中信证券
CITIC SECURITIES

客戶資料表格 (專業投資者 - 機構)
Customer Information Statement (Professional Investor - Institutional)

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

帳戶號碼
Account Number

分行號碼
Branch Code_____

經紀號碼
A.E. Code_____

客戶種類
Customer Type:
☐ 公司 / 機構 Corporate / Institution
☐ 信託公司 Trust Corporation
☐ 基金 Fund
☐ 獨立投資組合公司“SPC” Segregated Portfolio Company
☐ 上市公司 Listed Company
☐ 有限合夥 Limited Partnership

客戶名稱 (英文) Name of Customer (English) : _____

客戶名稱 (中文，如適用) Name of Customer (Chinese, if applicable) : _____

賬戶名稱備註 Account name remarks : _____

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)

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

(國家區號 Country and Area Code)
公司傳真 Office Fax No. : ( ) - ( ) - _____

“流動電話號碼 (一次性密碼) Mobile No. for One-Time Password (“OTP”): ( ) - ( ) - _____”.

電郵地址 E-mail Address : _____

公司網址Company Website : _____

電子結單地址 Electronic Statement Address: _____
(填寫此欄後, 如非特別註明, 則表示無需收取紙本結單 No physical statement to be received by completing this field unless otherwise specified)

聯絡人 Contact Person :

名稱 Name	電話 Phone No. (國家區號 Country and Area Code)	傳真號碼 Fax No. (國家區號 Country and Area Code)	電郵地址 E-mail address
(1)	( ) - ( ) -	( ) - ( ) -	
(2)	( ) - ( ) -	( ) - ( ) -	

商業性質 (註解1) : Nature of Business (Note 1):

(a) ☐ 交易所 / 結算所 / 自動化交易服務提供者
Exchange company / clearing house / automated trading services provider

(b) ☐ 中介人或受香港以外地方規管的投資服務提供者
Intermediary or investment services provider regulated outside Hong Kong

(c) ☐ 經認可的財務機構 / 受香港以外地方規管的銀行
Authorized financial institution / bank regulated outside Hong Kong

(d) ☐ 經認可 / 受規管的保險公司
Authorized / regulated insurance company

(e) ☐ 經認可 / 受規管的集體投資計劃或其營辦人
Authorized / regulated collective investment scheme or persons operating them

(f) ☐ 經註冊的退休計劃 / 成分基金 / 經核准的受託人 / 受《強制性公積金計劃條例》規管的服務提供者 / 屬經註冊的退休計劃或成份基金投資經理
Registered retirement scheme / constituent fund / approved trustee / service provider regulated under the Mandatory Provident Fund Schemes Ordinance / investment manager of the registered retirement scheme or constituent fund regulated under the Mandatory Provident Fund Schemes Ordinance

(g) ☐ 經註冊的職業退休計劃 / 受其本籍當地規管的離岸計劃 / 其管理人
Registered occupational retirement scheme / regulated offshore scheme / its administrator defined under the Occupational Retirement Schemes Ordinance

(h) ☐ 政府 (市政府除外) / 中央銀行 / 多邊機構
Government (other than municipal government) / central bank / multilateral agency

(i) ☐
(i) 中介人 / 認可財務機構 / 受香港以外地方規管的銀行 / 或投資服務提供者的全資附屬公司
Wholly owned subsidiary of an intermediary / authorized financial institution / bank or investment services provider regulated outside Hong Kong

(ii) 中介人 / 認可財務機構 / 受香港以外地方規管的銀行 / 或投資服務提供者的全資擁有控股公司
Holding Company which wholly owns an intermediary / authorized financial institution / bank or investment services provider regulated outside Hong Kong

(iii) (ii)提述的控股公司的其他的全資附屬公司
Other wholly owned subsidiary of a holding company referred to in (ii)

客戶的監管機構是 Customer is regulated by : _____

監管機構網址 Website of Regulator : _____

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：		

資金來源
Source of Fund :

☐ 公司擁有者 Business Owner
☐ 財務貸款 Financial Loan
☐ 銷售款項 Sales Proceeds
☐ 投資獲利 Investment Income
☐ 其他 Others:_____

財產來源
Source of Wealth :

☐ 業務收益 Business Income
☐ 投資獲利 Investment Income
☐ 集團內部融資 Intra-group Financing
☐ 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
☐ 其他 Others:_____

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

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

管理資產值
Assets Under Management :

☐ 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$5千萬 / 50 Mil
☐ HK$5千萬以上 / 50 Mil more - HK$1億 / 100 Mil
☐ >HK$1億以上 / 100 Mil more 請註明 Please Specify _____

