



**CHINA
INTERNATIONAL
SECURITIES**
中國國際證券



**CORPORATE
ACCOUNT OPENING FORM**

公司賬戶開戶申請表格



Type of Account ☐ Corporate Cash Account
帳戶類別 公司現金帳戶

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China International Securities Limited ("CIS") is licensed to conduct Type 1 regulated activities (Dealing in Securities) in Hong Kong under the Securities and Futures Ordinance (CE No: BHY490).

中國國際證券有限公司（「中國國際證券」）根據證券及期貨條例獲發牌在香港經營第一類受規管活動（證券交易）（中央編號：BHY490）。

APPLICANT'S INFORMATION 申請公司資料

Company Name 公司名稱	English Name 英文名稱 (Use block letters 請以正楷書寫)	Chinese Name 中文名稱 (If applicable 如適用)
Name of Account 帳戶名稱	Place of Incorporation 註冊成立地	
Principal Place of Business 主要營運地點	Business Nature 業務性質	
Form of Incorporation 公司註冊屬性	<input type="radio"/> Private Limited Company 私人有限公司 <input type="radio"/> Public Limited Company 公眾有限公司 <input type="radio"/> Partnership 合伙公司 <input type="radio"/> Trust 信託 <input type="radio"/> Others, please specify 其他，請列明	
Registered Office Address 公司註冊地址	Address 地址 Address 地址 City & Province 城市及省份 Country 國家 Postal Code 郵政編號	
CI / Company No. 公司註冊編號	Year of Incorporation 成立年份	No. of Employees 職員人數

CORPORATE STRUCTURE 公司結構

Share Capital 股本資料

Issued Capital 已發行股本	<input type="radio"/> Fully Paid 已繳足 <input type="radio"/> Partly Paid 未繳足	No. of Issued Shares 已發行股份數量	Shares 股
Capital Amount 股本款額	Currency 貨幣	Paid-up 已繳股本 \$	+ Unpaid 未繳股本 \$ = Total Amount 總款額 \$

Is any member of your group of companies a client of CIS?
在申請公司的集團內，有沒有成員公司現在為CIS的客戶？

☐ No 否 ☐ Yes, please specify. 是，請列明。

Name
名稱

Account No.
帳戶號碼

CONTACT DETAILS 聯絡資料

Email 電郵地址				(For the use of all major account communications. 用作帳戶所有主要聯系)	
Telephone No. 電話號碼	+	-	Fax No. 傳真號碼	+	-
Correspondence Address 通訊地址	Address 地址				
	Address 地址				
	City & Province 城市及省份		Country 國家	Postal Code 郵政編號	

(P.O. Box not accepted 郵政信箱恕不接受)

METHOD OF COMMUNICATION 通訊方式

Preferred Communication Language 主要通訊語言	<input type="radio"/> English 英文	<input type="radio"/> Chinese 中文
Delivery of Account Statements 遞送帳戶結單	<input type="radio"/> Send by Email 電郵傳送 <input type="radio"/> Send by Post* 郵遞傳送*	
<p>① Please note that CIS reserves the right, at their sole discretion to change or modify the method of communication to the Client that CIS deems appropriate at any time. 無論客戶選擇以郵遞或電子郵件作為通訊方法，中國國際證券均有最終決定權使用任何其認為適當的通訊方式與客戶進行通訊。</p> <p>* Paper statement fee will be applied to those who opt-in to receive account statements by post. The fee will be directly debited from the relevant accounts. Go green and enroll in e-Statement service. All fees may be subject to change from time to time. 郵寄結單費用將直接從相關帳戶中扣除。實際收費，請參閱中國國際證券收費表。所有費用可能會不時更改。請登記電子結單服務，為環保出力。</p>		

KEY PERSON(S) 主要人士

Total No. of Key Person(s) 主要人士總人數	Key Person(s) include all Individual Director(s), Individual Shareholder(s), Beneficial Owner(s) and Authorised Person(s). 主要人士包括所有個人董事、個人股東、實益擁有人及獲授權人。		
	Total No. of Key Person(s) 主要人士總人數	Total 共	Person(s) 位
Particulars of Key Person(s) 主要人士的資料	Please fill-in information of EACH of the Key Person(s) at "Particulars of Key Person(s)". Please make extra copies of Page 3 if necessary. 請於「主要人士資料」填寫每位主要人士的資料。如超過一個位主要人士，請自行複印第 3 頁。		
	Attach "Particulars of Key Person(s)" 附上「主要人士資料」	Total 共	Page(s) 頁

CONTROLLING PERSONS 控權人

Complete this part if the entity account holder is a passive NFE
如實體帳戶持有人是被動非財務實體，填寫此部

Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official.
Complete Self-Certification Form – Controlling Person for each controlling person.

就帳戶持有人，填寫所有控權人的姓名在列表內。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。
每名控權人須分別填寫一份自我證明表格 – 控權人。

1	5
2	6
3	7
4	8

PARTICULARS OF KEY PERSON(S) 主要人士資料

EACH Key Person should complete a copy. Please make a copy of this form if necessary.
每位主要人士各須填寫一頁。如有超過一位主要人士，請自行復印加頁。

Page No.
頁數

Key Person Type
主要人士類別
(Please ✓ all applicable 可選擇多項)

☐ Director 董事

☐ Beneficial Owner 實益擁有人

☐ Individual Shareholder 個人股東

☐ Authorised Person 獲授權人

Personal Information 個人資料

Title
稱謂

☐ Mr. 先生

☐ Miss 小姐

☐ Mrs. 太太

☐ Ms. 女士

☐ Dr. 博士

Gender
性別

☐ Male 男

☐ Female 女

English Name
英文姓名

(Use block letters 請以正楷書寫)

Chinese Name
中文姓名

Position
職位

Citizenship & Identity 國籍及個人身份

Citizenship
國籍

Primary Residence
主要居留地

(Country 國家)

Official ID
身份證明文件

☐ HKID

☐ Chinese Citizens ID

☐ Passport

☐ Macau PR ID

☐ Others*, please specify

ID No.
證件號碼

Attach official ID copy 附上身份證明文件副本

Issue Country
證件簽發地

* If you don't have any of the Official ID Type listed above, please check with CIS for other types of acceptable photo ID.
假如閣下沒有上述列出的身份證明文件，請聯絡中國國際證券查詢其他可接受並含有照片的身份證明文件類別。

Registered Address
現居地址
(P.O. Box not accepted
郵政信箱恕不接受)

Address
地址

Address
地址

City & Province
城市及省份

Country
國家

Postal Code
郵政編號

Attach proof of registered Address 附上住址證明副本

Are you an employee of a company registered with the Securities and Futures Commission (SFC) of Hong Kong?
閣下是否香港證券及期貨事務監察委員會(證監會)註冊之公司之僱員？

☐ No 否

☐ Yes 是

Attach a written consent from your employer. 請提供閣下僱主的書面同意書。

Are you a relative of any CIS employee or Director?
閣下是否與中國國際證券僱員 / 董事有任何關係？

☐ No 否

☐ Yes, please specify. 是，請列明。

Surname 姓名

First & Middle Name 名稱

Relationship 關係

(Use block letters 請以正楷書寫)

Contact Information 聯絡資料

Home Telephone No.
電話號碼

+

-

Office Telephone No.
公司號碼

+

-

Mobile Telephone No.
手提號碼

+

-

Email
電郵地址

Corporate Account Opening Form
公司帳戶開戶申請表格

WWW.CI-SEC.COM

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CORPORATE ACCOUNT SPECIMEN SIGNATURE 公司帳戶簽名樣式

