



中信証券  
CITIC SECURITIES

戶口號碼 Account Number: \_\_\_\_\_

分行號碼 Branch Code: \_\_\_\_\_

經紀號碼 A.E. Code: \_\_\_\_\_

## 客戶開戶表格 (個人戶口)

## Account Opening Form (Individual Account)

歡迎來到中信証券經紀(香港)有限公司(「中信証券經紀香港」) / 中信証券期貨(香港)有限公司(「中信証券期貨香港」)

很高興閣下選擇我們作為您的投資顧問。作為中信証券股份有限公司的集團成員，中信証券經紀香港及中信証券期貨香港憑藉多元化的理財產品和一流的交易方案，根據您的要求定制專屬您的財富管理服務，從而幫助您實踐投資目標。

請填妥此開戶表格，並提供所需要的任何相關證明文件予您的客戶經理/銷售人員。如果您在填寫此表格時有任何疑問，您的客戶經理/銷售人員將樂意為您提供協助。

再次感謝您選擇中信証券經紀香港/中信証券期貨香港。我們非常重視和您的關係，期望與您合作無間！

### Welcome to CITIC Securities Brokerage (HK) Limited (“CSBHK”) / CITIC Securities Futures (HK) Limited (“CSFHK”)

We are pleased that you have chosen us as your investment advisor. CSBHK and CSFHK, as part of CITIC Securities Company Limited, have access to a vast array of financial products and the best-in-class trading solutions to tailor exclusive wealth management solutions for your needs to achieve investment goals.

Please complete this account opening form carefully and provide any supporting documentations that your Account Executive/Sales has requested. If you have any questions while filling in this form, your Account Executive/Sales would be more than happy to assist you.

Once again, thank you for choosing CSBHK and/or CSFHK. We value our relationship and look forward to working with you!

所有載於此《開戶表格》中以黑體字標示的詞語，如在此《開戶表格》中未另行定義，應具有中信証券經紀香港的《證券買賣條款》或（就中信証券期貨香港而言）《期貨及期權買賣條款》和其它客戶與我們之間的其它相關協議、附錄內注明的同同意思。

Capitalized terms that are not otherwise defined in this Account Opening Form shall have the same meaning in the [Terms and Conditions for Securities Trading](#) of CSBHK, or (in the case of CSFHK) the [Terms and Conditions for Futures and Options Trading](#), and/or other relevant agreements and addenda between us.

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中信証券經紀(香港)有限公司(「中信証券經紀香港」) <b>CITIC Securities Brokerage (HK) Limited ("CSBHK")</b> C.E. 編號: AAE 879	證券戶口號碼 Securities Account Number
	<input type="checkbox"/> 股票期權戶口 Stock Options Account
中信証券期貨(香港)有限公司(「中信証券期貨香港」) <b>CITIC Securities Futures (HK) Limited ("CSFHK")</b> C.E. 編號: AHR 752	期貨戶口號碼 Futures Account Number

**\*\*重要提示:** 在填寫此《開戶表格》表格之前,請仔細閱讀隨附的《買賣條款》,尤其要注意風險聲明的內容。如果閣下有興趣於中信証券期貨香港開戶進行期貨交易,請在A部分的方框中加「✓」。

**\*\*IMPORTANT:** Please read the attached Terms and Conditions carefully before completing this Account Opening Form, paying special attention to the risk statements. If you are interested in trading futures with CSFHK, then please "✓" both boxes below in Section A.

## SECTION A – 戶口及服務 ACCOUNT AND SERVICES

<b>證券交易 Securities Trading</b>						
<b>客戶種類 Customer Type:</b>	<input type="checkbox"/> 個人 Individual	<input type="checkbox"/> 聯名 Joint	<b>戶口種類 Account Type:</b>	<input type="checkbox"/> 現金戶口 Cash Account	<input type="checkbox"/> 保證金戶口 Margin Account	<input type="checkbox"/> 股票期權戶口 Stock Options Account
<b>期貨及期權交易 Futures and Options Trading</b>						
<b>客戶種類 Customer Type:</b>	<input type="checkbox"/> 個人 Individual	<input type="checkbox"/> 聯名 Joint	<b>戶口種類 Account Type:</b>	<input type="checkbox"/> 期貨及期權戶口 Futures and Options Account		
(註: 聯名戶口每戶口持有人需分別填寫一份《開戶表格》) (Note: For Joint Account, each account holder should complete a separate Account Opening Form)						

## SECTION B – 申請人資料 CUSTOMER PERSONAL DETAILS

個人申請必須提供有效身份證及/或護照之經核證真確副本(視乎需要而定)。 <b>Individuals MUST provide a certified true copy of their valid ID Card or Passport or both (if required).</b>		
<b>(1) 個人資料 PERSONAL DETAILS:</b>		
英文姓名 Name in English	姓 Last Name	名 First Name(s)
中文姓名 Name in Chinese	姓 Last Name	名 First Name(s)
出生日期 Date of Birth (日/月/年 dd/mm/yyyy)	出生城市 Town/City of Birth	
*65 歲或以上另請填妥「風險承受能力薄弱的客戶聲明」 *65 or above, please also fill out the "Vulnerable Customer declaration"		
國籍 Nationality	性別 Gender <input type="checkbox"/> 男 Male <input type="checkbox"/> 女 Female	
證件種類: 身份證/護照 ID/Passport (請在適當地方圈選/Please circle appropriately)	證件號碼 ID/Passport No.	證件簽發地點 ID/Passport Issue Place
<b>(2) 地址及聯絡資料 ADDRESS &amp; CONTACT(S):</b>		
<b>住宅 Residential</b>		
(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)
住宅電話 Home Tel. (國家區號 Country Code) ( )	流動電話號碼 Mobile Number (國家區號 Country Code) ( )	
電郵地址 Email (適用於網上交易及/或電子帳單服務) (For internet trading and/or electronic statement)		

郵寄地址(如與住宅地址不同) Mailing Address (if different to residential 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)

**(3) 職業 OCCUPATION:**

請於以下相關方格加上「✓」號選擇閣下所從事的行業。 Please indicate your occupation by “✓” the relevant box below.

- |   |  |
|---|--|
| <input type="checkbox"/> 住宿及膳食服務活動<br>Accommodation and food service activities         | <input type="checkbox"/> 資訊及通訊<br>Information and communications   |
| <input type="checkbox"/> 享有治外法權的組織及團體活動<br>Activities of extraterritorial organizations | <input type="checkbox"/> 製造<br>Manufacturing   |
| <input type="checkbox"/> 行政及支援服務活動<br>Administrative and support service activities     | <input type="checkbox"/> 採礦及採石<br>Mining and quarrying   |
| <input type="checkbox"/> 農業、林業及漁業<br>Agriculture, forestry and fishing                  | <input type="checkbox"/> 專業、科學及技術活動<br>Professional, scientific and technical activities                       |
| <input type="checkbox"/> 藝術、娛樂及康樂活動<br>Arts, entertainment and recreation               | <input type="checkbox"/> 公共行政<br>Public administration   |
| <input type="checkbox"/> 建造<br>Construction   | <input type="checkbox"/> 地產活動<br>Real estate activities  |
| <input type="checkbox"/> 教育<br>Education  | <input type="checkbox"/> 運輸、倉庫、郵政及速遞服務<br>Transportation/storage/postal/courier services                       |
| <input type="checkbox"/> 電力及燃氣供應<br>Electricity and gas supply                          | <input type="checkbox"/> 自來水供應、污水處理、廢物管理及污染防治活動<br>Water/sewerage/waste/remediation management                 |
| <input type="checkbox"/> 金融及保險活動<br>Financials and insurance activities                 | <input type="checkbox"/> 家庭住戶內部工作活動 (包括家庭主婦)*<br>Work activities within domestic households (incl. housewife)* |
| <input type="checkbox"/> 人類保健及社會工作活動<br>Human health and social work activities         | <input type="checkbox"/> 待業 (包括未就業, 退休)*<br>Unemployed (incl. not employed, retired)*                          |
| <input type="checkbox"/> 進出口貿易、批發及零售業<br>Import/export, wholesale and retail trades     | <input type="checkbox"/> 其他服務活動<br>Other service activities  |

\*標有 \* 的職業, 請提供以前的就業資訊或資金來源者之相關行業資訊。

For occupation marked with\*, please provide previous employment information or relevant occupation information of the source of funds.

僱主名稱 Name of Employer: \_\_\_\_\_

公司地址 Office Address: \_\_\_\_\_

公司電話 Office Phone Number: \_\_\_\_\_

職位 Position: \_\_\_\_\_

從業年數 Years in Occupation: \_\_\_\_\_

(國家區號 Country Code)

( ) \_\_\_\_\_

**(4) 相關身份披露 DISCLOSURE OF IDENTITY:**

4.1 閣下是否任何交易所、交易委員會、結算所、銀行或信託公司高級人員、員工或代理人; 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、合伙人、負責人員或員工?

Are you an officer, employee or agent of any exchange, board of trade, clearing house, bank or trust company; or an affiliate of any introducing broker; or an officer, partner, responsible officer or employee of any securities broker, futures broker or licensed corporation?

- |                               |   |  |
|-------------------------------|---|--|
| <input type="checkbox"/> 否 No | <input type="checkbox"/> 是, 請詳述<br>Yes, please provide details: | 交易所、交易委員會、結算所、銀行、信託公司、證券經紀、期貨經紀或持牌法團名稱:<br>Name of the exchange, board of trade, clearing house, bank, trust company, securities broker, futures broker or licensed corporation: |
|-------------------------------|---|--|

閣下同意中信証券經紀香港或中信証券期貨香港, 可在提供任何服務予閣下前, 接觸上述機構 / 人士並須得到該機構同意。

You agree that CSBHK or CSFHK may approach the above organization/person to obtain its consent before providing any service to you.

