中信期貨國際有限公司
CITIC Futures International Company Limited

中信信期國際證券有限公司
CITIC CFI Securities Company Limited

中信信期國際資產管理有限公司
CITIC CFI Asset Management Company Limited

客戶資料表格

Customer Information Statement

（個人/聯名賬戶）

（Individual /Joint Account）

戶口號碼:

Account No.:_____

除非另有指明，以下特定詞彙若無定義則採用和期貨及期權買賣條款及證券買賣條款及細則中一樣的解釋。
Unless otherwise specified, capitalised terms used herein but not defined shall have the same meaning as assigned to them in the Terms and Conditions for Futures and Options and the Terms and Conditions for Securities Trading.

中信期貨國際有限公司
CITIC Futures International Company Limited

中信期貨國際有限公司（"**中信期貨國際**"），為一間核准從事該條例中第二類受規管活動(期貨合約交易)和第五類受規管活動（就期貨合約向專業投資者提供意見）之持牌法團（中央編號：BFL318）和香港期貨交易所註冊為期貨代理商，通訊地址位於香港中環添美道 1 號中信大廈 23 樓 2312-2316 室。
CITIC Futures International Company Limited ("**CFI**"), is a licensed corporation to carry out Type 2 (dealing in futures contracts) and Type 5 (advising on futures contracts to Professional Investors Only) regulated activity for the purposes of the Ordinance (CE No.:BFL318) and a participant of Futures Commission Merchant of Hong Kong Futures Exchange Limited, with correspondence address at 2312-2316, 23/F, CITIC Tower, 1 Tim Mei Avenue, Central, Hong Kong.
電話：(852) 2286 3288，傳真：(852) 2286 3232，網址：http://www.citicsf.com.hk
Tel：(852) 2286 3288 , Fax：(852) 2286 3232 , Website：http://www.citicsf.com.hk

中信信期國際證券有限公司
CITIC CFI Securities Company Limited

中信信期國際證券有限公司（"**中信信期證券**"），為一間核准從事該條例中第一類受規管活動(證券交易)和第四類受規管活動（就證券提供意見）之持牌法團（中央編號：BRD739）和香港聯合交易所註冊為交易所參加者，通訊地址位於香港中環添美道 1 號中信大廈 23 樓 2312-2316 室。
CITIC CFI Securities Company Limited ("**CFIS**"), is a licensed corporation to carry out Type 1 (dealing in securities) and Type 4 (advising on securities) regulated activity for the purposes of the Ordinance (CE No.: BRD739) and an Exchange Participant of The Stock Exchange of Hong Kong Limited, with correspondence address at 2312-2316, 23/F, CITIC Tower, 1 Tim Mei Avenue, Central, Hong Kong.
電話：(852) 2286 3288，傳真：(852) 2286 3232，網址：https://www.cfisec.com.hk/
Tel：(852) 2286 3288 , Fax：(852) 2286 3232 , Website：https://www.cfisec.com.hk/

中信信期國際資產管理有限公司
CITIC CFI Asset Management Company Limited

中信信期國際資產管理有限公司（**"中信信期資管"**），為一間核准從事該條例中第九類受規管活動(提供資產管理)之持牌法團（中央編號：BUG102），通訊地址位於香港中環添美道 1 號中信大廈 23 樓 2312-2316 室。
CITIC CFI Asset Management Company Limited ("**CFIAM**") is a licensed corporation to carry out Type 9 (Asset Management) regulated activity for the purposes of the Ordinance (CE No.: BUG102), with correspondence address at 2312-2316, 23/F, CITIC Tower, 1 Tim Mei Avenue, Central, Hong Kong.
電話：(852) 2286 3288，傳真：(852) 2286 3232，網址：https://www.citicsfam.com.hk/
Tel：(852) 2286 3288 , Fax：(852) 2286 3232 , Website：https://www.citicsfam.com.hk/

本表格應與條款及細則、其附錄（特別是風險披露聲明）及／或其他開戶文件一併閱覽。所有該等文件均包括其不時修改、補充及／或改變之版本。所有通過中信期貨國際及／或中信信期證券／或中信信期資管進行之交易應受制於協議中之條款及細則。
This Form shall be read together with the Terms and Conditions and its schedules (especially the Risk Disclosure Statement), and/ or other account opening documents, in each case as amended, supplemented and/or modified from time to time. All transactions to be conducted through CFI and/ or CFIS and/ or CFIAM shall be subject to the applicable Terms And Conditions of the Agreement.

新客戶：
New Customer(s):
如您為中信期貨國際及／或中信信期證券及／或中信信期資管之新客戶，請填寫本表中所要求的部分及勾選適用選項。
If you are CFI's and/ or CFIS's and/ or CFIAM's new Customer(s), please complete the requested parts and tick the applicable option in this Form.

現有客戶：
Existing Customer(s):
如您為中信期貨國際及／或中信信期證券及／或中信信期資管之現有客戶，可在勾選以下聲明後，在客戶經理全權指引下，選填本表中所需部分而無需重新填寫本表所有部分。
If you are CFI's and/ or CFIS's and/ or CFIAM's existing Customer(s), after ticking the declaration below, you may choose to fill in the necessary parts of this Form under the sole direction of your account manager, instead of refilling the whole Form.