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”

不記名股票聲明 Bearer Share Declaration

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 2 Please go to question 2)
   ☐沒有 No (請跳至問題 3 Please go to question 3)

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 2(a) Please go to question 2(a))
   ☐否 No (請跳至問題 2(b) Please go to question 2(b))

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)

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
_____	_____
_____	_____
_____	_____

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

所需服務 Optional Service(s) Required :	有 Yes	無 No
直接進入市場服務 Direct Market Access Service	☐	☐
其他 (如有) Others, (if any)	☐	☐

客戶聲明 Customer's Declaration

1. 我們保證本客戶資料表格和我們以下提供的附加文件 (如註解3所列) 所載的資料在各方面均是真實、完整和正確的，並授權中信証券經紀 (香港) 有限公司 ("中信証券經紀香港") 通過其認為必要的任何途徑加以核查。

我們是證券及期貨條例 (香港法例第571章) 下的專業投資者 (其摘錄載於註解1) 並同意被視為專業投資者。如我們不再符合專業投資者資格，我們將立即通知中信証券經紀香港。除非我們另有指示，我們同意並承認中信証券經紀香港不需要根據證券及期貨 (成交單據，戶口結單及收據) 規則向我們提供成交單據，戶口結單及收據。此客戶資料表格受中信証券經紀香港的證券買賣條款（專業投資者－機構）、孖展證券貸款條款（專業投資者－機構）及任何附錄 (如適用) (統稱為"買賣條款")約束。買賣條款以及私隱政策聲明 (如下述定義)的最新版本已載列於中信証券經紀香港的網址 www.citics.com.hk 供我們參閱。我們確定已經閱讀本客戶資料表格及其中的註解 (包括註解2所載被視為專業投資者的後果)和買賣條款，並完全明白其中內容。本客戶資料表格連同買賣條款 合稱 "協議"。 我們明白中信証券經紀香港可以不時修改買賣條款及私隱政策聲明 (如下述定義)，而這些文件的最新版本可於上述網頁查閱。我們會持續瀏覽該網頁詳閱這些文件的最新版本並同意受其約束。

我們同意並承認如我們與中信証券經紀香港進行任何業務，我們將被視為接受並同意遵守協議所載的條款和條件，不論中信証券經紀香港有否收到我們的一份本客戶資料表格的簽署文本，而自我們首次與中信証券經紀香港進行任何業務之日起，協議應構成中信証券經紀香港與我們之間具法律約束力的合約。我們會另外簽發常設交易和交收指示給中信証券經紀香港以便中信証券經紀香港日後處理有關指示。如本客戶資料表格 (包括其注解) 的中，英文版本有任何分歧，概以英文版本為準。

We warrant that the information contained in this Customer Information Statement and the supporting documents provided by us as set out in Note 3 below are true, complete and correct in all aspects and authorize CITIC Securities Brokerage (HK) Limited ("CSBHK") to verify it with any source that it may deem necessary.
We are a Professional Investor (as defined under the Securities and Futures Ordinance ("SFO") (Cap. 571 of the Laws of Hong Kong), an extract of which is set out in Note 1) and agree to be treated as such. We shall inform CSBHK immediately if we no longer qualify as a Professional Investor. We agree and acknowledge that CSBHK is not required to provide us with contract notes, statements of accounts or receipt pursuant to the Securities and Futures (Contracts Notes, Statements of Accounts and Receipts) Rules, unless we instuct otherwise.

This Customer Information Statement is subject to Terms and Conditions for Securities Trading (Professional Investor - Institutional), the Terms and Conditions for Margin Financing (Professional Investor — Institutional) and any Addendum (if applicable) (collectively, the "Terms & Conditions") from time to time. The Terms and Conditions and the Privacy Policy Statement (as defined below) have been made available to us on CSBHK's website at www.citics.com.hk. We confirm that we have read and fully understand this Customer Information Statement, the notes to this Customer Information Statement (including the consequence of being treated as professional investor as set out in Note 2) and the Terms and Conditions. This Customer Information Statement, together with the Terms and Conditions are collectively referred to as the "Agreement". We understand 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 the above website. We shall continue to visit the website to familiarize ourselves with the terms of the latest versions of these documents and agree to be bound by them.

We agree and acknowledge that if we transact any business with CSBHK, we shall be deemed to accept and abide by the terms and conditions set out in the Agreement regardless of whether CSBHK has received from us an executed copy of this Customer Information Statement, and that the Agreement shall constitute a legally binding contract between CSBHK and us with effect from the date upon which we first transact any business with CSBHK. Our standing dealing and settlement instructions will be issued to CSBHK separately for CSBHK's further action accordingly. In the event of discrepancy between the English version and Chinese version of this Customer Information Statement (including the notes hereto) the English version shall prevail.

