

Disclosure of Additional Information 額外資料披露*

***(For Margin Account Customer of CSBHK only) 只適用於中信証券經紀香港的孖展客戶**

客戶名稱 Customer Name: _____

帳戶號碼 Account number: _____

適用於個人/聯名孖展客戶 For individual/joint margin customer

- i. 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):
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- ii. 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 customer^ 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.:
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- iii. 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 customer 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.:
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- iv. 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 Customer Name:	孖展帳戶號碼 Margin Account No.:
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適用於公司或法人團體客戶 For body corporate or legal entity customer only

- v. 請問 貴公司是否控制另一中信証券經紀香港的公司孖展客戶的 35%或以上的表決權？
Please advise whether your company is in control of 35% or more of the voting rights of another corporate 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.:
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- vi. 請問是否有另一中信証券經紀香港的孖展客戶或公司孖展客戶控制 貴公司 35%或以上的表決權(如該客戶為個人，則包括其配偶的表決權)？
Please advise whether another margin client or corporate margin client of CSBHK controls 35% or more of the voting rights of your company. (if the other margin client is an individual, includes the voting rights of his / her spouse).

<input type="checkbox"/> 否 No	<input type="checkbox"/> 是 (請詳述) Yes (Please provide details):	客戶名稱 Customer Name:	孖展帳戶號碼 Margin Account No.:
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- vii. 請問是否有其他中信証券經紀香港的公司孖展客戶與 貴公司為同一公司集團成員^？
Please advise whether you and any corporate margin customer(s) of CSBHK are members of same group of companies^ .

<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.:
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- viii. 請問控制 貴公司 35%或以上表決權的人士(無論是單獨或與其配偶共同持有)是否同時亦控制其他中信証券經紀香港的公司孖展客戶 35%或以上的表決權？
Is/are the person (alone or together with his/her spouse) who controls 35% or more of voting rights of your company or entity, in control of 35% or more of the voting rights of any other corporate margin customer 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.:
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適用於所有個人 / 聯名 / 公司或法人團體孖展客戶 For all individual / joint/ body corporate or legal entity margin customer

- ix. 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 Customer Name:	孖展帳戶號碼 Margin Account No.:

- x. 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，擔保人並非中信証券經紀香港孖展客戶 (請回答第 xi 項) Yes. Guarantor is NOT a CSBHK margin customer. (Please answer item xi)	<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 customer 客戶名稱 Customer Name:	孖展帳戶號碼 Margin Account No.:

- xi. 承上題(x)，如 閣下 / 貴公司孖展帳戶的擔保人並非中信証券經紀香港孖展客戶，就您所知，該名擔保人有否為其他中信証券經紀香港孖展帳戶提供擔保？
Further to (x), if the guarantor of your margin account with CSBHK is not a margin customer of CSBHK, to your best knowledge, is that same guarantor of other margin accounts maintained with CSBHK?

<input type="checkbox"/> 否 No	<input type="checkbox"/> 是 (請詳述) Yes (Please provide details):	擔保人名稱 Guarantor Name:	客戶名稱 Customer Name:	孖展帳戶號碼 Margin Account No.:

^ 有關該詞語的定義，請參閱附錄 1 For definition of the term, please refer to Appendix 1

本人／吾等，簽署人，聲明並確認本表格中提供的信息是真實、完整和準確。如上述資料有任何更改或變得不準確，本人會立刻以書面形式通知中信証券經紀香港。

I /We, the undersigned, declare and confirm that the information given in this form is true, complete and accurate. I shall advise CSBHK immediately in writing if any information contained above has changed or become inaccurately.

簽署 Signature(s): _____ 日期 Date: _____

客戶／獲授權人士 (只適用於公司／機構客戶)

Customer/ Authorized Person (For Corporate / Institution Customer only)

以下由本公司填寫 For Internal Use Only:

FTF NFTF

核查及同意: Reviewed & Concurred By:

_____ 日期 Date: _____

經紀／證券銷售員 AE / Salesperson

口頭與客戶確認 (附錄音紀錄) Verbally confirmed with customer (with taped recording)

確認日期／時間 Confirmation Date/Time: _____ 確認電話內線 Ext. : _____

核對: Checked By:

_____ 日期 Date: _____

客戶服務主任 CSO

Appendix 1 附錄 1

Definitions 定義

Paragraph 2.1 of the Guidelines for Securities Margin Financing Activities

《證券保證金融資活動指引》第 2.1 段:

"**Group of connected margin clients**", in relation to an SMF broker, means:

- (i) a group of related margin clients (which has the meaning assigned to it in section 42(3) of the FRR);
- (ii) 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;
- (iii) 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;
- (iv) 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
- (v) 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.

“**關聯保證金客戶組別**”，就證券保證金融資經紀行而言，指：

- (i) 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）；
- (ii) 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；
- (iii) 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；
- (iv) 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
- (v) 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。

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

香港附屬法例第 571N 章《證券及期貨(財政資源)規則》第 2 條:

"**margin client** (保證金客戶)- "

- (a) 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
- (b) in relation to a licensed corporation licensed for Type 8 regulated activity, means any of its clients;

“**保證金客戶** (margin client) —"

- (a) 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
- (b) 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；

Section 42(3) of the Securities and Futures (Financial Resources) Rules, Cap. 571N of the laws of Hong Kong
香港附屬法例第 571N 章《證券及期貨(財政資源)規則》第 42(3)條:

"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—

- (a) where it is a group of 2 margin clients, one is the spouse of the other;
- (b) 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
- (c) where the margin clients are corporations, they are members of the same group of companies.

“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——

- (a) (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;
- (b) (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
- (c) (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。

Schedule 1, Securities and Futures Ordinance, Cap. 571 of the laws of Hong Kong
香港法例第 571N 章《證券及期貨條例》的附表 1:

"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);

“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;

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

“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;

"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;

“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