☐ 本人/吾等，為中信期貨國際及／或中信信期證券及／或中信信期資管之現有客戶（請刪去不適用者），客戶編號_____，通過勾選此聲明：(1) 在本人/吾等先前填寫、選擇及/或作出的本表格中的內容、選項及/或聲明沒有被書面修改的程度內，特此在新加內容、選項及/或聲明之外重申此等先前內容、選項及/或聲明；(2) 陳述和保證此等重申之內容、選項及/或聲明現仍真實、準確、全面及有效；和(3) 本人/吾等新加之內容、選項及/或聲明修改及/或增補了重申之內容、選項及/或聲明，它們一併構成協議的一部分並且持續有效及對本人/吾等有約束力。
☐ I/ We, as the CFI's and/ or CFIS's and/ or CFIAM's existing Customer(s) (please delete the inapplicable)Customer No. _____, by choosing this declaration: (1) to the extent that the contents, options and/ or declarations that I/ we previously filled, chose and/ or made in this Form are not modified in writing, hereby repeat the same apart from my/ our newly adopted contents, options and/ or declarations; (2) represent and warrant that such repeated contents, options and/ or declarations are still true, accurate, complete and valid; and (3) my/ our newly adopted contents, options and/ or declarations amend and/ or supplement the repeated ones, and they together constitute parts of the Agreement, continue to take effect and are binding on me/us.

A. 戶口及服務 Account and Services

1・戶口及客戶類別 Account and Customer Type		
客戶種類 Customer Type	☐個人戶口 Individual Account	☐聯名戶口 Joint Account*
戶口種類 Account Type		

中信信期國際證券有限公司** CITIC CFI Securities Company Limited*	中信期貨國際有限公司** CITIC Futures International Company Limited*	中信信期國際資產管理有限公司** CITIC CFI Asset Management Company Limited*
☐ 孖展證券戶口 Securities Margin Account ☐ 現金戶口 Cash Account ☐ 現金戶口 — 特定投資服務 Cash Account — Specific Investment Services	☐ 期貨及期權交易戶口 Futures and Options Trading Account	☐ 現金增強戶口 Cash Enhanced Account ☐ 定制管理戶口 Managed Account ☐ 基金戶口 Fund Account

**每一聯名賬戶持有人須分別填寫一份客戶資料聲明。*

*For joint account ("**Joint Account**"), please use separate Customer Information Statement for each Joint Account Holder.*

*****在本 A 部分中，如客戶勾選「中信信期國際證券有限公司」之戶口類別，則中信信期證券協議將適用。如客戶勾選「中信期貨國際有限公司」之戶口類別，則中信期貨國際協議將適用。如客戶勾選「中信信期國際資產管理有限公司」之戶口類別，則中信信期資管協議將適用。如客戶於上述三間公司均設戶口，則中信期貨國際、中信信期證券、中信信期資管協議將同時適用。***

In this Part A, if the Customer selects an Account type under "CITIC CFI Securities Company Limited", the Agreement of CFIS would apply. If the Customer selects an Account type under "CITIC Futures International Company Limited", the Agreement of CFI would apply. If the Customer selects an Account type under "CITIC CFI Asset Management Company Limited", the Agreement of CFIAM would apply. For the avoidance of doubts, if the Customer has an Account under all of the above companies, all Agreements of CFI, CFIS & CFIAM would apply concurrently.

B. 客戶資料聲明 Customer Information Statement

獨立戶口持有人/聯名戶口持有人(第一持有人)填寫 Completed by the Sole Account Holder/ the Joint Account Holders (First Holder)

1・個人資料 Personal Data				
客戶姓名 Name of Customer	中文名 Chinese Name: 姓氏 Surname 名字 Given Name		曾用中文姓名及中文別名（如適用） Previous Name(s) and Alias in Chinese (if applicable)	
	英文名（如適用） English Name (if applicable): 姓氏 Surname 名字 Given Name		曾用英文姓名及英文別名（如適用） Previous Name(s) and Alias in English (if applicable)	
出生日期 Date of Birth		性別 Gender: ☐男M ☐女F	出生地 Place of Birth	
國籍 Nationality		多重國籍 Multiple Nationalities: ☐否 No ☐是 Yes, 請說明 Please declare:		

身份證明文件 Identity Document		
閣下需按以下優先次序提供有關類別的身份證明：(1)香港身份證；(2)國民身份證；(3)護照。 You are required to provide the relevant categories of identification documents in the following order of priority: (1) HKID; (2) National ID; (3) Passport. 如無上述較高優先次序之證件，請勾選"不適用",並依優先次序填寫下一類別。如有，請附上身份證明文件副本。 If you do not have the document in a higher priority category, please check "Not Applicable" and proceed to the next category in order of priority. Please enclose a copy of the identity document if any.		
☐ 香港永久居民身份證 Hong Kong Permanent Identity Card	身份證號碼 ID No.：	☐ 不適用 Not Applicable
☐ 香港居民身份證（請補充提供護照或其他身份證明文件資料）Hong Kong Identity Card (Please provide additional details of passport or other identification document)	身份證號碼 ID No.：	☐ 不適用 Not Applicable
☐ 國民身份證 National Identity Card	簽發地 Place of Issue： 證件號碼 National ID Card No.：	☐ 不適用 Not Applicable

□ 護照 Passport	簽發地 Place of Issue： 證件號碼 Passport No.：	□ 不適用 Not Applicable
□ 其他（如適用）Others (if applicable)	證明文件種類 Type of identification document： 簽發地 Place of Issue： 號碼 Number：	□ 不適用 Not Applicable

住宅地址 Residential Address			
通訊地址 Correspondence Address	□和住宅地址相同 Same as Residential Address □否則，請提供 Otherwise, please provide		
手提電話 Mobile Phone No.	1.( )- 2.( )-	住宅電話 Home Phone No.: ( )-	傳真號碼 Facsimile No.: ( )-
電郵地址 Email Address		□登記電子賬單服務：戶口結單發送至左側登記電郵 E-statement registration: Statement of the account will be sent to the registered email address listed left.	
最高教育程度 Highest Education Level	□小學或以下 Primary school or below □中學 Secondary school □文憑或副學士 Diploma or Associates □大學或以上 University or above	□ 金融專業資格 Financial Professional Qualification: □ 其他 Others：	
婚姻狀況 Marital Status	□未婚 Single □已婚 Married □離婚 Divorced □鰥寡 Widowed		
語言能力 Language Skills	□中文 Chinese □英文 English □中英文 Both		

