

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

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

證券帳戶號碼
Securities Account Number _____

期貨帳戶號碼
Futures Account Number **F** _____

分行號碼
Branch Code _____

經紀號碼
A.E. Code _____

1. 戶口種類 Account Type

與中信証券經紀香港的證券交易戶口 Account (s) for Securities trading with CSBHK						
客戶種類 Customer Type:	<input type="checkbox"/> 公司 / 機構 Corporate / Institution	<input type="checkbox"/> 獨資 / 合夥 Sole Proprietorship / Partnership	戶口種類 Account Type:	<input type="checkbox"/> 現金戶口 (附託管服務) Cash Account (with custody services)	<input type="checkbox"/> 現金戶口 (不附託管服務) Cash Account (without custody services)	<input type="checkbox"/> 保證金戶口 Margin Account
與中信証券期貨香港的期貨及期權交易戶口 Account (s) for Futures and Options trading with CSFHK						
客戶種類 Customer Type:	<input type="checkbox"/> 公司 / 機構 Corporate / Institution	<input type="checkbox"/> 獨資 / 合夥 Sole Proprietorship / Partnership	戶口種類 Account Type:	<input type="checkbox"/> 期貨及期權戶口 Futures and Options Account		

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

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

2. 公司資料 Business Data

(英文 English)

公司名稱

Name of Company: _____

(中文 Chinese)

於註冊 / 成立國家
之註冊地址

Registered Address in
Country of
Incorporation /
Establishment: _____

(郵編 Postal Code _____)

總辦事處 / 通訊地址

Principal office /
Correspondence
address: _____

(郵編 Postal Code _____)

公司電話

Office Phone No.: () - _____

傳真號碼

Fax No.: () - _____

此電郵地址將會用作收取電子帳單 This email address will be registered for electronic statement.

電郵地址: (適用於網上交易及 / 或電子帳單服務)

Email Address: (For internet trading and / or electronic statement) _____

業務性質

Nature of Business: _____

經營業務年數

Years in the Business: _____

公司註冊號碼

Certificate of
Incorporation No.: _____

註冊地點及日期

Place and Date of
Incorporation _____

商業登記號碼

Business
Registration No.: _____

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

銀行名稱

Bank Name:

匯豐 HSBC 恆生 Hang Seng 信銀(國際) CNCBI 中銀 BOC 其他 Other _____

帳戶號碼

Account No.: _____

* 除非客戶於提款指示中指定另外之付款方式, 由客戶證券 / 期貨戶口提取之款項將會存入以上之銀行戶口。

Unless the undersigned specifies other payment method in the funds withdrawal instruction, funds withdrawn from the undersigned's Securities / Futures Account(s) shall be paid into the above bank account of the undersigned.

* 請提供存摺副本或銀行結單副本以便證明。若副本上之戶口持有人姓名與客戶名稱不同, 亦須填寫「每年常設指示 (付款予第三者)」。

Please provide copy of the passbook or copy of bank account statement as proof. If the Account Holder Name of the provided copy is different from the Client Name, please also complete the "Annual Standing Instruction (Payment to Third Party)".

