - \$10,000,000	<input type="checkbox"/> \$10,000,001 - \$40,000,000
	<input type="checkbox"/> \$40,000,001 - \$100,000,000	<input type="checkbox"/> >\$100,000,000	
Professional Investor Qualification 專業投資者資格	<input type="checkbox"/> Apply 申請 (Please provide asset proof (需提供相應資產證明))		
Investment Experience: 投資經驗:	<input type="checkbox"/> HK listed securities 香港上市證券 _____ years 年		<input type="checkbox"/> No 它沒有
	<input type="checkbox"/> Overseas listed securities 海外上市證券 _____ years 年		
	<input type="checkbox"/> HK futures and options 香港期貨及期權 _____ years 年		
	<input type="checkbox"/> Overseas futures and options 海外期貨及期權 _____ years 年		
Investment Category: 投資種類:	<input type="checkbox"/> Stocks 證券	<input type="checkbox"/> Warrants 認股權證	<input type="checkbox"/> Options 期權
	<input type="checkbox"/> Futures 期貨	<input type="checkbox"/> Other 其他: _____	
Investment Objectives: 投資目的:	<input type="checkbox"/> Hedging 對沖	<input type="checkbox"/> Speculation 投機	<input type="checkbox"/> Capital appreciation 資本增值
	<input type="checkbox"/> Dividend yield 股息回報	<input type="checkbox"/> Others 其他 _____	
Investment Target 投資目標:	<input type="checkbox"/> Short Term (< 6 months) 短期 (少於 6 個月)	<input type="checkbox"/> Medium Term (6 – 18 months) 中期 (6 – 18 個月)	<input type="checkbox"/> Long Term (> 18 months) 長期 (18 個月以上)
Source of Fund: 資金來源:	<input type="checkbox"/> Company income / profit 公司收入/利潤	<input type="checkbox"/> Company's working capital 公司的營運資金	<input type="checkbox"/> Gift / Inheritance 饋贈/遺產
	<input type="checkbox"/> Investment Income 投資收入	<input type="checkbox"/> Others 其他 _____	

7. Disclosure of Identity 相關身份披露

a) Is the Client a Licensed Corporation registered with SFC? 客戶是否是證券及期貨事務監察委員會之持牌或註冊法團? <input type="checkbox"/> No. 不是。 <input type="checkbox"/> Yes. 是。 CE No. 持牌或註冊人中央編號: _____
b) Is any Director, Shareholder or Authorized Person of the Client an employee or agent of any participant of the HKEx or is a licensed / registered person under the Securities and Futures Ordinance? 客戶之任何董事、股東或授權人士是否香港交易所參與者或根據證券及期貨條例註冊的持牌人士的僱員或代理人? <input type="checkbox"/> No. 不是。 <input type="checkbox"/> Yes. 是。 Director/Shareholder/Authorized Person Name _____ Participant Name 名稱 _____ Position 職位 _____ CE. No. 中央編號 _____
c) Is any Director, Shareholder or Authorized Person of the Client an employee or agent of China Securities (International) Finance Holding Company Limited or any of its subsidiaries (collectively "CSCI Group")? 客戶之任何董事、股東或授權人士是否中信建投(國際)金融控股有限公司或其任何附屬公司(統稱「中信建投國際集團」)的僱員或代理人? <input type="checkbox"/> No. 不是。 <input type="checkbox"/> Yes. 是。 Name 姓名 _____ Position 職位 _____
d) Does any Director, Shareholder or Authorized Person of the Client have any relationship with any employee or agent of CSCI Group? 客戶之任何董事、股東或授權人士與中信建投國際集團的僱員或代理人是否有親屬關係? <input type="checkbox"/> No. 不是。 <input type="checkbox"/> Yes. 是。 Name 職員姓名 _____ Relationship 關係 _____
e) Are any members of your group companies currently maintaining Account(s) with CSIB? 客戶集團旗下公司成員有否在中信建投(國際)證券有限公司(「中信建投(國際)證券」)開設賬戶? <input type="checkbox"/> No. 不是。 <input type="checkbox"/> Yes. 是。 A/C No. 賬戶號碼 _____ A/C Name 賬戶名稱 _____

f) Are you, either shareholders, directors or company, in control of 35% or more of the issued shares of any Client of CSIB? 客戶之任何董事是否與其公司共同控制中信建投（國際）證券的其他保證金客戶 35%或以上投票權？