職業狀況 Employment Status

□自僱/自由職業 Self-Employed □全職 Full-time Employed □兼職 Part-time Employed

□退休* Retired* □家庭主婦* Housewife* □學生* Student* □非在職/無業* Not Employed*

(如適用，請填寫以下工作信息 If applicable, please fill in the working information as below)
標有*的職業，請提供以前的就業信息或資金來源者之相關行業信息
For occupations marked with *, please provide previous employment information or information of your source of income

公司名稱 Name of Employer		公司電話 Office Phone No.: ( )-	
公司地址 Office Address		職位 Position	
公司主營業務 Principal Business		從業年數 Years in Occupation	

行業 Occupation	□農林牧漁業 Agriculture, forestry, animal husbandry and fishery production and auxiliary	□教育 Education
		□自有資金投資、控股 Investment / Holding company
	□科學研究和技術服務業 Science research and technology service	□財務公司（集團財務管理） Financial Company（Group Financial Management）
	□信息傳輸、軟件和信息技術服務業 Information transmission, software and information technology services	□商務服務業（咨詢、法律、會計、公關、企業管理等） Business service industry（Consulting, legal, accounting, public relations, corporate management, etc）
	□製造業 Manufacturing	
	□建築業 Construction	
	□水利、環境和公共設施管理業 Management of water conservancy, environment and public facilities	□電力、熱力、燃氣及水產業和供應業 Electricity, heat, gas and water supplying industry
	□采礦業 Mining	□倉儲 Warehousing
	□衛生與醫療 Healthcare and medical treatment	□租賃、典當 Rental and Pawn
	□貿易、批發、零售業（化學原料及化學製品）Wholesale and retail Trading（Chemical raw materials and products）	□金融業（持牌/備案） Finance（licensed/registered）
		□國際組織 International organization
	□貿易、批發、零售業（電子元器件）Wholesale and retail Trading（Electronic components）	□黨政國家機關、事業單位 Party and state agencies, public institutions
	□貿易、批發、零售業（機械製造、儀器儀表設備）Wholesale and retail Trading（Mechanical, instrument and equipment）	□住宿、餐飲業和旅遊業 Accommodation, catering and tourism
	□貿易、批發、零售業（能源） Wholesale and retail Trading（Energy）	□慈善、非盈利性組織、社會保障和社會組織 Charity, nonprofit organization, social security and social organizations
	□其他商品貿易 Wholesale and retail trade of others	
	□文化、體育業、傳媒 Culture, sports, media	□交通運輸、郵政業 Transportation and postal services 請選擇涉及的產品類別 Please select： □化學原料及化學製品 Chemical raw materials and products □機械製造、儀器儀表設備 Mechanical, instrument and equipment
	□房地產業（地產開發、銷售、租賃、物業管理） Real estate（Real estate development, sales, leasing, and property management）	
	□娛樂場所、彩票、博彩、影視娛樂業 Entertainment place, lottery, gaming, film and television, entertainment	

	□珠寶、黃金、拍賣、藝術品收藏 Jewelry, gold, auctions and art collections □廢品收購、舊貨交易 Waste recycling and second-hand trade	□電子元器件 Electronic components □能源 Energy □其他商品 Others

指定銀行戶口 Designated Bank Account

銀行名稱 Bank name	賬戶名稱 Account Name	開戶行所在司法轄區 Jurisdiction of the Bank	貨幣 Currency	賬戶號碼 Account No.

2・財務資料簡要、投資經驗及目的 Financial Background, Investment Experience and Objectives

財富來源 Source of Wealth	□ 薪金及/或花紅 Salary and/or Bonus □ 業務收入 Business Income □ 儲蓄 Saving □ 投資獲利 Investment Income □ 遺產繼承 Inheritance □ 退休金 Retirement Funds □ 其他 Others: _____
交易資金來源 Source of Transaction Fund	□ 薪金 / 佣金 Salary / Commission □ 個人業務 Own Business □ 售出物業 Sale of Real Estate □ 儲蓄 Savings □ 投資獲利 Investment Income □ 股票 Stock □ 債券 Bonds □ 其他(請註明) Others(Please Specify):_____ 資金來源地 Country(ies) of Origin(s)： □ 香港 Hong Kong □ 中國大陸 Mainland China □ 其他 Others: _____
每年總收入 Annual Income	□⩽HK$1,000,000 □ HK$1,000,001 - HK$5,000,000 □ HK$5,000,001 - HK$10,000,000 □>HK$10,000,000，請註明 please specify_____
現時資產總值 Current Asset Value	□⩽HK$2,000,000 □ HK$2,000,001 - HK$8,000,000 □ HK$8,000,001 - HK$15,000,000 □>HK$15,000,000，請註明 please specify_____ 種類 Type: □ 物業 Property _____(HK$) □ 現金 Cash_____(HK$) □ 股票 Stock_____(HK$) □ 其他 Others:_____(HK$)
估計流動資產值 Estimated Net Asset Value	□⩽HK$2,000,000 □ HK$2,000,001 - HK$8,000,000 □ HK$8,000,001 - HK$15,000,000 □>HK$15,000,000，請註明 please specify_____
投資經驗 Investment Experience	□沒有 No □上市證券 Listed Securities_____年 years 地區 Regions_____ □期貨及期權 Futures and options_____年 years 地區 Regions_____ □互惠基金或單位信託基金 Mutual funds or Unit trusts_____年 years 地區 Regions_____ □外幣 Foreign currencies _____年 years 地區 Regions_____ □其他 Others_____ 年 years
投資目的 Investment Objective	□資本增長 Capital Appreciation □投機 Speculation □對沖 Hedging □賺取收入 Generating Income □套戥 Arbitrage □其他 Others_____
投資目標 Investment Target	□短期 (少於 3 個月) Short Term (<3 months) □中期 (3 - 12 個月) Medium Term (3 - 12 months) □長期 (1 年以上) Long Term (>1 year)

3・資料披露 Disclosure of Information

a. 戶口最終受益於交易及承擔風險人士 Identity of the ultimate beneficial owner(s) and risk bearer(s) of the Account

□ 客戶本人 The Customer □ 其他（請詳述） Others (Please provide details)	名稱 Name:	身份證/護照號碼 ID/Passport No.:	
	地址 Address:		電話 Phone No.:

b. 戶口最終負責發出指示的人士 Identity of the person(s) ultimately responsible for giving instructions in relation to transactions to be conducted through the Account

□ 客戶本人 The Customer □ 其他（請詳述） Others (Please provide details)	名稱 Name:	身份證/護照號碼 ID/Passport No.:	
	地址 Address:		電話 Phone No.:

c. 閣下是否為任何交易所、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 you 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?