4. 財務及投資資料摘要 Financial and Investment Summary

最近期經核數師作實之稅後盈 / 虧 Profit / Loss after tax based on the latest audited account(s)	<input type="checkbox"/> HK\$0 - HK\$500,000	<input type="checkbox"/> HK\$500,001 - HK\$3,000,000	<input type="checkbox"/> HK\$3,000,001 - HK\$5,000,000
	<input type="checkbox"/> HK\$5,000,001 - HK\$30,000,000	<input type="checkbox"/> >HK\$30,000,000	<input type="checkbox"/> 其他 Others: _____
最近期經核數師作實之淨資產值 Net Asset Based on the latest audited account(s)	<input type="checkbox"/> ≤HK\$1百萬 / Mil	<input type="checkbox"/> HK\$1百萬以上 / Mil more - HK\$1千萬 / 10 Mil	
	<input type="checkbox"/> HK\$1千萬以上 / 10 Mil more - HK\$5千萬 / 50 Mil	<input type="checkbox"/> HK\$5千萬以上 / 50 Mil more - HK\$1億 / 100 Mil	
	<input type="checkbox"/> >HK\$1億以上 / 100 Mil more		
資金來源 Source of Fund :	<input type="checkbox"/> 公司擁有人 Business Owner	<input type="checkbox"/> 銷售款項 Sales Proceeds	<input type="checkbox"/> 投資獲利 Investment Income
	<input type="checkbox"/> 財務貸款 Financial Loan	<input type="checkbox"/> 其他 Others: _____	
財產來源 Source of Wealth :	<input type="checkbox"/> 業務收益 Business Income	<input type="checkbox"/> 實益擁有人 / 合夥人投資 Investment by Ultimate Beneficial Owner / Partner	
	<input type="checkbox"/> 投資獲利 Investment Income	<input type="checkbox"/> 售出物業 / 資產 Sale of Property / Asset	
	<input type="checkbox"/> 集團內部融資 Intra-group Financing	<input type="checkbox"/> 其他 Others: _____	
投資經驗 Investment Experiences :	<input type="checkbox"/> 香港上市證券 HK listed securities _____ 年 years	<input type="checkbox"/> 沒有 No	
	<input type="checkbox"/> 香港以外上市證券 Overseas listed securities _____ 年 years		
	<input type="checkbox"/> 香港期貨及期權 HK futures and options _____ 年 years		
	<input type="checkbox"/> 香港以外期貨及期權 Overseas futures and options _____ 年 years		
投資目的 Investment Objective :	<input type="checkbox"/> 資本增長 Capital Appreciation	<input type="checkbox"/> 投機 Speculation	<input type="checkbox"/> 對沖 Hedging
	<input type="checkbox"/> 賺取收入 Generating Income	<input type="checkbox"/> 套戥 Arbitrage	
投資目標 Investment Target :	<input type="checkbox"/> 短期 (少於 3個月) Short Term (<3 months)	<input type="checkbox"/> 中期 (3 - 12個月) Medium Term (3 - 12 months)	
	<input type="checkbox"/> 長期 (一年以上) Long Term (>1 year)		
預期交易活動 (年計) Anticipated Level of Activity (Yearly) :	總交易金額 (港幣) Total Transaction Amount (HKD): _____		

5. 資料披露 Disclosure of Information

5.1 相關身份披露 Disclosure of identity

- i. 貴公司之董事、合夥人或主要股東是否任何交易所、交易委員會、結算所、銀行或信託公司代理人、高級人員、員工；或任何引薦經紀的聯屬人；或任何證券經紀、期貨經紀或持牌法團的高級人員、合夥人、董事或員工？

Are your directors, partners or substantial shareholders an agent, officer or employee of any exchange, board of trade, clearing house, bank or trust company; or an affiliate of any introducing broker; or an officer, partner, director or employee of any securities broker, futures broker or licensed corporation?

<input type="checkbox"/> 否 No	<input type="checkbox"/> 是 (請詳述) Yes (Please provide details):	該人士的姓名 Name of the person	機構名稱 Name of the institution
		_____	_____
		_____	_____
		_____	_____
		貴公司及上列人士同意中信證券經紀香港或中信證券期貨香港可於提供任何服務給予貴公司前接觸上述人士並須得到該人士同意。Your Company and the above person(s) agree that CSBHK or CSFHK may approach the above person(s) to obtain its consent before providing any service to your Company.	

- ii. 貴公司之董事、合夥人或主要股東有沒有親屬於中信證券經紀香港或中信證券期貨香港工作

Do any of your directors, partners or substantial shareholders have relative(s) working in CSBHK or CSFHK:

<input type="checkbox"/> 沒有 No	<input type="checkbox"/> 有 (請詳述) Yes (Please provide details):	該人士的姓名 Name of the person	親屬名稱 Name of the relative	關係 Relationship	No
		_____	_____	_____	_____
		_____	_____	_____	_____
		_____	_____	_____	_____

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

<input type="checkbox"/> 本公司 (本公司不是替第三者作為公司代理人處理帳戶) The Company (we are not acting as nominee company for a third party)	<input type="checkbox"/> 其他 (請詳述 / 提供附件) Others (Please provide details / supporting documents):	名稱 Name:	身份證 / 護照號碼 ID / Passport No.:
		地址 Address:	
		(郵編 Postal Code)	電話 Phone No.: () -