1 Authorised Person Specimen Signature
授權人簽名樣式

Name
姓名

HKID/Passport No.
香港身份證號碼 / 護照號碼

2 Authorised Person Specimen Signature
授權人簽名樣式

Name
姓名

HKID/Passport No.
香港身份證號碼 / 護照號碼

3 Authorised Person Specimen Signature
授權人簽名樣式

Name
姓名

HKID/Passport No.
香港身份證號碼 / 護照號碼

4 Authorised Person Specimen Signature
授權人簽名樣式

Name
姓名

HKID/Passport No.
香港身份證號碼 / 護照號碼

Company Chop
公司印章

Signing Instruction
簽署指示

- ☐ Any one can sign singly 單簽
☐ Any two must sign jointly 任何兩人同簽
☐ Others 其他:

ULTIMATE BENEFICIARY 最終實益擁有人

Are all the shares of the Applicant held by Individual Shareholder(s)?
申請公司的股份是否全數由個人股東持有？

☐ Yes 是

☐ No, please specify. 否，請列明。

Name of Ultimate Holding Company
最終控股公司名稱

Place of Incorporation
註冊成立的地方

(Country 國家)

Individual Shareholder(s) and Beneficial Owner(s) 個人股東 及 實益擁有人

Individual Shareholder(s) of the Applicant and the Ultimate Holding Company 持有申請公司或最終控股公司股份的個人股東		% of Shares Held 持有股份的百分比			Beneficial Owner(s) who enjoy the ultimate benefits through the Nominee(s) 經代理人持有帳戶利益的最終實益擁有人	
Name of Ind. Shareholder 個人股東姓名	Particulars of Key Person(s) 主要人士資料	Total 總數	Directly Held as Beneficiary 直接持有帳戶實益	Held Shares as Nominee# 以代理人身份#持有	Name of Beneficial Owner(s) 實益擁有人姓名	Particulars of Key Person(s) 主要人士資料
	Page No. 頁碼	% =	% +	% on half of 代表		Page No. 頁碼
	Page No. 頁碼	% =	% +	% on half of 代表		Page No. 頁碼
	Page No. 頁碼	% =	% +	% on half of 代表		Page No. 頁碼
	Page No. 頁碼	% =	% +	% on half of 代表		Page No. 頁碼
	Page No. 頁碼	% =	% +	% on half of 代表		Page No. 頁碼
	Page No. 頁碼	% =	% +	% on half of 代表		Page No. 頁碼
	Page No. 頁碼	% =	% +	% on half of 代表		Page No. 頁碼
	Page No. 頁碼	% =	% +	% on half of 代表		Page No. 頁碼
Total 共		100 %			Total 共	
Person 人					Person 人	

① This section is NOT applicable to listed company, regulated financial institution, government/public body, regulated investment vehicle.
不適用於上市公司、受監管金融機構、政府或公共機關、受監管投資工具。

Important 重要資訊： "Beneficial Owner" refers to the natural person(s) who stand(s) to gain the commercial or economic benefit of the transactions and/or to bear its / their commercial or economic risk.
實益擁有人 (Beneficial Owner) 指收取交易所帶來的商業或經濟利益及 / 或承擔其商業或經濟風險的人士。
If an Individual Shareholder is only acting as a nominee of the Ultimate Beneficial Owner(s), please provide information of such person.
倘若個人股東祇屬「代理人」(nominee) 而不是此中國國際證券帳戶的實益擁有人，請提供實益擁有人的個人資料。

DESIGNATED BANK ACCOUNT(S) 指定銀行帳戶

Name of Bank Account Holder 帳戶持有人名稱			
Bank Name 銀行名稱		Bank Account Number 銀行帳戶號碼	
Swift Code / Routing Number Swift 號碼 / 匯款路徑號碼		IBAN Number IBAN 號碼	
Bank Address 銀行地址			

① The Client hereby instructs and authorises CIS to deposit all payments payable to the Client into the above bank account. CIS will be complying with the requirements as soon as reasonably practicable, deposit the payments into the above Settlement Account for the Client as soon as possible. CIS shall not be held liable for any loss, expenses or damages suffered by the Client as a result of any delay in depositing such payments caused by any reason whatsoever. 客戶謹此指示及授權中國國際證券將所有應付客戶之款項存入上述之銀行帳戶。中國國際證券將在符合規定及於合理可行的情況下，盡快為客戶存入款項到上述之結算帳戶，中國國際證券不會對基於任何原因而延遲存入款項令客戶蒙受的任何虧損、開支或賠償承擔任何法律責任。

FINANCIAL & INVESTMENT PROFILE 財務及投資概況

Investment Objective 投資目標	<input type="radio"/> Capital Preservation - Low Risk / Return 保本 - 低風險低回報 <input type="radio"/> Controlled Growth - Moderate Risk / Return 穩步增長 - 適度風險適度回報 <input type="radio"/> Speculative / Short-term - High Risk / Return 投機短綫投資 - 高風險高回報 <input type="radio"/> Combination of Moderate to High Return 適度至高回報組合			
Investment Knowledge 投資知識	<input type="radio"/> None 缺乏	<input type="radio"/> Fair 一般	<input type="radio"/> Good 良好	<input type="radio"/> Extensive 豐富
Investment Experience 投資經驗	<input type="radio"/> None 缺乏	<input type="radio"/> Fair 一般	<input type="radio"/> Good 良好	<input type="radio"/> Extensive 豐富
Type of Investments You Have 閣下擁有的投資類別 (Please ✓ all applicable 可選擇多項)	<div> <input type="radio"/> Equity 股票 <input type="radio"/> Equity Warrants 股票期權 <input type="radio"/> Foreign Exchange Options 外匯期權 <input type="radio"/> Government Bonds 政府債券 <input type="radio"/> Index Options 指數期權 </div> <div> <input type="radio"/> Equity 認股證 <input type="radio"/> Foreign Exchange 外匯 <input type="radio"/> Corporate Bonds 公司債券 <input type="radio"/> Mutual Funds 互惠基金 </div>			
Annual Income (HKD) 每年入息 (以港元為單位)	<input type="radio"/> Below \$5 million 五百萬以下 <input type="radio"/> \$20 million - \$100 million 二千萬至一億 <input type="radio"/> \$300 million or above 三億 或以上			
Liquid Net Worth (HKD) 流動資產 (以港元為單位)	<input type="radio"/> Below \$8 million 八百萬以下 <input type="radio"/> \$20 million - \$100 million* 二千萬至一億* <input type="radio"/> \$300 million or above* 三億 或以上* <small>* If selected, CIS may send you information regarding offers of securities exclusively for Professional Investors. 如選擇此項，中國國際證券會發給閣下一些僅供「專業投資者」享用的投資產品資料。</small>			
Source of Funds and Country of Source of Funds 資金來源 和 資金來源地			<input type="radio"/> Hong Kong 香港 <input type="radio"/> Macau 澳門 <input type="radio"/> China 中國	
Source of Wealth and Country of Source of Wealth 財富來源 和 財富來源地			<input type="radio"/> Hong Kong 香港 <input type="radio"/> Macau 澳門 <input type="radio"/> China 中國	

ENTITY TYPE 實體類別

Tick one of the appropriate boxes and provide the relevant information.
在其中一個適當的方格內加上√號，並提供有關資料。