4.2 閣下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 Relative(s) working in CSBHK or CSFHK:

- |                                |   |            |                  |
|--------------------------------|---|------------|------------------|
| <input type="checkbox"/> 沒有 No | <input type="checkbox"/> 有, 請詳述<br>Yes, please provide details: | 親屬名稱 Name: | 關係 Relationship: |
|--------------------------------|---|------------|------------------|

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

- 客戶本人 Customer       其他, 請詳述 Other, please specify \_\_\_\_\_

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

- 客戶本人 Customer       其他, 請詳述 Other, please specify \_\_\_\_\_

<b>(5) 關連客戶 CONNECTED CLIENT:</b>	
適用於中信証券經紀香港的客戶 For customer of CSBHK only 請披露閣下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附錄六《股本證券的配售指引》第13段所定義)及其詳情。 Please disclose whether you are a "connected client" (as defined in paragraph 13 of the Placing Guidelines for Equity Securities, Appendix 6 of 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 details.	
<input type="checkbox"/> 否 No	<input type="checkbox"/> 是, 請詳述 Yes, please provide details: _____
<b>(6) 語言選擇(只可選擇一項) PREFERRED LANGUAGE(Select ONE only):</b>	
若無指定選擇語言, 所有通訊將以英文為本。 If no selection is made, all correspondence will be in English.	
<input type="checkbox"/> 中文 Chinese	<input type="checkbox"/> 英文 English

## SECTION C – 銀行戶口及常設收款指示 BANK ACCOUNT AND STANDING INSTRUCTION FOR SETTLEMENT

請提供以閣下名義開立的銀行戶口資料, 以作收取款項之用, 並識別為存入款項之銀行戶口。為證明及核實有關銀行資料之用, 請提供存摺副本或銀行結單副本。請注意, 以**第三者名義帳戶存款及或收款之指示恕不接納**。除非閣下於提款指示中指定另外之收款方式, 由閣下證券/期貨戶口提取之款項將會存入下述主要收款銀行戶口。如欲更改及或撤銷銀行戶口資料或常設收款指示, 務請閣下以書面提出通知。

Please provide details of bank account in your name(s) to which payment can be paid and is identified as the bank account for deposit. In order to prove and verify relevant bank information, please provide copy of the passbook or copy of bank account statement. Please note that **DEPOSIT AND/OR PAYMENT CANNOT BE MADE FROM/TO ACCOUNTS IN THE NAME OF THIRD PARTIES**. Unless you specify other payment method(s) in the payment instruction, fund withdrawn from your Securities/Futures Account(s) shall be paid into your primary bank account stated below. You are required to send us your written instructions with your original signature if you wish to change and/or revoke your bank account information or your standing payment instructions.

香港銀行名稱 Bank Name in Hong Kong:	<input type="checkbox"/> 滙豐銀行 HSBC	<input type="checkbox"/> 恒生銀行 Hang Seng Bank	<input type="checkbox"/> 信銀國際 CNCBI	<input type="checkbox"/> 中銀 BOC
	<input type="checkbox"/> 其他 Others: _____			
帳戶貨幣 A/C Currency	<input type="checkbox"/> 港元 HKD	<input type="checkbox"/> 美元 USD	<input type="checkbox"/> 人民幣 CNY	
銀行戶口號碼 Bank Account No.*	銀行戶口持有人姓名 (如與B部分中的客戶名稱不同) Name of Holder of Bank Account (if different from customer name in Section B)			
*閣下同意預設此戶口為客戶主要收款銀行戶口 *You agree to designate this bank account as the primary bank account for receiving payments				

香港銀行名稱 Bank Name in Hong Kong:	<input type="checkbox"/> 滙豐銀行 HSBC	<input type="checkbox"/> 恒生銀行 Hang Seng Bank	<input type="checkbox"/> 信銀國際 CNCBI	<input type="checkbox"/> 中銀 BOC
	<input type="checkbox"/> 其他 Others: _____			
帳戶貨幣 A/C Currency	<input type="checkbox"/> 港元 HKD	<input type="checkbox"/> 美元 USD	<input type="checkbox"/> 人民幣 CNY	
第二銀行戶口號碼 Second Bank Account No.	第二銀行戶口名稱 (如與B部分中的客戶名稱不同) Name of Second Bank Account (if different from customer name in Section B)			

## SECTION D – 財務、投資總結及風險評估 FINANCIAL, INVESTMENT SUMMARY AND RISK PROFILING

<b>(1) 個人及財務資料 Personal and Financial Information</b>
1.1 閣下的教育程度為? What is your education level? <input type="checkbox"/> (A) 小學或以下* Primary or Below* <input type="checkbox"/> (B) 中學 Secondary <input type="checkbox"/> (C) 專上 Post-Secondary <input type="checkbox"/> (D) 大學 University *另請填妥「風險承受能力薄弱的客戶聲明」*Please also fill in the "Vulnerable Customer Declaration"
1.2 閣下每年的收入為? What is your annual income? <input type="checkbox"/> ≤HK\$30萬 HK\$0.3Mil <input type="checkbox"/> HK\$30萬以上 – HK\$80萬 HK\$0.3Mil – HK\$0.8Mil <input type="checkbox"/> HK\$80萬以上 – HK\$120萬 HK\$0.8Mil – HK\$1.2Mil <input type="checkbox"/> >HK\$120萬以上, 請註明 _____ HK\$1.2Mil more, please specify _____ <input type="checkbox"/> HK\$0 原因 Reason: _____

1.3 閣下現時的估計資產淨值大約為？ What is your estimated net worth?

- ≤HK\$1百萬 HK\$1Mil  
 HK\$1百萬以上 – HK\$4百萬 HK\$1Mil – HK\$4Mil  
 HK\$4百萬以上 – HK\$8百萬 HK\$4Mil more – HK\$8Mil  
 >HK\$8百萬以上，請註明 \_\_\_\_\_ HK\$8Mil more, please specify \_\_\_\_\_  
 種類 Type:  物業 Property \_\_\_\_\_ (HK\$)  現金 Cash \_\_\_\_\_ (HK\$)  股票 Stock \_\_\_\_\_ (HK\$)  其他 Others: \_\_\_\_\_ (HK\$)

**(2) 資金來源 Source of Funds**

- 薪金 / 佣金 Salary / Commission  個人業務 Own Business  售出物業 Sale of Real Estate  儲蓄 Savings  其他 Others: \_\_\_\_\_  
 投資獲利 Investment Income  
 股票 Stock \_\_\_\_\_ (年 years)  債券 Bonds \_\_\_\_\_ (年 years)  
 其他 Others: \_\_\_\_\_ 請註明 Please Specify \_\_\_\_\_ (年 years)

**(3) 財產來源 Source of Wealth**

- 薪金 / 退休金 Salary / Pension  個人業務收益 Business Income  遺產繼承 / 餽贈 Inheritance / Gift  其他 Others: \_\_\_\_\_  
 投資獲利 Investment Income  
 股票 Stock \_\_\_\_\_ (年 years)  債券 Bonds \_\_\_\_\_ (年 years)  
 其他 Others: \_\_\_\_\_ 請註明 Please Specify \_\_\_\_\_ (年 years)

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

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

- ≤HK\$1百萬 HK\$1Mil  
 >HK\$1百萬以上 – HK\$5百萬 HK\$1Mil more – HK\$5Mil  
 >HK\$5百萬以上 – HK\$1千萬 HK\$5Mil more – HK\$10Mil  
 >HK\$1千萬以上，請註明 \_\_\_\_\_ HK\$10Mil more, please specify \_\_\_\_\_

**(5) 風險評估問卷 (「問卷」) Risk Profiling Questionnaire (the “Questionnaire”)**

這份問卷是根據閣下可承受風險的能力及接受程度以評估閣下的風險取向。如閣下的情況或投資目標有變，請儘快聯繫我們及在本問卷中更新有關資料，以便重新評估閣下的風險概況。

*The objective for this Questionnaire is to help you understand more about your attitude towards risk based on your ability to take risk and your risk tolerance level. If your situation or investment goals changes, you should approach us and update your information in this questionnaire as soon as possible to reassess your risk profile.*

如果閣下的帳戶為聯名帳戶，所有戶口持有人的風險承受能力和投資策略都被認為是相同的，因此應聯合評估戶口。其後作年度資料更新時，則該帳戶的所有持有人、或至少一位帳戶持有人必須完成此問卷，而所有持有人均同意以該名持有人的資料作為評估帳戶風險承受能力的用途。

If your account is a joint account, all account holders' risk tolerance and investment strategy is considered to be the same and therefore the assessment of the account should be conducted on a joint basis.

**風險承擔程度及投資需要 Risk Profile and Investment Needs**

5.1 如閣下有意投資，可接受的最長投資期是多久？ What is the longest investment period which you would be willing to commit?

- (A) 少於 1 年 Less than 1 year  
 (B) 1 至 2 年 Between 1 and 2 years  
 (C) 2 至 4 年 Between 2 and 4 years  
 (D) 4 至 7 年 Between 4 and 7 years  
 (E) 多於 7 年 Over 7 years

5.2 以下哪一個講法最能表達閣下的投資目標？ Which of the following statements best describes your investment goal?

- (A) 要求保本，即使回報極低甚至沒有獲利。 We want to preserve capital even if it means little to no gains.  
 (B) 希望有穩定的投資回報，獲利較銀行存款利息高。 We are looking for a stable stream of income that is higher than what bank deposits can provide.  
 (C) 要求有經常性收入，而且資本也有所增長。 We are looking for a combination of regular income as well as some capital growth.  
 (D) 要求大量長遠資本增長。 We are looking for substantial long term capital growth.  
 (E) 要求高額の資本增長。 We are looking for high capital growth.





<b>以上得分 Score of Above Response</b>	
總分數 Total Score: [A=1, B=2, C=3, D=4 and E=5]	客戶的風險評級 Client's Risk Rating (CRR):

**分析: Explanations:**

	分數 Score	總體風險概況類別 General Risk Profile Category*	風險尺度 Risk Scale
1	<13	保守 Conservative	極低風險 Very Low
2	13 - 18	中度保守 Moderately Conservative	低至中風險 Low to Medium Risk
3	19 - 23	平穩 Balanced	中風險 Medium Risk
4	24 - 29	中度進取 Moderately Aggressive	中至高風險 Medium to High Risk
5	≥30	進取 Aggressive	高風險 High Risk

**\*風險承受程度之說明 Description for Risk Tolerance Level**
風險承受程度 Risk Tolerance Level: 低風險(1) Low Risk (1)

- 所確定的風險程度是: 低風險(1) – 投資者希望盡量避免風險, 希望有輕微的資本增長機會, 並明白及願意承受輕微的資本風險。
- 可能適宜此類投資者的投資產品在資本價值上可能波動並跌至低於他/她原本的投資額。預期在正常市況下, 波動僅為輕微(但不作保證), 而他/她可接受這一程度的波動。
- 評為低風險(1)的投資產品應當適宜此類投資者。
- The risk level determined is: Low Risk(1) – for an investor who is very risk averse and wants to gain the potential for minimal capital growth while he/she understands that he/she needs to take a minimal amount of risk with the capital invested.
- Capital values of investment products that are potentially suitable for such investor may fall below his/her original investment. In normal market conditions, fluctuation is expected to be minimal (although this is not guaranteed), and he/she is comfortable with this level of fluctuation.
- Investment products with risk rating “Low Risk (1)” are likely to be suitable for such investors.