□否 No □是（請詳述） 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： Name of the exchange,board of trade,clearing house,bank,trust company, Securities broker, futures broker or licensed corporation _____ *請取得並提供僱主同意信.Please obtain and provide consent letter.

d. 閣下是否有親屬於中信期貨國際及／或中信信期證券及／或中信信期資管工作？ Do you have any relationship with the director(s) or employee(s) of CFI and/ or CFIS and/ or CFIAM?		
□否 No □是（請詳述） Yes (Please provide details)	名稱 Name:	關係 Relationship:
e. 閣下的配偶是否持有中信期貨國際及／或中信信期證券及／或中信信期資管的賬戶？ Does your spouse have an account with CFI and/ or CFIS and/ or CFIAM?		
□否 No □是（請詳述） Yes (Please provide details)	配偶名稱 Name of spouse:	賬戶號碼 Account No.
f. 閣下是否單獨或與配偶共同控制中信期貨國際及／或中信信期證券及／或中信信期資管其他客戶百分之十或以上的投票權？ Do you control, either alone or with your spouse, 10% or more of the voting rights of another Customer (corporate) of CFI and/ or CFIS and/ or CFIAM?		
□否 No □是（請詳述） Yes (Please provide details)	配偶名稱 Name of spouse:	有關公司名稱及賬戶號碼 Name of relevant company(ies) and Account no.(s)：
g. 額外資料披露 Disclosure of Additional Information **只適用於孖展客戶（For Margin Client Only）** 如閣下申請了保證金融資服務（請見本客戶資料表格 D(1)(e)項），請完成以下部分 If you applied for Margin Financing Service (please see section D(1) (e) of this Customer Information Statement), please complete the below section:		
g(1). 閣下是否為此中信信期證券孖展賬戶的實益擁有人？ Are you the beneficial owner of this margin account of CFIS？		
□是 Yes □否（請詳述） No (Please provide details)	實益擁有人名稱 Name of the Beneficial Owner : 身份證/護照號碼 ID/Passport No.:	孖展賬戶號碼 （如有） Margin Account No. (If Any)
g(2). 閣下的配偶是否為中信信期證券的孖展客戶？ Is your spouse a margin client of CFIS?		
□否 No □是（請詳述） Yes (Please provide details)	配偶名稱 Name of spouse:	孖展賬戶號碼 Margin Account No.
g(3). 閣下是否單獨或與閣下的配偶共同控制任何中信信期證券的公司孖展客戶 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 CFIS?		
□否 No □是（請詳述） Yes (Please provide details)	公司名稱 Company Name:	孖展賬戶號碼 Margin Account No.
g(4). 除上述賬戶外，閣下是否為其他中信信期證券孖展賬戶（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 CFIS margin accounts?		
□否 No □是（請詳述） Yes (Please provide details)	客戶名稱 Client Name:	孖展賬戶號碼 Margin Account No.
g(5). 閣下有否為其他中信信期證券的孖展賬戶提供擔保？ Are you a guarantor of any other CFIS margin account?		
□否 No □是（請詳述） Yes (Please provide details)	客戶名稱 Client Name:	孖展賬戶號碼 Margin Account No.
g(6). 是否有任何人士/公司為閣下的中信信期證券孖展賬戶提供任何擔保？ Is there any person/company providing any guarantee for your CFIS margin account?		
□ 沒有任何擔保安排 Without any guarantee arrangement	□ 有擔保安排，擔保人並非 CFIS 孖展客戶（請回答第 g(7)項） Yes, Guarantor is **NOT** a CFIS margin client. (Please answer section g(7) below)	□ 有擔保安排，擔保人為 CFIS 孖展客戶 Yes, Guarantor is CFIS margin client 客戶名稱 Client Name: 孖展賬戶號碼 Margin Account No.:
g(7). 承上題 g(6)，如閣下孖展賬戶的擔保人並非中信信期證券孖展客戶，就閣下所知，該名擔保人有否為其他中信信期證券賬戶提供擔保？ Further to g(6), if the guarantor of your margin account with CFIS is not a margin client of CFIS, to your best knowledge, is that same guarantor of other margin accounts maintained with CFIS?		
□否 No □是（請詳述） Yes (Please provide details)	擔保人名稱 Guarantor Name: 客戶名稱 Client Name:	孖展賬戶號碼 Margin Account No. :
僅適用於中信信期證券的客戶 For customer of CFIS only 請披露閣下是否為中信信期證券或其所屬集團的「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 F1《股本證券的配售指引》第 1B 段所定義) ，如是，請提供詳情。 Please disclose whether you are a "connected client" (as defined in paragraph 1B of the Placing Guidelines for Equity Securities, Appendix F1 of the Rules Governing the Listing of Securities of The Stock Exchange of Hong Kong Limited) of CFIS or the group in which CFIS is a member, and if so, please provide details.		
□ 否 No	□ 是，請詳述/提供附件 Yes, please provide details/supporting documents	

