



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 (CORPORATE ACCOUNT) 客戶資料表格 (公司賬戶)

Please enclose copies of the following document for account opening:

請附上以下各項文件開立賬戶:

- |  |   |
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| <ol style="list-style-type: none"> <li>1. Original/Certified copy of the Board Resolutions/ Authorization Letter signed by registered company secretary / executive director, for the purpose of a)authorizing the account opening and; b)appointing the Authorized Persons to operate the account</li> <li>2. Certified copy of Memorandum &amp; Articles of Association &amp; other constitutional documents of the Company</li> <li>3. Certified copy of Business Registration Certificate and Certificate of Incorporation or equivalent</li> <li>4. Proof of business address within the last 3 months</li> <li>5. Certified copy of List of Shareholders and Directors/Register of Members and Register of Directors (Overseas)</li> <li>6. Certified copy of HKID/Passport AND Proof of residential address &amp; permanent address (if different) within last 3 months of Directors &amp; Authorized Persons</li> <li>7. Certified copy of HKID Card/Passport copy AND Proof of residential address &amp; permanent address (if different) within last 3 months of Substantial Shareholders (not applicable to a listed company and its subsidiaries, licensed corporation and bank)</li> <li>8. 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)</li> <li>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)</li> <li>10 Certified copy of Specimen Signature</li> <li>11 Personal Guarantee / Corporate Guarantee from ultimate beneficiary (copy of passport/identity card of all guarantors, if applicable)</li> <li>12 Standing Settlement Instruction OR Client Standing Settlement bank Account(If applicable)</li> <li>13 W-8BEN-E/W-9 Form and Self-Certification Form</li> </ol> | <ol style="list-style-type: none"> <li>1. 註冊公司秘書/執行董事簽署的董事會決議案/授權文件的認證副本, 用於a)授權開立賬戶及; b)委任有權代表操作賬戶</li> <li>2. 公司組織章程大綱及其他章程文件之認證副本</li> <li>3. 商業登記證及公司註冊證書或等同文件之認證副本</li> <li>4. 最近三個月之辦公地址證明</li> <li>5. 股東及董事名單/股東名冊及董事名冊 (海外註冊公司適用) 的經認證真確副本</li> <li>6. 董事及賬戶授權代表的香港身份證/護照的經認證真確副本及最近三個月之居住和永久地址證明 (如不同)</li> <li>7. 主要股東的經認證真確香港身份證/護照副本及最近三個月之居住和永久地址證明 (如不同) (不適用於上市公司、持牌法團或銀行)</li> <li>8. 公司過去六個月內的查冊報告 (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)</li> <li>9. 公司的擁有權及架構控制具體信息, 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 (適用於設有多層擁有權架構的公司)</li> <li>10. 簽名式樣之認證副本</li> <li>11. 個人擔保書/公司擔保書 (所有擔保人身份證明文件副本, 如適用)</li> <li>12. 常設交收指示或客戶常設交收戶口 (如適用)</li> <li>13. W-8BEN/W-9表格及自我聲明書</li> </ol> |
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### Notes 注意:

1. Board resolutions or minutes of meeting confirming the account type (cash, margin and/or futures for Brokerage business), authorizing the execution of the Client Agreement and this Client Information Form of China Securities (International) Brokerage Company Limited ("CSCIB") 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)証券有限公司(「中信建投(國際)証券」)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。
2. Copies of items 1-10 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 certified public accountant (practicing), lawyer, a current member of the Hong Kong Institute of Chartered Secretaries practicing in Hong Kong or notary public);  
第1-10項文件副本須要由持牌人或註冊人、持牌人或註冊人的連絡人士、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;
3. For item 8, 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8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。
4. Copies of items 10 are required to be issued and declared by director or company secretary of the client; 第10項副本須要由客戶董事或公司秘書簽發和聲明;
5. From time to time, CSCIB 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. 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. Types of Account and Customer 賬戶及客戶類別

a) Client Type: 客戶賬戶種類:	<input type="checkbox"/> Corporate 公司	<input type="checkbox"/> Sole Proprietorship/Partnership 獨資公司/合夥	
	<input type="checkbox"/> Others 其他 : _____		
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"/> Future Account 期貨賬戶
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	