風險承受程度 Risk Tolerance Level: 低至中風險(2) Low to Medium Risk (2)

- 所確定的風險程度是: 低至中風險(2) – 投資者希望有低至中等程度的資本增值機會, 並明白及願意承受低至中等程度的資本風險。
- 可能適宜此類投資者的投資產品在資本價值上可能波動並跌至低於他/她原本的投資額。預期在正常市況下, 波動為低至中等 (但不作保證), 而他/她可接受這一程度的波動。
- 評為低至中度風險(2)或更低風險的投資產品應當適合此類投資者。
- The risk level determined is: Low to Medium Risk(2) – for an investor who wants to gain the potential for low to medium capital growth while he/she understands that he/she needs to take low to medium amount of risk with the capital invested.
- Capital values of investment products that are potentially suitable for such investor may fall below his/her original investment. In normal market conditions, fluctuation is expected to be low to medium (although this is not guaranteed), and he/she is comfortable with this level of fluctuation.
- Investment products with risk rating “Low to Medium Risk (2)” or below are likely to be suitable for such investors.

風險承受程度 Risk Tolerance Level: 中風險 (3) Medium Risk (3)

- 所確定的風險程度是: 中風險(3) – 投資者希望有中等程度的資本增值機會, 並明白及願意承受中等程度的資本風險。
- 評為中度風險(3)或更低風險的投資產品應當適合此類投資者。
- The risk level determined is: Medium Risk(3) – for an investor who wants to gain the potential for moderate capital growth while he/she understands that he/she needs to take a moderate amount of risk with the capital invested.
- Investment products with risk rating “Medium Risk (3)” or below are likely to be suitable for such investors.

風險承受程度 Risk Tolerance Level: 中至高風險(4) Medium to High Risk (4)

- 所確定的風險程度是: 中至高風險(4) – 投資者希望他/她的投資有很高的資本增值機會, 並明白及願意承受很高的資本風險。
- 評為中至高風險(4)或更低風險的投資產品應當適合此類投資者。
- The risk level determined is: Medium to High Risk(4) – for an investor who wants to gain the potential of high capital growth while he/she understands that he/she needs to take a high amount of risk with the capital invested.
- Investment products with risk rating “Medium to High Risk (4)” or below are likely to be suitable for such investors.

風險承受程度 Risk Tolerance Level: 高風險(5) High Risk (5)

- 所確定的風險程度是: 高風險(5) – 投資者希望他/她的投資有大幅度的資本增值機會, 並明白及願意承受大幅度的資本風險。
- 評為高風險(5)或更低風險的投資產品應當適合此類投資者。
- The risk level determined is: High Risk(5) – for an investor who wants to have very significant capital growth while he/she understands that he/she needs to take a very significant amount of risk with the capital invested.
- Investment products with risk rating “High Risk (5)” or below are likely to be suitable for such investors.

**(6) 衍生產品認識問卷 / 投資者分類 Derivatives Knowledge Questionnaire / Investor Characterization ("IC")**

此部分旨在協助評估閣下是否具備衍生工具的知識。本公司將根據閣下於下方提供的資料，評估閣下是否了解衍生產品的性質和風險。請回答以下問題並在最符合閣下情況的方格上加「✓」。

*This part assesses whether you have knowledge of derivatives. Based on the information provided below, we will assess whether you understand the nature and risks of derivative products. Please answer the following questions and "✓" the box that best describes you.*

請提供以下有關於衍生產品的資料：

With regards to derivative products, please provide the following information:

	是 Yes	否 No
<p>請問閣下/貴公司在過去三年內，有否進行過五次或以上相關於以下衍生產品的投資交易？(優先股、永久債券、可換股債券、次級債券、可贖回債券、可回售債券、可轉換債券(也可稱之為「CoCo 債券」)、遞增票息債券、債券回購/逆回購協議、對沖基金、遠期、利率上/下限、遠期利率協議、掉期期權、債務抵押債券、期權、認股權證、期貨、掉期、合成交易所交易基金、結構性產品、無本金交割遠期外匯、雙幣投資、累計期權/累沽期權)、中期票據(關於信用、指數、債券、外匯 - 固定/浮動/區間計息和基金)和重新包裝票據。</p> <p>Have you/your company made 5 or more investment transactions in the past 3 years in any of the following derivatives products? (preference shares, perpetual bonds, convertible bonds, subordinated bonds, callable bonds, puttable bond, contingent convertible (otherwise known as "CoCos"), step-up coupon bonds, repos/reverse repos, hedge funds, forwards, caps and floors, forward rate agreement, swaption, collateralized debt obligation, options, warrants, futures, swaps, synthetic ETFs, structured produces, non-delivery forward, dual currency investment, accumulator/decumulator), medium term notes (linked to credit, index, bond, FX – fixed/floating/range accrual, Funds), repackaged notes.</p>	<p>請具體說明: Please provide details:</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<input type="checkbox"/>
<p>請問閣下/貴公司有否參加過由銀行、金融機構、教育機構或專業組織所舉辦與衍生工具相關之培訓或課程呢？</p> <p>Have you/your company received any training or attended any courses related to derivatives offered by banks, financial institutions, educational institutions or professional organization?</p>	<p><input type="checkbox"/> 銀行 Banks</p> <p><input type="checkbox"/> 其他金融機構 Other financial institutions</p> <p><input type="checkbox"/> 教育機構 Education institutions</p> <p><input type="checkbox"/> 專業組織 Professional organizations</p> <p>請具體說明(包括但不限於參加培訓的日期、培訓的主題及培訓組織的名稱):</p> <p>Please provide details (including but not limited to the date of the training(s) attended, the subject of the training(s) and the name of the organization which delivered the training):</p> <p>_____</p> <p>_____</p> <p>_____</p>	<input type="checkbox"/>
<p>請問閣下/貴公司是否擁有與衍生產品相關的工作經驗？</p> <p>Do you/your company have any work experience relating to derivatives products?</p>	<p>請具體說明: Please provide details:</p> <p>_____</p> <p>_____</p>	<input type="checkbox"/>

**評估結果 Assessment Result**

- 具備金融衍生工具的知識 (至少有一條回答「是」)。  
 With knowledge on financial derivatives (at least one positive answer "yes" in above).
- 不具備金融衍生工具的知識。  
 Without knowledge on financial derivatives.



## SECTION E – 自我認證 SELF-CERTIFICATION

(用於共同匯報標準 (“AEOI”) 及海外帳戶稅收合規法案 (“FATCA”))

(For Automatic Exchange of Information (“AEOI”) and Foreign Account Tax Compliance Act (“FATCA”))

### 重要提示:

1. 此表格是由帳戶持有人提供給中信證券經紀香港和/或中信證券期貨香港為 AEOI 及 FATCA 的用途。
2. 根據 AEOI 和 FATCA 法規，中信證券經紀香港和/或中信證券期貨香港有責任通過自我認證收集客戶的稅務相關信息。
3. 此表格中的任何指導均不構成任何稅收建議，因此，閣下需要諮詢獨立專業顧問以填寫此自我認證表格所需的任何說明。
4. 根據 AEOI 和 FATCA 法規，中信證券經紀香港和/或中信證券期貨香港有責任可把此自行證明書內收集的資料及帳戶有關財務詳情轉交給金融機構所屬國家的稅務機關。
5. 表格的所有部分都必須填寫(除非不適用或另有規定)。如果提供的空間不足，可另紙填寫。

### Important Notes:

1. This form is provided to CSBHK and/or CSFHK by an account holder for the purpose of AEOI and FATCA.
2. Under AEOI and FATCA regulations, CSBHK and/or CSFHK is required to collect the tax related information of our customers through self-certification.
3. None of the guidance within this form constitutes any tax advice, you are therefore required to consult independent professional advisors for any assistance required to complete this self-certification form.
4. The data collected may be transmitted by CSBHK and/or CSFHK to the Inland Revenue Department and/or any other governmental bodies or agency for the purpose of complying with the AEOI and FATCA regulations.
5. All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, please use additional sheet(s).

### Part 1 – 稅務居民身份聲明 Tax Residency Declaration

請提供一下資料，列明(a)帳戶持有人的居留司法管轄區，以及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。Please list ALL jurisdictions (including Hong Kong) in which you are resident for tax purposes and provide the respective Tax Identification Number (“TIN”) for each jurisdiction.

居留司法管轄區 Country/Jurisdiction of tax residence	稅務編號 TIN (or functional equivalent)	如沒有提供稅務編號，請填寫理由 A、B 或 C* If no TIN is available, please select a reason from A to C from the below list*	如選取理由 B，解釋帳戶持有人不能 取得稅務編號的原因 Explanation for reason B

\*如沒有提供稅務編號，必須填寫合適的理由 \*List of reasons for non-availability of TIN:

- 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。Jurisdiction does not issue TIN or equivalent.
- B. 帳戶持有人不能取得稅務編號。如選取這一理由，請解釋帳戶持有人不能取得稅務編號的原因。Unable to obtain TIN, please explain.
- C. 帳戶持有人無需提供稅務編號。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。TIN is not required as the Jurisdiction does not require disclosure.

請  選此框以確認閣下已聲明所有居留及稅務司法管轄區。Please  the box to confirm you have specified ALL jurisdictions in which you are resident for tax purposes.

### Part 2 – 外國帳戶稅務遵從法 / 合格中介機構聲明 FATCA / QI Declaration

按照美國稅務法規，請回答以下問題以確認閣下的身份。Please answer the following question in order to confirm your status under the tax laws and regulations of the United States.