C. 客戶資料聲明 Customer Information Statement

聯名戶口持有人填寫(第二持有人) Completed by the Joint Account Holders (Second Holder) ☐ **不適用 Not Applicable**

1・個人資料 Personal Data				
客戶姓名 Name of Customer	中文名 Chinese Name: 姓氏 Surname 名字 Given Name		曾用中文姓名及中文別名（如適用） Previous Name(s) and Alias in Chinese (if applicable)	
	英文名（如適用） English Name (if applicable): 姓氏 Surname 名字 Given Name		曾用英文姓名及英文別名（如適用） Previous Name(s) and Alias in English (if applicable)	
出生日期 Date of Birth		性別 Gender: ☐男 M ☐女 F	出生地 Place of Birth	
國籍 Nationality		多重國籍 Multiple Nationalities: □否 No □是 Yes, 請說明 Please declare:		

身份證明文件 Identity Document		
閣下需按以下優先次序提供有關類別的身份證明：(1)香港身份證；(2)國民身份證；(3)護照。 You are required to provide the relevant categories of identification documents in the following order of priority: (1) HKID; (2) National ID; (3) Passport. 如無上述較高優先次序之證件，請勾選“不適用”,並依優先次序填寫下一類別。如有，請附上身份證明文件副本。 If you do not have the document in a higher priority category, please check "Not Applicable" and proceed to the next category in order of priority. Please enclose a copy of the identity document if any.		
☐ 香港永久居民身份證 Hong Kong Permanent Identity Card	身份證號碼 ID No.：	☐ 不適用 Not Applicable
☐ 香港居民身份證（請補充提供護照或其他身份證明文件資料）Hong Kong Identity Card (Please provide additional details of passport or other identification document)	身份證號碼 ID No.：	☐ 不適用 Not Applicable
☐ 國民身份證 National Identity Card	簽發地 Place of Issue： 證件號碼 National ID Card No.：	☐ 不適用 Not Applicable
☐ 護照 Passport	簽發地 Place of Issue： 證件號碼 Passport No. ：	☐ 不適用 Not Applicable
☐ 其他（如適用）Others (if applicable)	證明文件種類 Types of identification document： 簽發地 Place of Issue： 號碼 Number：	☐ 不適用 Not Applicable

住宅地址 Residential Address			
通訊地址 Correspondence Address	☐和住宅地址相同 Same as Residential Address ☐否則，請提供 Otherwise, please provide		
手提電話 Mobile Phone No.	1.( )- 2.( )-	住宅電話 Home Phone No.: ( )-	傳真號碼 Facsimile No.: ( )-
電郵地址 Email Address		□登記電子賬單服務：戶口結單發送至左側登記電郵 E-statement registration: Statement of the account will be sent to the registered email address listed left.	
最高教育程度 Highest Education Level	□小學或以下 Primary school or below □中學 Secondary school □文憑或副學士 Diploma or Associates □大學或以上 University or above	□ 金融專業資格 Financial Professional Qualification: □ 其他 Others：	
婚姻狀況 Marital Status	□未婚 Single □已婚 Married □離婚 Divorced □鰥寡 Widowed		
語言能力 Language Skills	□中文 Chinese □英文 English □中英文 Both		

職業狀況 Employment Status		
☐自僱/自由職業 Self-Employed ☐全職 Full-time Employed ☐兼職 Part-time Employed ☐退休* Retired* ☐家庭主婦* Housewife* ☐學生* Student* ☐非在職/無業* Not Employed* (如適用，請填寫以下工作信息 If applicable, please fill in the working information as below) 標有*的職業，請提供以前的就業信息或資金來源者之相關行業信息 For occupations marked with *, please provide previous employment information or information of your source of income		
公司名稱 Name of Employer		公司電話 Office Phone No.: ( )-

公司地址 Office Address		職位 Position	
公司主營業務 Principal Business		從業年數 Years in Occupation	

行業 Occupation	□農林牧漁業 Agriculture, forestry, animal husbandry and fishery production and auxiliary	□教育 Education
		□自有資金投資、控股 Investment / Holding company
	□科學研究和技術服務業 Science research and technology service	□財務公司（集團財務管理） Financial Company（Group Financial Management）
	□信息傳輸、軟件和信息技術服務業 Information transmission, software and information technology services	□商務服務業（咨詢、法律、會計、公關、企業管理等） Business service industry（Consulting, legal, accounting, public relations, corporate management, etc）
	□製造業 Manufacturing	
	□建築業 Construction	
	□水利、環境和公共設施管理業 Management of water conservancy, environment and public facilities	□電力、熱力、燃氣及水產業和供應業 Electricity, heat, gas and water supplying industry
	□采礦業 Mining	□倉儲 Warehousing
	□衛生與醫療 Healthcare and medical treatment	□租賃、典當 Rental and Pawn
	□貿易、批發、零售業（化學原料及化學製品）Wholesale and retail Trading（Chemical raw materials and products）	□金融業（持牌/備案） Finance（licensed/registered）
		□國際組織 International organization
	□貿易、批發、零售業（電子元器件）Wholesale and retail Trading（Electronic components）	□黨政國家機關、事業單位 Party and state agencies, public institutions
	□貿易、批發、零售業（機械製造、儀器儀表設備）Wholesale and retail Trading（Mechanical, instrument and equipment）	□住宿、餐飲業和旅遊業 Accommodation, catering and tourism
	□貿易、批發、零售業（能源） Wholesale and retail Trading（Energy）	□慈善、非盈利性組織、社會保障和社會組織 Charity, nonprofit organization, social security and social organizations
	□其他商品貿易 Wholesale and retail trade of others	
	□文化、體育業、傳媒 Culture, sports, media	□交通運輸、郵政業 Transportation and postal services 請選擇涉及的產品類別 Please select： □化學原料及化學製品 Chemical raw materials and products □機械製造、儀器儀表設備 Mechanical, instrument and equipment □電子元器件 Electronic components □能源 Energy □其他商品 Others
	□房地產業（地產開發、銷售、租賃、物業管理） Real estate（Real estate development, sales, leasing, and property management）	
	□娛樂場所、彩票、博彩、影視娛樂業 Entertainment place, lottery, gaming, film and television, entertainment	
	□珠寶、黃金、拍賣、藝術品收藏 Jewelry, gold, auctions and art collections	
	□廢品收購、舊貨交易 Waste recycling and second-hand trade	