(Margin Client Only 保證金客戶填寫)

No. 不是。 Yes. 是。 A/C No. 賬戶號碼 _____ A/C Name 賬戶名稱 _____

8. Knowledge of Derivatives (Applicable to Clients who wish to invest in derivative products) 衍生產品的認識 (適用有意投資衍生產品的客戶)

a) Has the Authorized Person(s) of the Client (as defined in the attached Board Resolution) ever attended any courses or seminars on structured or derivative product(s)?

客戶的獲授權人士（定義見附上的董事會決議）曾否接受有關結構性產品或衍生產品的培訓或相關課程？

Yes 是 No 否

b) Has any current work experience of the Authorized Person(s) been related to structured or derivative product(s)?

客戶獲授權代表現時的工作經驗是否與結構性產品或衍生產品有關？

Yes 是 No 否

c) Has any previous work experience of the Authorized Person(s) ever been related to structured or derivative product(s)?

客戶以往的工作經驗是否與結構性產品或衍生產品有關？

Yes 是 No 否

Name of employer 僱主名稱： _____ Relevant employment period 在職日期： _____

d) Do you ever have any trading experience in structured or derivative product(s)?

客戶以往曾否有買賣結構性產品或衍生產品的經驗？

Yes 是 No 否

If yes, please state the structured or derivative product(s) you traded 如果是，請提供客戶以往買賣結構性產品或衍生產品：

Callable Bull / Bear Contracts (CBBC) 牛熊證

Futures and Options 期貨或期權合約交易

Equity Linked Instruments / Notes (ELI / ELN) 股票掛鉤產品

Rights 供股權

Exchange Traded Funds 交易所買賣基金

Stock Options 股票期權

Derivative Warrants 衍生認股證

Others 其他： _____

Exchange Traded Convertible Bonds 交易所買賣換股債券

e) Have you executed five or more transactions in structured or derivative products within the past three years?

客戶曾否在以往三年內執行過五宗或以上結構性產品或衍生產品的交易？

Yes 是 No 否

9. Personal Data 個人資料

CSIB may collect your personal data in the ordinary course of the business relationship; for example, from this Client Information Form or when you effect transactions.

CSCI Group intends to use your personal data in direct marketing which requires your consent. You should note that consent includes an indication of no objection.

You agree to receive through postal mail, e-mail or other means promotional and direct marketing information from CSCI Group in respect of financial, insurance, securities, investment services and products CSCI Group may offer. You agree that CSCI Group may, from time to time, engage third parties to provide marketing services to you.

中信建投國際集團擬使用客戶的個人資料作直接促銷，為此須取得客戶的同意。

客戶同意中信建投國際集團通過郵寄、電郵或其他形式向客戶發放關於財務、保險、證券、投資的服務和產品的推廣資料。客戶明白中信建投國際集團可不時聘請協力廠商代表其向客戶提供行銷服務。

Yes 同意

No 不同意

10. Acknowledgement and Execution by the Client 客戶確認及簽署

We confirm and represent that the information on this Client Information Form and the representations in the attached Client Agreement and the supplementary documents (if any) are true, complete and accurate. CSCI Group is entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any change. CSCI Group is authorized at any time to contact anyone, including Client's banks, brokers or any credit agency, for the purpose of verifying the information provided on this Client Information Form. This Client Information Form is subject to the Client Agreement and any supplement (if applicable) from time to time. We, the undersigned Client, acknowledge and confirm that we have read and understood and accepted the provisions of the Client Agreement and the supplementary documents (if any) (including the Risk Disclosure Statement and the Personal Data Collection Statement). We have been referred to the Risk Disclosure Statement in the Client Agreement in both English and Chinese and have been explained by a staff named below in a language of our choice and that we have been invited to read the Risk Disclosure Statement, ask questions and take independent advice if we wish.