閣下是否美國公民/美國居民/美國的永久外輪居民 (即所謂綠卡持有人)? Are you a United States citizen/United States resident/United States Permanent Resident Alien (i.e. a so called U.S. green card holder)?

是 Yes  不是 No

若閣下是美國人士，請填寫和提供 W9 表格。If you are a US Person, please also provide the following W9 Form.

<https://apps.irs.gov/app/picklist/list/formsInstructions.html?value=w-9&criteria=formNumber>

如果閣下在中信證券經紀香港和/或中信證券期貨香港的帳戶中選擇了美國證券交易(請參閱附加服務)，則閣下的帳戶將用於在美國市場交易或在全球市場中的美國證券/衍生品交易，請同時提供 W8 表格 <https://apps.irs.gov/app/picklist/list/formsInstructions.html?value=w-8&criteria=formNumber> 或 W9 表格 <https://apps.irs.gov/app/picklist/list/formsInstructions.html?value=w-9&criteria=formNumber>。

In respect of your response, if US Securities Trading (See Additional Service) is your subscribed service in your account with CSBHK and/or CSFHK your account will be used for trading in US market or for trading in US Securities/Derivatives in Global Markets, please also provide W8-BEN Form <https://apps.irs.gov/app/picklist/list/formsInstructions.html?value=w-8&criteria=formNumber> or W9 Form <https://apps.irs.gov/app/picklist/list/formsInstructions.html?value=w-9&criteria=formNumber> as applicable.

注意: 若閣下不是美國人士，並且不會使用在中信證券經紀香港和/或中信證券期貨香港開設的帳戶在美國市場進行交易，則可能不需要填寫 W8/W9 表格。  
Note: If you are **NOT** a US Person and if account with CSBHK/CSFHK will **NOT** be used for trading in US market, then form W8/W9 may not be needed.

根據偽證處罰，閣下的簽名將認證閣下已經檢查了本表中提供的資訊，並且據閣下所知並確信，該資訊是真實，正確和完整的。閣下在此證明及承諾:

Under penalties of perjury, Your signing in this Form to declare that you have examined the information provided in this form and to the best of your knowledge and belief it is true, correct, and complete. You further certify and undertake that:

- 閣下是與該自認證相關的帳戶及所有收入的實益人(或閣下是帳戶實益人授權的簽署者)。You are the individual that is the beneficial owner (or You are authorized to sign and undertake this certification for the individual that is the beneficial owner) of all the income related to the account to which this self-certification relates.
- 如果在此表格和/或 W8-BEN 表格或 W9 表格(如適用)上有任何認證出現於閣下的稅務狀況有關的情況變動,所提供的資料失實或不完整的情況下,閣下將在 **30 天之內**立即通知中信證券經紀香港和/或中信證券期貨香港,並提供更新的自我證明表格。You will notify CSBHK/CSFHK promptly and provide an updated Self-Certification form **within 30 days** if any certification made on this form and/or the W8-BEN Form or W9 Form (as applicable) becomes incorrect or invalid.
- 閣下同意讓中信證券經紀香港和/或中信證券期貨香港披露本表格中包含的資訊以及與我在中信證券經紀香港和/或中信證券期貨香港帳戶中有關的任何資訊轉讓給位於任何司法管轄區的分支機構,分支機構或代表處以為執行與遵守相關法政及規定。You agree that CSBHK/CSFHK may disclose and transfer to its branches, affiliates or representative offices located in any jurisdiction the information contained in this form, and any information relating to my account(s) with CSBHK/CSFHK, in connection with or to facilitate their compliance with applicable laws and regulations.
- 閣下同意中信證券經紀香港和/或中信證券期貨香港收集,使用和披露閣下提供的資訊(包括向任何政府機構或機構披露資訊),以為執行與遵守相關法政及規定。You consent to CSBHK/CSFHK collecting, using and disclosing information (including disclosing information to any government authority or agency) that you have provided for the purpose of complying with applicable laws and regulations.

**警告:** 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,無論是明知還是魯莽,即屬犯罪。犯罪者可被定罪。

**WARNING:** It is an offence under local tax regulation if any person, in making a self - certification, makes a statement that is misleading, false or incorrect in a material particular whether it is knowingly or recklessly. The person who commits the offence is liable to conviction.

## SECTION F – 其他服務 ADDITIONAL SERVICES

除帳戶外,中信證券經紀香港及/或中信證券期貨香港還提供以下投資服務(統稱「投資服務」)。這些投資服務均受一些條款和條件的約束;這些條款和條件將補充中信證券經紀香港《證券買賣條款》、《孖展證券貸款條款》和/或中信證券期貨香港的《期貨及期權買賣條款》(視情況而定)和任何附錄(統稱「條款」)及(如適用)私隱政策聲明。

In addition to accounts, CSBHK and/or CSFHK also provides the investment services listed below (the "Investment Services"). The provision of each of these Investment Services is governed by a set of terms and conditions which will supplement 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 (collectively, the "Terms & Conditions") and (if applicable) the Privacy Policy Statement from time to time.

閣下可以選擇中信證券經紀香港及/或中信證券期貨香港提供其他可選的投資服務,但某些服務可能須符合特定資格。某些類型的投資服務可能需要提供相關的證明文件或填寫額外的表格。請「✓」選以下方框,即表示閣下確認已閱讀並理解條款的最新版本以及中信證券經紀香港網站www.citics.com.hk上發布的相關附錄或私隱政策聲明,並同意受其約束。

You may select which additional Investment Services you would like CSBHK and/or CSFHK to provide to you, but certain Services may be subject to eligibility. Separate supporting documentations or forms may be required for certain types of Investment Services. Please "✓" the box(es) below, and by so selecting the service(s), you confirm that you have read and understood the latest versions of the Terms & Conditions and any relevant Addendum or Privacy Policy Statement as posted on CSBHK's website at www.citics.com.hk and agree to be bound by them.

請在閣下選擇的相應投資服務中加「✓」,可選多項。Please "✓" the boxes for the corresponding Investment Services which you would like to subscribe, you may choose more than one option.

投資服務 Investment Services	所需提供相關的證明文件或填寫額外的表格 Supporting documentations or forms need to be provided
<b>中信證券經紀香港 CSBHK</b>	
<input type="checkbox"/> 美國證券交易 US Securities Trading	1) W8 表格 W8Ben
<input type="checkbox"/> 香港股票期權交易 HK Stock Options Trading	1) 有關證券買賣條款的期權交易補充協議 Options Trading Addendum T&C 2) 年度常設授權 Annual Standing Authority
<input type="checkbox"/> 孖展證券貸款 Margin Financing Services	1) 額外資料披露 Disclosure of Additional Information (Section G)
<input type="checkbox"/> 財富管理(包括債券 / 基金 / 結構性產品) Wealth Management (including bonds / investment funds / structured notes)	1) 投資經驗及知識 Investment Experience and Knowledge (Section H) 2) 客戶確認表格 Client Acknowledgement Form 3) 專業投資者客戶聲明 PI Declaration Form 4) 資產證明 Asset Proof 5) W8 表格 W8Ben
<input type="checkbox"/> 證券配售服務 Securities Placement Service	1) 專業投資者客戶聲明 PI Declaration Form 2) 資產證明 Asset Proof
<input type="checkbox"/> 場外交易 OTC Market	1) 場外交易確認書 OTC Market Trading Acknowledgement
滬深股票市場交易互聯互通 China Connect Markets:	<input type="checkbox"/> 上海市場 Shanghai market (MAMK) <input type="checkbox"/> 深圳市場 Shenzhen market (SZMK)
通過以上之選項,閣下確認並同意於此服務下建立的中華通市場和交易應受《中華通相關的附錄》中條款的約束「《中華通附錄》」。閣下確認已閱讀並理解《中華通附錄》的內容,並同意中信證券經紀香港可根據該附錄第 8 條及《證券買賣條款》的內容及其所述目的使用閣下的個人資料/客戶信息。 By checking the above box, you acknowledge and agree that China Connect Markets and transactions entered into under this service shall be subject to and governed by terms set out in the <u>Addendum in relation to China Connect</u> (the "China Connect Addendum"). You confirm that you have read and understood the contents of the Addendum and consent to CSBHK using your personal data/the Customer Information on the terms of and for the purposes set out in Clause 8 of the China Connect Addendum and the relevant <u>Terms and Conditions for Securities Trading</u> .	

中信証券期貨香港 CSBHK	
<input type="checkbox"/> 香港恒指期貨交易/股票期貨/期指期權 HK Index Futures Trading/Stock Futures/Index Option	1) 「免責聲明」確認書 Acknowledgement of Disclaimer 2) 年度常設授權 Annual Standing Authority
<input type="checkbox"/> 國際期貨交易 Global Futures Trading	1) 國際期貨買賣條款補充 Supplementary Terms & Conditions for Global Futures Product 2) 年度常設授權 Annual Standing Authorities 3) W8 表格 W8Ben

## SECTION G – 額外資料披露 DISCLOSURE OF ADDITIONAL INFORMATION

### 只適用於孖展客戶 (For Margin Client Only)

如果閣下申請了保證金融資服務，請完成以下部分 If you applied for margin financing service, please complete the below sections:

(1) 閣下是否此中信証券經紀香港孖展帳戶的實益擁有人?

Are you the beneficial owner of this margin account of CSBHK?

<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 否，請詳述 No, please provide details:	實益擁有人名稱 Name of Beneficial Owner:	身份證 / 護照號碼 ID / Passport No.:	孖展帳戶號碼 (如有) Margin Account No. (if any):
_____				

(2) 閣下的配偶是否中信証券經紀香港的孖展客戶?

Is your spouse a margin client of CSBHK?

<input type="checkbox"/> 否 No	<input type="checkbox"/> 是，請詳述 Yes, please provide details:	配偶名稱 Name of Spouse:	孖展帳戶號碼 Margin Account No.:
_____			

(3) 閣下是否單獨或與閣下的配偶共同控制任何中信証券經紀香港的公司孖展客戶 35% 或以上的表決權?

Are you, either alone or with your spouse, in control of 35% or more of the voting rights of any corporate margin client of CSBHK?

<input type="checkbox"/> 否 No	<input type="checkbox"/> 是，請詳述 Yes, please provide details:	公司名稱 Company Name:	孖展帳戶號碼 Margin Account No.:
_____			

(4) 除上述帳戶外，閣下是否其他中信証券經紀香港孖展帳戶(配偶除外)的實益擁有人?

