中信证券
CITIC SECURITIES

客戶資料表格 (公司戶口)
Customer Information Statement (Corporate Account)

中信証券經紀 (香港) 有限公司 ("中信証券經紀香港")
CITIC Securities Brokerage (HK) Limited ("CSBHK")
C.E. 編號：AAE 879

中信証券期貨 (香港) 有限公司 ("中信証券期貨香港")
CITIC Securities Futures (HK) Limited ("CSFHK")
C.E. 編號：AHR 752

證券帳戶號碼
Securities Account Number

☐ 股票期權賬戶
Stock Options Account

期貨帳戶號碼
Futures Account Number F

分行號碼
Branch Code_____

經紀號碼
A.E. Code_____

1. 戶口種類 Account Type

與中信証券經紀香港的證券交易戶口 Account (s) for Securities trading with CSBHK

客戶種類
Customer Type:

☐ 公司 / 機構
Corporate / Institution

☐ 有限合夥
Limited Partnership

☐ 獨立投資組合公司 "SPC"
Segregated Portfolio Company

☐ 開放式基金公司 "OFC"
Open-ended Fund Company

☐ 獨資
Sole Proprietorship

☐ 信託公司
Trust Corporation

☐ 基金
Fund

☐ 上市公司
Listed Company

戶口種類
Account Type:

☐ 現金戶口 (附託管服務)
Cash Account (with custody services)

☐ 現金戶口 (不附託管服務)
Cash Account (without custody services)

☐ 保証金戶口
Margin Account

與中信証券期貨香港的期貨及期權交易戶口 Account (s) for Futures and Options trading with CSFHK

客戶種類
Customer Type:

☐ 公司 / 機構
Corporate / Institution

☐ 有限合夥
Limited Partnership

☐ 獨立投資組合公司 "SPC"
Segregated Portfolio Company

☐ 開放式基金公司 "OFC"
Open-ended Fund Company

☐ 獨資
Sole Proprietorship

☐ 信託公司
Trust Corporation

☐ 基金
Fund

☐ 上市公司
Listed Company

戶口種類
Account Type:

☐ 期貨及指數期權戶口
Futures and Index Options Account

☐ 高淨值專業投資者
High Net Worth Professional Investor

☐ 經驗法團專業投資者
Experienced Corporate Professional Investor

☐ 受監管專業投資者
Regulated PI

2. 公司資料 Business Data

(英文 English)

公司名稱
Name of Company:

賬戶名稱備註 Account name remarks (英文 English)

(中文 Chinese)

賬戶名稱備註 Account name remarks (中文 Chinese)

於註冊 / 成立國家之註冊地址
Registered Address in Country of Incorporation / Establishment:

(室) (Suite)	(樓層) (Floor)	(座/大廈) (Block/Building)
(屋苑/街道) (Estate/Street)	(地區) (District)	(城市/省/州) (City/Province/State)
(國家) (Country)	(郵政編碼) (Post/ZIP Code)	(郵政信箱) (P.O./Letter Box)

現時營業地址
Business Address:

(室) (Suite)	(樓層) (Floor)	(座/大廈) (Block/Building)
(屋苑/街道) (Estate/Street)	(地區) (District)	(城市/省/州) (City/Province/State)
(國家) (Country)	(郵政編碼) (Post/ZIP Code)	(郵政信箱) (P.O./Letter Box)

通訊地址
Mailing Address:

(室) (Suite)	(樓層) (Floor)	(座/大廈) (Block/Building)
(屋苑/街道) (Estate/Street)	(地區) (District)	(城市/省/州) (City/Province/State)
(國家) (Country)	(郵政編碼) (Post/ZIP Code)	(郵政信箱) (P.O./Letter Box)

公司電話
Office Phone No.:
(國家區號 Country and Area Code)
( ) - ( ) -

流動電話號碼 Mobile No.:
(國家區號 Country and Area Code)
( ) - ( ) -

傳真號碼
Fax No.:
(國家區號 Country and Area Code)
( ) - ( ) -

如非特別註明，此電郵地址將會用作網上交易以及收取電子帳單
This email address will be registered for internet trading and electronic statement unless otherwise specified

電郵地址：(適用於網上交易及 / 或電子帳單服務)
Email Address: (For internet trading and / or electronic statement)

業務性質
Nature of Business:

(如是貿易公司，請註明貿易類別，例如電子 / 餐飲)
(Please specify type of business if trading company, e.g Electronics / Food)

經營業務年數
Years in the Business:

CSB-2026-5

Please provide relevant identity documents and fill in details in following descending order of priority[1].
請依照下列的優先排序依次提供相關身份證明文件，並填寫信息[1]。
Please put "N/A" if not applicable.
如不適用，請填上"N/A"。

(1)	Legal Entity Identifier registration document and No.: 全球法人機構識別編碼登記文件及號碼：	
(2)	Certificate of Incorporation and No.: (Please include prefix alphabet) 公司註冊證明書及號碼：(請把前面的英文字母一併填寫)	
(3)	Certificate of Business Registration and No.: 商業登記證及號碼：	Place of Issue of Business Registration Certificate: 商業登記證發出地：
(4)	Other equivalent identity document: 其他同等機構證明文件：	Name and no. of identity document: 機構證明文件名稱及號碼：

Country of Incorporation:
註冊國家：

Date of Incorporation:
註冊日期：

Location where Major Business is Operated:
主要業務營運地區：

3. 客戶常設交收銀行戶口指示 Bank Account Standing Instruction for Securities / Futures Account Settlement

(1) Default

銀行名稱 Bank Name: ☐ 匯豐 HSBC ☐ 恒生 Hang Seng ☐ 信銀(國際) CNCBI ☐ 中銀 BOC ☐ 其他 Other_____

貨幣種類 Currency Type: ☐ HKD ☐ USD ☐ CNY

帳戶號碼 Account No.: | | | | | | | | | | | | | | | | | | | | | | | | | | |

(2) Optional

銀行名稱 Bank Name: ☐ 匯豐 HSBC ☐ 恒生 Hang Seng ☐ 信銀(國際) CNCBI ☐ 中銀 BOC ☐ 其他 Other_____

貨幣種類 Currency Type: ☐ HKD ☐ USD ☐ CNY

帳戶號碼 Account No.: | | | | | | | | | | | | | | | | | | | | | | | | | | |

* 除非客戶於提款指示中指定另外之付款方式，由客戶證券 / 期貨戶口提取之款項將會存入以上之銀行戶口。
Unless the undersigned specifies other payment method in the funds withdrawal instruction, funds withdrawn from the undersigned's Securities / Futures Account(s) shall be paid into the above bank account of the undersigned.

