

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

客戶名稱 (英文) Name of Customer (English):

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

商業地址 Business Address:

郵寄地址 (若與上述地址不同)  
Mailing Address (if different from the above address):

公司電話 Office Tel No.: ( ) -  公司傳真 Office Fax No.: ( ) -

電郵地址 E-mail Address:  公司網址 Company Website:

聯絡人 Contact Person:	名稱 Name	電話 Phone No.	傳真號碼 Fax No.	電郵地址 E-mail address
(1)	<input type="text"/>	( ) - <input type="text"/>	( ) - <input type="text"/>	<input type="text"/>
(2)	<input type="text"/>	( ) - <input type="text"/>	( ) - <input type="text"/>	<input type="text"/>

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

(a) <input type="checkbox"/> 交易所 / 結算所 / 自動化交易服務提供者 Exchange company / clearing house / automated trading services provider	(g) <input type="checkbox"/> 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
(b) <input type="checkbox"/> 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	(h) <input type="checkbox"/> 政府 (市政府除外) / 中央銀行 / 多邊機構 Government (other than municipal government) / central bank / multilateral agency
(c) <input type="checkbox"/> 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	(i) <input type="checkbox"/> (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
(d) <input type="checkbox"/> 經認可 / 受規管的保險公司 Authorized / regulated insurance company	(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
(e) <input type="checkbox"/> 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	(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)
(f) <input type="checkbox"/> 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	

客戶的規管人是 Customer is regulated by:

規管人網址 Website of Regulator:

註冊地點 Place of Incorporation:

註冊日期 Date of Incorporation:

公司註冊証 / 商業登記証號碼  
No. of Certificate of Incorporation / Business Registration:

資金來源  
Source of Fund:  公司擁有者 Business Owner  銷售款項 Sales Proceeds  投資獲利 Investment Income  
 財務貸款 Financial Loan  其他 Others:

財產來源  
Source of Wealth:  業務收益 Business Income  實益擁有人 / 合夥人投資 Investment by Ultimate Beneficial Owner / Partner  
 投資獲利 Investment Income  售出物業 / 資產 Sale of Property / Asset  
 集團內部融資 Intra-group Financing  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):

## 不記名股票聲明 Bearer Share Declaration

1. 貴公司有發行不記名股票嗎？  有 Yes (請跳至問題 2 Please go to question 2)  
Has your company issued any bearer shares?  沒有 No (請跳至問題 3 Please go to question 3)
2. 請問不記名股票是否存放於保管人？  是 Yes (請跳至問題 2(a) Please go to question 2(a))  
Is the bearer share deposited under a custodian?  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。 百分比 Percentage 實益持有人名稱 Beneficial Owner Full Name  
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). \_\_\_\_\_
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國際有限公司。  
I / we will promptly provide written notification to Citic Securities International Company Limited in case of the issuance of bearer shares.

### 經授權為機構帳戶交易人士 (註解3) Persons authorized to deal for the institutional account (Note3):

指示 Instruction	姓名 Name	職位 Position	聯絡電話 Contact No.
交易 Trading			
非交易 Written (non-trading)			

所需服務 Optional Service(s) Required :	有 Yes	無 No
直接進入市場服務 Direct Market Access Service	<input type="checkbox"/>	<input type="checkbox"/>
其他 (如有) Others, (if any)	<input type="checkbox"/>	<input type="checkbox"/>

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實。

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。

證券交易 / 孖展證券貸款之條款和條件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)、證券交易 / 孖展證券貸款之條款和條件連同與中信証券經紀香港提供的服務有關的附錄 (如適用)，並完全明白其中內容。本客戶資料表格連同證券交易 / 孖展證券貸款之條款和條件及附錄 (如適用) 合稱 "協議"。

我們同意並承認如我們與中信証券經紀香港經營業務或繼續與其經營業務，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你們以便日後的業務處理。如本客戶資料表格 (包括其註解) 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 instruct otherwise.

The Terms and Conditions for Securities Trading / Margin Financing 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), the Terms and Conditions for Securities Trading / Margin Financing together with any Addendum in relation to the services provided by CSBHK (if applicable). This Customer Information Statement, together with the Terms and Conditions for Securities Trading / Margin Financing and the Addendum (if applicable) are collectively referred to as the "Agreement".

We agree and acknowledge that if we carry on or continue to carry on business with CSBHK, we will 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 you separately for your 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.

- 本公司反對本公司的個人資料被用作貴公司個人資料 (私隱) 條例之通告中所指的服務或產品的直接促銷，及/或轉移至中信証券國際有限公司 (「中信証券國際」)、中信銀行(國際)有限公司 (「中信銀行國際」)，及/或它們的任何集團公司用作相關直接促銷。

(\*如客戶未有在空格上加「✓」，但在客戶資料表格上簽署表示接納有關個人資料 (私隱) 條例之通告，將表示客戶不反對 (即同意) 客戶的個人資料可被用作相關直接促銷，或轉移至中信証券國際、中信銀行國際，及/或它們的任何集團公司用作相關直接促銷，然而客戶可隨時撤銷該同意，以停止接收任何推廣資料或物品。)

We object to the use of our personal data for direct marketing as specified in your company's Circular relating to the Person Data (Privacy) Ordinance and/or transfer of our personal data to CITIC Securities International Company Limited ("CSI") and China CITIC Bank International Limited ("CNCBI") and their group companies for direct marketing.

(\*If you do not tick the box but sign on the Customer Information Statement to signify your acceptance of the Circular relating to the Person Data (Privacy) Ordinance, you will be regarded as having indicated that you have no objection (i.e. consent) to the use or transfer to CSI, CNCBI and their group companies of your personal data for direct marketing as stated in the Circular. You may still opt-out from receiving any marketing information or materials at any time should you wish to withdraw your consent.)

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: \_\_\_\_\_

## For Official Use Only

### Account Opening Checklist

- |   |  |
|---|--|
| <input type="checkbox"/> Certified copies of Board Resolution(s) authorising the opening of securities account, execution of the account opening documents, and specifying authorised personnel(s) to sign documents or place order on behalf of the company with relevant specimen signature | <input type="checkbox"/> Specimen Signature List                             |
| <input type="checkbox"/> Letter issued by the client's independent department such as human resources, audit or compliance confirming the identities and authorities of the persons to sign account documents and perform actions stated in the authorised signatory list                     | <input type="checkbox"/> Latest Audited Accounts                             |
| <input type="checkbox"/> Assessment of Client Institution's Anti-Money Laundering and Counter-Terrorist Controls (for overseas financial institutions and funds)  | <input type="checkbox"/> Standing Settlement Instruction                     |
|   | <input type="checkbox"/> Pre-Confirmation Request Form                       |
|   | <input type="checkbox"/> GL Trade Request Form                               |
|   | <input type="checkbox"/> Sub Account Opening Requisition                     |
|   | <input type="checkbox"/> Anti-Money Laundering Risk Assessment Questionnaire |
|   | <input type="checkbox"/> Others: _____                                       |

### 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: \_\_\_\_\_  Others: \_\_\_\_\_  
Commission Rate: \_\_\_\_\_ ( ) \_\_\_\_\_ ( ) \_\_\_\_\_ ( ) \_\_\_\_\_ ( )  
Signature of Sales: \_\_\_\_\_ Date: \_\_\_\_\_  
Name: \_\_\_\_\_ AE Code: \_\_\_\_\_  
Approved by: \_\_\_\_\_ Date: \_\_\_\_\_

### 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；
- (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，也不需要保證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 and Receipts) 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.