Type of Entity 實體類型	Options 選項
Financial Institution 財務機構	<input type="radio"/> Custodial Institution, Depository Institution or Specified Insurance Company 託管機構、存款機構或指明保險公司 <input type="radio"/> Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction 投資實體，但不包括由另一財務機構管理（例如：擁有酌情權管理投資實體的資產）並位於非參與稅務管轄區的投資實體
Active NFE 主動非財務實體	<input type="radio"/> NFE the stock of which is regularly traded on _____, which is an established securities market 該非財務實體的股票經常在 _____（一個具規模證券市場）進行買賣 <input type="radio"/> Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market 的有關連實體，該有關連實體的股票經常在 _____（一個具規模證券市場）進行買賣 <input type="radio"/> NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體 <input type="radio"/> Active NFE other than the above _____ (Please specify) 除上述以外的主動非財務實體（請說明 _____）
Passive NFE 被動非財務實體	<input type="radio"/> Investment entity that is managed by another financial institution and located in a non-participating jurisdiction 位於非參與稅務管轄區並由另一財務機構管理的投資實體 <input type="radio"/> NFE that is not an active NFE 不屬主動非財務實體的非財務實體

FINANCIAL & INVESTMENT PROFILE 財務及投資概況

Investment Objective 投資目標	<input type="radio"/> Capital Preservation - Low Risk / Return 保本 - 低風險低回報 <input type="radio"/> Controlled Growth - Moderate Risk / Return 穩步增長 - 適度風險適度回報 <input type="radio"/> Speculative / Short-term - High Risk / Return 投機短綫投資 - 高風險高回報 <input type="radio"/> Combination of Moderate to High Return 適度至高回報組合			
Investment Knowledge 投資知識	<input type="radio"/> None 缺乏	<input type="radio"/> Fair 一般	<input type="radio"/> Good 良好	<input type="radio"/> Extensive 豐富
Investment Experience 投資經驗	<input type="radio"/> None 缺乏	<input type="radio"/> Fair 一般	<input type="radio"/> Good 良好	<input type="radio"/> Extensive 豐富
Type of Investments You Have 閣下擁有的投資類別 (Please √ all applicable 可選擇多項)	<input type="radio"/> Equity 股票 <input type="radio"/> Foreign Exchange 外匯 <input type="radio"/> Corporate Bonds 公司債券 <input type="radio"/> Futures & Options 期貨及期貨期權 <input type="radio"/> Foreign Exchange Options 外匯期權 <input type="radio"/> Government Bonds 政府債券 <input type="radio"/> Warrants 認股權證 <input type="radio"/> Mutual Funds 互惠基金 <input type="radio"/> Index Options 指數期權			
Annual Income (HKD) 每年入息 (以港元為單位)	<input type="radio"/> Below \$5 million 五百萬以下 <input type="radio"/> \$20 million - \$100 million 二千萬至一億 <input type="radio"/> \$300 million or above 三億或以上 <input type="radio"/> \$5 million - \$20 million 五百萬至二千萬 <input type="radio"/> \$100 mil - \$300 mil 一億至三億			
Liquid Net Worth (HKD) 流動資產 (以港元為單位)	<input type="radio"/> Below \$8 million 八百萬以下 <input type="radio"/> \$20 million - \$100 million* 二千萬至一億* <input type="radio"/> \$300 million or above* 三億或以上* <input type="radio"/> \$8 million - \$20 million* 八百萬至二千萬* <input type="radio"/> \$100 million - \$300 million* 一億至三億* <small>* If selected, CIS may send you information regarding offers exclusively for Professional Investors. 如選擇此項，中國國際證券會發給閣下一些僅供「專業投資者」享用的投資產品資料。</small>			
Source of Funds and Country of Source of Funds 資金來源 和 資金來源地	<input type="radio"/> Hong Kong 香港 <input type="radio"/> Macau 澳門 <input type="radio"/> China 中國 <input type="radio"/> Hong Kong 美國 <input type="radio"/> Others, please specify 其他，請列明 _____			
Source of Wealth and Country of Source of Wealth 財富來源 和 財富來源地	<input type="radio"/> Hong Kong 香港 <input type="radio"/> Macau 澳門 <input type="radio"/> China 中國 <input type="radio"/> Hong Kong 美國 <input type="radio"/> Others, please specify 其他，請列明 _____			

JURISDICTION OF RESIDENCE AND TAXPAYER IDENTIFICATION NUMBER OR ITS FUNCTIONAL EQUIVALENT ("TIN") 居留司法管轄區及稅務編號或具有等同功能的識別編號（以下簡稱「稅務編號」）

Complete the following table indicating

- (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and
- (b) the account holder's TIN for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence.

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

If a TIN is unavailable, provide the appropriate reason A, B or C:

Reason A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

Reason B - The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.

Reason C - TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

提供以下資料，列明

- (a) 帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區（香港包括在內）及
- (b) 該居留司法管轄區發給帳戶持有人的稅務編號。列出所有（不限於 5 個）居留司法管轄區。

如帳戶持有人的香港稅務居民，稅務編號是其香港身份證號碼。

如沒有提供稅務編號，必須填寫合適的理由：

理由 A - 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

理由 B - 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。

理由 C - 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有稅務編號，理由 A、B 或 C	If Reason B, explain why the account holder is unable to obtain a TIN 如選取理由 B，解釋不能取得稅務編號的原因
1.			
2.			
3.			
4.			
5.			

① WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).

警告：根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級（即 \$10,000）罰款。

① Under the Common Reporting Standard ("the CRS"), tax authorities require financial institutions such as CIS to collect and report certain information relating to their customers' tax statuses. If you have any questions regarding your tax residency and the acceptable Taxpayer Identification Number (TIN) formats, please refer to the rules that have been published by each tax authority on the following webpages.

根據「共同匯報標準」（簡稱「CRS」）規定，稅務機關要求包括中國國際證券在內的財務機構，向其客戶收集及匯報若干與客戶納稅狀況相關的資料。倘若閣下不清楚稅務居民所屬地的定義，或不清楚閣下的所屬地對納稅人識別號碼的要求，請參照以下網址查看各個稅務機關所頒布的標準。

Tax Residency Rules 稅務居民所屬地規定：<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/>

Tax Identification Numbers 納稅人識別號碼 (TINs)：<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/>

① The Client(s) hereby undertakes to notify CIS within 30 days any change of identification or place of residence by filling in a Self-Certification Form. The Client shall fully indemnify CIS from and against all claims, damages, losses, costs and expenses whatsoever incurred as a result of such non-compliance or omission.

客戶謹此承諾如個人身份或居住地有任何更改，客戶須於 30 天內通知中國國際證券。客戶亦同意悉數對中國國際證券因客戶違規或遺漏而蒙受的任何索償、損害、損失、費用及開支作出彌償並保證其利益不受損害。

PROFESSIONAL INVESTOR (CATEGORY B) ASSESSMENT FORM 專業投資者 (B類) 評核表

PART A - Asset Adequacy Test 第一部分. 資產充足率評估

Pursuant to the requirements under Section 3 of the Securities and Futures (Professional Investor) Rules ("PI Rules") (Cap571D), please confirm that you are a Professional Investor within one of the following groups (please select one only and submit the supporting documents for further processing):

根據《證券及期貨條例》(第571D章)《證券及期貨(專業投資者)規則》(「專業投資者規則」)第3條所列的條件,請閣下/貴公司確認,閣下/貴公司屬於以下其中一個組別(只可選擇一項,並請提交相關證明文件)。