* 請提供存摺副本或銀行結單副本以便證明。若副本上之戶口持有人姓名與客戶名稱不同，亦須填寫「每年常設指示 (付款予第三者)」。
Please provide copy of the passbook or copy of bank account statement as proof. If the Account Holder Name of the provided copy is different from the Client Name, please also complete the "Annual Standing Instruction (Payment to Third Party)".

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

最近期經核數師作實之稅後盈 / 虧
Profit / Loss after tax based on the latest audited account(s)

☐ HK$0 - HK$50萬 / 0.5Mil ☐ HK$50萬以上 / 0.5 Mil more - HK$3百萬 / 3 Mil
☐ HK$3百萬以上 / 3 Mil more - HK$5百萬 / 5 Mil ☐ HK$5百萬以上 / 5 Mil more - HK$3千萬 / 30 Mil
☐ HK$3千萬以上 / 30 Mil more 請註明 Please Specify _____

最近期經核數師作實之淨資產值
Net Asset Based on the latest audited account(s)

☐ ≤HK$1百萬 / 1 Mil ☐ HK$1百萬以上 / 1 Mil more - HK$1千萬 / 10 Mil
☐ HK$1千萬以上 / 10 Mil more - HK$4千萬 / 40 Mil ☐ HK$4千萬以上 / 40 Mil more - HK$1億 / 100 Mil
☐ >HK$1億以上 / 100 Mil more 請註明 Please Specify _____

資金來源
Source of Fund :

☐ 公司擁有者 Business Owner ☐ 銷售款項 Sales Proceeds ☐ 財務貸款 Financial Loan
☐ 其他 Others:_____
☐ 投資獲利 Investment Income
☐ 股票 Stocks_____ (年 years) ☐ 債券 Bonds_____ (年 years)
☐ 其他 Others: _____請註明 Please Specify and (年 years)

財產來源
Source of Wealth :

☐ 業務收益 Business Income ☐ 實益擁有人 / 合夥人投資 Investment by Ultimate Beneficial Owner / Partner
☐ 售出物業 / 資產 Sale of Property / Asset ☐ 集團內部融資 Intra-group Financing
☐ 其他 Others:_____
☐ 投資獲利 Investment Income
☐ 股票 Stocks_____ (年 years) ☐ 債券 Bonds_____ (年 years)
☐ 其他 Others: _____請註明 Please Specify and (年 years)

投資經驗
Investment Experiences :

☐ 香港上市證券 HK listed securities_____年 years ☐ 沒有 No
☐ 香港以外上市證券 Overseas listed securities_____年 years
☐ 香港期貨及期權 HK futures and options_____年 years
☐ 香港以外期貨及期權 Overseas futures and options_____年 years

投資目的
Investment Objective :

☐ 資本增長 Capital Appreciation ☐ 投機 Speculation ☐ 對沖 Hedging
☐ 賺取收入 Generating Income ☐ 套戥 Arbitrage

投資目標
Investment Target :

☐ 短期 (少於 3個月) Short Term (<3 months) ☐ 中期 (3 - 12個月) Medium Term (3 - 12 months)
☐ 長期 (1年以上) Long Term (>1 year)

預期交易活動 (年計)
Anticipated Level of Activity (Yearly) :

總交易金額 (港幣)
Total Transaction Amount (HKD): _____

Nature of Account 帳戶性質：

☐ Principal 並非委託人	
☐ Agent [Note1] 代表實際委託人的代理人[請注意1]	Are you placing orders on behalf of your underlying clients? 貴公司是否為貴公司相關客戶落盤? ☐ Yes [Note2] 是[請注意2] ☐ No 否

Note 1 請注意 1:
1. If you are an Asset Manager or trading on a discretionary basis for underlying funds/managed accounts, please tick "No".
   如果貴公司是有自主性的投資基金管理公司/管理專戶，請選 "否" 。
2. If you are a broker dealer type client e.g. a broker dealer or private bank i.e. you will place orders on behalf of your underlying clients, please tick "Yes".
   如果貴公司是證券經紀商或私人銀行，請選 "是" 。

Note 2 請注意 2:
・If you tick "Yes", you may be expected to provide underlying client information for regulatory inquiry purposes.
  如果貴公司選了 "是" ，於監管會的要求下，貴公司可能需要提供相關客戶的資料。

Are you a Relevant Regulated Intermediary ("RRI")*?
貴公司是否相關受規管中介人("RRI")*?

☐ Yes 是 ☐ No 否

*Bears same definition as stated in the document "SFC FAQ Definitions and Interpretation"

Are you an Exchange Participant ("EP")* or China Connect Exchange Participant ("CCEP")* ?
貴公司是否交易所參與者 ("EP")* 或 中華通交易所參與者 ("CCEP")* ?

☐ Yes 是 ☐ No 否

*Bears same definition as stated in the document "SFC FAQ Definitions and Interpretation"

5. 資料披露 Disclosure of Information

5.1 相關身份披露 Disclosure of identity

i. 貴公司之董事、合夥人或主要股東是否任何交易所、交易委員會、結算所、銀行或信託公司代理人、高級人員、員工；或任何引薦經紀的聯屬人；或任何證券經紀、期貨經紀或持牌法團的高級人員、合夥人、董事或員工?
Are your directors, partners or substantial shareholders an agent, officer or employee of any exchange, board of trade, clearing house, bank or trust company; or an affiliate of any introducing broker; or an officer, partner, director or employee of any securities broker, futures broker or licensed corporation?