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

<input type="checkbox"/> 本公司 (本公司不是替第三者作為公司代理人處理帳戶) The Company (we are not acting as nominee company for a third party)	<input type="checkbox"/> 其他 (請詳述 / 提供附件) Others (Please provide details / supporting documents):	名稱 Name:	身份證 / 護照號碼 ID / Passport No.:
		地址 Address:	
		(郵編 Postal Code)	電話 Phone No.: () -

5.4 關連客戶 Connected Client

適用於中信證券經紀香港的客戶 For customer of CSBHK only

請披露貴公司是否為中信證券經紀香港或其所屬集團的「關連客戶」(根據香港聯合交易所有限公司證券上市規則所定義)及其詳情。

Please disclose whether your Company is a "connected client" (as defined under the Rules Governing the Listing of Securities of The Stock Exchange of Hong Kong Limited) of CSBHK or the group in which CSBHK is a member and if so, please provide the details.

<input type="checkbox"/> 否 No	<input type="checkbox"/> 是 (請詳述 / 提供附件) Others (Please provide details / supporting documents):

5.5 其他 Other

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

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

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

中文 Chinese 英文 English

6. 不記名股票聲明 Bearer Share Declaration

- 6.1 貴公司有發行不記名股票嗎？ 有 Yes (請跳至問題 6.2 Please go to question 6.2)
Has your company issued any bearer shares? 沒有 No (請跳至問題 6.3 Please go to question 6.3)
- 6.2 請問不記名股票是否保存於保管人？ 是 Yes (請跳至問題 6.2(a) Please go to question 6.2(a))
Is the bearer share deposited under a custodian? 否 No (請跳至問題 6.2(b) Please go to question 6.2(b))
- 6.2(a) 請提供保管人的名稱。 Please provide the name of the custodian.
(請保管人填寫不記名股票聲明書 Please ask your custodian to complete the Bearer Share Custodian Declaration Form)
- 6.2(b) 請提供不記名股票所佔的擁有權百分比及實益持有人名稱。 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). _____
- 6.3 請問貴公司是否能夠發行不記名股票？
Is your company capable of issuing bearer shares?
 是 Yes (請在空格上加「✓」作出以下聲明。 Please make the following declaration by ticking the box.)
 否 No
聲明 Declaration:
 如我 / 我們將來發行不記名股票，會盡快以書面通知中信証券國際有限公司。
I / we will promptly provide written notification to Citic Securities International Company Limited in case of the issuance of bearer shares.

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

公司名稱 Name of Company _____

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

地址 Address _____

並於 on (日期 Date _____) 舉行的董事會會議紀錄。

出席人 (出席董事全名) _____
Present (Full name of Directors present): _____

會議主席 Chairman of the meeting: _____

通知書及法定人數 Notice and Quorum

有關通知已按要求發出，且與會人數符合會議法定人數的要求，主席宣佈會議有效。

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

1. 授權簽署人 Signing Officer

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

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

姓名 Name	身份證號碼 / 護照號碼 I.D. / Passport No.	簽署式樣 Specimen	聯絡電話 Contact Phone No.

2. 交易人 Trading Officer

茲決議下列人士被授權為本公司帳戶的交易人，並代表本公司進行買賣 (包括透過以口頭，電子、書面或其他方式)，即時生效。

It was resolved that with immediate effect, the following person(s) is / are appointed as trading officer and authorized to give trading instructions (whether verbally, electronically, in writing or otherwise) for and on behalf of the Company:

姓名 Name	身份證號碼 / 護照號碼 I.D. / Passport No.	簽署式樣 Specimen	聯絡電話 Contact Phone No.

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

會議結束 END OF MEETING

沒有進一步的討論，主席宣佈會議結束。

There being no further business, the Chairman declared the meeting closed.

8. 保證金戶口客戶資料披露 Margin Account Customer's Disclosure of Information

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

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

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

戶口姓名 / 名稱 Name of Account	百分比 Percentage(%)	戶口號碼 Account No.	關係 Relationship
_____	_____	_____	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3
_____	_____	_____	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3
_____	_____	_____	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3