Professional Investor Type 專業投資者類別	Criteria and Supporting Document(s) 準則和有關證明文件
<input type="radio"/> Individual - An individual, either alone or with any of his or her associates (spouse or any child of the individual) within a joint account 個人 - 單獨或聯同其有聯繫者 (配偶或其子女) 擁有一個聯名帳戶	<input checked="" type="radio"/> Has a portfolio [#] of not less than HK\$ 8 million or equivalent in any foreign currency at the relevant date 在有關日期擁有不少於港幣 \$8,000,000 或等值外幣的投資組合 [#] 。 <input type="radio"/> A certification issued by an auditor or a certified public accountant of the individual within 12 months before the relevant date 由核數師或註冊會計師於最近 12 個月內發出的證明檔; 或 <input type="radio"/> One or more custodian statements issued to the individual (either alone or with associates) within 12 months before the relevant date 客戶的個人或與其有聯繫者開立的聯名帳戶, 於最近 12 個月內的戶口結單 (可提交多於一份, 以證明總資產值達標)
<input type="radio"/> Corporation/ Partnership 法團或合夥人	<input checked="" type="radio"/> Has a portfolio [#] of not less than HK\$ 8 million or equivalent in any foreign currency at the relevant date, OR Total assets of not less than HK\$40 million or equivalent in any foreign currency at the relevant date 在有關日期擁有不少於港幣 \$8,000,000 元或等值外幣的投資組合 [#] ; 或在有關日期的總資產, 不少於港幣 \$40,000,000 元或等值外幣。 <input type="radio"/> Most recent audited financial statement prepared in respect of the corporation or partnership and within 16 months before the relevant date; or 由該法團或合夥的核數師於最近 16 個月內發出的經審計財務報表; 或 <input type="radio"/> One or more custodian statements issued to the corporation or partnership within 12 months before the relevant date 該法團或合夥於最近 12 個月內的戶口結單 (可提交多於一份, 以證明總資產值達標)
<input type="radio"/> Trust Corporation - Trust corporation having been entrusted under the trust or trusts of which it acts as a trustee 信託法團 - 信託法團作為信託的信託人	<input checked="" type="radio"/> Trustee with total assets not less than HK\$40 million or equivalent in any foreign currency at the relevant date 在有關日期的總資產, 不少於港幣 \$40,000,000 元或等值外幣。 <input type="radio"/> Most recent audited financial statement prepared in respect of the trust corporation and within 16 months before the relevant date; or 由該信託法團的核數師於最近 16 個月內發出的經審計財務報表; 或 <input type="radio"/> One or more custodian statements issued to the trust corporation within 12 months before the relevant date 該信託法團於最近 12 個月內的戶口結單 (可提交多於一份, 以證明總資產值達標)
<input type="radio"/> Other Corporation - Any corporation, the sole business of which is to hold investments, and which at the relevant date is wholly owned by one or more of those Individuals or Corporation/Partnerships or Trust Corporations as mentioned above 其他法團 - 任何以持有投資項目作唯一業務的法團, 而該法團是由一位或多於一位就以上所述的专业投資者的個人、法團 / 合夥或信託法團全資擁有的	<input checked="" type="radio"/> Trustee with total assets not less than HK\$40 million or equivalent in any foreign currency at the relevant date 在有關日期的總資產, 不少於港幣 \$40,000,000 元或等值外幣。 <input type="radio"/> Information to prove that the corporation is wholly owned by one or more of those Individual or Corporation/Partnership or Trust Corporation 能夠顯示該法團由一位或多於一位個人、法團 / 合夥或信託法團全資擁有的證明檔

[#] Portfolio includes Cash*, certificate of deposit and/or Securities**.

* Cash includes current/ savings deposits, time deposits, structured deposits, etc.

** Securities include stocks, bonds, debentures, notes, funds, warrants, options and other instruments defined as securities by the SFO.

[#] 投資組合包括現金*/存款證及/或證券**。

* 現金包括往來/儲蓄存款、定期存款、結構性存款等。

** 證券包括股票、債券、債權、票據、基金、高輪、期權等其他根據證券和期貨條例定義的產品。

PROFESSIONAL INVESTOR (CATEGORY B) ASSESSMENT FORM 專業投資者 (B類) 評核表

PART B - Investment Experience 第二部分. 投資經驗

Pursuant to the requirements under Paragraph 15.3 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission (the "Code"), China International Securities Limited ("CIS") is required to assess clients' knowledge, expertise and investment experience before waiving certain requirements under the Code. Please answer the following questions for our assessment (and state the relevant market(s) for each of the product(s) selected):

根據證券及期貨事務監察委員會《持牌人或註冊人操守準則》(「操守準則」)第 15.3 段所列的要求, 在接納客戶成為專業投資者, 並對其放寬某些特定條件前, 中國國際證券有限公司 (下稱「CIS」) 應評估及合理地信納該客戶對有關產品及市場有豐富的認識及具備足夠的專業知識。故此, 請回答下列問題, 以便 CIS 能夠作出合理的評估 (並同時在你選取的產品列出相關市場名稱)。

<p>Q1. Do you have experience dealing for at least two years in the relevant markets? (Please provide supporting documents)</p> <p>Q2. Have you entered into not less than forty investment transactions in the past year?</p> <p>Q3. Do you have knowledge and expertise in the relevant product(s)?</p> <p>Q4. If your answer to Q3 is yes, How did you acquire the knowledge and expertise in the relevant product?</p> <p>(a) I am currently working or have previously worked in the relevant financial sector for at least one year in a professional position that involves the relevant product</p> <p>(b) I have undergone training or studied courses which are related to the relevant product?</p> <p>(c) Others (Please specify):</p> <p>Q5. Are you aware of the risks involved in trading in the relevant product(s) and market(s)?</p>	<p>Q1. 閣下 / 貴公司在相關市場上, 是否已活躍地進行交易不少於 2 年 (請提供證明文件)?</p> <p>Q2. 閣下 / 貴公司於過去一年內, 是否已進行不少於 40 宗交易?</p> <p>Q3. 閣下 / 貴公司是否擁有對有關產品的認識和專業知識?</p> <p>Q4. 如第三條答案為「是」, 請問 閣下 / 貴公司如何獲得有關產品的認識和專業知識?</p> <p>(a) 閣下 / 貴公司現時或過去曾從事相關金融行業, 並就有關產品任職至少 1 年</p> <p>(b) 曾接受有關衍生產品性質和風險的一般知識培訓或修讀相關課程</p> <p>(c) 其他 (請列明):</p> <p>Q5. 閣下 / 貴公司是否對在相關市場進行交易所涉及的風險有所認知?</p>
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Product	Relevant Markets	Answers to Q1-5
<input type="radio"/> Equity Securities 股本證券		Q1. <input type="radio"/> Yes有 <input type="radio"/> No 沒有 Q2. <input type="radio"/> Yes有 <input type="radio"/> No 沒有 Q3. <input type="radio"/> Yes有 <input type="radio"/> No 沒有 Q4. <input type="radio"/> (a) <input type="radio"/> (b) Q5. <input type="radio"/> Yes有 <input type="radio"/> No 沒有 <input type="radio"/> (c) _____
<input type="radio"/> Futures and Options 期貨、期貨期權		Q1. <input type="radio"/> Yes有 <input type="radio"/> No 沒有 Q2. <input type="radio"/> Yes有 <input type="radio"/> No 沒有 Q3. <input type="radio"/> Yes有 <input type="radio"/> No 沒有 Q4. <input type="radio"/> (a) <input type="radio"/> (b) Q5. <input type="radio"/> Yes有 <input type="radio"/> No 沒有 <input type="radio"/> (c) _____
<input type="radio"/> Warrants, CBBC and Stock Options 認股權證、牛熊證及股票期權		Q1. <input type="radio"/> Yes有 <input type="radio"/> No 沒有 Q2. <input type="radio"/> Yes有 <input type="radio"/> No 沒有 Q3. <input type="radio"/> Yes有 <input type="radio"/> No 沒有 Q4. <input type="radio"/> (a) <input type="radio"/> (b) Q5. <input type="radio"/> Yes有 <input type="radio"/> No 沒有 <input type="radio"/> (c) _____
<input type="radio"/> Fixed income securities (e.g. Bonds, convertible bonds) 固定收益證券 (如債券、轉換債)		Q1. <input type="radio"/> Yes有 <input type="radio"/> No 沒有 Q2. <input type="radio"/> Yes有 <input type="radio"/> No 沒有 Q3. <input type="radio"/> Yes有 <input type="radio"/> No 沒有 Q4. <input type="radio"/> (a) <input type="radio"/> (b) Q5. <input type="radio"/> Yes有 <input type="radio"/> No 沒有 <input type="radio"/> (c) _____
<input type="radio"/> Mutual funds/ Unit Trusts 互惠基金 / 單位信託		Q1. <input type="radio"/> Yes有 <input type="radio"/> No 沒有 Q2. <input type="radio"/> Yes有 <input type="radio"/> No 沒有 Q3. <input type="radio"/> Yes有 <input type="radio"/> No 沒有 Q4. <input type="radio"/> (a) <input type="radio"/> (b) Q5. <input type="radio"/> Yes有 <input type="radio"/> No 沒有 <input type="radio"/> (c) _____
<input type="radio"/> Structured products (Equity Linked Deposit/Note, Currency Linked Deposit, etc.) 結構性投資產品 (股票掛鉤存款 / 票據, 貨幣掛鉤存款等)		Q1. <input type="radio"/> Yes有 <input type="radio"/> No 沒有 Q2. <input type="radio"/> Yes有 <input type="radio"/> No 沒有 Q3. <input type="radio"/> Yes有 <input type="radio"/> No 沒有 Q4. <input type="radio"/> (a) <input type="radio"/> (b) Q5. <input type="radio"/> Yes有 <input type="radio"/> No 沒有 <input type="radio"/> (c) _____
<input type="radio"/> Others (please specify): 其他 (請列明):		Q1. <input type="radio"/> Yes有 <input type="radio"/> No 沒有 Q2. <input type="radio"/> Yes有 <input type="radio"/> No 沒有 Q3. <input type="radio"/> Yes有 <input type="radio"/> No 沒有 Q4. <input type="radio"/> (a) <input type="radio"/> (b) Q5. <input type="radio"/> Yes有 <input type="radio"/> No 沒有 <input type="radio"/> (c) _____

