

AE Code 客戶經紀號碼:	Account No. 賬戶號碼:	Cash Account No. 現金賬號:
		Margin Account No. 保證金賬號:
		Futures Account No. 期貨賬號:

Client Information Form (Individual Account) 客戶資料表格 (個人賬戶)

Please enclose copies of the following documents for account opening:

- Copy of identity documents of client and the ultimate beneficial owner(s) (e.g. identity card/passport)
- Address Proof of Client and the ultimate beneficial owner within the last 3 months (e.g. bank statement, utility bill, etc.)
- W-8/9 (if applicable)
- Self-Certification form-Individual /Joint account
- Standing Settlement Instruction(Auto Transfer) Or Client Standing Settlement Bank Account(If applicable)

請附上以下各項文件開立賬戶:

- 客戶及最終受益人身份證明文件(例: 身份證/護照)
- 客戶及最終受益人最近三個月之地址證明正本(例如: 銀行月結單、公共服務賬單等)
- W-8/9 (如適用)
- 自我聲明書 -個人賬戶/聯名賬戶
- 常設結算指示或客戶常設交收戶口 (如適用)

Notes 注意:

Where the account opening documents are not executed in the presence of our staff, copies of the items above are required to be certified by a 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, notary public or a current full member of the Institute of Chartered Secretaries and Administrators or its designated divisions). From time to time, China Securities (International) Brokerage Company Limited as a member of CSC Group (including without limitation, CSC Financial Co. Ltd, China Securities (International) Finance Holding Company Limited or any of its subsidiaries) may require other or different formalities.

如在開戶文件並非在本行職員面前簽立, 則上述文件的副本須要由持牌人或註冊人、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、公證人或特許秘書及行政人員公會或其指定分部的正式會員)加以認證。中信建投(國際)証券有限公司作為中信建投集團(包括但不限於中信建投証券股份有限公司及中信建投(國際)金融控股有限公司或其任何附屬公司)的成員可不時要求其他或不同的手續。

1. Account Type 賬戶類別

a) 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^	
b) Trading Account(s): 交易賬戶:	<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
	<input type="checkbox"/> CIES Account 投資移民賬戶		
c) Other Product(s): 其他產品:	<input type="checkbox"/> Global Stock Markets 環球股票市場	<input type="checkbox"/> Global Future Markets 環球期貨市場	<input type="checkbox"/> Fund Markets 基金市場
	<input type="checkbox"/> Bonds Markets* 債券市場*		
d) Online Trading: 網上交易:	<input type="checkbox"/> Required 需要	<input type="checkbox"/> Not Required 不需要	

Note 註: *** (Please tick the appropriate box. 請在適當空格打勾) ^For joint account, each account holder should complete a separate Client Information Form. 聯名賬戶每位賬戶持有人須分別填寫一份客戶資料表格。*Only Available for Professional investor 只適用於專業投資者

2. Personal Information 個人資料

a) English Name: 英文姓名:		b) ID / Passport No.: 身份證/護照號碼:	
c) Chinese Name: 中文姓名:		d) Gender: 性別:	
e) Date of Birth: (yyyy /mm/ dd) 出生日期 (年/月/日):		f) Nationality: 國籍:	
g) Marital Status: 婚姻狀況:	<input type="checkbox"/> Single 單身	<input type="checkbox"/> Married 已婚	<input type="checkbox"/> Divorced 離婚 <input type="checkbox"/> Windowed 喪偶
h) Residential Address: 住宅地址:			