☐ 否 No

☐ 是 (請詳述) Yes (Please provide details):

該人士的姓名 Name of the person _____ _____ _____

機構名稱 Name of the institution _____ _____ _____

貴公司及上列人士同意中信証券經紀香港或中信証券期貨香港可於提供任何服務給予貴公司前接觸上述人士並須得到該人士同意。Your Company and the above person(s) agree that CSBHK or CSFHK may approach the above person(s) to obtain its consent before providing any service to your Company.

ii. 貴公司之董事、合夥人或主要股東有沒有親屬於中信証券經紀香港或中信証券期貨香港工作
Do any of your directors, partners or substantial shareholders have relative(s) working in CSBHK or CSFHK:

☐ 沒有 No

☐ 有 (請詳述) Yes (Please provide details):

該人士的姓名 Name of the person	親屬名稱 Name of the relative	關係 Relationship

5.2 最終受益於交易及承擔風險人士 Person ultimately benefiting from the transactions and bearing the risks:

☐ 本公司 (本公司不是替第三者作為公司代理人處理帳戶) The Company (we are not acting as nominee company for a third party)

☐ 其他 (請詳述 / 提供附件) Others (Please provide details / supporting documents):

名稱 Name:	身份證 / 護照號碼 ID / Passport No.:
地址 Address: (郵編 Postal Code)	電話 Phone No.: ( ) -

5.3 最終負責發出指示的人士 Person ultimately responsible for originating instructions:

☐ 本公司 (本公司不是替第三者作為公司代理人處理帳戶) The Company (we are not acting as nominee company for a third party)

☐ 其他 (請詳述 / 提供附件) Others (Please provide details / supporting documents):

名稱 Name:	身份證 / 護照號碼 ID / Passport No.:
地址 Address: (郵編 Postal Code)	電話 Phone No.: ( ) -

5.4 關連客戶 Connected Client

適用於中信証券經紀香港的客戶 For customer of CSBHK only
請披露貴公司是否為中信証券經紀香港或其所屬集團的「關連客戶」(根據香港聯合交易所有限公司證券上市規則所定義) 及其詳情。
Please disclose whether your Company is a "connected client" (as defined under the Rules Governing the Listing of Securities of The Stock Exchange of Hong Kong Limited) of CSBHK or the group in which CSBHK is a member and if so, please provide the details.

☐ 否 No

☐ 是 (請詳述 / 提供附件) Others (Please provide details / supporting documents):

5.5 其他 Other

貴公司是否於香港以外地區，成立的公司客戶？Is your Company incorporated outside Hong Kong?

i. ☐ 是 - 請填寫法律文件接收人委任表格 Yes - please complete Process Agent appointment form ☐ 否 No

ii. 適用條款的管轄語文版本 Prevailing language version of the applicable Terms and Conditions

☐ 中文 Chinese ☐ 英文 English

6. 不記名股票聲明 Bearer Share Declaration

6.1 貴公司有發行不記名股票嗎？ Has your company issued any bearer shares? ☐有 Yes (請跳至問題 6.2 Please go to question 6.2) ☐沒有 No (請跳至問題 6.3 Please go to question 6.3)

6.2 請問不記名股票是否保存於保管人？ Is the bearer share deposited under a custodian? ☐是 Yes (請跳至問題 6.2(a) Please go to question 6.2(a)) ☐否 No (請跳至問題 6.2(b) Please go to question 6.2(b))

6.2(a) 請提供保管人的名稱。 Please provide the name of the custodian._____

(請保管人填寫不記名股票聲明書 Please ask your custodian to complete the Bearer Share Custodian Declaration Form)

6.2(b) 請提供不記名股票所佔的擁有權百分比及實益持有人名稱。 Please provide the percentage of bearer share ownership which constitute to the ownership of your company, and provide full name(s) of bearer share owner(s).

百分比 Percentage	實益持有人名稱 Beneficial Owner Full Name
_____	_____
_____	_____
_____	_____

6.3 請問貴公司是否能夠發行不記名股票？

Is your company capable of issuing bearer shares?

☐是 Yes (請在空格上加「✓」作出以下聲明。Please make the following declaration by ticking the box.)

☐否 No

聲明 Declaration:

☐ 如我 / 我們將來發行不記名股票，會盡快以書面通知中信証券經紀香港 / 中信証券期貨香港。

I / we will promptly provide written notification to CITIC Securities Brokerage (HK) Limited / CITIC Securities Futures (HK) Limited in case of the issuance of bearer shares.

7. 保証金戶口客戶資料披露 Margin Account Customer's Disclosure of Information

適用於中信証券經紀香港的保証金客戶 For Margin Account customer of CSBHK only

在中信証券香港其他關連的戶口 Any related account(s) maintained with CSBHK: ☐ 有 Yes (請詳述 Please provide details) ☐ 無 Nil

關係 Relationship:

1. 貴公司控制另一中信証券香港的公司保証金客戶的35%或以上的表決權。
   Your company is in control of 35% or more of the voting rights of another corporate margin client of CSBHK.
2. 另一中信証券香港的孖展客戶或公司保証金客戶控制貴公司35%或以上的表決權 (如該客戶為個人，則包括其配偶的表決權)。
   Another margin client or corporate margin client of CSBHK controls 35% or more of the voting rights of your company (if the other margin client is an individual, includes the voting rights of his / her spouse).
3. 貴公司與另一中信証券香港的公司保証金客戶均屬同一公司集團的成員。
   Your company and another corporate margin client of CSBHK are members of same group of companies.