Other than the aforementioned accounts and spouse accounts, are you the beneficial owner of other CSBHK margin accounts?

<input type="checkbox"/> 否 No	<input type="checkbox"/> 是，請詳述 Yes, please provide details:	客戶名稱 Client Name:	孖展帳戶號碼 Margin Account No.:
_____			

(5) 閣下 / 貴公司有否為其他中信証券經紀香港的孖展帳戶提供擔保?

Are you a guarantor of any other CSBHK margin account?

<input type="checkbox"/> 否 No	<input type="checkbox"/> 是，請詳述 Yes, please provide details:	客戶名稱 Client Name:	孖展帳戶號碼 Margin Account No.:
_____			

(6) 是否有任何人士 / 公司為閣下 / 貴公司的中信証券經紀香港孖展帳戶提供任何擔保?

Is there any person / company providing any guarantee for your CSBHK margin account?

<input type="checkbox"/> 沒有任何擔保安排 Without any guarantee arrangement	<input type="checkbox"/> 有擔保安排，擔保人 <b>並非</b> 中信証券經紀香港孖展客戶(請回答第(7)項) Yes. Guarantor is <b>NOT</b> a CSBHK margin client. (Please answer item (7) below)	<input type="checkbox"/> 有擔保安排，擔保人為中信証券經紀香港孖展客戶 Yes. Guarantor is CSBHK margin client	孖展帳戶號碼 Margin Account No.:
客戶名稱 Client Name: _____			

- (7) 承上題(6)，如閣下/貴公司孖展帳戶的擔保人並非中信證券經紀香港孖展客戶，就閣下所知，該名擔保人有否為其他中信證券經紀香港孖展帳戶提供擔保？  
Further to (6), if the guarantor of your margin account with CSBHK is not a margin client of CSBHK, to your best knowledge, is that same guarantor of other margin accounts maintained with CSBHK?

否 No       是，請詳述 Yes, please provide details:

擔保人名稱 Guarantor Name:      客戶名稱 Client Name:      孖展帳戶號碼 Margin Account No.:

#### 定義 Definitions

《證券保證金融資活動指引》第 2.1 段 Paragraph 2.1 of the 《Guidelines for Securities Margin Financing Activities》:

「**關聯保證金客戶組別 (group of connected margin clients)**」，就證券保證金融資經紀行而言，指：

- 一組關連保證金客戶(具有《財政資源規則》第42(3)條給予該詞的涵義)；
- 任何兩名或以上屬自然人(配偶除外)並代表同一第三方行事的保證金客戶，而該名第三方並非該證券保證金融資經紀行的保證金客戶，但卻是該等保證金客戶的帳戶的實益擁有人，或將會從該等保證金客戶的帳戶的交易中取得商業或經濟利益或承擔商業或經濟風險；
- 任何兩名或以上屬自然人(配偶除外)的保證金客戶，而其中一名保證金客戶透過其他保證金客戶行事並且是該等其他保證金客戶的帳戶的實益擁有人，或將會從該等其他保證金客戶的帳戶的交易中取得商業或經濟利益或承擔商業或經濟風險；
- 任何兩名或以上屬法團的保證金客戶，而該等法團由一名自然人單獨或與其配偶共同控制其35%或以上的表決權；或
- 任何兩名或以上藉擔保安排而在財務上有關聯的保證金客戶，而其中一名或以上的保證金客戶的財務負債由一名或以上的其他保證金客戶擔保，或他們的財務負債由同一擔保人擔保，而該擔保人並非該證券保證金融資經紀行的保證金客戶。

“**Group of connected margin clients (關聯保證金客戶組別)**”, in relation to an SMF broker, means:

- a group of related margin clients (which has the meaning assigned to it in section 42(3) of the FRR);
- any two or more margin clients who are natural persons (other than spouses) and act on behalf of the same third party where the third party is not a margin client of the SMF broker but is the beneficial owner of their accounts, or stands to gain the commercial or economic benefit or bear the commercial or economic risk of the transactions in their accounts;
- any two or more margin clients who are natural persons (other than spouses) where one acts through the others and is the beneficial owner of the others' accounts, or stands to gain the commercial or economic benefit or bear the commercial or economic risk of the transactions in the others' accounts;
- any two or more margin clients that are corporations of which a natural person, either alone or with his spouse, controls 35% or more of their voting rights; or
- any two or more margin clients who are financially connected by guarantee arrangements, whereby the financial liabilities of one or more of them are guaranteed by one or more of the others, or their financial liabilities are guaranteed by the same guarantor where the guarantor is not a margin client of the SMF broker.

香港附屬法例第 571N 章《證券及期貨(財政資源)規則》第 2 條:

Section 2 of the 《Securities and Futures (Financial Resources) Rules》, Cap. 571N of the laws of Hong Kong

「**保證金客戶 (margin client)**」

- 就任何就第 1 類受規管活動獲發牌的持牌法團而言，指獲該法團提供證券保證金融資的客戶；或
- 就任何就第 8 類受規管活動獲發牌的持牌法團而言，指該法團的任何客戶；

“**margin client (保證金客戶)**”

- in relation to a licensed corporation licensed for Type 1 regulated activity, means a client to whom the licensed corporation provides securities margin financing; or
- in relation to a licensed corporation licensed for Type 8 regulated activity, means any of its clients;

香港附屬法例第 571N 章《證券及期貨(財政資源)規則》第 42(3) 條:

Section 42(3) of the 《Securities and Futures (Financial Resources) Rules》, Cap. 571N of the laws of Hong Kong

「**一組關連保證金客戶 (group of related margin clients)**」是指就第 1 類或第 8 類受規管活動獲發牌的持牌法團的任何 2 名或多於 2 名的保證金客戶，而

- (如該組只有 2 名保證金客戶)其中一名保證金客戶是另一名的配偶；
- (如該等保證金客戶中有一名或多於一名是法團)其中一名保證金客戶單獨或與其配偶控制其餘的一名或每名保證金客戶(視屬何情況而定)的35%或以上的表決權；或
- (如該等保證金客戶均是法團)該等保證金客戶是同一公司集團的成員。

“**group of related margin clients (一組關連保證金客戶)**” means any 2 or more margin clients of a licensed corporation licensed for Type 1 or Type 8 regulated activity and

- where it is a group of 2 margin clients, one is the spouse of the other;
- where one or more of the margin clients are corporations, one is in control, either alone or with his spouse, of 35% or more of the voting rights of that other margin client or each of the other margin clients (as the case may be); or
- where the margin clients are corporations, they are members of the same group of companies.

香港法例第 571N 章《證券及期貨條例》的附表 1:

Schedule 1 《Securities and Futures Ordinance》, Cap. 571 of the laws of Hong Kong

「**公司集團 (group of companies)**」是指 2 個或多於 2 個的法團，而其中 1 個是其餘法團的控權公司；

“**group of companies (公司集團)**” means any 2 or more corporations one of which is the holding company of the other or others (as the case may be);

「**控權公司 (holding company)**」就某法團而言，是指以該法團作為附屬公司的另一法團；

“**holding company (控權公司)**” means, in relation to a corporation, any other corporation of which it is a subsidiary;

「**法團 (corporation)**」是指在香港或其他地方成立的公司或其他法人團體，但不包括為本定義的目的而藉根據本條例第 397 條訂立的規則豁免遵守本條例條文的公司或其他法人團體，而就獲如此豁免遵守本條例任何條文的公司或其他法人團體而言，法團一詞在該豁免範圍內不包括該公司或法人團體

“**corporation (法團)**” means a company or other body corporate incorporated either in Hong Kong or elsewhere, but does not include a company or other body corporate which is prescribed by rules made under section 397 of the Securities and Futures Ordinance for the purposes of this definition as being exempted from the provisions of the Securities and Futures Ordinance, or to the extent that it is prescribed by rules so made as being exempted from any provision of the Securities and Futures Ordinance;.



## SECTION H –投資經驗及知識 INVESTMENT EXPERIENCE AND KNOWLEDGE

### 只適用於財富管理客戶 (For Wealth Management Client Only)

1. 閣下有否委派專業人士處理投資事宜? Have you appointed professional to handle investment?

(A) 無, 而且本人對投資產品的瞭解並不多。No, I do not have much knowledge on investment products.

(B) 無, 但本人對投資產品有基本認識。No, but I have basic knowledge on investment products.

(C) 無, 但本人對投資產品十分熟悉。No, but I have extensive knowledge on investment products.

(D) 有。Yes.

(E) 有, 而且多過一名。Yes, and more than 1 professional.

2. 請「✓」選以下方框, 以表示閣下有多少年投資於以下投資產品的經驗? Please "✓" the boxes to indicate how many years of experience do you have in respect of the following investment products?

- 已開發市場, 即中國香港、新加坡、澳洲、加拿大、法國、德國、意大利、日本、荷蘭、瑞典、瑞士、紐西蘭、英國和美國。  
Developed Markets i.e. Hong Kong, Singapore, Australia, Canada, France, Germany, Italy, Japan, the Netherlands, Sweden, Switzerland, New Zealand, the United Kingdom and the United States.
- 新興市場(即已開發市場之外的其他市場)。  
Emerging Markets (i.e. markets other than the Developed markets).

a) 現金、存款、存款證、保本產品。Cash, deposits, certificate of deposits, capital protected products.

	已開發市場 Developed Markets	新興市場 Emerging Markets
(A) 無經驗 No Experience	<input type="checkbox"/>	<input type="checkbox"/>
(B) 少於 3 年 Less than 3 years	<input type="checkbox"/>	<input type="checkbox"/>
(C) 3 至 6 年 Between 3 and 6 years	<input type="checkbox"/>	<input type="checkbox"/>
(D) 7 至 10 年 Between 7 and 10 years	<input type="checkbox"/>	<input type="checkbox"/>
(E) 10 年以上 Over 10 years	<input type="checkbox"/>	<input type="checkbox"/>

b) 債券、次級債券、永久債券、可換股債券、可贖回債券、可回售債券、可轉換債券(也可稱之為「CoCo 債券」)、遞增票息債券、債券基金、非保本之債券/與信用掛鉤之結構性投資產品。Bonds subordinated bonds, perpetual bonds, convertible bonds, callable bonds, puttable bond, contingent convertible (otherwise known as 'CoCos'), step-up coupon bonds, bond funds, non-capital protected bond / credit linked structured products.