i) Correspondence Address: 通訊地址:	<input type="checkbox"/> Residential Address 住宅地址	<input type="checkbox"/> Office Address 辦公地址	<input type="checkbox"/> Others (please specify) 其他(請註明):
j) Home Telephone No.: 住宅電話:		k) Mobile Phone No.: 手提電話:	
l) E-mail Address: 電郵地址:	(China Securities International will send you combined statements, monthly statements and contract notes by e-statements only through the stated e-mail address) (請注意, 中信建投國際將只能通過既定的電郵地址把合併報表、月報表及成交單據發送給您。)		
m) Process Agent (if applicable): 法律文書代收人(如適用):	Do you appoint any Process Agent? 您是否委任了法律文書代收人? <input type="checkbox"/> Yes 是, 請填寫以下資料 <input type="checkbox"/> No 否 Name 名稱: _____ Telephone 電話: _____ Correspondence Address 通訊地址: _____		
n) Language Preference: 語言選擇:	<input type="checkbox"/> English 英文	<input type="checkbox"/> Chinese 中文	
o) Employment Status: 職業狀況:	<input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Retired 退休* <input type="checkbox"/> Student 學生* <input type="checkbox"/> Housewife 家庭主婦 <input type="checkbox"/> Unemployed 非受僱* *Please provide details of your current or your previous employment within the last 3 years, where your major income/ source of wealth come from. 請提供您當前或最近三年職業詳情, 即您主要收入或財富的來源。		
p) Name of Employer /Ex-employer/ Institution 現公司 / 前公司 / 學校名稱*:			
q) Address of Employer/ Ex-employer / Institution 現公司 / 前公司 / 學校地址*:			
r) Position 職位:	s) Nature of Business:行業:		
t) Employer/Ex-employer Office Phone No.: 現公司/前公司電話:		u) Year(s) of Service 已服務年期:	
v) Source of income : 收入來源:	<input type="checkbox"/> Spouse 配偶 <input type="checkbox"/> Child 子女 <input type="checkbox"/> Parents 父母 <input type="checkbox"/> Others 其他 _____ (Applicable to Housewife/ Student/ Unemployed 適用於家庭主婦/學生/非受僱)		
w) Are you a Client of CSC Financial Co. Ltd 您是中信建投證券股份有限公司的客戶嗎? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是; Account number 賬戶號碼: _____ Branch 營業部: _____ AE 客戶經理: _____			

3. Bank Account Standing Instructions 客戶常設交收銀行戶口指示

a) Bank Location: 銀行所在地:	<input type="checkbox"/> Hong Kong 香港	<input type="checkbox"/> Mainland China 中國內地	<input type="checkbox"/> Others 其他: _____
b) Name of Bank: 銀行名稱:			
c) Bank Account No.: 銀行賬戶號碼:			
d) Currency: 貨幣種類:	<input type="checkbox"/> HKD 港幣	<input type="checkbox"/> USD 美元	<input type="checkbox"/> CNY 人民幣 <input type="checkbox"/> Others 其他: _____
i. Unless the undersigned specified other payment method in the funds withdrawal instruction, funds withdrawn from the undersigned's account(s) shall be paid into the above bank account of the undersigned. 除非您於提款指示中指定另外之付款方式, 由您投資賬戶提取之款項將會存入以上之銀行戶口。			
ii. Please provide copy of the passbook or bank account statement as proof. 請提供存摺或銀行結單副本以便證明。			