9. 客戶聲明 Customer's Declaration

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

此客戶資料表格受中信証券經紀香港的證券買賣條款及 / 或中信証券期貨香港的期貨及期權買賣條款 (視屬何情況而定) 及附錄 (如適用) 約束。本公司已閱讀並已明白中信証券經紀香港證券買賣條款及 / 或中信証券期貨香港期貨及期權買賣條款 (視屬何情況而定) 及附錄 (如適用) 以及提供予本公司的有關香港人個人資料 (私隱) 條例之通告, 並且同意受不時經修改及 / 或補充的該等條款及該通告所約束。本公司確認已按照本公司選擇的語言提供包含於上述中信証券經紀香港的證券買賣條款及 / 或中信証券期貨香港的期貨及期權買賣條款 (視屬何情況而定) 內的風險披露聲明, 並已獲邀閱讀該風險披露聲明、提出問題及徵求獨立意見 (如本公司有此意願)。

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

Our Company warrants that the above information is true and correct, and authorizes CSBHK and / or CSFHK (as the case may be) to verify it with any source. Our Company undertakes to promptly notify CSBHK and / or CSFHK (as the case may be) if there is any change in the information provided by our Company in this Customer Information Statement. This Customer Information Statement is subject to the Terms and Conditions for Securities Trading of CSBHK and / or the Terms and Conditions for Futures and Options Trading of CSFHK (as the case may be) and any Addendum (if applicable) from time to time. Our Company confirms that our Company has read and understood the Terms and Conditions for Securities Trading of CSBHK and / or the Terms and Conditions for Futures and Options Trading of CSFHK (as the case may be) and any Addendum (if applicable) from time to time and Circular relating to the Personal Data (Privacy) Ordinance provided to our Company, and agrees to be bound by each of the above as amended and / or supplemented from time to time. Our Company confirms that the Risk Disclosure Statement contained in the aforesaid Terms and Conditions for Securities Trading of CSBHK and / or the Terms and Conditions for Futures and Options Trading of CSFHK (as the case may be) has been provided to our Company in the language of our choice and that our Company has been invited to read the same, to ask questions and to take independent advice (if our Company wishes).

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

- 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 Personal 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 Personal 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.)

只適用於保證金戶口客戶 For Margin Account customer only

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

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

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

Our Company acknowledges and confirms that our Company has authorized CSBHK to deal with our securities and securities collateral in accordance with Clause 5 of the aforesaid Terms and Conditions for Margin Financing. This authority is given for a period of not more than twelve months from the date hereof and may be renewed by our consent, or deemed to be renewed, at or before the end of (1) the calendar year of the date hereof and (2) each subsequent calendar year for, in each instance, a further twelve months in accordance with the applicable laws and rules.

* (簽署式樣將被用作核證任何就戶口運作之書面指示。)

* (Specimen Signature(s) herein will be used to verify all written instructions given relating to the operation of the Account(s).)

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

☞

日期

Date _____

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

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

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

持牌代表簽名
Licensed Representative Signature:

日期
Date:

內部專用 For Internal Use

香港證券交易
HK Securities Trading

美國證券交易
US Securities Trading

香港恒指期貨及期權交易
HK Index Futures and Options Trading

國際期貨交易
Global Futures Trading

開戶備忘 Account Opening Checklist

公司戶口

本地 海外

- 1. 近三個月之地址證明 Proof of Address Within 3 Months
- 2. 所有董事之名單副本 Copy of List of all Directors
- 3. 所有董事、被授權人士及主要股東之身份證明副本¹
Copy of ID Card / Passport of all Directors, Authorized Persons & Substantial Shareholders¹
- 4. 商業登記證之副本及公司註冊證書之副本
Copy of Business Registration Certificate and Certificate of Incorporation or equivalent
- 5. 公司組織章程大綱及細則及其他章程文件之副本
Copy of Memorandum & Articles of Association & Other Constitutional Documents
- 6. 董事會決議授權執行客戶交易合約及開戶文件之核證副本² Certified Copies of Board Resolution(s)²
- 7. 簽名式樣 Specimen Signature
- 8. 所有授權簽署人之身份證明文件副本
Copy of ID card / Passport of all signing officers
- 9. 個人擔保書 / 公司擔保書 (擔保人需獲中信証券負責人員認可) Personal Guarantee / Corporate Guarantee from ultimate Beneficiary (Guarantors are subject to approval of CITIC Securities Responsible Officer)
- 10. 股東名冊之核證副本 Certified copy of Register of Members or equivalent document
- 11. 如客戶之股東為公司，需取得該客戶的最終主要實益擁有人之身份證明文件副本及近三個月之住址證明
If the shareholder of the client is a company, obtain the ID copy and residential address proof (within 3 months) of individual who is the ultimate principal beneficial owner of the customer
- 12. 「免責聲明」確認書 (只適用於中信証券期貨香港之客戶)
Acknowledgement of Disclaimer (For CSFHK only)
- 13. 年度常設授權 (只適用於中信証券期貨香港之客戶)
Annual Standing Authority (For CSFHK only)