	已開發市場 Developed Markets	新興市場 Emerging Markets
(A) 無經驗 No Experience	<input type="checkbox"/>	<input type="checkbox"/>
(B) 少於 3 年 Less than 3 years	<input type="checkbox"/>	<input type="checkbox"/>
(C) 3 至 6 年 Between 3 and 6 years	<input type="checkbox"/>	<input type="checkbox"/>
(D) 7 至 10 年 Between 7 and 10 years	<input type="checkbox"/>	<input type="checkbox"/>
(E) 10 年以上 Over 10 years	<input type="checkbox"/>	<input type="checkbox"/>

c) 外幣、利率、商品、非保本之貨幣/利率/與商品掛鉤之結構性投資產品。Foreign currencies/interest rate/commodity linked structured products.

	已開發市場 Developed Markets	新興市場 Emerging Markets
(A) 無經驗 No Experience	<input type="checkbox"/>	<input type="checkbox"/>
(B) 少於 3 年 Less than 3 years	<input type="checkbox"/>	<input type="checkbox"/>
(C) 3 至 6 年 Between 3 and 6 years	<input type="checkbox"/>	<input type="checkbox"/>
(D) 7 至 10 年 Between 7 and 10 years	<input type="checkbox"/>	<input type="checkbox"/>
(E) 10 年以上 Over 10 years	<input type="checkbox"/>	<input type="checkbox"/>

d) 股票、交易所交易基金、開放式基金、場內衍生工具(包括認股權證、CBBC、合成交易所基金、L&I 產品、股票期權等)、非保本且與股票掛鉤之結構性投資產品。Stocks, exchange traded funds (ETF), open-ended funds, listed derivatives (including warrants, CBBC, synthetic ETFs, L&I products, share options etc.), non-capital protected equity linked structured products.

	已開發市場 Developed Markets	新興市場 Emerging Markets
(A) 無經驗 No Experience	<input type="checkbox"/>	<input type="checkbox"/>
(B) 少於 3 年 Less than 3 years	<input type="checkbox"/>	<input type="checkbox"/>
(C) 3 至 6 年 Between 3 and 6 years	<input type="checkbox"/>	<input type="checkbox"/>
(D) 7 至 10 年 Between 7 and 10 years	<input type="checkbox"/>	<input type="checkbox"/>
(E) 10 年以上 Over 10 years	<input type="checkbox"/>	<input type="checkbox"/>



e) 其他衍生工具產品，如場內期貨/遠期、場內/場外期權、債券回購/逆回購協議、對沖基金、遠期、利率上/下限、遠期利率協議、掉期期權、債務抵押債券、累積/累沽期權、掉期、中期票據(關於信用、指數、債券、外匯 - 固定/浮動/區間計息和基金)和重新包裝票據。Other derivatives such as listed futures/forwards, listed/OTC options, repos/reverse repos, hedge funds, forwards, caps and floors, forward rate agreement, swaption, collateralized debt obligation, accumulator/decumulator, swaps, medium term notes (linked to credit, index, bond, FX – fixed/floating/range accrual, Funds), repackaged notes.

	已開發市場 Developed Markets	新興市場 Emerging Markets
(A) 無經驗 No Experience	<input type="checkbox"/>	<input type="checkbox"/>
(B) 少於 3 年 Less than 3 years	<input type="checkbox"/>	<input type="checkbox"/>
(C) 3 至 6 年 Between 3 and 6 years	<input type="checkbox"/>	<input type="checkbox"/>
(D) 7 至 10 年 Between 7 and 10 years	<input type="checkbox"/>	<input type="checkbox"/>
(E) 10 年以上 Over 10 years	<input type="checkbox"/>	<input type="checkbox"/>

f) 封閉式基金、設有鎖定期的投資產品、另類投資(包括私募股權投資等)、基金相關衍生品。Close-ended funds, investment products with lock-up, alternative investments (including private equities etc.), fund linked derivatives.

	已開發市場 Developed Markets	新興市場 Emerging Markets
(A) 無經驗 No Experience	<input type="checkbox"/>	<input type="checkbox"/>
(B) 少於 3 年 Less than 3 years	<input type="checkbox"/>	<input type="checkbox"/>
(C) 3 至 6 年 Between 3 and 6 years	<input type="checkbox"/>	<input type="checkbox"/>
(D) 7 至 10 年 Between 7 and 10 years	<input type="checkbox"/>	<input type="checkbox"/>
(E) 10 年以上 Over 10 years	<input type="checkbox"/>	<input type="checkbox"/>

3. 閣下現在是否持有以下任何投資產品？(可選多項) Are you holding any of the below investment products? (You can choose more than one answer)

- (A) 現金、存款、存款證、保本產品 Cash, deposits, certificate of deposits, capital protected products
- (B) 債券、債券基金 Bonds, bond funds
- (C) 外幣、非保本之貨幣掛鉤結構性投資產品 Foreign currencies, non-capital protected currency linked structured products
- (D) 股票、開放式基金 (不包括債券基金或貨幣市場基金)、非保本之股票掛鉤結構性產品、有投資性質的保險計劃、商品 Stocks, open-end funds (excluding bond funds & money market funds), non-capital protected equity linked structured products, investment-linked insurance plan, commodities
- (E) 期權、期貨、認股權證 (俗稱「窩輪」) Options, futures, covered warrants

4. 閣下現時已投資於價值波動之投資產品的資產，大概佔閣下/貴公司資產 (不計算自用物業的價值) 的百分之幾？有關價值波動之投資產品的例子，請參閱問題2d。Approximately what percentage of your assets (excluding own use property) is currently held in investment products where the value can fluctuate? Please refer to Question 2d for examples of such products.

- (A) 0% 0%
- (B) 0% 以上至 10% Greater than 0% and up to 10%
- (C) 10% 以上至 25% Greater than 10% and up to 25%
- (D) 25% 以上至 50% Greater than 25% and up to 50%
- (E) 50% 以上 Over 50%

5. 一般情況下，投資年期越長，風險越高。當投資於價值波動之投資產品時，閣下願意接受下列哪個投資年期？有關價值波動之投資產品的例子，請參閱問題2d。It is generally true that the longer the investment horizon, the higher the risk. What time horizon would you generally be comfortable with when investing in products the value of which can fluctuate? Please refer to Question 2d for examples of such products.

- (A) 少過 1 年 Less than 1 year
- (B) 1 年至 3 年 Between 1 and 3 years
- (C) 4 年至 6 年 Between 4 and 6 years
- (D) 7 年至 10 年 Between 7 and 10 years
- (E) 多過 10 年 Over 10 years

## SECTION I – 聲明及簽署 DECLARATION AND SIGNATURE

1. 本人/吾等保證上述資料為真實及正確，並授權中信證券經紀香港及/或 中信證券期貨香港（視屬何情況而定）通過任何途徑進行核實。本人/吾等承諾如果在此《開戶表格》內提供的資料有任何變更，本人/吾等會立即通知中信證券經紀香港和/或（如適用）中信證券期貨香港。此《開戶表格》受中信證券經紀香港的《證券買賣條款》、《孖展證券貸款條款》、各項產品相關之附錄和/或（如適用）中信證券期貨香港的《期貨及期權買賣條款》及附錄（如適用）（統稱為「買賣條款」）約束。本人/吾等已閱讀並已明白載列於中信證券經紀香港的網址 [www.citics.com.hk](http://www.citics.com.hk) 的相關《買賣條款》以及提供予本人/吾等私隱政策聲明之最新版本，並同意受其約束。本人/吾等明白中信證券經紀香港及中信證券期貨香港可以不時修改《買賣條款》和私隱政策聲明，而這些文件的最新版本可於上述網頁查閱。本人/吾等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。本人/吾等確認已按照本人/吾等選擇的語言獲提供包含於相關《買賣條款》內的風險披露聲明，並已獲邀閱讀該風險披露聲明、提出問題及尋求獨立專業意見（如本人/吾等有此意願）。此外，本人/吾等知悉並確認已如實填寫了《風險評估問卷》（「問卷」），並且已閱讀、明白並接受「問卷」相關「免責聲明」的條款。本人/吾等明白「問卷」的內容不構成任何投資產品或服務的建議或推介，並且本人/吾等明白如本人/吾等對問卷有任何疑問或不同意由問卷之計分方法所得出的風險承受程度，本人/吾等有機會提出問題並尋求獨立專業意見。本人/吾等明白所有投資均涉及風險，因此並不適合所有投資者。本人/吾等會根據本人/吾等的財務狀況、投資經驗、投資目標、風險胃納及特定需要作出投資決定。本人/吾等不會選擇不適合本人/吾等之投資和/或風險等級屬於本人/吾等不可以接受的投資。

I/We warrant that the above information is true and correct, and authorize CSBHK and/or CSFHK (as the case may be) to verify it with any source. I/We undertake to promptly notify CSBHK and/or (if applicable) CSFHK if there is any change in the information provided by me/us in this Account Opening Form. This Account Opening Form 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. I/We confirm that I/we have read and understood the latest versions of the Terms & Conditions and the Privacy Policy Statement as posted on CSBHK's website at [www.citics.com.hk](http://www.citics.com.hk) and agree to be bound by them. I/We understand that CSBHK/CSFHK may amend the Terms and Conditions and the Privacy Policy Statement from time to time and that the latest versions of these documents will be available on that website. I/We shall continue to visit the website to familiarize myself/ourselves with the terms of the latest versions of these documents and agree to be bound by them. I/We confirm that the Risk Disclosure Statement (as contained in the relevant Terms and Conditions) has been provided to me/us in the language of my/our choice and that I/we have been invited to read the same, to ask questions and to take independent professional advice (if I/we so wish). Further, I/we acknowledge and confirm that I/we have completed the Risk Profiling Questionnaire (the "**Questionnaire**") truthfully and have read, understood and accept the terms contained in the Disclaimer of the Questionnaire. I/We understand that the Questionnaire does NOT constitute any advice or recommendation of any investment products and services, and I/we have an opportunity to ask questions and to seek independent professional advice if I/we have any questions and/or disagree with risk tolerance level derived from the use of the Scoring point in the Questionnaire. I/We understand that all investment involves risk and will not be suitable for all investors. I/We make my/our investment decision(s) based on my/our own financial situation, investment experience, investment objectives, risk appetite and specific needs. I/We shall not select investments that may not be appropriate for me/us and/or investments of a risk level that I/we am/are not prepared to accept.