本公司/機構在此確認在本客戶資料表格以及附上的客戶協議書及其他附加文件（如有）中的陳述均為真實、完整和準確。除非中信建投國際集團接到更改有關本資料表格內容的書面通知，否則中信建投國際集團可完全依賴這些資料及陳述為任何目的和用途而行事。本公司/機構授權中信建投國際集團可隨時聯絡任何人，包括本公司/機構的銀行、經紀或任何信貸機構等，核實本資料表內的資料及陳述。

本客戶資料表受客戶協議書及任何不時生效的附加檔（如有）所規限。本公司/機構為下述簽署客戶，已閱讀過、明白及接受中信建投國際附上的客戶協議書及其他附加文件（如有）（內含風險披露聲明及個人資料收集聲明書），並已獲展示客戶協議書內中英文本的風險披露聲明及獲以下職員按照本公司/機構所選擇的語言解釋明白；及已獲邀閱讀該風險披露聲明、提出問題及徵求獨立的意見（如本公司/機構有此意願）。

For Margin Account Client Only 只適用於保證金賬戶客戶

We acknowledge and confirm that we have authorized CSIB to deal with our Securities and Securities Collateral in accordance with the terms applicable to a Margin Account. This authority is given for a period of not more than twelve months from the date hereof and may be renewed by our consent, or deemed to be renewed, at or before the end of (i) the calendar year of the date hereof and (ii) each subsequent calendar year for, in each instance, a further twelve months in accordance with the Applicable Laws and as set out in the terms applicable to a Margin Account.

本公司/機構謹此承諾及確認本公司/機構已授權中信建投（國際）證券根據保證金賬戶所適用的條款處理本公司/機構的證券及證券抵押品。授權有效期為本表格日期起計不超過 12 個月，有關授權可根據適用的法律及規例及保證金賬戶所適用的條款，在（1）本表格訂立之年份的最後一天或之前及（2）隨後之每年歷年的最後一天或之前，經客戶同意延續或被視為延續，而每一次延續有效期為 12 個月。

Authorized Signature(s) with company chop

公司印章及授權簽名: X _____

Name & Title of Authorized signatory(ies)

被授權簽署人姓名及職務(請書寫): _____

Date

日期: _____

11. Signed by Witness 見證人簽署

I, the undersigned, have witnessed the signature and inspected the original identity documents of the above-named client.

本人已見證上述客戶之簽署及驗證有關其身分證明文件之正本。

Witness' Signature:

見證人簽名: X _____

Witness Name

見證人姓名: _____

Witness' Qualification

見證人職位: _____

Date

日期: _____

12. To be completed by Licensed Representative 由持牌代表填寫

I, _____ (name in block letters) with C.E. number _____ declare that I have provided the Risk Disclosure Statements contained in the Client Agreement in the language of the above Client's choice to the above Client and invited the Client to read the same, to ask questions and to take independent advice (if the Client wishes).