公司戶口

本地 海外

- 14. 防止洗黑錢問卷
Anti-Money Laundering Risk Assessment Questionnaire
- 15. 期貨及期權買賣條款之附錄 (只適用於申請國際期貨交易之客戶) Addendum to Terms and Conditions for Futures and Options Trading (For Global Futures Trading only)
- 16. W-8BEN表格 (只適用於申請美股或國際期貨交易之客戶)
W-8BEN Form (For US Securities or Global Futures Trading only)
- 17. 法律文件接收人委任書 (只適用於: 甲. 無香港地址之保證金戶口及期貨戶口, 或乙. 無香港地址而又申請港幣5百萬以上之託管 / 現金戶口) Process Agency Appointment Document if [For (a) Margin account and Futures account without HK address, or (b) Custodian / DVP account without HK address and trading limit > = HK\$5M]
- 18. 網上交易指示 Internet Trade Instruction
- 19. 第三者授權書 (附被授權人之身份證副本)
Third Party Authorization with ID Copy of Authorized Person(s)
- 20. 每年常設指示 (付款予第三者) Annual Client Instruction (Payment to third party)
- 21. 常設交收指示 (自動轉帳) 或客戶常設交收銀行戶口
Standing Settlement Instruction (Auto Transfer) OR Client Standing Settlement bank Account
- 22. 預先確認報告申請表 Pre-confirmation request form
- 23. 公司查冊報告(香港公司適用) / 過去六個月內由公司的當地註冊代理人發出之職權證明書及存續證明書的核證³副本(海外註冊公司適用)
Company Search Report (applicable to Hong Kong corporations) / Certified³ true copy of Certificate of Incumbency and Certificate of Good Standing issued by the registered agent within the past 6 months (applicable to overseas corporations)
- 24. 其他文件 Other Documents: _____

特別要求

¹ 主要股東定義為持有有關公司最終權益之人士 / 持有有關公司10%或以上投票權之人士。
Major shareholder is defined as parties or individuals that hold the ultimate beneficial interest, or holding 10% or more voting rights of the company.

² 董事會決議或會議紀錄需詳列開設之戶口種類 (現金或保證金)、授權簽署中信証券經紀香港的證券買賣條款及 / 或中信証券期貨香港的期貨及期權買賣條款及客戶資料表格、指定戶口運作人、可簽署人士及相關之簽署式樣。

Board resolutions or minutes of meeting confirming the account type (cash or margin), authorizing the execution of the Terms and Conditions for Securities Trading of CSBHK and / or the Terms and Conditions for Futures and Options Trading of CSFHK, Customer Information Statement and specifying authorized personnel(s) to sign documents or place order on behalf of the company with relevant signatures specimen.

³ 核證必須由第三方專業人士 (如律師、會計師) 簽署，方為有效。
Certification is only effective when it is signed off by third party professional (e.g. lawyer, accountant).

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

		標準收費 Standard Rate	新建議 Proposed		標準收費 Standard Rate	新建議 Proposed
證券 Securities	經紀佣金 (港股) Commission Rate (HK)	0.25%, \$100 (Min)	%, \$ (Min)	經紀佣金 (美股) Commission Rate (US)	0.20%, US\$20 (Min)	%, US\$ (Min)
	網上佣金 (港股) Internet Commission Rate (HK)	0.20%, \$80 (Min)	為經紀佣金收費的80%	網上佣金 (美股) Internet Commission Rate (US)	0.20%, US\$20 (Min)	%, US\$ (Min)
	信貸利息 (保證金) Interest Rate (Margin)	P + 2.5%	P + %	經紀佣金 (滬股) Commission Rate (SSE)	0.20%, CNY80 (Min)	%, CNY (Min)
香港期貨 HK Futures	期貨 (HSI) Futures (HSI)	\$60 (Day trade) \$100 (Overnight)	\$ (Day trade) \$ (Overnight)	期貨 (HFI) Futures (HFI)	\$40 (Day trade) \$70 (Overnight)	\$ (Day trade) \$ (Overnight)
	期貨 (MHI) Futures (MHI)	\$20 (Day trade) \$40 (Overnight)	\$ (Day trade) \$ (Overnight)	期貨 (MCH) Futures (MCH)	\$20 (Day trade) \$40 (Overnight)	\$ (Day trade) \$ (Overnight)
國際期貨 Global Futures	美國品種 U.S. Contracts			LME 銅 錫 鎳 Copper, Stannum, Nickel		
	東京膠 TOCOM Rubber			LME 鋁 鉛 鋅 Aluminium, Lead, Zinc		