2．財務資料簡要、投資經驗及目的 Financial Background, Investment Experience and Objectives

財富來源 Source of Wealth	□ 薪金及/或花紅 Salary and/or Bonus □ 業務收入 Business Income □ 儲蓄 Saving □ 投資獲利 Investment Income □ 遺產繼承 Inheritance □ 退休金 Retirement Funds □ 其他 Others: _____
交易資金來源 Source of Transaction Fund	□ 薪金 / 佣金 Salary / Commission □ 個人業務 Own Business □ 售出物業 Sale of Real Estate □ 儲蓄 Savings □ 投資獲利 Investment Income □ 股票 Stock □ 債券 Bonds □ 其他(請註明) Others(Please Specify):_____
	資金來源地 Country(ies) of Origin(s)： □ 香港 Hong Kong □ 中國大陸 Mainland China □ 其他 Others: _____
每年總收入 Annual Income	□⩽HK$1,000,000 □ HK$1,000,001 - HK$5,000,000 □ HK$5,000,001 - HK$10,000,000 □>HK$10,000,000，請註明 please specify_____
現時資產總值 Current Asset Value	□⩽HK$2,000,000 □ HK$2,000,001 - HK$8,000,000 □ HK$8,000,001 - HK$15,000,000 □>HK$15,000,000，請註明 please specify_____ 種類 Type: □ 物業 Property _____(HK$) □ 現金 Cash_____(HK$) □ 股票 Stock_____(HK$) □ 其他 Others:_____(HK$)
估計流動資產值 Estimated Net Asset Value	□⩽HK$2,000,000 □ HK$2,000,001 - HK$8,000,000 □ HK$8,000,001 - HK$15,000,000 □>HK$15,000,000，請註明 please specify_____
投資經驗 Investment Experience	□沒有 No □上市證券 Listed Securities_____年 years 地區 Regions_____ □期貨及期權 Futures and options_____年 years 地區 Regions_____ □互惠基金或單位信託基金 Mutual funds or Unit trusts_____年 years 地區 Regions_____ □外幣 Foreign currencies _____年 years 地區 Regions_____ □其他 Others_____ 年 years
投資目的 Investment Objective	□資本增長 Capital Appreciation □投機 Speculation □對沖 Hedging □賺取收入 Generating Income □套戥 Arbitrage □其他 Others_____
投資目標 Investment Target	□短期 (少於 3 個月) Short Term (<3 months) □中期 (3 - 12 個月) Medium Term (3 - 12 months) □長期 (1 年以上) Long Term (>1 year)

3・資料披露 Disclosure of Information

a. 戶口最終受益於交易及承擔風險人士 Identity of the ultimate beneficial owner(s) and risk bearer(s) of the Account

□ 客戶本人 The Customer □ 其他（請詳述） Others (Please provide details)	名稱 Name:	身份證/護照號碼 ID/Passport No.:
	地址 Address:	電話 Phone No.:

b. 戶口最終負責發出指示的人士 Identity of the person(s) ultimately responsible for giving instructions in relation to transactions to be conducted through the Account

□ 客戶本人 The Customer □ 其他（請詳述） Others (Please provide details)	名稱 Name:	身份證/護照號碼 ID/Passport No.:
	地址 Address:	電話 Phone No.:

c. 閣下是否為任何交易所、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 you 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?

□否 No □是（請詳述） 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： Name of the exchange,board of trade,clearing house,bank,trust company, Securities broker, futures broker or licensed corporation _____ *請取得並提供僱主同意信.Please obtain and provide consent letter.

d. 閣下是否有親屬於中信期貨國際及／或中信信期證券及／或中信信期資管工作？
Do you have any relationship with the director(s) or employee(s) of CFI and/ or CFIS and/ or CFIAM?

□否 No □是（請詳述） Yes (Please provide details)	名稱 Name:	關係 Relationship:

e. 閣下的配偶是否持有中信期貨國際及／或中信信期證券及／或中信信期資管的賬戶？
Does your spouse have an account with CFI and/ or CFIS and/ or CFIAM?

□否 No □是（請詳述） Yes (Please provide details)	配偶名稱 Name of spouse:	賬戶號碼 Account No.

f. 閣下是否單獨或與配偶共同控制中信期貨國際及／或中信信期證券及／或中信信期資管其他客戶百分之十或以上的投票權？
Do you control, either alone or with your spouse, 10% or more of the voting rights of another Customer (corporate) of CFI and/ or CFIS and/ or CFIAM?

□否 No □是（請詳述） Yes (Please provide details)	配偶名稱 Name of spouse:	有關公司名稱及賬戶號碼 Name of relevant company(ies) and Account no.(s)：

g. 額外資料披露 Disclosure of Additional Information

只適用於孖展客戶（For Margin Client Only）

如閣下申請了保證金融資服務（請見本客戶資料表格 D(1)(e)項），請完成以下部分 If you applied for Margin Financing Service (please see section D(1)(e) of this Customer Information Statement), please complete the below section:

g(1). 閣下是否為此中信信期證券孖展賬戶的實益擁有人？ Are you the beneficial owner of this margin account of CFIS？

□是 Yes □否（請詳述） No (Please provide details)	實益擁有人名稱 Name of the Beneficial Owner : 身份證/護照號碼 ID/Passport No.:	孖展賬戶號碼 （如有） Margin Account No. (If Any)

g(2). 閣下的配偶是否為中信信期證券的孖展客戶？ Is your spouse a margin client of CFIS?