2. 本人/吾等知悉並確認已填寫《年度常設授權書》，授權中信證券經紀香港和/或中信證券期貨香港（視屬何情況而定）按照《年度常設授權書》的條文，處理本人/吾等的證券戶口（定義見中信證券經紀香港的《證券買賣條款》）、戶口（定義見中信證券期貨香港的《期貨及期權買賣條款》）以及任何不時代表本人/吾等持有的其他綜合戶口的資金。此項授權由本人/吾等簽署《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。

I/We acknowledge and confirm that I/we have completed an Annual Standing Authority form whereby I/we have authorized CSBHK and/or CSFHK (as the case may be) to deal with funds in my/our Securities Account (as defined in the Terms and Conditions for Securities Trading of CSBHK), Account (as defined in the Terms and Conditions for Futures and Options Trading of CSFHK) and any other segregated accounts held on my/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 I/we sign 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.

3. 本人/吾等已閱讀並接受中信證券經紀香港網頁（網頁）的使用條款並同意遵守有關限制。本人/吾等亦有責任遵守所有適用法律、法規。本人也明白，網頁提供產品及服務的資料僅供參考。這裡或網頁的內容均不應被視為認購、買入或出售或要約認購、購買或出售任何證券、金融工具、產品或投資或在任何司法管轄區進行任何交易的要約或建議。有關內容是以中信證券經紀香港和中信證券期貨香港認為可靠之公開資訊為基礎。然而，中信證券經紀香港和中信證券期貨香港均無法保證或擔保其準確性和完整性，並且不會承擔任何由於使用這些資料而造成的任何（直接或間接）損失或損害，亦不會對於任何錯誤、差異、不準確或其中包含的遺漏承擔責任。

I/We have read and accepted the terms of use of CSBHK's web-site and the relevant restrictions. I/We understand that I/we are required to comply with all applicable laws and regulations. I/We understand that information relating to products and services provided on CSBHK's website is for information only. It should not be construed as an offer or recommendation to subscribe, buy or sell or the solicitation of an offer to subscribe, buy or sell any securities, financial instruments, products or investments or to enter into any transactions in any jurisdictions. The contents are based on information obtained from public sources that CSBHK and/or CSFHK believe to be reliable. However, CSBHK and CSFHK are not in a position to guarantee or warrant their accuracy and completeness and shall not be liable for any loss or damage (direct or indirect) of any kind arising out of the use of the information or for any errors, discrepancies, inaccuracies or omissions contained therein.

4. 如果本人/吾等的非美國人身份有變，本人/吾等會立即通知中信證券經紀香港/中信證券期貨香港。本人/吾等確認我們沒有就作為非美國人的身份作任何不實陳述。本人/吾等明白，如果本人/吾等沒有及時通知中信證券經紀香港/中信證券期貨香港或曾作出不實陳述，中信證券經紀香港/中信證券期貨香港有權立刻終止提供予本人/吾等的服務和與本人/吾等業務關係而並提起訴訟、追討損失。

I/We shall inform CSBHK/CSFHK immediately if my/our status as a Non-U.S. Person is to change. I acknowledge that failure to do so or any mis-representation as to my/our status as a Non-U.S. Person entitles CSBHK/CSFHK to terminate for cause all services and business relationship with me/us and to sue for damages.

5. 中信證券經紀香港/中信證券期貨香港可能會不時與本人/吾等聯繫，討論本人/吾等的風險狀況以及本人/吾等提供的其他信息。本人/吾等應遵守與本人/吾等證券戶口、戶口中持有的任何資產以及通過它進行的任何交易有關的所有適用法律和法規。在進行每筆交易之前，本人/吾等會先確定每一項交易符合其投資經驗、投資目標、財務狀況、投資年期、風險承受水平、流動性需求、(如適用)本人/吾等對產品發行人的潛在表現及發行人和(如適用)擔保人信譽的看法、稅務情況、分散投資的需求和其它相關情況及(如有需要)尋求獨立的專業意見。

CSBHK/CSFHK may from time to time contact me/us to discuss my/our risk profile and other information provided by me/us. I/We shall comply with all applicable laws and regulations relevant to my/our **Securities Account or Account**, as the case may be, any assets held in it and any transactions conducted through it. Prior to entering into a transaction, I/we shall satisfy myself/ourselves that it fits my/our investment experience, investment objectives, financial position, investment time horizon, risk tolerance level, liquidity needs, (if applicable) my/our view of the potential performance of the product issuer and the creditworthiness of the issuer and (if any) the guarantor, tax situation, diversification needs and other relevant circumstances and (if necessary) seek independent professional advice.

6. (只適用於保證金戶口客戶)

本人/吾等現申請中信證券經紀香港之孖展證券貸款服務，並同意接受中信證券經紀香港的《孖展證券貸款》條款及《證券買賣條款》及其不時的修改所約束。本人/吾等確認本人/吾等已閱讀這些文件（尤其是其各項風險披露聲明）。本人/吾等確定已按照本人/吾等選擇的語言獲提供上述風險披露聲明，並已獲邀閱讀這些風險披露聲明、提出問題及尋求獨立專業意見（如本人/吾等有此意願）。

(For Margin Account Client Only)

I/We hereby apply for the Margin Financing Service of CSBHK and agree to be bound by the Terms and Conditions for Margin Financing of CSBHK and its Terms and Conditions for Securities Trading and their amendments made from time to time. I/We confirm that I/we have read and understood these documents (in particular the respective Risk Disclosure Statements). I/We confirm that such Risk Disclosure Statements have been provided to me/us in the language of my/our choice, and that I/we have been invited to read the same, to ask questions and to seek independent professional advice (if I/we so wish).

本人/吾等謹此承諾及確認本人/吾等已授權中信證券經紀香港根據上述《孖展證券貸款條款》第5條規定處理本人/吾等的證券及證券抵押品。授權有效期為由本人/吾等簽署《年度常設授權書》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)《年度常設授權書》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，經本人/吾等同意延續或被視為延續，而每一次延續有效期為12個月。

I/We acknowledge and confirm that I/we have authorized CSBHK to deal with my/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 on which I/we sign the Annual Standing Authority and may be renewed with my/our consent, or deemed to be renewed, at or before the end of (1) the calendar year of the Annual Standing Authority and (2) each subsequent calendar year for, in each instance, a further twelve months in accordance with the applicable laws and rules.

7. 直接促銷 Direct Marketing

閣下之個人資料將根據本公司的《私隱政策聲明》所述被使用/轉移作直接促銷用途。

Your Information may be used and transferred for direct marketing purposes as stated in our Privacy Policy Statement.

如閣下不接受您的個人資料作該等使用/轉移，請於以下相關方格加上「√」號，以表明閣下反對該等使用/轉移。如閣下並無在以下相關方格加上「√」號，則閣下列印並簽署本表格即表示閣下同意中信證券香港可使用或將閣下的個人資料轉移或提供給私隱政策聲明內所述一個或多個機構(包括，中信證券經紀香港、中信證券期貨香港及其(香港或香港以外)的聯屬人、中信證券股份有限公司、中信證券國際及它們的任何集團成員公司、第三方金融機構、承保人、證券及投資服務供應商、第三方獎賞、忠誠或優惠計畫供應商、中信證券經紀香港、中信證券期貨香港或其聯屬人的合作品牌夥伴、一些慈善或非牟利機構)用作直接促銷有關產品、服務及專案。閣下明白並同意中信證券經紀香港和/或中信證券期貨香港可能因將閣下的個人資料提供予這些機構而獲得金錢或其他利益作為回報。請注意，如閣下不同意您的個人資料為此等用途被使用或轉移，本集團將無法向閣下提供任何直接促銷信息(例如促銷優惠和折扣、活動和市場動態的資訊)。

Should you find such use/transfer of your personal data not acceptable, please indicate your objection by “√” the relevant box(es) below. If you do not “√” the relevant box(es), by printing and signing this form you agree that CSBHK may use or provide your personal data to all or any of the organizations specified in the Privacy Policy Statement (including, CSBHK, CSFHK and their Affiliates (in Hong Kong or outside Hong Kong), CITIC Securities Co., Ltd. (“CITICS”), CSI and any group companies of CITICS or CSI, third party financial institutions, insurers, securities and investment services providers, third party reward, loyalty, co-branding or privileges program providers, co-branding partners of CSBHK, CSFHK or their Affiliates and charitable or non-profit organizations) for marketing those products, services and initiatives to you directly. You also understand and agree that CSBHK and/or CSFHK may receive money or other benefits in return for providing your personal data to these organizations. Please note that objection to either the use or the transfer of your personal data for such purposes will prevent our group from providing you with any direct marketing information (such as promotional offers and discounts, events and market updates).

本人/吾等反對上述擬使用本人的個人資料作直接促銷用途，及/或轉移本人的個人資料作直接促銷用途。

I/We **OBJECT** to the proposed use of my/our personal data in direct marketing, and/or transfer of my/our personal data in direct marketing

本人/吾等已閱讀私隱政策聲明的其他部分，並明白及同意該等條款。

I/We have read the other parts of the Privacy Policy Statement and understand and agree to those terms.



如果本人/吾等沒有勾選上面的方框並在下面簽名則表示本人/吾等接受個人資料用於直接營銷，但若隨後本人/吾等決定不再希望收到任何此類營銷通訊，本人/吾等可以隨時書面通知中信證券經紀香港及/或中信證券期貨香港到csi-callcentre@citics.com.hk或致函香港中環添美道1號中信大廈26字樓聯絡資料保護主任以告知本人/吾等選擇退出。

If I/we do not tick the box above and sign below to signify my/our acceptance of the personal data being used for direct marketing but subsequently decide I/we no longer wish to receive any such marketing communications, I/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 your Data Protection Officer at 26th Floor, CITIC Tower 1, Tim Mei Road, Central, Hong Kong.

\*聯名帳戶下，如任何一位聯名帳戶持有人表示反對，有關反對將適用於所有聯名帳戶持有人。

\*In the case of joint accounts, any such objection made by one joint account holder applies to all joint account holders.