戶口姓名 / 名稱 Name of Account	百分比 Percentage(%)	戶口號碼 Account No.	關係 Relationship
_____	_____	_____	☐ 1 ☐ 2 ☐ 3
_____	_____	_____	☐ 1 ☐ 2 ☐ 3
_____	_____	_____	☐ 1 ☐ 2 ☐ 3

8. 董事局委任決議書 (如適用) Board Resolution (if applicable)

The meeting is convened and held, and the voting process of the meeting is, in compliance with the applicable laws and regulations and the articles of association of the Company. The Chairman of the meeting is duly authorized to sign these meeting minutes in accordance with the Company's articles of association.

本次董事會會議的召集、召開、表決程式符合有關法律法規及本公司之公司章程的相關規定。本次董事會會議主席依據本公司的公司章程有權簽署本次董事會會議紀要。

公司名稱 Name of Company_____

本公司董事會在 Minutes of a Meeting of the Board of Directors of the Company held at

地址 Address _____

並於 on (日期 Date _____) 舉行的董事會會議紀錄。

出席人 (出席董事全名) _____

Present (Full name of Directors present) _____

缺席董事 (缺席董事全名) _____

Absent (Full name of Directors absent) _____

會議主席 Chairman of the meeting _____

通知書及法定人數 Notice and Quorum

有關通知已按要求發出，且與會人數符合會議法定人數的要求，主席宣佈會議有效。

The requisite notices having been given and a quorum being present, the Chairman declared the meeting duty constituted.

1. 授權簽署人 Signing Officer

茲決議本公司將於中信証券經紀 (香港) 有限公司 / 中信証券期貨 (香港) 有限公司開立證券交易 / 期貨交易帳號，並且授權下列人士為帳戶授權簽署人，即時生效。任何一位授權簽署人可代表本公司: (i) 簽署、簽訂及交付與帳戶相關之所有協議或文件; 及 (ii) 簽發指令從 / 向帳戶提取 / 轉帳任何資金、證券、抵押品或其他資產，及處理所有與帳戶結算相關之事宜。

It was resolved that with immediate effect a securities trading / futures trading account be opened with CITIC Securities Brokerage (HK) Limited / CITIC Securities Futures (HK) Limited and that the following person(s) is / are appointed as signing officer of the Company. Any one of the signing officers can act on behalf of the Company: (i) to sign, execute and deliver all agreements and documents in relations to the account; and (ii) to sign instruction to transfer / withdraw any money, securities, collateral or other property into or out of the account, and deal with all settlement matters in relation to the account.

姓名 Name	身份證號碼 / 護照號碼 I.D. / Passport No.	簽署式樣 Specimen	聯絡電話 Contact Phone No.	電郵地址 Email Address
			(國家區號 Country and Area Code) ( ) - ( ) -	
			(國家區號 Country and Area Code) ( ) - ( ) -	
			(國家區號 Country and Area Code) ( ) - ( ) -	
			(國家區號 Country and Area Code) ( ) - ( ) -	

2. 交易人 Trading Officer

茲決議下列人士被授權為本公司帳戶的交易人，並代表本公司進行買賣 (包括透過以口頭，電子、書面或其他方式) ，即時生效。
It was resolved that with immediate effect, the following person(s) is / are appointed as trading officer and authorized to give trading instructions (whether verbally, electronically, in writing or otherwise) for and on behalf of the Company:

姓名 Name	身份證號碼 / 護照號碼 I.D. / Passport No.	簽署式樣 Specimen	聯絡電話 Contact Phone No.	電郵地址 Email Address
			(國家區號 Country and Area Code) ( ) - ( ) -	
			(國家區號 Country and Area Code) ( ) - ( ) -	
			(國家區號 Country and Area Code) ( ) - ( ) -	
			(國家區號 Country and Area Code) ( ) - ( ) -	

商務私章式樣 (如適用) Company Chop Specimen (if applicable)

會議結束 END OF MEETING
沒有進一步的討論，主席宣佈會議結束。
There being no further business, the Chairman declared the meeting closed.

主席 Chairman

9. 客戶聲明 Customer's Declaration

1. 本公司保證上述資料為真實及正確，並授權中信証券經紀香港及 / 或中信証券期貨香港 (視屬何情況而定) 通過任何人士進行核實。本公司承諾在客戶資料表格提供的資料如有任何變更，會立即通知中信証券經紀香港及 / 或中信証券期貨香港 (視屬何情況而定)。

此客戶資料表格受中信証券經紀香港的證券買賣條款、孖展證券貸款條款及 / 或中信証券期貨香港的期貨及期權買賣條款 (視屬何情況而定) 及附錄 (如適用) (統稱為 "買賣條款")約束。本公司已閱讀並已明白載列於中信証券經紀香港的網址 www.citics.com.hk的買賣條款以及提供予本公司的私隱政策聲明 (如下述定義) 的最新版本，並同意受其約束。本公司明白中信証券經紀香港可以不時修改買賣條款和私隱政策聲明 (如下述定義) ，而這些文件的最新版本可於上述網頁查閱。 本公司會持續瀏覽該網頁詳閱這些文件的最新版並同意受其約束。本公司確認已按照本公司選擇的語言獲提供包含於上述中信証券經紀香港的證券買賣條款及 / 或中信証券期貨香港的期貨及期權買賣條款 (視屬何情況而定) 內的風險披露聲明，並已獲邀閱讀該風險披露聲明、提出問題及徵求獨立意見 (如本公司有此意願)。

本公司知悉並確認已填寫年度常設授權書，授權中信証券經紀香港及 / 或中信証券期貨香港 (視屬何情況而定) 按照年度常設授權書的條文，處理證券戶口 (定義見中信証券經紀香港的證券買賣條款)，戶口 (定義見中信証券期貨香港的期貨及期權買賣條款) 以及任何不時代表本公司持有的其他綜合戶口的資金。此項授權由本公司簽署年度常設授權書當日起計為期不超過12個月，並可按照年度常設授權書內具體列明的適用法律及規則續訂權限或被視為續訂權限。

Our Company warrants that the above information is true and correct, and authorizes CSBHK and / or CSFHK (as the case may be) to verify it with any source. Our Company undertakes to promptly notify CSBHK and / or CSFHK (as the case may be) if there is any change in the information provided by our Company in this Customer Information Statement.