If CIS solicits the sale of or recommends any financial product to you, the financial product must be reasonably suitable for you having regard to your financial situation, investment experience and investment objectives. No other provision of this agreement or any other document CIS may ask you to sign and no statement CIS may ask you to make derogates from this clause.

假如CIS向閣下/貴公司招攬銷售或建議任何金融產品, 該金融產品必須是CIS經考慮閣下的財政狀況、投資經驗及投資目標後而認為合理地適合閣下/貴公司的。本協議的其他條文或任何其他我們可能要求閣下/貴公司簽署的文件及我們可能要求閣下/貴公司作出的聲明概不會減損本條款效力。

PROFESSIONAL INVESTOR (CATEGORY B) ASSESSMENT FORM 專業投資者 (B類) 評核表**PART C – Client Consent for Treatment as a Professional Investor 第三部分. 客戶同意被視作專業投資者****To: China International Securities Limited ("CIS")****致：中國國際證券有限公司****Consent to be treated as a Professional Investor**

I/We, confirm the assessment results above provided by me/us are true, complete and accurate, and consent that CIS are to classify me/us as a Professional Investor pursuant to Paragraph (j) of the definition of professional investor in section 1 of Part 1 of Schedule 1 of the Securities and Futures Ordinance (Cap. 571), section 3 of the PI Rules and Paragraph 15.2B of the Code.

同意被視作專業投資者

本人/吾等, 確認以上本人/吾等填寫的評核結果是真實、完整及準確, 及同意 CIS 根據《證券及期貨條例》(第 571 章)附表 1 第 1 部專業投資者定義的第(j)段, 《證券及期貨(專業投資者)規則》第 3 條及操守準則的第 15.2B 段視本人/吾等為專業投資者。

Risks and Consequences of being treated as a Professional Investor

I/We have been advised by a licensed representative(s) of CIS, and fully understand the risks and consequences of being treated as a Professional Investor as described below.

被視作專業投資者的風險及後果

CIS 的持牌代表已向本人/吾等解釋, 並完全明白下列有關被視作專業投資者可能出現的風險及後果。

Client Agreement

CIS will not require to enter into a written client agreement with me/us in respect of the services to be provided to me/us although any agreement that CIS has with me/us remains in force and effect unless I/we are otherwise advise, nor provide me/us with either written or verbal risk warnings or risk disclosure statements required by the Code in respect of the risks involved in any transactions CIS enter into with me/us or to bring those risks to my/our attention.

客戶協議書

CIS 將不需就向本人/吾等提供之服務與本人/吾等訂立書面協議, 但若 CIS 與本人/吾等有任何協定, 此協定仍然生效直至本人/吾等另作要求, CIS 也不需就本人/吾等有意進行之交易提供書面或口頭的風險警告或操守準則要求提供的風險披露聲明或使本人/吾等注意到有關的風險。

Discretionary Account

CIS will not be required to obtain from me/us written authorization prior to effecting transactions for me/us on a discretionary basis nor to comply with the requirement to explain to me/us the terms of any such written authorization or renew it on an annual basis.

委託帳戶

在為本人/吾等進行未經本人/吾等特定授權的交易之前, CIS 將毋須取得本人/吾等的書面授權; 亦毋須向本人/吾等解釋該項授權, 及該項授權不須每年確認一次。

Information for clients

CIS will not be required to:

- (a) Inform me/us about CIS or the identity or status of CIS's employees or others acting on behalf of CIS; or
- (b) Confirm to me/us promptly the essential features of a transaction after effecting a transaction for me/us; or
- (c) Provide me/us with any documentation on the Nasdaq-Amex Pilot Program.

為客戶提供資料

CIS 將毋須:

- (a) 向本人/吾等提供有關 CIS 及代表 CIS 的僱員和其他人士的身分和受僱狀況的資料; 及
- (b) 在為本人/吾等進行交易後, 盡快向本人/吾等確認有關該宗交易的重點; 及
- (c) 向本人/吾等提供關於納斯達克-美國證券交易所試驗計劃的資料文件。

Investor Characterization

CIS will not be required to assess my/our knowledge of derivatives and characterize me/us based on my/our knowledge of derivatives.

投資者分類

CIS 將毋須評估本人/吾等對衍生產品的認識, 並根據本人/吾等對衍生產品的知識將本人/吾等分類。

Disclosure of sales related information prior to or at a point of distributing an investment product to me/us

CIS will not be required to:

Deliver to me/us information such as (a) the capacity in which CIS is acting; (b) affiliation of CIS with the product issuer; (c) disclosure of monetary and non-monetary benefits and (d) terms and conditions in generic terms under which clients may receive a discount of fees and charges from CIS.