2. 直接營銷 Direct Marketing

我們在此明確同意，我們希望獲得與中信証券經紀香港出售、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， 除非我們勾選下述方框。

We 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 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 as directed in its Privacy Policy Statement.

*如果我們沒有勾選上面的方框並在下面簽名則表示我們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，我們可以隨時書面通知中信証券經紀香港到csi-callcentre@citics.com.hk或香港中環添美道1號中信大廈26樓聯絡資料保護主任以告知我們選擇退出。

If we 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 CSBHKat csi-callcentre@citics.com.hk or write to Data Protection Officer 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

我們已閱讀並理解中信証券經紀香港不時發出、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，及在中信証券經紀香港網站上https://www.citics.com.hk/customer-service.php 刊載的“私隱政策聲明” （“私隱政策聲明”）。

We 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 CSBHK relating to personal data and “Privacy Policy Statement” published on the company website of CSBHK at https://www.citics.com.hk/customer-service.php, as amended and/or supplemented from time to time (“Privacy Policy Statement”).

當我們向中信証券經紀香港提供自然人的個人資料（如私隱政策聲明中所定義）時，我們確認該自然人已同意中信証券經紀香港或其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， 當我們向中信証券經紀香港提供位於中華人民共和國的自然人的個人資料時，我們確認除了上述同意外，我們已獲得該自然人的單獨同意，並分別同意(i)中信証券經紀香港或其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)中信証券經紀香港可向中信証券經紀香港的關聯公司、第三方服務提供者、專業顧問（包括律師）及中信証券經紀香港因向我們履行/提供服務所需的代理人或第三方（包括但不限於中信証券經紀香港的執行經紀人、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、對中信証券經紀香港或其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經紀香港的關聯公司、中信証券經紀香港的第三方服務提供者、中信証券經紀香港或其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。我們並已經通知該自然人，他/她可以通過電子郵件dataprotectionofficer@clsa.com聯繫中信証券經紀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經紀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 we provide CSBHK with the personal data (as defined in the Privacy Policy Statement) of a natural person, we confirm that such natural person has consented to CSBHK 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 we provide CSBHK with the personal data of a natural person located in the People's Republic of China, we confirm that in addition to the above consent of such natural person, we have obtained a separate consent from such natural person to each of (i) CSB 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) CSBHK's disclosure of his/her personal data to its affiliates, third party service providers, professional advisers (including lawyers) and agents or third parties necessary for CSBHK performing/providing services to us (including but not limited to the executing brokers, clearing houses and settlement agents of CSBHK), 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 CSBHK or its affiliates; and/or any successors and assigns; and (iii) CSBHK's transfer of his/her personal data outside of the relevant jurisdiction to its affiliates, its third party service providers, CSBHK 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 . We has also informed such natural person that he/she may contact personal Data Protection Officer of CSBHK via email at dataprotectionofficer@cl-sa.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 CSBHK 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經紀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 CSBHK 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.

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：_____

簽名
(如適用請加公司蓋章)
Signature
(Affix with company chop if applicable) : _____ 日期 Date : _____
授權簽署人 Authorised Signatory

職位 Position: _____

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

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 (Corporate account only)	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

For Official Use Only

Commission Rate & Interest

Client Information: I have known the Client for: ☐<1 yr ☐1 to 5 yrs ☐>5 yrs

Mode of Introduction: ☐Walk-in ☐Referral by Group / Affiliates: _____ ☐Referral by Others: _____

☐Referral by Existing Clients

☐Referral by Staff

IS Classification: _____

Signature of Sales: _____ Date: _____

Name: AE Code:

Checked By CSO: _____ Date: _____

Name:

Approved by: _____ Date: _____

佣金 / 交易限額 / 信貸限額及利息 Commission Rate / Trading Limit / Credit L imit & 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)

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)

TOTAL EXPOSURE for Securities Trading account :

Trading Limit HK$_____百萬 Mil

Credit Limit HK$_____百萬 Mil

(如總數高於5百萬，請遞交個別申請表至信貸部)
(Please fill separate application form to Credit Department for total over HK$5M)