□否 No □是（請詳述） Yes (Please provide details)	配偶名稱 Name of spouse:	孖展賬戶號碼 Margin Account No.

g(3). 閣下是否單獨或與閣下的配偶共同控制任何中信信期證券的公司孖展客戶 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 CFIS?

□否 No □是（請詳述） Yes (Please provide details)	公司名稱 Company Name:	孖展賬戶號碼 Margin Account No.

g(4). 除上述賬戶外，閣下是否為其他中信信期證券孖展賬戶（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 CFIS margin accounts?

□否 No □是（請詳述） Yes (Please provide details)	客戶名稱 Client Name:	孖展賬戶號碼 Margin Account No.

g(5). 閣下有否為其他中信信期證券的孖展賬戶提供擔保？ Are you a guarantor of any other CFIS margin account?

□否 No □是（請詳述） Yes (Please provide details)	客戶名稱 Client Name:	孖展賬戶號碼 Margin Account No.

g(6). 是否有任何人士/公司為閣下的中信信期證券孖展賬戶提供任何擔保？
Is there any person/company providing any guarantee for your CFIS margin account?

□ 沒有任何擔保安排 Without any guarantee arrangement	□ 有擔保安排，擔保人並非 CFIS 孖展客戶（請回答第 g(7)項） Yes, Guarantor is **NOT** a CFIS margin client. (Please answer section g(7) below)	□ 有擔保安排，擔保人為 CFIS 孖展客戶 Yes, Guarantor is CFIS margin client 客戶名稱 Client Name: 孖展賬戶號碼 Margin Account No.:

g(7). 承上題 g(6)，如閣下孖展賬戶的擔保人並非中信信期證券孖展客戶，就閣下所知，該名擔保人有否為其他中信信期證券賬戶提供擔保？ Further to g(6), if the guarantor of your margin account with CFIS is not a margin client of CFIS, to your best knowledge, is that same guarantor of other margin accounts maintained with CFIS?		
□否 No □是（請詳述） Yes (Please provide details)	擔保人名稱 Guarantor Name: 客戶名稱 Client Name:	孖展賬戶號碼 Margin Account No. :

僅適用於中信信期證券的客戶 For customer of CFIS only 請披露閣下是否為中信信期證券或其所屬集團的「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 F1《股本證券的配售指引》第 1B 段所定義) ，如是，請提供詳情。 Please disclose whether you are a "connected client" (as defined in paragraph 1B of the Placing Guidelines for Equity Securities, Appendix F1 of the Rules Governing the Listing of Securities of The Stock Exchange of Hong Kong Limited) of CFIS or the group in which CFIS is a member, and if so, please provide details.	
□ 否 No	□ 是，請詳述/提供附件 Yes, please provide details/supporting documents

定義：

《證券保證金融資活動指引》第 2.1 段：

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賬戶的 實益擁有人，或將會從該等保證金客戶的賬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賬戶的實益擁有人，或將會從該等其 他保證金客戶的賬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。

香港附屬法例第 571N 章《證券及期貨(財政資源)規則》第 2 條：

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；

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

一組關連保證金客戶 (group of related margin clients)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。

香港法例第 571 章《證券及期貨條例》附表 1：

公司集團 (group of companies)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；

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

法團 (corporation)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

集體投資計劃*(collective investment scheme)*

(a)就財產而作出並符合以下說明的安排 ——

(1)根據有關安排，參與者對所涉財產的管理並無日常控制，不論他們是否有權就上述管理獲諮詢或有權就上述管理發出指示；

(2)根據有關安排

（A）上述財產整體上是由營辦該安排的人或代該人管理的

（B）參與者的供款和用以付款給他們的利潤或收益是彙集的；及

（C）上述財產整體上是由營辦該安排的人或代該人管理的，而參與者的供款和用以付款給他們的利潤或收益是彙集的；及

(3)有關安排的目的或作用或其佯稱的目的或作用，是使參與者(不論以取得上述財產或其任何部分的任何權利、權益、所有權或利益的方式或以其他方式)能夠分享或收取——

（A）聲稱從或聲稱相當可能會從上述財產或其任何部分的取得、持有、管理或處置而產生的利潤、收益或其他回報，或聲稱從或聲稱相當可能會從任何該等利潤、收益或其他回報支付的款項；或

(B) 從上述財產或其任何部分的任何權利、權益、所有權或利益的取得、持有、處置或贖回而產生的，或因行使該等權利、權益、所有權或利益的任何權利而產生的，或因該等權利、權益、所有權或利益屆滿而產生的款項或其他回報；或

(b) 《證券及期貨條例》第 393 條提述的公告訂明為按照該公告的條款視為集體投資計畫的安排，或屬於如此訂明為如此視為集體投資計畫的類別或種類的安排，但不包括 ——

(1)任何人以並非經營業務的方式營辦的安排；

(2)符合以下說明的安排：其每名參與者均是營辦該安排的人所屬的同一公司集團中的法團；

(3)符合以下說明的安排：其每名參與者均是營辦該安排的人所屬的同一公司集團中的法團的真正雇員或前雇員，或該等雇員的配偶、遺孀、鰥夫、親生或領養的未成年子女，或未成年繼子女；

(4)符合以下說明的專營權安排：發出專營權或獲發給專營權的人根據該安排，藉利用該安排所授予的權利使用某一商標名稱或設計或其他知識產權或附於其中的商譽，而賺取利潤或收益；

(5)讓在日常業務過程中以專業身分行事的律師從其客戶取得金錢或以保證金保存人身分取得金錢的安排；
(6)為以下基金或計畫的目的作出的安排：證監會、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根據本條例任何條文為在交易所參與者或結算所參與者一旦違責時提供賠償而維持的基金或計畫；
(7)任何儲蓄互助社按照其宗旨作出的安排；
(8)為根據《銀會經營(禁止)條例》(第 262 章)獲准許營辦的銀會的目的作出的安排；
(9)為《外匯基金條例》(第 66 章)設立的外匯基金的目的作出的安排；
(10)本條例第 393 條提述的公告訂明為按照該公告的條款不視為集體投資計畫的安排，或屬於如此訂明為如此不視為集體投資計畫的類別或種類的安排；

Definitions:

Paragraph 2.1 of the《Guidelines for Securities Margin Financing Activities》 :

"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 section42(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.