本人 _____（姓名以正楷書寫）持有 CE 編號 _____ 謹此聲明本人已按上述客戶選擇的語言版本，為其提供中信建投（國際）證券客戶協議書內的風險披露聲明，本人並已邀請該客戶閱讀該等條款，提出問題及徵求獨立意見（如客戶有此意願）。

Licensed Representative Signature:

持牌代表簽名: _____

Date:

日期: _____

----- For Internal Use Only 內部專用 -----		
Fund Account Type 資金賬戶類別		Fund Account No. 資金賬戶號碼
<input type="checkbox"/> Cash Account 現金賬戶 <input type="checkbox"/> Margin Account 保證金賬戶 <input type="checkbox"/> Futures Account 期貨賬戶		<hr/> <hr/> <hr/>
Client Type 客戶賬戶種類 <input type="checkbox"/> Individual Account 個人賬戶 <input type="checkbox"/> Joint Account 聯名賬戶		Other Services 其他服務 <input type="checkbox"/> Global Markets Market 環球市場 <input type="checkbox"/> Registered Bank Transfer 銀證轉賬 <input type="checkbox"/> Smart Account 子賬戶
客戶信息傳送 人資料	<input type="checkbox"/> 集團外 姓名：_____ 聯繫電話：_____	
	<input type="checkbox"/> 集團內 (姓名/員工編號/電話) _____ / _____ / _____ 營業部名稱/網點編號：_____ / _____	
AE Code 經紀號碼：		AE Name 經紀人姓名：
Commission 佣金： <input type="checkbox"/> 標準收費 Standard Rate <input type="checkbox"/> 員工收費 Staff Rate <input type="checkbox"/> 建議收費 (請註明) Proposed (Please specify)		Interest Rate 息率： <input type="checkbox"/> 標準收費 Standard Rate <input type="checkbox"/> 建議收費 (請註明) Proposed (Please specify)
Remarks		Remarks
<hr/> <hr/>		<hr/> <hr/>
Approved by		Approved by
Credit Limit 保證金限額：		Trading limit 交易限額：
Other information 其他資料：		
<input type="checkbox"/> 關連戶口		
股東/ 受益人 / 擔保人 (Shareholder / Beneficiary / Guarantor)	客戶名稱: Client name:	賬戶號碼: A/C. no:
與另一帳戶擁有相同股東/受益人/擔保人 (Other account with common Guarantor(s) / shareholder(s) / Beneficiary)	客戶名稱: Client name:	賬戶號碼: A/C. no:
Handling by 經辦人：	Inputted by / Date 資料輸入/日期：	AML & doc. Checked by / Date 反洗黑錢查核/日期：
Data Checked by/Date 檔案覆核/日期：	Verified by. / Date 覆核/日期	Approved by / Date 資料核准/日期

Board Resolutions

Client (Name of the Company) (the "Company"): _____

Minutes of a meeting of the board of the company duly held on _____ (Date & Time) at _____ (Venue) notice of which was duly given to the director of the Company and at which a quorum was present and acting throughout the meeting.

Present: (Chairman) _____

(Director(s)) _____

Opening Securities Trading Account(s) with China Securities (International) Brokerage Company Limited ("CSIB").

IT WAS RESOLVED THAT:

1. Margin Account / Futures Account / Cash Account (collectively the "Account(s)") be opened and maintained with CSIB in accordance with such terms and conditions may from time to time prescribe for the Account(s), the Client Information Form, Client Agreement, and other supplementary documents of CSIB tabled and considered by the Directors.
2. The Account(s) be operated by the Authorized Signers and/or the Trading Representatives (collectively the "Authorized Persons") and the Authorized Person(s) is/are authorized to give CSIB instructions and/or do any act or thing as may be necessary or expedient for the operation and maintenance of the Account(s).
3. Any _____ of following persons be and are/is hereby appointed as Authorized Signers and be authorized
 - a. to sign, execute and deliver all agreement consents, letter of instructions or other documents required by CSIB for the settlement of future contract transactions with CSIB in connection with the opening of the Account(s).
 - b. to withdraw or transfer any money, securities, collateral or other property into or out of the Account(s); and
 - c. to make, execute and deliver all written endorsements and documents necessary to effect the authority conferred by this resolution:

Name	ID/Passport No.	Specimen Signature
_____	_____	X _____
_____	_____	X _____
_____	_____	X _____

4. Any _____ of the following persons be and are/is hereby appointed as Trading Representative(s) of the company (the "Trading Representative" or "T") and be authorized to give orders or trading instruction to China Securities (International) Brokerage, whether in writing, verbally or otherwise, in respect of any transactions of the Account(s) on behalf of and in the name of the company.