This Customer Information Statement is subject to the Terms and Conditions for Securities Trading of CSBHK, the Terms and Conditions for Margin Financing and / or the Terms and Conditions for Futures and Options Trading of CSFHK (as the case may be) and any Addendum (if applicable) （collectively, the "Terms & Conditions") from time to time. Our Company confirms that our Company has read and understood the latest versions of the Terms and Conditions and the Privacy Policy Statement (as defined below) as posted on CSBHK's website at www.citics.com.hk and agrees to be bound by them. Our Company understands that CSBHK may amend the Terms and Conditions and the Privacy Policy Statement (as defined below) from time to time and that the latest versions of these documents will be available on that website. Our Company shall continue to visit the website to familiarize ourselves with the terms of the latest versions of these documents and agrees to be bound by them. Our Company confirms that the Risk Disclosure Statement contained in the aforesaid Terms and Conditions for Securities Trading of CSBHK and / or the Terms and Conditions for Futures and Options Trading of CSFHK (as the case may be) has been provided to our Company in the language of our choice and that our Company has been invited to read the same,to ask questions and to take independent advice (if our Company wishes).

Our Company acknowledges and confirms that our Company has completed an Annual Standing Authority form whereby our Company has authorized CSBHK and / or CSFHK (as the case may be) to deal with funds in the Securities Account (as defined in the Terms and Conditions for Securities Trading of CSBHK), the Account (as defined in the Terms and Conditions for Futures and Options Trading of CSFHK) and any other segregated accounts held on our behalf from time to time in accordance with the provisions of the Annual Standing Authority form. This authority is given for a period of not more than twelve months from the date on which our Company signs the Annual Standing Authority form and may be renewed or deemed to be renewed in accordance with the applicable laws and rules and as specified in the Annual Standing Authority form.

2. 直接營銷 Direct Marketing

本公司在此明確同意，我們希望獲得與中信証券經紀香港及/或中信証券期貨香港出售、營銷、提供或推廣的與銀行、投資、信貸或金融產品或服務的營銷、推廣及銷售材料或文件，無論此類產品或服務現在存在還是將來創建， 除非我們勾下述方框。

Our Company hereby expressly consent that we wish to be provided with marketing, advertising and promotional information, materials and/or documents relating to banking, investment, credit and/or financial products and/or services that CSBHK and/or CSFHK may be selling, marketing, offering or promoting, whether such products or services exist now or are created in the future, unless we tick the box below.

☐ 通過勾選此方框，我們反對中信証券經紀香港及/或中信証券期貨香港按照其私隱政策聲明向我們進行直接營銷。
By ticking this box, we OBJECT to the use of our personal data for direct marketing by CSBHK and/or CSFHK as directed in their Privacy Policy Statement.

*如果本公司沒有勾選上面的方框並在下面簽名則表示本公司接受個人資料用於直接營銷，但若隨後我們決定不再希望收到任何此類營銷通訊，本公司可以隨時書面通知到csi-callcentre@citics.com.hk或香港中環添美道1號中信大廈26樓聯絡中信証券經紀香港及/或中信証券期貨香港資料保護主任以告知本公司選擇退出。

If our Company do not tick the box above and sign below to signify our acceptance of the personal data being used for direct marketing but subsequently decide we no longer wish to receive any such marketing communications, we may opt out at any time by giving written notice to CSBHK and/or CSFHK at csi-callcentre@citics.com.hk or write to Data Protection Officer of CSBHK and/or CSFHK at 26/F, CITIC Tower, 1 Tim Mei Ave, Central, Hong Kong.

3. 與個人資料相關的同意函 Consents related to Personal Data

就本條款而言，“中信証券香港”或應被解讀及理解為中信証券經紀香港及/或中信証券期貨香港。

For the purpose of this clause, “CSHK” or shall be read and construed as CSBHK and/or CSFHK.

本公司已閱讀並理解中信証券香港不時發出、修稿及補充的個人資料的保護政策、通告及/或有關個人資料的通知，及在中信証券香港網站上https://www.citics.com.hk/customer-service.php 刊載的“私隱政策聲明” （“私隱政策聲明”） 。

Our Company confirm that we have read and understood the data protection policies, circulars in relation to the personal data or privacy protection and/or notices of CSHK relating to personal data and “Privacy Policy Statement” published on the company website of CSHK at https://www.citics.com.hk/customer-service.php, as amended and/or supplemented from time to time (“Privacy Policy Statement”).

當本公司向中信証券香港提供自然人的個人資料（如私隱政策聲明中所定義）時，本公司確認該自然人已同意中信証券香港或中信証券香港的關聯公司出於私隱政策聲明中列出的目的收集、使用、處理或披露其個人資料，並且該自然人已被告知該等目的。特別是， 當本公司向中信証券香港提供位於中華人民共和國的自然人的個人資料時，本公司確認除了上述同意外，本公司已獲得該自然人的單獨同意，並分別同意(i)中信証券香港或中信証券香港的關聯公司出於私隱政策聲明中列出的目的收集、使用、處理或披露其敏感個人信息（其定義請參考中華人民共和國個人資訊保護法）； (ii)中信証券香港可向中信証券香港的關聯公司、第三方服務提供者、專業顧問（包括律師）及中信証券香港因向本公司履行/提供服務所需的代理人或第三方（包括但不限於中信証券香港的執行經紀人、清算所和結算代理人）、審計師、法律或任何法院命令允許或要求向其披露的任何人、對中信証券香港或中信証券香港的關聯公司有管轄權的任何當地或外國政府機構、監管機構和法定機構；及/或任何繼任者和受讓人披露其個人資料； (iii) 根據私隱政策聲明中所列的目的並應根據相關司法管轄區的個人資料保護法的規定，將他/她的個人資料進行跨境轉移給中信証券香港的關聯公司、中信証券香港的第三方服務提供者、中信証券香港或中信証券香港關聯公司的專業顧問、代理人以及私隱政策聲明中所述的任何其他人、團體、機構、組織或實體。本公司並已經通知該自然人，他/她可以通過電子郵件dataprotectionofficer@clsa.com聯繫中信証券香港的資料保護主任，並擁有根據他/她所屬司法管轄區相關個人資料保護法律和法規授予其的權利。為免生疑問，若相關司法管轄區的個人資料保護法允許中信証券香港在未經該自然人同意的情況下收集、使用、處理或披露個人資料，法律授予的此類權利繼續適用。