註解：

1. 摘錄自證券及期貨條例附表一：

"專業投資者" 指 -

(a) 認可交易所、認可結算所、認可控制人或認可投資者賠償公司，或根據本條例第95(2)條獲認可提供自動化交易服務的人；

(b) 中介人，或經營提供投資服務的業務並受香港以外地方的法律規管的其他人；

(c) 認可財務機構，或並非認可財務機構但受香港以外地方的法律規管的銀行；

(d) 根據《保險公司條例》(第41章) 獲授權的保險人，或經營保險業務並受香港以外地方的法律規管的其他人；

(e) 符合以下說明的計劃 -

(i) 屬根據本條例第104條獲認可的集體投資計劃；或

(ii) 以相似的方式根據香港以外地方的法律成立，並 (如受該地方的法律規管) 根據該地方的法律獲准許營辦，或營辦任何該等計劃的人；

(f)《強制性公積金計劃條例》(第485章) 第2(1)條界定的註冊計劃，或《強制性公積金計劃 (一般) 規例》(第485章，附屬法例A) 第2條界定的該等計劃的成分基金，或就任何該等計劃而言屬該條例第2 (1) 條界定的核准受託人或服務提供者或屬任何該等計劃或基金的投資經理的人；

(g) 符合以下說明的計劃 -

(i) 屬《職業退休計劃條例》(第426章) 第2(1)條界定的註冊計劃；或

(ii) 屬該條例第2(1)條界定的離岸計劃，並 (如以某地方為本籍而受該地方的法律規管) 根據該地方的法律獲准許營辦，或就任何該等計劃而言屬該條例第2(1)條界定的管理人的人；

(h) 任何政府 (市政府當局除外)、執行中央銀行職能的任何機構，或任何多邊機構；

(i) (除為施行本條例附表5外) 符合以下說明的法團 -

(i) 屬下述者的全資附屬公司 -

(A) 中介人，或經營提供投資服務的業務並受香港以外地方的法律規管的其他人；或

(B) 認可財務機構，或並非認可財務機構但受香港以外地方的法律規管的銀行；

(ii) 屬持有下述者的所有已發行股本的控股公司 -

(A) 中介人，或經營提供投資服務的業務並受香港以外地方的法律規管的其他人；或

(B) 認可財務機構，或並非認可財務機構但受香港以外地方的法律規管的銀行；或

(iii) 屬第(ii)節提述的控股公司的任何其他全資附屬公司 -

2. 依照證券及期貨事務監察委員會 ("證監會") 持牌人或註冊人操守準則 ("準則")第15段，當客戶根據證券及期貨條例 (第571章 ("條例") 被界定為"專業投資者"，於客戶同意的情況下，中信証券經紀 (香港) 有限公司 ("中信証券經紀香港") 不需要履行準則下的某些規管要求， 該等規管要求包括以下對於非專業投資者的保障：

(a) 客戶資料

中信証券經紀香港不需要確認專業投資者的財務狀況、投資經驗及投資目標，也不需要保証由中信証券經紀香港作出的任何建議或招攬的合適性。

(b) 客戶協議書

中信証券經紀香港不需要與專業投資者簽訂協議書或提供相關的風險披露聲明。

(c) 委托帳戶

中信証券經紀香港不需要:

1. 為專業投資者處理全權處理帳戶的交易前取得客人的書面授權，
2. 向客人解釋此類授權條款的含義: 和不需要
3. 每年續簽該類授權。

(d) 為客戶提供資料

中信証券經紀香港不需要:

1. 向閣下披露與交易有關的資料；
2. 就中信証券經紀香港，或其僱員的本身及狀況，或其他被授權代表其行事的事件通知客戶；
3. 在完成客戶的一個交易後立即向客戶確定該交易的主要情況；
4. 為客戶提供關於納斯達克 - 美國證券交易所試驗計劃的資料文件；或
5. 根據《證券及期貨(成交單據、戶口結單及收據)規則》之要求向閣下提供成交單據及月結單，除非我們獲另行通知。

如客戶認為其不符合或不再符合證券及期貨條例所述的專業投資者的資格，或不希望被視為專業投資者，則應立即通知中信証券經紀香港。

3. 請提供經証實為真實副本之以下文件的影印本：

(a) 授權開立證券帳戶及簽署開立帳戶的文件，指定專人代表公司簽署文件或下達交易指令及有相關人士之簽字樣式的董事會決議；

(b) 最近期經審計的財務報表；及

(c) 常設交收指示。

中信証券經紀香港保留在開立帳戶時要求客戶提交其它證明文件的權利，並且帳戶的開立需要滿足中信証券經紀香港合理的要求。

Notes:

1. Extract from Schedule 1 of the SFO:

   Professional Investor means

   (a) any recognized exchange company, recognized clearing house, recognized exchange controller or recognized investor compensation company, or any person authorized to provide automated trading services under section 95(2) of this Ordinance;