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

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

	新建議 Proposed	其他關連戶口 Other Related a/c(s)		總數 Total
		帳戶號碼: a/c. no.:	帳戶號碼: a/c. no.:	
交易限額 Trading Limit	百萬元 HK\$ Mil	百萬元 HK\$ Mil	百萬元 HK\$ Mil	百萬元 HK\$ Mil (a)
信貸限額 Credit Limit	百萬元 HK\$ Mil	百萬元 HK\$ Mil	百萬元 HK\$ Mil	百萬元 HK\$ Mil (b)
期貨交易限額 ^{Note 1} Futures Trading Limit	百萬元 HK\$ Mil	百萬元 HK\$ Mil	百萬元 HK\$ Mil	百萬元 HK\$ Mil (c)
TOTAL EXPOSURE for Securities and Futures Trading account:				百萬元 Mil
				Trading Limit (a) + (c) HK\$ _____ Mil
				百萬元 Mil
				Credit Limit (b) HK\$ _____ Mil
Note 1: Futures Trading Limit is the total margin requirements in dollar amount of the open positions in the account				(如總數高於5百萬, 請遞交個別申請表至信貸部) (Please fill separate application form to Credit Department for total over HK\$5M)

申請原因 / 說明 Reasons / Explanation

1. 認識客戶年期 I have known the Client for: <1 yr 1 to 5 yrs >5 yrs
2. 介紹模式 Mode of Introduction: 自薦 Walk-in 引薦 Referral: _____ 其他 Others: _____
3. 公司全年收入 (如有不同 if any different) _____ 資產淨值
Company's Profit / Loss (HK\$ _____) Net Asset (HK\$ _____)
4. 公司與中信證券國際或其他投資機構維持良好交易紀錄 (如其他經紀或銀行等)
Company's satisfactory settlement history with CSI or other investment company (e.g. other brokers or banks, etc.)
5. 公司在中信證券國際之存倉值 Company's current portfolio value maintained with CSI
6. 獲其他投資機構授予相約交易 / 信貸限額 Comparable trading / credit limit granted by other investment companies.
7. 其他 Others: _____

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

1. 收入 / 資產淨值之證明 (如財務報表、年報等) Profit / Loss / Net Asset proof (e.g. Financial Statement, Annual Report, etc.)
2. 投資交易紀錄 (如其他經紀或銀行月結單等) Trading / investment history / record (e.g. other brokers, bank statements, etc.)
3. 信貸 / 交易限額協議 / 文件 (如其他經紀 / 銀行月結單或戶口開立協議等)
Trading / Credit Limit Agreement / Letter (e.g. other brokers / bank statements or account opening agreement, etc.)
4. 其他 Others: _____

Sign off By:		核對:	
核查及同意:		Checked By: _____ (Date: _____)	
Reviewed & Concurred By: _____ (Date: _____)		客戶服務主任 CSO	
(Name: _____ C.E. No.: _____)		(Name: _____)	
批核:		批核:	
Approved By: _____ (Date: _____)		Approved By: _____ (Date: _____)	
分行經理 / 分組主管 Branch Manager / Team Head		負責人員 Responsible Officer	
(適用於交易限額不多於港幣五十萬元及佣金高於 / 相等於0.20%) (Applicable to trading limit up to HK\$0.50M and commission rate ≥ 0.20%)		(適用於交易限額為港幣五十萬元以上或佣金低於0.20%) (Applicable to trading limit > HK\$0.50M or commission rate < 0.20%)	
(Name: _____ C.E. No.: _____)		(Name: _____ C.E. No.: _____)	