Where Our Company provide CSHK with the personal data (as defined in the Privacy Policy Statement) of a natural person, our Company confirms that such natural person has consented to CSHK or its affiliate’s collection, use, processing or disclosure of his/her personal data for the purposes listed in the Privacy Policy Statement and such natural person has been informed of such purposes. In particular, where our Company provide CSHK with the personal data of a natural person located in the People’s Republic of China, our Company confirms that in addition to the above consent of such natural person, our Company have obtained a separate consent from such natural person to each of (i) CSHK or its affiliate’s collection, use, processing or disclosure of his/her sensitive personal information (as defined in the Personal Information Protection Law of the People’s Republic of China) for the purposes listed in the Privacy Policy Statement; (ii) CSHK’s or its disclosure of his/her personal data to its affiliates, third party service providers, professional advisers (including lawyers) and agents or third parties necessary for CSHK performing/providing services to us (including but not limited to the executing brokers, clearing houses and settlement agents of CSHK), auditors, any person to whom disclosure is permitted or required by law or any court order, any local or foreign government agencies, regulatory authorities and statutory bodies having jurisdiction over CSHK or its affiliates; and/or any successors and assigns; and (iii) CSHK’s transfer of his/her personal data outside of the relevant jurisdiction to CSHK’s affiliates, third party service providers of CSHK, CSHK or its affiliate’s professional advisers, agents and to any other person, body, agency, organization or entity for the purposes listed in the Privacy Policy Statement, which shall be carried out in accordance with the personal data protection law of the relevant jurisdiction. Our Company has also informed such natural person that he/she may contact personal Data Protection Officer of CSHK via email at dataprotectionofficer@clsa.com and have the rights conferred to him/her under the relevant personal data protection laws and regulations in the relevant jurisdiction. For the avoidance of doubt, under relevant circumstances where the personal data protection law of the relevant jurisdictions permits CSHK to collect, use, process or disclose the personal data without such natural person’s consent, such permission granted by the law shall continue to apply.

為免生疑問，若相關司法管轄區的個人資料保護法允許中信証券香港在未經相關人士同意的情況下收集、使用、處理或披露個人資料，法律授予的此類權利繼續適用。
For the avoidance of doubt, under relevant circumstances where the personal data protection law of the relevant jurisdictions permits CSHK to collect, use, process or disclose the personal data without consent from the relevant person, such permission granted by the law shall continue to apply.

4. 只適用於保証金戶口客戶 For Margin Account customer only

本公司現申請中信証券經紀香港之保証金證券貸款服務，並同意接受中信証券經紀香港的保証金證券貸款條款及其證券買賣條款及其不時的修改所約束。本公司確認本公司已閱讀有關條款 (尤其是其分別的風險披露聲明)。本公司確定已按照本公司選擇的語言獲提供包含於證券買賣條款及保証金證券貸款條款內的風險披露聲明，並已獲邀閱讀該風險披露聲明、提出問題及徵求獨立的意見 (如本公司有此意願)。

本公司謹此承諾及確認本公司已授權中信証券經紀香港根據上述保証金證券貸款條款第5條規定處理本公司的證券及證券抵押品。授權有效期為由協議日期起計不超過12個月，有關授權可根據適用的法律及規則，在 (1) 協議訂立之年份的最後一天或之前及 (2) 隨後之每個曆年的最後一天或之前，經本公司同意延續或被視為延續，而每一次延續有效期為12個月。

Our Company hereby applies for the Margin Financing Service of CSBHK and agrees to be bound by the Terms and Conditions for Margin Financing of CSBHK as amended and / or supplemented from time to time in addition to its Terms and Conditions for Securities Trading. Our Company confirms that our Company has read and understood the said Terms and Conditions (in particular their respective Risk Disclosure Statements). Our Company confirms that the Risk Disclosure Statements contained in the Terms and Conditions for Securities Trading and the Terms and Conditions for Margin Financing have been provided to our Company in the language of our choice, and that our Company has been invited to read the same, to ask questions and to take independent advice (if our Company wishes).

Our Company acknowledges and confirms that our Company has authorized CSBHK to deal with our securities and securities collateral in accordance with Clause 5 of the aforesaid Terms and Conditions for Margin Financing. 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 (1) the calendar year of the date hereof and (2) each subsequent calendar year for, in each instance, a further twelve months in accordance with the applicable laws and rules.

面對面開戶聲明 Acknowledgement for Face to Face Account Opening

☐ 本帳戶確認是以面對面方式開立。中信証券經紀 (香港)有限公司 (「中信証券經紀香港」)和中信証券期貨 (香港)有限公司 (「中信証券期貨香港」) 的持牌銷售人員已於下方記錄有關會面日期及時間。
This account has been opened through a face-to-face meeting. The Licensed Representative of CITIC Securities Brokerage (Hong Kong) Limited ("CITIC Securities Brokerage Hong Kong") and CITIC Securities Futures (Hong Kong) Limited ("CITIC Securities Futures Hong Kong") have recorded the relevant meeting date and time below.

會面日期Meeting Date：_____ 會面時間Meeting Time：_____ 持牌銷售人員姓名：_____

* (簽署式樣將被用作核證任何就戶口運作之書面指示。)
* (Specimen Signature(s) herein will be used to verify all written instructions given relating to the operation of the Account(s).)