4. Financial Profile 財務資料簡要

Source of Wealth: 財富來源:	<input type="checkbox"/> Salary/Profit 薪金/業務收益	<input type="checkbox"/> Investment/Operating Business 投資/經營商業活動
	<input type="checkbox"/> Inheritance 繼承	<input type="checkbox"/> Sale/Lease of Unlisted Shareholders/ Partnership 未上市股權/合夥份額/財產的出售
	<input type="checkbox"/> Property Income 出租收入	
	<input type="checkbox"/> Gift/ Donation 禮物/捐贈	<input type="checkbox"/> Others 其他 (請述明):
Source of Fund: 資金來源:	If different from Source of Wealth, please specify. 如果與財富來源不同, 請詳述:	
Expected Level of Trading Activity (Yearly): 預期交易量 (年):	Total Transaction Amount (HKD): 總交易金額 (港元): _____	
Annual Income (HK\$): 每年收入(港幣):	<input type="checkbox"/> \$0-\$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-\$5,000,000
	<input type="checkbox"/> \$5,000,001-\$10,000,000	<input type="checkbox"/> >\$10,000,000
Total Net Worth of Wealth (HK\$): 財富淨值總額 (港幣):	<input type="checkbox"/> <\$1,000,000	<input type="checkbox"/> \$1,000,000-\$5,000,000
	<input type="checkbox"/> \$5,000,001-\$10,000,000	<input type="checkbox"/> >\$10,000,000
Professional Investor Qualification: 專業投資者資格:	<input type="checkbox"/> Apply (Please provide asset proof and Professional Investor Assessment Form) 申請(需提供相應資產證明及專業投資者評估表格)	

5. Personal Data 個人資料

CSC group 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.
 中信建投集團可以在正常的業務關係過程中收集您的個人資料; 例如, 從此客戶資訊表或您實施的交易等。

CSC 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.
 中信建投集團擬使用您的個人資料做直接促銷, 為此需要取得您的同意。請您注意, 未明確作出反饋亦視為同意。

You agree to receive through postal mail, e-mail or other means promotional and direct marketing information from CSC Group in respect of financial, insurance, securities, investment services and products CSC Group may offer. You agree that CSC group may, from time to time, engage third parties to provide marketing services to you.
 您同意中信建投集團通過郵寄、電郵或其他形式向客戶發放關於財務、保險、證券、投資的服務的產品的推廣資料。您明白中信建投集團可不時聘請第三方向您提供營銷服務。

Yes 同意 No 不同意

6. Disclosure of Identity 相關身份披露

- a) Are you, any beneficial owner and/or any authorized person is a director, an employee or agent of CSC Group or any of its associates? Or do you, any beneficial owner and/or any authorized person have any relationship with any director(s) or employee(s) of CSC Group? 您、任何受益人和/或被授權人是否為中信建投集團或其任何關聯方的董事、雇員或代理人？您、任何受益人和/或被授權人是否與中信建投集團的董事或雇員有任何關係？

No. 不是。 Yes. 是。 If Yes, please provide details. 如是，請提供詳情。

Name of CSC Group Entity and Branch 中信建投集團實體和分支機構的名稱	Name of Employee/Director/AE 雇員/董事/戶口經紀代表的姓名	Title/Department 職銜/部門	Relationship 關係

- b) Are you, any beneficial owner and/or any authorized person a licensed or registered person, or a director, an employee or an agent of any exchange, board of trade, clearing house, bank, trust or any other licensed corporation or registered institution licensed or registered with the Securities and Futures Commission or other regulatory authority in Hong Kong? 您、任何受益人和/或被授權人是否是任何交易所、交易委員會、結算所、銀行、信託或其他在香港證監會或在香港其他監管機構的持牌法團或註冊機構的持牌代表、董事、雇員或代理人？

No. 不是。 Yes. 是。 If Yes, please provide details. 如是，請提供詳情。

Name of the licensed corporation, registered institution and other entity 持牌法團、註冊機構或其他實體的名稱	Name of the licensed, registered or other related person 持牌代表、註冊代表或其他有關人士的姓名	Position/Relationship 職位/關係	CE. No. 中央編號

*You agree that CSC Group may approach the above person to obtain its consent before providing any service to you. 您同意中信建投集團可在向您提供任何服務前聯絡上述人士並獲得其同意。

- c) Do you, any beneficial owner and/or any authorized person have any other accounts with CSC Group? Please include Accounts operated/owned by persons immediately related to the Client, as well as Accounts operated on the Client's behalf by other persons. 您、任何受益人和/或被授權人是否在中信建投集團持有任何戶口？請包括與客戶直接相關的賬戶操作/擁有人，以及代表客戶操作賬戶的其他人士。