在進行投資產品的銷售時或銷售前, 披露銷售相關資料

CIS 將不須要向本人/吾等提供下述資料, 包括:

- (a) CIS 是以何種身份行事;
- (b) CIS 與產品發行商的關聯;
- (c) 披露有關金錢及非金錢收益的資料; 及
- (d) 概括地說明 CIS 向客戶提供費用及收費折扣的條款及細則。

PROFESSIONAL INVESTOR (CATEGORY B) ASSESSMENT FORM 專業投資者 (B類) 評核表

PART C – Client Consent for Treatment as a Professional Investor 第三部分. 客戶同意被視作專業投資者

Contract Notes, Statements of Account and Receipts

CIS will not be required to:

Provide me/us with contract notes, statements of account or receipts in accordance with the Securities and Futures (Contract Notes, Statements of Account and Receipts) Rules, unless I/we notify CIS otherwise in writing.

成交單據、戶口結單及收據

本人/吾等明白：

除非本人/吾等向 CIS 作出指示，CIS 是不需要按《證券及期貨(成交單據、戶口結單及收據)規則》內規定之方式向本人/吾等提供成交單據、戶口結單或收據。

Risk of being treated as a Professional Investor

I/We understand that I/we may be exposed to substantial risks in being treated as a professional investor as described above, including where applicable, the following risks:

- (a) As CIS is not required to establish my/our financial situation, investment experience or investment objectives, CIS may not be in a position to assess the suitability of any particular investment for me/us or any investment decision that I/we may make. I/We will bear full responsibility for all investments and investment decisions that I/we make and CIS will incur no liability whatsoever in connection therewith.
- (b) As CIS is not required to confirm to me/us promptly the essential features of a transaction CIS effects on my/our behalf or provide me/us with regular statements of account, I/we face the risk of not knowing fully and/or on a timely basis the status or terms of my/our investments or the transactions which I/we may have entered into or my/our financial exposure arising therefrom.
- (c) As CIS is not required to assess my/our knowledge of derivatives and characterize me/us based on my/our knowledge of derivatives, I/we will bear full responsibility for being classified as a client with derivative knowledge as defined under the Code.
- (d) As CIS will be exempted by the Code from making disclosure on certain sales related information to me/us during the sale process, I/we will face the risk of not being informed of such information prior to, or at the point of, sale of such investment product(s).

I/We acknowledge that the above risk disclosure statements cannot and do not purport to disclose all the risks associated with being treated as a professional investor as described above. CIS also advised me/us to carefully consider the risks and consequences of such treatment in the light of my/our own experience, objectives and financial resources and other relevant circumstances.

被視為「專業投資者」之相關風險及影響

本人/吾等明白被視為上述之「專業投資者」後，本人/吾等可能面對大量風險，包括以下之風險（如適用）：

- (a) 由於CIS並不須要確立本人/吾等的財政狀況、投資經驗和投資目標，因此CIS可能不適合評估任何本人/吾等對某種投資，或由本人/吾等可能作出的投資決定的合適性。本人/吾等將對本人/吾等的投資及所作出的投資決定，承擔全部責任，CIS無須對任何有關的情況負責。
- (b) 由於CIS並不須要向本人/吾等儘快確認代本人/吾等執行的交易的重點，或提供定期帳戶結單，本人/吾等將會面對不能完全及/或及時地瞭解本人/吾等可能進行之投資或交易的情況或條款的風險，或因此而引起之財務風險。
- (c) 由於CIS並不須要評估本人/吾等對衍生工具的認識，及根據本人/吾等對衍生工具的認識將之分類，本人/吾等將承擔在操守準則定義下被界定為具有衍生工具知識的客戶的全部責任。
- (d) 由於CIS將獲操守準則豁免在銷售過程中向本人/吾等披露某些特定的銷售相關資料，本人/吾等將面對在進行投資產品交易之前或之時不會被知會該些銷售相關資料的風險。

本人/吾等確認以上之風險披露聲明不能及並不旨在披露所有上述被視為專業投資者的相關風險。CIS已根據本人/吾等的經驗、目標、財政資源及其它有關的情況，建議本人/吾等仔細考慮有關待遇的風險及後果。

Right to withdraw from being treated as a Professional Investor

I/We understand that I/we have the right, at any time, in respect of all investment products and/or markets or any part thereof on giving a written notice of not less than 5 business days to CIS to object to being treated as a professional investor as described above and request to withdraw from being so treated.

I/We agree that unless and until CIS receives from me/us written notification of my/our objection and withdrawal, CIS will be entitled to treat me/us as a professional investor as described above with its attendant risks and consequences. Any request by me/us to withdraw from being treated as a professional investor shall be without prejudice to and shall not affect the provision of any services rendered to me/us on the basis that I am/ we are a professional investor prior to such withdrawal taking effect.

I/We undertake to notify CIS if I/we become aware of any change in my/our financial conditions that may affect my/our eligibility for being classified as a professional investor.

撤回被視為專業投資者的權利

本人/吾等明白本人/吾等有權在任何時候，就所有投資產品及/或市場或其他原因給予CIS不少於5個工作日的書面通知以反對被視為專業投資者及要求撤回專業投資者的資格。

本人/吾等同意除非及直至CIS收到本人/吾等有關的反對及撤回資格之書面通知，CIS有權將本人/吾等視為專業投資者及本人/吾等將承擔相關的風險及後果。有關任何本人/吾等撤回專業投資者資格的要求，在該撤回要求生效前，均不會妨礙及影響CIS向本人/吾等提供的服務。

本人/吾等承諾會通知CIS有關本人/吾等之可能構成影響符合被視為專業投資者資格的財政狀況變化。

PROFESSIONAL INVESTOR (CATEGORY B) ASSESSMENT FORM 專業投資者 (B類) 評核表

PART C - Client Consent for Treatment as a Professional Investor 第三部分. 客戶同意被視作專業投資者

Date: Year 年 Month 月 Day 日
日期:

Client's Name/
Authorized Person :
客戶 / 授權人名稱:

Company Name :
公司名稱:

Client's Signature / Company Chop & Authorized Signatory
客戶簽署 / 公司蓋章及授權人簽署

.....
(The part below is only applicable to Joint Account)
(以下部分僅適用於聯名賬戶)

Joint Account Holder
Name
聯名客戶姓名

Company Name :
公司名稱:

Joint Account Holder Client Signature
聯名客戶簽署

AUTHORISED PERSON 獲授權人士

The following items are ONLY applicable to Authorised Person(s)
可下項目只適用於獲授權人

☐ Applicable 適用

☐ Not Applicable 不適用

The person below (an "Authorised Person"), as appointed in the Board Resolutions, is authorised to give instruction, to operate and/or to trade on behalf of the Corporate Account.
按董事局決議記錄，以下人士（「獲授權人」），獲授權代表本公司指示、操作帳戶 / 或進行交易。

Authorised Role(s)
獲授權範圍

☐ (a) Place Orders
證券買賣

and 及
/ or 或

☐ (b) Authorised Signatory
簽署與帳戶操作相關的指示

Contact Priority
聯絡人次序

Rank
第

位

Signing
Arrangement
簽署安排

According to the Board Resolution, Authorised Person(s) may operate the account as specified below:
根據董事局決議記錄，獲授權人士可按以下簽署安排代表本公司操作帳戶：

Total No. of Signatories
授權簽署數目

No. of Signatures Required
所需簽署

Special signing arrangement (if any)
特定簽署安排(如有)

☐ Certified true copy of Board Resolution(s) for appointment of
Authorised Person(s) and signing arrangement are attached.
已附上董事局決議記錄委任獲授權人士操作帳戶及有關簽署安排之文本。

AUTHORISED PERSON 獲授權人士

First Applicant 第一申請人 / Second Applicant 第二申請人

I (the Client) hereby agree and appoint the following person as the Authorised Person. All account(s) maintained by the Client can be operated on the instructions of the Authorised Person. I (the Client) hereby declare that I (the Client) shall be fully responsible for any instructions given or purported to be given by the Authorised Person (including but not limited to verbal instructions or written instructions), and shall fully indemnify CIS against all damages, losses, costs and expenses whatsoever incurred as a result of any act, inactivity or omission by the Authorised Person.