客戶簽署 / 簽署式樣及公司蓋章* (如適用) Client Signature / Specimen Signature and Company Chop* (if applicable)
☞

日期
Date_____

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

本人_____(姓名以正楷書寫) 持有C E 編號_____確認本人已按上述客戶選擇的語言版本，為其提供中信証券經紀香港的證券買賣條款及保証金證券貸款條款及 / 或中信証券期貨香港的期貨及期權買賣條款 (視屬何情況而定)，本人並已邀請該客戶閱讀該等條款、提出問題及徵求獨立意見(如客戶有此意願)。

I,_____(name in block letters) with C.E. number_____confirm that I have provided the Risk Disclosure Statements contained in the Terms and Conditions for Securities Trading and the Terms and Conditions for Margin Financing of CSBHK and / or in the Terms and Conditions for Futures and Options Trading of CSFHK (as the case may be) in the language of the above customer's choice to the above customer and that I have invited the customer to read the same, to ask questions and to take independent advice (if customer wishes).

持牌代表簽名
Licensed Representative Signature:

日期
Date:

內部專用 For Internal Use

☐ 香港證券交易 HK Securities Trading ☐ 美國證券交易 US Securities Trading ☐ 香港恒指期貨及期權交易 HK Index Futures and Options Trading ☐ 國際期貨交易 Global Futures Trading ☐ 股票期權交易 Stock Options Trading

HK Connect Client

BCAN Client Category :	☐ Direct Client	☐ RRI
BCAN Client Type :	☐ Legal Entity Funds (**MUST** complete following by ticking this box) (Name of Investment Manager (IM) / General Partner (GP): _____ ☐ Legal Entity Fund Managers ☐ Other - Legal Entity Others ☐ Proprietary Trade (**CSI internal account only**)	Not applicable
BCAN Client Consent :	Not Required for Corporate account	Not applicable
Broker Dealer **(IPI Client only)** :	☐ Yes (please add CHISTAR Restricted list) ☐ No	☐ Yes (please add CHISTAR Restricted list) ☐ No

China Connect Client
*No China Connect Market to be opened for EP / CCEP

BCAN Client Category :	☐ Direct Client	☐ TTEP
BCAN Client Type :	☐ Legal Entity Funds (**MUST** complete following by ticking this box) (Name of Investment Manager (IM) / General Partner (GP): _____ ☐ Legal Entity Fund Managers and Others ☐ Proprietary or Principal Trading (**CSI internal account only**)	Not applicable
BCAN TTEP Firm ID :	Not applicable	TTEP **(Client only)** _____
BCAN Client Consent :	☐ Yes ☐ No	Not applicable
Broker Dealer **(IPI Client only)** :	☐ Yes (please add CHISTAR Restricted list) ☐ No	☐ Yes (please add CHISTAR Restricted list) ☐ No

佣金 / 交易限額 / 信貸限額及利息 Commission Rate / Trading Limit / Credit Li mit & Interest

		標準收費 Standard Rate	新建議 Proposed		標準收費 Standard Rate	新建議 Proposed
證券 Securities	經紀佣金 (港股) Commission Rate (HK)	0.25%, $100 (Min)	%, $ (Min)	經紀佣金 (美股) Commission Rate (US)	0.20%, US$20 (Min)	%, US$ (Min)
	網上佣金 (港股) Internet Commission Rate (HK)	0.20%, $80 (Min)	為經紀佣金收費的 80%	網上佣金 (美股) Internet Commission Rate (US)	0.20%, US$20 (Min)	%, US$ (Min)
	信貸利息 (保証金) Interest Rate (Margin)	P + 2.5%	P + %	經紀佣金 (滬 / 深股通) Commission Rate (SSE/SZSE)	0.20%, CNY80 (Min)	%, CNY (Min)
				經紀佣金 (滬 / 深股通) Internet Commission Rate (SSE/SZSE)	0.20%, CNY80 (Min)	%, CNY (Min)

	Futures 期貨 (HSI) (Day Trade 即日平倉)	$50 (Dial-in) $30 (Online)	$ (Dial-in) $ (Online)	Futures 期貨 (HHI) (Day Trade 即日平倉)	$40 (Dial-in) $30 (Online)	$ (Dial-in) $ (Online)
香港期貨 HK Futures	Futures 期貨 (HSI) (Overnight 持倉過夜)	$80 (Dial-in) $50 (Online)	$ (Dial-in) $ (Online)	Futures 期貨 (HHI) (Overnight 持倉過夜)	$60 (Dial-in) $50 (Online)	$ (Dial-in) $ (Online)
	Futures 期貨 (MHI) (Day Trade 即日平倉)	$20 (Dial-in) $15 (Online)	$ (Dial-in) $ (Online)	Futures 期貨 (MCH) (Day Trade 即日平倉)	$20 (Dial-in) $15 (Online)	$ (Dial-in) $ (Online)
	Futures 期貨 (MHI) (Overnight 持倉過夜)	$40 (Dial-in) $25 (Online)	$ (Dial-in) $ (Online)	Futures 期貨 (MCH) (Overnight 持倉過夜)	$40 (Dial-in) $25 (Online)	$ (Dial-in) $ (Online)

	標準收費 Standard Rate	新建議 Proposed
股票期權 Stock Options	1% Premium ($20 Min / $100 Max)	% Premium ($ Min / $ Max)

		標準收費 (每張單邊合約) Standard Rate (per lot per side)	新建議 (每張單邊合約) Proposed (per lot per side)
國際期貨 Global Futures	倫敦金屬交易所 LME	USD30	
	非倫敦金屬交易所 Non-LME	Internet Commission USD15 Dial-in Commission USD20	