No. 不是。 Yes. 是。 If Yes, please provide details. 如是，請提供詳情。

Name of CSC Group Entity and Branch 中信建投集團實體和分支機構的名稱	Name of Account 戶口名稱	Account Number 戶口號碼	Account Type 戶口類型	Credit Limit and Outstanding Amount (if any) 信用額度和未償還金額（如有）

- d) Are you, any beneficial owner and/or any authorized person an "insider" of a public company? 您、任何受益人和/或被授權人是否為上市公司的內幕資訊知情人？

As person is considered to be an "insider" if within the last six months he/she (or his or her spouse, child, parent or sibling) is, or has been in the past six months, any of the following

被認為是“內幕知情人”的定義為，如在過去六個月中或在過去的六個月前，他/她（或他或她的配偶，子女，父母或兄弟姐妹）符合下列情況：

(i) a director, officer, employee or a substantial shareholder holding at least 5% interest (or, if the applicable laws prescribe a lower percentage as the threshold for being a substantial shareholder or equivalent, such lower percentage), of a company listed on an exchange or quoted in a market or its listed affiliate (each a "Public Company") or an affiliate of a Public Company 在交易所上市的公司，或在市場或其上市子公司報價的公司（每一個“上市公司”）或上市公司的附屬公司之董事，高級職員，雇員或者持有至少5%利息的大股東（或，如果適用法律規定的作為大股東或等效的門檻為更低比例，這樣的更低比例）；

(ii) in a position which may reasonably be expected to give him / her access to material non-public information in relation to a Public Company ; or 在其職位使其可以合理預期會使他/她可訪問有關上市公司重大非公開資訊；或

(iii) in a position to make managerial decisions affecting the future development and business prospects of a Public Company. 在其職位使其可以管理決策以影響上市公司的發展和未來的商業前景。

No. 不是。 Yes. 是。 If Yes, please provide details. 如是，請提供詳情。

If so, please provide details for each Public Company as follows 如果如此，請提供如下的每個上市公司詳情：

Name of Public Company / Companies 上市公司名稱	Relevant Exchange / Market 相關交易所/市場	Details of connection with the Public Company 與上市公司相關的詳情	Shareholding % 持股百分比

e) Are you the ultimate beneficial owner(s) of the account? 您是否此賬戶的最終實益擁有人?
 Yes. 是。 No. 否。 If No, please provide details. 如否，請提供詳情。

Name of the ultimate beneficial owner 最終實益權擁有人姓名	ID/Passport No. 身份證/護照號碼:	Nationality 國籍:	Address 地址:

f) Are you ultimately responsible for originating instructions for the transactions of the account? 您是否為此賬戶最終負責發出指示人?
 Yes. 是。 No. 不是。 If No, please provide details. 如不是，請提供詳情: _____

g) Are you or your immediate family members politically exposed person (“PEP”), a person connected with PEP, senior government official or senior executive of a state owned corporation? 您或您的直系親屬是否是政治人物或與其有關連之人士、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 provide details. 如是，請提供詳情。

Name of the PEP 政治人物的名稱	Place and public function entrusted with 地方及所擔任的公職	Term of the public function entrusted with 所擔任的公職的年期	Relationship with the client 與客戶之關係

h) Have you, any beneficial owner and/or any authorized person ever been bankrupt, been serviced with a bankruptcy petition, or undergone any other similar procedure during the last 7 years? 您、任何受益人和/或被獲授權人是否曾經破產、被處理破產申請、或在過去 7 年中經歷任何其他類似的程序?
 No. 不是。 Yes. 是。 If Yes, please provide details. 如是，請提供詳情: _____

i) Have you ever been engaged in any litigation or proceedings or any proceedings pending or threatened against you in last three (3) years? 您是否在過去 3 年中曾參與任何訴訟或法律程序、或任何尚未了結或威脅您的法律程序?
 No. 不是。 Yes. 是。 If Yes, please provide details. 如是，請提供詳情: _____

j) Are you, either alone or with your spouse, in control of 35% or more of the voting rights of any corporate which is a margin client of CSC Group? 您是否單獨或與您的配偶共同擁有任何中信建投集團的保證金客戶 35%或以上表決權?
 No. 不是。 Yes. 是。 If Yes, please provide details. 如是，請提供詳情。
A/C No. 賬戶號碼: _____ A/C name 賬戶名稱: _____