本人(客戶)謹此委任下列人士作為獲授權人士。客戶持有之所有帳戶可根據獲授權人士之指示運作。本人(客戶)茲聲明對由獲授權人士或聲稱為獲授權人士所發出之任何指示(包括但不限於口頭指示或書面指示)承擔全部責任，並會就中國國際證券因該等獲授權人士之任何行為，不作為或遺漏而引致的一切賠償、損失、費用及開支向中國國際證券作出全部彌償。

After signing in the signature column herein below, it is indicated that I (the Authorised Person) accept the above mentioned Client's authorisation to become its Authorised Person. I (the Authorised Person) hereby agree that I (the Authorised Person) shall be fully responsible for all the liabilities arising from the Client's relevant account(s) with CIS and shall fully indemnify CIS against all damages, losses, costs and expenses whatsoever incurred as a result of any act, inactivity or omission of the Client and/or myself.

當本人(獲授權人士)於下列簽署欄內簽署後，即表示同意接受客戶的授權成為其獲授權人士，並同意承擔客戶之帳戶內之一切責任，亦須就中國國際證券因客戶及 / 或本人之任何行為，不作為或遺漏而引致的一切賠償、損失、費用及開支向中國國際證券及作出全部彌償。

Name of Authorised Person 獲授權人士姓名

Passport No. 護照號碼/ HKID 香港身份

Relationship between Authorised Person and Client 客戶與獲授權人士之關係

Contact No 聯絡電話

Accepted and Signed by Authorised Person
獲授權人士接納和簽署

Confirmed and Signed by Client
由客戶確認及簽署

CLIENT'S DECLARATION, CONFIRMATION AND AGREEMENT 客戶聲明、確認及協議**Corporate Applicant 公司申請**

1. I/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).

I/we certify that I/we am the account holder and that I/ we am authorised to sign for the account holder of all the account(s) to which this form relates.

I/we undertake to advise CIS of any change in circumstances which affects the tax residency status of the individual identified in this form or causes the information contained herein to become incorrect, and to provide CIS with a suitably updated Self-Certification Form within 30 days of such change in circumstances.

I/we declare that the information given and statements made in this form are, to the best of my/our knowledge and belief, true, correct and complete.

本人知悉及同意，財務機構可根據《稅務條例》（第112章）有關交換財務帳戶資料的法律條文，（a）收集本表格所載資料並可備存作自動交換財務帳戶資料用途及（b）把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人 / 本人獲帳戶持有人授權簽署本表格。

本人承諾，如情況有所改變，以致影響本表格第1部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知中國國際證券，並會在情況發生改變後30日內，向中國國際證券提交一份已適當更新的自我證明表格。

本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

2. The Client(s) authorise(s) to open accounts ("Account") with CIS, and is bounded by the Account Opening Form, Client Services Agreement and Risk Disclosure, and all the provisions of the rules and guidelines promulgated by CIS from time to time (collectively referred to as "All The Terms"). All The Terms have been published at www.ci-sec.com.

The Client(s) has already been advised by CIS to seek independent legal advice for All The Terms. The Client(s) agrees that CIS can request the Client(s) to sign any documents as required under the above said terms and conditions.

Before opening the Account with CIS, the Client(s) has fully read and understood the contents of All The Terms and the Client(s) agrees, accepts and confirms all its provisions, and agrees and accepts to be bound by All The Terms.

The Client(s) acknowledge(s) receipt of a copy of the Client Agreement and Risk Disclosure Statement.

客戶同意遵守開戶表格、客戶服務協議及風險披露之相關章數的所有條款及條件及其他由中國國際證券不時發出之守則及指引內之所有條款及條件（統稱「該等條款」）開立此開戶表格所列出的帳戶（「帳戶」）。該等條款亦已刊載於www.ci-sec.com。

中國國際證券已經建議客戶對上述之該等條款尋求獨立法律意見。客戶同意中國國際證券有權要求客戶簽署相關文件就上述有關條款的要求。

客戶於開立帳戶前已經細閱及完全明白所有該等條款之內容，客戶並同意、接受及確認該等條款內所有條款及條件，並同意及接納受該等條款的約束。

客戶確認已收訖一份客戶服務協議及風險披露。

3. The Client(s) warrant(s) that the information set out in the Account Opening Form are true, accurate, complete and that CIS is entitled to rely fully on such information to act on the Client(s) behalf unless and until CIS receive notice of any change from the Client(s) in accordance with the provisions of the Agreement. The Client(s) undertake(s) to advise CIS promptly of any material change to such information.

客戶(等)保證客戶開戶資料內所載資料均屬真實，正確，及完整，中國國際證券在未收到客戶(等)據客戶協議規定發出的資料變更通知前，中國國際證券有權依據該等資料行事，若該等資料有變更，客戶(等)即儘快通知中國國際證券。

4. The Client(s) confirm that the individuals listed in the Account Opening Form and/or Authorised Persons are authorised on the Client(s) behalf to give CIS oral, telephone or written instructions to the operation of the Account and to effect purchases, sales, holdings and other dealings in securities and transfer of funds.

客戶(等)確認在開戶資料中所列舉之人士為已獲客戶(等)授權之人士，有權代表客戶(等)以口頭、電話或書面就上述事宜發出指示：對於帳戶之運作；及就買賣、保管或處理證券及資金的轉移。

5. The Client(s) agree(s) that all confirmations and statements in relation to the Account issued by CIS to client(s) pursuant to the Agreement shall be conclusive and binding on client(s).

客戶(等)同意有關帳戶項下之一切確認書及結單將對客戶(等)有絕對約束力。

6. In the event that there is any inconsistency between the English version and the Chinese version of All The Terms, the English version shall prevail. The English version has already been set out in full and may be downloaded from www.ci-sec.com.

該等條款之中文版本及英文版本如有任何歧義，概以英文版本為準。英文版本已經於www.ci-sec.com完整地列出及予以下載。

7. The Client(s) declare(s) that the contents of the Account Opening Form, Client Services Agreement and Risk Disclosure have been duly explained to the Client(s) in a language (English or Chinese) that the Client(s) understands and the Client(s) agrees to be bound by the provisions thereof. The Client(s) understand that the provisions of terms and conditions, including any amendment(s) and/or supplement(s) will be made from time to time at www.ci-sec.com, by email or by post, and it is the duty and responsibility of the Client(s) to read and understand the updated information. The Client(s) acknowledge(s) and accept(s) that such amendment(s) and supplement(s) shall be binding.

客戶（等）在此聲明此開戶資料，客戶服務協議及風險披露之內容已經向客戶（等）以其明瞭之語言（英文或中文）解釋，客戶（等）並同意接受該等條款及內容之約束。客戶（等）在此同意及接受中國國際證券之所有條款及條例不時作出的任何修改。客戶（等）聲明會有責任閱讀及全面瞭解該等說明書，並會定期審閱該等說明書，以便及時取得任何修訂的通知。客戶進一步確認該等說明書及修訂事宜對其具約束力。

The Client(s) acknowledge(s) that the Client Services Agreement and Risk Disclosure was/were provided in a language of the Client(s)' own choice (English or Chinese), the Client(s) also was/were invited to read the Risk Disclosure Statement, to ask questions and take independent advice if the Client(s) wish(es).