\*Only Available for Professional investor 只適用於專業投資者

## 2. Corporate Data 公司基本資料

Name of Company (English)(the "Client"):	公司名稱(中文) (「客戶」):		
Name of Sub Account (English) (if applicable):	子賬戶名稱 (中文) (如適用):		
Registered Address 註冊地址:	(Postal Code 郵編 _____)		
Principal Business Address 主要營業地址:	(Postal Code 郵編 _____)		
Correspondence Address: 通訊地址:	<input type="checkbox"/> Registered Address 註冊地址	<input type="checkbox"/> Principal Business Address 主要營業地址	
	<input type="checkbox"/> Others (Please Specify) 其他(請填寫): _____ (Postal Code 郵編 _____)		
Process Agent (if applicable): 法律文書代收人 (如適用):	Does the Company appoint any Process Agent? 貴公司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: _____		
E-mail Address: 電郵地址:	<input type="checkbox"/> Please send account statements and important notices to my e-mail address 請將賬戶賬單及重要通知發送至本人電郵地址		
Nature of Business 業務性質:			
Place of Incorporation 註冊國家/地區:	Date of Incorporation 註冊日期:		
Certificate of Incorporation No.: 公司註冊號碼:	Business Registration No.: 商業登記號碼:		
Contact Person: 聯絡人:	Company Tel. No.: 公司電話號碼:	Fax No.: 傳真號碼:	
Authorized person Tel No: 授權人電話號碼:			

Is the Company a Client of CSC Financial Co. Ltd? 貴公司是中信建投證券股份有限公司的客戶嗎?

No 不是  Yes 是;

Account number 賬戶號碼: \_\_\_\_\_ Branch 營業部: \_\_\_\_\_ AE 客戶經理: \_\_\_\_\_

### 3. Financial Profile 財務資料簡要

Source of Wealth: 財富來源:	<input type="checkbox"/> Income/Profit 業務收益	<input type="checkbox"/> Capital from Group companies 集團內部融資
	<input type="checkbox"/> Credit facilities 信用借款	<input type="checkbox"/> Capital from shareholders 實益擁有人/合夥人投資
	<input type="checkbox"/> Investment Income 投資獲利	<input type="checkbox"/> Others 其他 (請述明): _____
Source of Fund: 資金來源:	If different from Source of fund, 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:	Total Transaction Amount (HKD): 總交易金額 (港元): _____	
Professional Investor Qualification: 專業投資者資格:	<input type="checkbox"/> Apply (Please provide asset proof, Professional Investor Assessment Form) 申請(需提供相應資產證明, 專業投資者評估表格及相關證明)	

### 4. Bank Account Standing Instruction 客戶常設交收銀行戶口指示

Bank Account Standing Instruction 客戶常設交收銀行賬戶指示 (  國內Mainland /  香港HK /  其他Others: \_\_\_\_\_ )

Name of Bank 銀行名稱: \_\_\_\_\_ Bank Account No. 銀行賬戶號碼: \_\_\_\_\_

Name of Account 賬戶名稱: \_\_\_\_\_ Currency 幣種: \_\_\_\_\_

\* 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. 除非貴公司於提款指示中指定另外之付款方式, 由貴公司賬戶提取之款項將會存入以上之銀行戶口。

\*\* Please provide copy of the passbook or copy of bank account statement as proof. 請提供存摺副本或銀行結單副本以作證明。

### 5. All Directors 所有董事

Director(s) Name 董事姓名	Director(s) Passport/ID 董事護照/身份證	Director(s) Residential Address 董事住宅地址

### 6. Major Shareholder(s) 主要股東

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

## 7. Disclosure of Identity 相關身份披露

a) Is the Company acting as an agent for any one or more third parties? 貴公司是否作為任何一個或多個第三方的代理人?