   (b) any intermediary, or any other person carrying on the business of the provision of investment services and regulated under the law of any place outside Hong Kong;

   (c) any authorized financial institution, or any bank which is not an authorized financial institution but is regulated under the law of any place outside Hong Kong;

   (d) any insurer authorized under the Insurance Companies Ordinance (Cap 41), or any other person carrying on insurance business and regulated under the law of any place outside Hong Kong;

   (e) any scheme which-

   (i) is a collective investment scheme authorized under section 104 of this Ordinance; or

   (ii) is similarly constituted under the law of any place outside Hong Kong and, if it is regulated under the law of such place, is permitted to be operated under the law of such place, or any person by whom any such scheme is operated;

   (f) any registered scheme as defined in section 2(1) of the Mandatory Provident Fund Schemes Ordinance (Cap 485), or its constituent fund as defined in section 2 of the Mandatory Provident Fund Schemes (General) Regulation (Cap 485 sub. leg. A), or any person who, in relation to any such registered scheme, is an approved trustee or service provider as defined in section 2(1) of that Ordinance or who is an investment manager of any such registered scheme or constituent fund;

   (g) any scheme which-

   (i) is a registered scheme as defined in section 2(1) of the Occupational Retirement Schemes Ordinance (Cap 426); or

   (ii) is an offshore scheme as defined in section 2(1) of that Ordinance and, if it is regulated under the law of the place in which it is domiciled, is permitted to be operated under the law of such place, or any person who, in relation to any such scheme, is an administrator as defined in section 2(1) of that Ordinance;

   (h) any government (other than a municipal government authority), any institution which performs the functions of a central bank, or any multilateral agency;

   (i) except for the purposes of Schedule 5 to this Ordinance, any corporation which is-

   (i) a wholly owned subsidiary of-

   (A) an intermediary, or any other person carrying on the business of the provision of investment services and regulated under the law of any place outside Hong Kong; or

   (B) an authorized financial institution, or any bank which is not an authorized financial institution but is regulated under the law of any place outside Hong Kong;

   (ii) a holding company which holds all the issued share capital of-

   (A) an intermediary, or any other person carrying on the business of the provision of investment services and regulated under the law of any place outside Hong Kong; or

   (B) an authorized financial institution, or any bank which is not an authorized financial institution but is regulated under the law of any place outside Hong Kong; or

   (iii) any other wholly owned subsidiary of a holding company referred to in subparagraph (ii).

2. Pursuant to paragraph 15 of the Code of Conduct for Person Licensed by or Registered with the Securities and Futures Commission (the "Code") of the Securities and Futures Commission ("SFC"), CSBHK is not required to comply with certain regulatory requirements under the Code when dealing with a customer who is classified as a "Professional Investor" under the Securities and Futures Ordinance (Chapter 571) (the "Ordinance") where the customer consents to these requirements not being complied with. These requirements include the following protections available to non-Professional Investors:

   (a) Information about clients

   CSBHK will not be required to establish Professional Investor's financial situation, investment experience and investment objectives, nor to ensure the suitability of any recommendation or solicitation that CSBHK may make.

   (b) Client agreement

   CSBHK will not be required to enter into a written agreement with the Professional Investor or provide the relevant risk disclosure statements.

   (c) Discretionary accounts

   CSBHK will not be required to:

   1. obtain from such customer written authorization prior to effecting transactions for Professional Investors on a discretionary basis;
   2. comply with the requirements to explain to such customer the terms of any such written authorization; or
   3. renew the written authorization on an annual basis.

   (d) Information for clients

   CSBHK will not be required to:

   1. disclose transaction related information;
   2. inform the customer about CSBHK or the identity or status of its employees or others acting on its behalf;
   3. confirm promptly with such customer the essential features of a transaction after effecting a transaction for the customer;
   4. provide the customer with any documentation on the Nasdaq-Amex Pilot Program; or
   5. provide you with the contract notes and monthly statements that are required under Securities and Futures (Contract Notes, Statements of Account andReceipts) Rules unless we are instructed otherwise.

   If a customer believes that it does not or no longer qualify as a Professional Investor described in the SFO or does not wish to consent to these requirements not being fulfilled by CSBHK, CSBHK should be informed immediately thereof.

3. Please provide :-

   (a) Certified copy of board resolution approving the opening of securities account with CSBHK, execution of the account opening documents, authorization for giving trading and written instruction for transactions, together with specimen signature ;

   (b) Latest audited accounts; and

   (c) Standing Settlement Instruction

   CSBHK reserves the right to request for other additional documentary proof for the account opening of the Customer, and the opening of the accounts is subject to the reasonable satisfaction of CSBHK.