其他市場/產品 Other Markets/Product	標準收費 Standard Rate	新建議 Proposed
場外交易 (指新證券 (不包括衍生產品) OTC (new securities (not including derivatives)	跟隨港股收費 Refer to HK market	跟隨港股收費 Refer to HK market
債券 Bond	不多於成交金額之 3% Up to 3% of transaction amount	
基金 Fund	不多於 3% Up to 3%	
結構性產品 Structured Products	有效期等於或少於 3 年的產品: 不多於投資金額之 3% 有效期多於 3 年的產品: 不多於投資金額之 5% For notes with tenor of 3 years or less: Up to 3% of the investment amount For notes with tenor of more than 3 years: Up to 5% of investment amount	

在中信証券經紀 (香港) 有限公司 / 中信証券期貨 (香港) 有限公司的關連戶口 Related account(s) with CSBHK / CSFHK

擔保人在中信証券經紀香港 / 中信証券期貨香港開立之帳戶 Guarantor's account opened with CSBHK / CSFHK	客戶名稱: Client name	帳戶號碼: a/c. no.
股東在中信証券經紀香港 / 中信証券期貨香港開立之帳戶 Shareholder's account opened with CSBHK / CSFHK	客戶名稱: Client name	帳戶號碼: a/c. no.
受益人在中信証券經紀香港 / 中信証券期貨香港開立之帳戶 Beneficiary's account opened with CSBHK / CSFHK	客戶名稱: Client name	帳戶號碼: a/c. no.
與另一帳戶擁有相同之擔保人 / 股東 / 受益人 Other account with common Guarantor(s) / shareholder(s) / Beneficiary	客戶名稱: Client name	帳戶號碼: a/c. no.

	新建議 Proposed	其他關連戶口 Other Related a/c(s) 帳戶號碼 a/c. no.	其他關連戶口 Other Related a/c(s) 帳戶號碼 a/c. no.	總數 Total	
交易限額 Trading Limit	HK$ 百萬Mil	HK$ 百萬Mil	HK$ 百萬Mil	HK$ 百萬Mil	(a)
信貸限額 Credit Limit	HK$ 百萬Mil	HK$ 百萬Mil	HK$ 百萬Mil	HK$ 百萬Mil	(b)
期貨交易限額 Futures Trading Limit (Note 1)	HK$ 百萬Mil	HK$ 百萬Mil	HK$ 百萬Mil	HK$ 百萬Mil	(c)
股票期權交易限額 Stock Options Trading Limit (Note 1)	HK$ 百萬Mil	HK$ 百萬Mil	HK$ 百萬Mil	HK$ 百萬Mil	(d)

TOTAL EXPOSURE for Securities and Futures Trading account:

Trading Limit (a) + (c) + (d) HK$_____百萬Mil

Credit Limit (b) HK$_____ 百萬Mil

如交易總額高於3百萬或任何信貸限額，請遞交個別申請表至信貸部)
(Please fill separate application form to Credit Risk Department for total trading limit over HK$3M/ any credit limit)

Note 1: Futures/ Stock Option Trading Limit is the total margin requirements in dollar amount of the open positions in the account

申請原因 / 說明 Reasons / Explanation

☒ 1.認識客戶年期 I have known the Client for: ☐<1 yr ☐1 to 5 yrs ☐>5 yrs

☒ 2.介紹模式 Mode of Introduction: ☐自薦 Walk-in ☐集團/聯屬公司引薦 Referral by Group/ Affiliates ☐現有客戶引薦 Referral by Existing Clients
☐員工引薦 Referral by Staff ☐其他引薦 Referral by Others:_____

☐ 3.客戶全年收入 (如有不同 if any different)

Client's annual income (HK$_____) 資產淨值 net worth (HK$_____)

☐ 4.客戶與中信証券國際或其他投資機構維持良好交易紀錄 (如其他經紀或銀行等)
Client's satisfactory settlement history with CSI or other investment company (e.g. other brokers or banks, etc.)

☐ 5.客戶在中信証券國際之存倉值 Client's current portfolio value maintained with CSI

☐ 6.獲其他投資機構授予相約交易 / 信貸限額 Comparable trading / credit limit granted by other investment companies.

☐ 7.其他 Others:_____

一同附上之有關文件 Document(s) Attached For The Application

☐ 1. 收入 / 資產淨值之証明 (如銀行月結單、稅單等) Income / Net worth proof (e.g. bank statement, tax demand note, etc.)

☐ 2. 投資交易紀錄 (如其他經紀或銀行月結單等) Trading / investment history / record (e.g. other brokers, bank statements, etc.)

☐ 3. 信貸 / 交易限額協議 / 文件 (如其他經紀 / 銀行月結單或戶口開立協議等)
Trading / Credit Limit Agreement / Letter (e.g. other brokers / bank statements or account opening agreement, etc.)

☐ 4. 其他 Others:_____

附加設定(如適用) Additional setup for the account (if applicable)

☐ Vulnerable Client

☐ Staff A/C/ Staff's relative(SDT: Staff Dealing e-statement setup); Relationship with staff: _____

Staff Type: ☐ CSB AE

☐ Referral code setup: Referral Company: _____ Referral Branch: _____ Referral AE ID: _____

☐ IS Classification: _____

Sign off By:

核查及同意:
Reviewed & Concurred By:_____ (Date:_____)
經紀 / 證券銷售員 AE / Salesperson
(Name: C.E. No.:)

核對:
Checked By:_____ (Date:_____)
客戶服務主任 CSO
(Name:)

批核:
Approved By: _____ (Date:_____)
分行經理 / 分組主管 Branch Manager / Team Head
(適用於交易限額不多於港幣三十萬元及佣金高於 / 相等於0.20%)
(Applicable to trading limit up to HK$0.30M and commission rate ⩾ 0.20%)
(Name: C.E. No.:)

批核:
Approved By:_____(Date:_____)
負責人員 Responsible Officer
(適用於交易限額為港幣三十萬元以上或佣金低於0.20%)
(Applicable to trading limit > HK$0.30M or commission rate < 0.20%)
(Name: C.E. No.:)