Name	ID/Passport No.	Specimen Signature
_____	_____	X _____
_____	_____	X _____
_____	_____	X _____

5. The company shall notify CSIB of any changes which may render the information in the Client Information Form to be untrue or misleading.
6. CSIB be provided with any documents which it may reasonably require in connection with the opening and operation of the Account(s), including, without limitation, copies of the certificate of incorporation, business registration certificate and the memorandum and articles of association or other constitutional documents of the financial statements and certified extracts of any resolution relating to the Account(s).

CERTIFICATE

We, the undersigned, hereby certify that the foregoing is a full, true and correct copy of the resolutions duly and regularly passed and adopted by the Board of Directors of our company on the date stated therein; that the said resolution appear in the minutes of our company; and that the same have not been rescinded or modified and are now in full force and effect. We, the undersigned, further certify that our company is duly organized and existing, and has the power to take the action called for in the foregoing resolution.

Chairman Signature & Date : X _____

董事會決議

公司名稱: _____

本公司茲確認, 本公司董事會會議於 _____ (日期及時間) 在

_____ (地點) 召開, 該會議自始至終有足夠法定人數出席。

出席: (主席) _____

(董事) _____

在中信建投(國際)證券有限公司(“中信建投(國際)證券”)開立: Margin Account 保證金賬戶 / Futures Account 期貨賬戶 / Cash Account 現金賬戶 (統稱「賬戶」)。

茲決議通過:

1. 在中信建投(國際)證券開立和維持的賬戶均按中信建投(國際)證券不時規定有關賬戶的條款和條件開立和維持; 各董事已經閱讀及考慮了為開立賬戶而展示出的客戶資料表格、客戶協議書及其他附加檔。

2. 賬戶可由獲授權簽署人及/或交易代表(統稱「獲授權人士」)代表本公司進行操作。

3. 在此授權下列任何 _____ 人士為獲授權簽署人, 獲授權代表本公司:

- a. 因與中信建投(國際)證券解決未來合約交易而簽署、簽訂並交付有關中信建投(國際)證券所要求之任何協議、同意書、指示函或其他文件;
- b. 從賬戶存入、提取或轉移任何資金、證券、抵押品或其他財產; 及
- c. 作出、簽署並交付按本決議使授權生效而所需要或適用的全部書面批准及檔:

姓名	身份證/護照號碼	簽署式樣 Specimen Signature
_____	_____	X _____
_____	_____	X _____
_____	_____	X _____

4. 在此授權下列任何 _____ 人士為交易代表, 獲授權代表本公司或以本公司名義就賬戶的交易以書面、口頭或其他方式給予中信建投(國際)證券之指令或交易指示;

姓名	身份證/護照號碼	簽署式樣 Specimen Signature
_____	_____	X _____
_____	_____	X _____
_____	_____	X _____

5. 本公司將不時通知中信建投(國際)證券任何可使客戶資料表格中資料變得不實或誤導的任何變更。

6. 中信建投(國際)證券可獲提供其認為與開立賬戶及操作有關要求的任何檔, 包括但不限於公司註冊證明書、商業登記證, 本公司組織章程大綱及細則或其他組織文件的副本、本公司財務報表和有關賬戶的任何決議的核證摘要。

認證

下述簽署人現證明前述為全面、真實及正確的決議的副本及本公司董事會於上述日期已妥善地通過及採納; 以上各項決議案均經記錄於本公司的會議記錄簿內, 並且各項決議案沒有被撤銷或修改及現在仍然具有十足效力及作用。下述簽署人進一步證明本公司妥善地成立及存在, 並有權利採取上述決議所要求的行動。

主席簽署及日期: X _____