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

I confirm that the information provided by me to CSC Group is true, accurate, complete and not misleading in any material way. I undertake to promptly notify CSC Group within 30 calendar days, if there is any change in relation to such information. CSC Group is entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any change. CSC 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.

本人確認提供給中信建投集團的資訊是真實、準確、完整的，並且不會以任何方式造成誤導。本人瞭解相關資訊如有任何變化應當於30個日曆日內立即通知中信建投集團。除非接到本人更改資訊的書面通知，中信建投集團有權完全信賴這些資料及陳述為任何目的行事。本人授權中信建投集團可隨時聯絡任何人，包括本人的銀行、經紀或任何信貸機構，以核實客戶資料表中的資訊。

This Client Information Form is subject to the Agreement and any supplement (if applicable) from time to time.

客戶資料表受不時修訂的協議書及任何附加文件約束（如適用）。

I acknowledge and confirm that I have read, understood and accepted the provisions of the Agreement and the supplementary documents (if any), including without limitation to the Risk Disclosure Statement and the Personal Data Collection Statement. I confirm that the relevant risk disclosures such as the Risk Disclosure Statement in the Agreement have been provided to me in a language of my choice and that I have been invited to read the same, to ask questions and to take independent advice (if I wish).

本人知悉並確認，本人已經閱讀、理解並接受客戶協議書及相關附件（如適用），包括但不限於風險披露聲明及個人資料收集聲明書。本人確認已經按照本人要求的語言獲得了相關風險披露，包括客戶協議書風險披露聲明中的內容，並且已經獲邀閱讀相關風險披露、提出問題及徵求獨立意見（如本人有此意願）。

I understand that CSC Group may disclose and/or submit certain of my account information in relation to the changes to the competent regulatory or Government Authority in the relevant jurisdiction(s) (including without limitation to U.S. Internal Revenue Service, U.S. Department of the Treasury and the Hong Kong Inland Revenue Department) for the purpose of complying with FATCA, Common Reporting Standard and other related laws, regulations, codes and rules.

本人理解中信建投集團可能需要向相關司法管轄區內的合格監管機構/或政府當局（包括但不限於美國國家稅務局、美國財政部和香港稅務局）披露及/或提交本人的賬戶資訊，以符合FATCA、《共同彙報標準條例》和其他相關法規、守則和規則的規定。

For Margin Account Client Only 只適用於保證金客戶

I/We acknowledge and confirm that I/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.

本人/我們謹此承諾及確認本人/我們已授權中信建投（國際）證券根據保證金賬戶所適用的條款處理本人/我們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。

Date:
日期: _____

Client Name:
客戶姓名: _____

Client's Signature 客戶簽署:

X _____

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 Name:

見證人姓名: _____

Witness' Qualification:

見證人職位: _____

Signature of Witness 見證人簽署:

X _____

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

I, the undersigned, declare that I have provided the Risk Disclosure Statements contained in the 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 Client wishes).

本人，僅此聲明，本人已經按照上述客戶選擇的語言，向客戶提供風險披露聲明，該內容包含在中信建投（國際）證券客戶協議書內，本人並已邀請該客戶閱讀相關條款，提出問題及徵求獨立意見（如客戶有此意願）。

Date
日期: _____

C.E. No.:
中央編號: _____

Signature of License Person 持牌人簽署:

Name of Licensed Person
持牌人姓名: _____

X _____