No. 不是。  Yes. 是。

If Yes, please provide details (attach additional information where necessary). 如是，請提供詳情（請根據需要附上其他資訊）。

b) Is the Company, any director, shareholder, or partner of the Company, any beneficial owner and/or any authorized person is a director, an employee or agent of CSC Group or any of its associates? Or does the Company, any director, shareholder, or partner of the Company, any beneficial owner and/or any authorized person have any relationship with any director(s) or employee(s) of CSC Group? 貴公司，貴公司的任何董事、股東或合夥人，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？貴公司，貴公司的任何董事、股東或合夥人，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

c) Is the Company, any director, shareholder, or partner of the Company, 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? 貴公司，貴公司的任何董事、股東或合夥人，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. 閣下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。

d) Does the Company, any director, shareholder, or partner of the Company, 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 Company, as well as Accounts operated on the Company's behalf by other persons. 貴公司，貴公司的任何董事、股東或合夥人，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？請包括與貴公司直接相關的賬戶操作/擁有人，以及代表貴公司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）

e) Is the Company, any director, shareholder, or partner of the Company, any beneficial owner and/or any authorized person an "insider" of a public company? 貴公司，貴公司的任何董事、股東或合夥人，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，僱員或者持有至少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

f) Is any director, shareholder or partner of the Company, any beneficial owner and/or any authorized person, 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)? 貴公司的任何董事、股東或合夥人，任何受益人和/或被授權人，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 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 Company 與貴公司之關係

g) Has any director, shareholder or partner of the Company, 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? 貴公司的任何董事、股東或合夥人，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情況？

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

h) Has the Company undergone any restructuring during the last 7 years, or been served with a winding-up petition, or had a receiver, administrator or liquidator appointed to manage its affairs? 貴公司是否在過去 7 年內進行過任何重組，或已獲得清盤呈請，或是否有委任管理其事務的接管人，管理人或清盤人？

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

i) Has the company ever been engaged in any litigation or proceedings or any proceedings pending or threatened against you in last three (3) years? 貴公司是否在過去 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) Is the Company, either alone or with shareholders, directors or company, in control of 35% or more of the voting rights of any corporate margin account Company of CSC Group? Does another margin client or corporate margin client of CSC Group controls 35% or more of the voting rights of the Company (if the other margin client is an individual, includes the voting rights of his / her spouse)? Is the Company and another corporate margin client of CSC Group members of same group of companies? 貴公司是否獨立或與貴公司的股東、董事或其他公司共同擁有任何中信建投集團有限公司的保證金客戶 35%或以上表決權？或另一中信建投集團的保證金客戶控制貴公司 35%或以上的表決權（如該保證金客戶為個人，則包括其配偶的表決權）？貴公司是否與另一中信建投集團的保證金客戶屬於同一公司集團的成員？

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 \_\_\_\_\_

## 8. 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、電郵或其他形式向您發放關於財務、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客戶提供營銷服務。

Yes 同意  No 不同意

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

We confirm that the information provided by us to CSC Group is true, accurate, complete and not misleading in any material way. I/We 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.

本公司/機構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。本公司/機構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。除非接到本公司/機構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。本公司/機構授權中信建投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，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）。

We acknowledge and confirm that We 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. We confirm that the relevant risk disclosures such as the Risk Disclosure Statement in the Agreement have been provided to us in a language of my choice and that We have been invited to read the same, to ask questions and to take independent advice (if We wish).

本公司/機構知悉並確認，本公司/機構已經閱讀、理解並接受客戶協議書及相關附件檔（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。本公司/機構確認已經按照本公司/機構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（如本公司/機構有此意願）。

We understand that CSC Group may disclose and/or submit certain of our 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.

本公司/機構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/或提交本公司/機構的賬戶資訊，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 只適用於保證金賬戶客戶

We acknowledge and confirm that we have authorized CSCIB 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）隨後之每年日曆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)

Date

被授權簽署人姓名及職務(請書寫): \_\_\_\_\_

日期: \_\_\_\_\_

## 10. 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

Witness' Qualification

Date

見證人姓名: \_\_\_\_\_

見證人職位: \_\_\_\_\_

日期: \_\_\_\_\_

## 11. 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，並本人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		_____ _____ _____	
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:		Interest Rate 息率:	
<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)	<input type="checkbox"/> 標準收費 Standard Rate
Remarks		Remarks	
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:
與另一賬戶擁有相同股東/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

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## 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 ("CSCIB").

**IT WAS RESOLVED THAT:**

1. Margin Account / Futures Account / Cash Account (collectively the "Account(s)") be opened and maintained with CSCIB 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 CSCIB 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 CSCIB 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 CSCIB for the settlement of future contract transactions with CSCIB 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 CSCIB of any changes which may render the information in the Client Information Form to be untrue or misleading.
6. CSCIB 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出具的客戶資料表格、客戶協議書及其他附加文件。
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文件, 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 \_\_\_\_\_