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

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

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

本人/吾等已閱讀並理解中信證券香港不時修訂及補充的私隱政策聲明、與個人資料或隱私保護相關的通告及/或中信證券香港及中信證券香港關聯公司在相關司法管轄區中的個人資料相關通知（“**私隱政策聲明**”），並刊載於網站<https://www.citics.com.hk/customer-service.php>。本人/吾等同意中信證券香港出於中信證券香港在私隱政策聲明中列舉的目的收集、使用、處理和/或披露本人/吾等的個人資料。

I/we have read and understood data protection policies, circulars in relation to the personal data or privacy protection and/or notices of CSHK and its affiliates relating to personal data in the relevant jurisdictions (“**Privacy Policy Statement**”) as set out on the website at <https://www.citics.com.hk/customer-service.php>, as amended and/or supplemented from time to time. I/we consent to CSHK’s collection, use, processing and/or disclosure of my/our personal data for the purposes listed on its Privacy Policy Statement.

特別是，本人/吾等通過勾選下面的相關方框表示同意向中信證券香港的關聯公司和某些第三方披露、收集、使用、處理或披露本人/吾等的個人敏感資料或敏感個人信息（其定義請參考相關司法管轄區適用的個人資料法律或隱私保護法）（以下統稱為“**個人敏感資料**”）及/或進行跨境傳輸。

In particular, I/we expressly consent to CSHK’s collection, use, processing or disclosure of my/our sensitive personal data/sensitive personal information (as provided by any applicable laws of personal data or privacy protection law in the relevant jurisdiction(s) (the “sensitive personal data”), disclose to its affiliates and certain third parties and/or cross-border transfer by ticking the relevant boxes below.

### (i) 與個人敏感資料相關的同意 Consent related to Sensitive Personal Data

- 透過勾選此方框，本人/吾等理解並承認，出於中信證券香港不時修訂及補充的私隱政策聲明中信證券香港列出的目的，中信證券香港或其他人可能根據下述“向其他實體披露和/或處理個人資料相關的同意”來收集、處理、使用和/或披露本人/吾等的個人敏感資料。本人/吾等在此明確同意根據中信證券香港的私隱政策聲明中的規定收集、處理、使用和/或披露本人/吾等的個人敏感資料。

By ticking this box, I/we understand and acknowledge that for the purposes listed on Privacy Policy Statement of CSHK, as amended and/or supplemented from time to time, my/our sensitive personal data may be collected, processed, used and/or disclosed by CSHK or other parties as provided below under “Consent related to Personal Data Disclosure and/or Processing by Other Entities”. I/we hereby expressly agree and consent to such collection, processing, use and/or disclosure of my/our sensitive personal data in accordance with the Privacy Policy Statement of CSHK.

### (ii) 向其他實體披露和/或處理個人資料相關的同意 Consent related to Personal Data Disclosure to and/or Processing by Other Entities

- 通過勾選此方框，本人/吾等理解、承認並同意中信證券香港可向下述機構披露本人/吾等的個人資料：(i) 中信證券香港和其他關聯公司；(ii) 任何第三方服務提供商；(iii) 中信證券香港或中信證券香港的關聯公司的專業顧問（包括律師）及中信證券香港因向本人/吾等履行/提供服務所需的代理人或第三方（包括但不限於中信證券香港的執行經紀人、清算所和結算代理人）；(iv) 中信證券香港或其關聯公司的審計師；(v) 法律或任何法院命令允許或要求向其披露的任何人；(vi) 對中信證券香港或中信證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 (vii) 任何繼任者和受讓人，無論位於相關司法管轄區之內還是之外。根據本人/吾等的要求，中信證券香港還可以向本人/吾等（如果有）提供第三方的隱私政策，若中信證券香港曾向該第三方提供過本人/吾等的個人資料。

By ticking this box, I/we understand, acknowledge and consent that CSHK may disclose my/our personal data to (i) the affiliates of CSHK; (ii) any third party service providers; (iii) CSHK or its affiliate’s professional advisers (including lawyers) and agents or third parties necessary for CSHK performing/providing services to me/us (including but not limited to your executing brokers, clearing houses and settlement agents); (iv) CSHK or its affiliate’s auditors; (v) any person to whom disclosure is permitted or required by law or any court order; (vi) any local or foreign government agencies, regulatory authorities and statutory bodies having jurisdiction over CSHK or its affiliates; and/or (vii) any successors and assigns, whether located in or outside the relevant jurisdiction. Upon request by us, CSHK may provide us (where available) with the privacy policies of third parties to whom CSHK provide my/our personal data.

### (iii) 與跨境轉移相關的同意書 Consent related to Cross-Border Transfer

- 通過勾選此方框，本人/吾等理解、承認並同意本人/吾等的個人資料可能由中信證券香港或中信證券香港的關聯公司進行跨境轉移給其關聯公司、中信證券香港的第三方服務提供商、中信證券香港或其關聯公司的專業顧問、代理人以及上述“向其他實體披露和/或處理個人資料相關的同意”中規定的任何其他個人、團體、機構、組織或實體，並應按照相關司法管轄區的個人資料保護法來執行。本人/吾等理解並承認，本人/吾等擁有根據本人/我們司法管轄區的相關個人資料保護法律和法規授予本人/吾等的權利。

By ticking this box, I/we understand, acknowledge and consent that my/our personal data may be transferred by CSHK or its affiliate outside of the relevant jurisdiction to their other affiliates, their third party service providers, CSHK or its affiliate’s professional advisers, agents and to any other person, body, agency, organization or entity as provided above under “Consent related to personal data Disclosure and/or Processing by Other Entities”, which shall be carried out in accordance with the personal data protection law of the relevant jurisdiction. I/We also understand and acknowledge that I/we have the rights conferred to me/us under the relevant personal data protection laws and regulations in my/our jurisdiction.

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本人/吾等同意的情況下收集、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 my/our consent, such permission granted by the law shall continue to apply.

本人/吾等理解，如果本人/吾等不希望中信証券香港使用本人/吾等的個人資料，本人/吾等可以書面撤回本人/吾等的同意，但本人/吾等必須依照中信証券香港私隱政策聲明中的規定書面通知中信証券香港。本人/吾等理解，根據情況，本人/吾等撤回同意可能會導致中信証券香港無法持續向本人/吾等提供某些服務和/或產品，並在法律允許的情況下導致終止與本人/吾等的關係或賬戶。另外，撤回同意不會影響撤回前基於本人/吾等的同意收集、使用和披露本人/吾等的個人資料的合法性。如果本人/吾等對有關個人資料的同意有任何疑問，本人/吾等可能會通過 [dataprotectionofficer@cls.com](mailto:dataprotectionofficer@cls.com) 與中信証券香港聯繫或寫信至香港中環添美道1號中信大廈26樓。

I/We understand that if I/we do not wish for CSHK to use my/our personal data, I/we may withdraw my/our consent in writing but I/we must notify CSHK in writing as provided in the Privacy Policy Statement. I/We understand that depending on the circumstances, my/our withdrawal of consent may result in CSHK's inability to provide me/us with certain services and/or products that CSHK has been offering to me/us, and consequently, may result in the termination of our relationship and/or accounts with CSHK if permitted under the applicable laws. The withdrawal of consent will not affect the lawfulness of the collection, use, and disclosure of my/our Personal Data based on my/our consent before it was withdrawn. If I/we have any enquiry regarding the consent related to personal data, we/I may contact CSHK at [dataprotectionofficer@cls.com](mailto:dataprotectionofficer@cls.com) or write to CSHK at 26/F, CITIC Tower, 1 Tim Mei Ave, Central, Hong Kong.

Instruction Arrangement (for Joint Account)		
此戶口可根據以下指示方式操作 (請在適當空格加「✓」) The Account can be operated under the instruction of (please "✓" the appropriate box) :		
個人戶口 Individual	聯名戶口 Joint Account	
<input type="checkbox"/> 客戶本人 The Customer	<input type="checkbox"/> 任何一位帳戶持有人的指示 Either one of the account holder	<input type="checkbox"/> 任何兩位戶口持有人的指示 Any two account holders <input type="checkbox"/> 所有戶口持有人的指示 All account holders
<b>簽署 Signature</b>		
第一申請人簽署 1st Applicant Signature	其他申請人簽署 Other Applicant Signature(s)	
日期 Date	日期 Date	
* (簽署式樣將被用作核證任何就證券戶口/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 <b>Securities Account(s)/Accounts.</b> )		
見證人簽署 Signature of Witness	見證人姓名 Name of Witness	

9. 非當面開戶之簽署附件 Acknowledgement for Non Face to Face Account Opening

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**」)特此提醒閣下注意及閱讀載於中信証券經紀香港之《證券買賣條款》、(如適用)中信証券期貨香港之《期貨及期權買賣條款》和相關交易/服務附錄中的各項風險披露聲明。客戶已獲告知上述文件會不時被更新。

CITIC Securities Brokerage (HK) Limited ("CSBHK") and CITIC Securities Futures (HK) Limited ("CSFHK") hereby draw your attention to the various risk disclosure statements contained in the Terms and Conditions for Securities Trading of CSBHK, (if applicable) the Terms and Conditions for Futures and Options Trading of CSFHK and any relevant Addendum. The Customer is reminded that any of the above documents may be amended from time to time.

10. 客戶確認 Customer's Acknowledgement

本人/吾等確認已按照本人/吾等選擇的語言獲提供載於中信証券經紀香港之《證券買賣條款》、(如適用)中信証券期貨香港之《期貨及期權買賣條款》和相關交易/服務附錄中的各項風險披露聲明，並已閱讀、明白其中內容。本人/吾等亦確認本人/吾等已獲邀提出問題及尋求獨立的專業意見(如本人/吾等有此意願)。

I/We confirm that I/we have received, read and understood the various risk disclosure statements contained in the Terms and Conditions for Securities Trading of CSBHK, (if applicable) the Terms and Conditions for Futures and Options Trading of CSFHK and any relevant Addendum in the language of my/our choice. I/We also confirm that I/we have been invited to ask questions and (if I/we so wish) to seek independent professional advice.

<b>簽署 Signature</b>	
客戶簽署 Signature(s) of Customers	見證人簽署 Signature of Witness
客戶姓名 Customer's Names	見證人姓名 Name of Witness
日期 Date	