客戶確認已按照客戶選擇的語言（英文或中文）獲得客戶服務協議及風險披露，並已獲邀閱讀相關風險披露聲明、提出問題及徵求獨立的意見（如客戶有此意願）。

CLIENT’S DECLARATION, CONFIRMATION AND AGREEMENT 客戶聲明、確認及協議

Corporate Applicant 公司申請

Company Name
公司名稱

Date
日期

Year 年 Month 月 Day 日

Corporate Applicant (Corporate Account) 申請公司 (公司帳戶)

Director’s Signature(s) and Company Chop 董事簽署及公司印章

WITNESS CONFIRMATION SIGNATURE 見證人確認及簽署

Corporate Applicant 公司申請

Name of Witness
見證人姓名Organization Name
機構名稱Contact
聯絡Occupation
職位

- ① Acceptable witness can be a CIS licensed representative, a SFC licensed or registered person, a Justice of Peace, or a professional person (such as a branch manager of a licensed bank, lawyer, certified public accountant (practicing), chartered secretary or notary public).
認可的見證人包括中國國際證券持牌代表、證監會持牌或註冊人士、太平紳士、專業人士(如持牌銀行分行經理、律師、執業會計師、特許秘書、公證人等)。
- ② The witness also needs to sign and state "Certified True Copy" on your official ID / passport cop(ies).
見證人另須於申請人及實益擁有人(如適用) 的身份證明文件副本上簽名並寫上「經核證之真實副本」。

Witness Signature 見證人簽署

IDENTITY CONFIRMATION BY CHEQUE 支票身份核實

Corporate Applicant 公司申請

Cheque Amount
支票數額Cheque Number
支票號碼

- ① The cheque(s) attached must be :
- issued from the Client's account with a licensed bank in Hong Kong and bear the Client's name;
 - signed with the Client's signature that is the same as in this application form;
 - made payable to "China International Securities Limited"; and
 - for minimum amount of HKD 10,000.
- Your CIS account will be activated when the cheque is cleared. The funds of the cheque will be credited to your CIS account for securities trading.
- 連同申請表格附上的個人支票必須：
- 由申請人的帳戶發出（該帳戶須於香港持牌銀行開設），並列印有申請人姓名；
 - 支票只載有申請人的簽名(簽名須與本開戶表格的簽署相同)；
 - 抬頭寫上「中國國際證券有限公司」；及
 - 數額不少於 10,000 港元。
- 待有關支票兌現後，閣下的中國國際證券帳戶便會啟動生效。支票金額會存入到閣下的中國國際證券帳戶用作證券交易。

DECLARATION BY STAFF 職員聲明

I, a licensed or registered person, declare that I have provided the above Client(s) with a copy of the Risk Disclosure Statement in a language of the Client's choice (English or Chinese) and invited the Client to read the Risk Disclosure Statement referred to in the Client Services Agreement, ask questions and take independent advice if the Client(s) so wish(es).

本人，以註冊身份，確認本人已按照上述客戶所選擇的語言(英文或中文) 提供風險披露聲明及提示客戶閱讀客戶服務協議中的風險披露聲明、亦邀請客戶如有需要可以提出問題及徵求獨立的意見。

Name of Staff
職員姓名

CE Number
中央編號

Staff Signature 職員簽署

Date 日期

FOR OFFICIAL USE 供本行使用

Documents Handled and Checked by 處理及覆核文件		Applicant 申請公司	Witness 見證人
Complete and sign ALL sections in the account opening form 填寫及簽署開戶申請表格所有部份 Attach the following documents*: 附上以下文件* :		Obtained 取得	Certified 已核證
Org. Structure 組織架構	1. Shareholding (Ownership) Structure 股份 (擁有權) 結構 (Refer to Page 5 Ultimate Beneficiary 見第5頁最終實益擁有人) (Please contact us for document requirements 請聯絡我們查詢所須文件的詳情)	<input type="radio"/>	<input type="radio"/>
Company Registration 公司註冊記錄	For EACH of the companies under the organization structure (incl. the Corporate Applicant, all intermediate holding companies and the Ultimate Holding Company (if any)): 每間在「組織架構圖」上的公司 (包括申請公司、直接或間接擁有股份的公司股東及最終控股公司 (如有)) : 2. Certificate of Incorporation ("CI")[◇] ; and 「註冊成立證書」 ("CI") 副本[◇] ; 及 3. Memorandum & Articles of Associations ("M&A")[◇] 「公司組織章程大綱與細則」 副本[◇]	<input type="radio"/> <input type="radio"/>	<input type="radio"/> <input type="radio"/>
Board Resolution 董事局會議記錄	4. Board Resolution - for approving opening a CIS account ; and 董事局會議記錄 - 有關核證開設帳戶的申請 ; 及 5. Board Resolution - for appointment of Authorised Person(s) and signing arrangement 董事局會議記錄 - 有關委託授權人操作帳戶	<input type="radio"/> <input type="radio"/>	<input type="radio"/> <input type="radio"/>
Key Person's Information 主要人士料	For EACH of the key person(s) : 每位主要人士需提供 : 6. Completed "Particulars of Key Person(s)" ; and 已填寫「主要人士資料」 ; 及 7. Copy of Key Person's Official ID ; and 主要人士的身份證明文件 ; 及 8. Key Person's Proof of Residential Address ; and 主要人士的住址證明 ; 及 9. Completed and signed "Self-certification : Controlling Person" 已填寫及簽署「自我證明表格 : 控權人」	<input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/>	<input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/>
Company and directors records 董事及股東資料	For Hong Kong Incorporated Company 如屬香港註冊成立之公司 : 10. Business Registration Certificate[◇] ; and 「商業登記證」 副本[◇] ; 及 11. Latest Annual Return & subsequent form(s) filed with the H.K. Company Registry[◇] 已向香港公司註冊處遞交之「週年申報表」及 相關表格的副本[◇] For Non-Hong Kong Incorporated Company 如非香港註冊成立之公司 : 12. Certificate of Incumbency or (或) Registered Agents Certificate[◇] ; and (及) (issued within 6 months/ (須在最近叁個月內發出)) 13. Register of Directors[◇] ; and 「董事證書」[◇] (證明現任董事資料) ; 及 14. Register of Members[◇] 「股東證書」[◇] (證明現任董事資料)	<input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/>	<input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/>
Tax Residency 稅務居民身分	15. Completed and signed "Self-certification : Entity" 已填寫及簽署「自我證明表格 : 實體」	<input type="radio"/>	<input type="radio"/>
W-8BEN-E	16. Completed and signed "W-8BEN-E"	<input type="radio"/>	<input type="radio"/>

① Remarks 註 :

All the supporting documents (including Official ID copies of Key Person(s) and Guarantor) to be submitted with this form shall be signed by the Witness and stated as "Certified True Copy".
所有隨本表格遞交的文件 (包括主要人士及擔保人之身份證明文件副本) , 均須由見證人簽署並註明為「經核實次真實副本」

*Additional information and/or document(s) might be required for some type(s) / form(s) of incorporation.
根據不同的公司註冊屬性, 我們可能要求申請公司提供補充資料 / 或額外文件。

[◇]Not applicable to Director(s), Individual Shareholder(s) and the Beneficial Owner(s) of listed company, regulated financial institution, government/public body, regulated investment vehicle.
不適用於上市公司、受監管金融機構、政府或公共機關、受監管投資工具的董事、個人股東及實益擁有人說。

Name & Signature of Handling Staff 負責職員姓名及簽署

Name & Signature of Settlement Staff 交收部職員姓名及簽署

Date 日期