Section 2 of《Securities and Futures (Financial Resources) Rules》, Cap571N of the laws of Hong Kong：

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.

Section 42(3) of《Securities and Futures (Financial Resources) Rules》, Cap571N of the laws of Hong Kong：

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.

Schedule 1 of 《Securities and Futures Ordinance》, Cap571 of the laws of Hong Kong：

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

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);

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 this Ordinance for the purposes of this definition as being exempted from the provisions of this Ordinance, or to the extent that it is prescribed by rules so made as being exempted from any provision of this Ordinance;

collective investment scheme (集體投資計劃) means—

(a) arrangements in respect of any property—
(1) under which the participating persons do not have day-to-day control over the management of the property, whether or not they have the right to be consulted or to give directions in respect of such management;
(2) under which—
（A）the property is managed as a whole by or on behalf of the person operating the arrangements;
（B）the contributions of the participating persons and the profits or income from which payments are made to them are pooled; or
（C）the property is managed as a whole by or on behalf of the person operating the arrangements, and the contributions of the participating persons and the profits or income from which payments are made to them are pooled; and
(3) the purpose or effect, or pretended purpose or effect, of which is to enable the participating persons, whether by acquiring any right, interest, title or benefit in the property or any part of the property or otherwise, to participate in or receive—
(A) profits, income or other returns represented to arise or to be likely to arise from the acquisition, holding, management or disposal of the property or any part of the property, or sums represented to be paid or to be likely to be paid out of any such profits, income or other returns; or
(B) a payment or other returns arising from the acquisition, holding or disposal of, the exercise of any right in, the redemption of, or the expiry of, any right, interest, title or benefit in the property or any part of the property; or

(b) arrangements which are arrangements, or are of a class or description of arrangements, prescribed by notice under section 393 of the Securities and Futures Ordinance as being regarded as collective investment schemes in accordance with the terms of the notice, but does not include—
(1) arrangements operated by a person otherwise than by way of business;
(2) arrangements under which each of the participating persons is a corporation in the same group of companies as the person operating the arrangements;
(3) arrangements under which each of the participating persons is a bona fide employee or former employee of a corporation in the same group of companies as the person operating the arrangements, or a spouse, widow, widower, minor child (natural or adopted) or minor step-child of such employee or former employee;
(4) franchise arrangements under which the franchisor or franchisee earns profits or income by exploiting a right conferred by the arrangements to use a trade name or design or other intellectual property or the goodwill attached to it;

(5) arrangements under which money is taken by a solicitor from his client, or as a stakeholder, acting in his professional capacity in the ordinary course of his practice;
(6) arrangements made for the purposes of any fund or scheme maintained by the Commission, or by a recognized exchange company, recognized clearing house, recognized exchange controller or recognized investor compensation company, under any provision of this Ordinance for the purpose of providing compensation in the event of default by an exchange participant or a clearing participant;
(7) arrangements made by any credit union in accordance with the objects thereof;
(8) arrangements made for the purposes of any chit-fund permitted to operate under the Chit-Fund Businesses (Prohibition) Ordinance (Cap. 262);
(9) arrangements made for the purposes of the Exchange Fund established by the Exchange Fund Ordinance (Cap. 66);
(10) arrangements which are arrangements, or are of a class or description of arrangements, prescribed by notice under section 393 of this Ordinance as not being regarded as collective investment schemes in accordance with the terms of the notice;

D. 證券相關服務選擇（如適用） Choice of Securities-related Services (If Applicable)

獨立戶口持有人填寫 / 及所有聯名戶口持有人共同填寫 Completed by the Sole Account Holder / Jointly Completed by all Joint Account Holders

通過勾選如下相關選項，您申請按條款及細則接受所選服務。隨同此申請，您應完成合適性評估、客戶身份盡職調查、反洗黑錢、盡職調查和中信信期證券要求之其他適當程序且達到令中信信期證券滿意的結果。中信信期證券保留絕對酌情權依據所適用之條款及細則向客戶提供客戶申請之服務。By ticking the relevant box(s) below, you apply to receive the chosen services in according to the Terms and Conditions. Along with such applications, you shall complete the due process of customer suitability assessment, know-your-client, anti-money laundering, due diligence and others that CFIS requests to its satisfaction. CFIS retains absolute discretions to provide such chosen services on the applicable Terms and Conditions to you.

<table>
<tr><th colspan="2">1・服務 Services</th><th></th></tr>
<tr><td>a.</td><td>開設戶口服務
Account Opening Service</td><td>您是否希望為與證券買賣、交易或其他處置方式有關的使用及/或持有資金而在中信信期證券開設戶口？
Do you wish to open an account with CFIS for use and/or holding funds in connection with your trading, dealing in or other disposal of Securities?

□是 Yes　　□否 No</td></tr>
<tr><td rowspan="2">b.</td><td rowspan="2">證券經紀服務
Securities Broker Service</td><td>您是否希望為委任及授權中信信期證券作為代理，在指示下為您買入、賣出證券或以其他方式處置以及提供其他受規管活動第一類項下之相關服務？
Do you wish to appoint and authorize CFIS as agent to buy, sell and/or otherwise dispose of Securities, for you on the instructions and to provide other related services under Type 1 regulated activity?</td></tr>
<tr><td>□是（請選擇以下市場）Yes (Please select the market below)　　□否 No

投資市場 Investment Services
☐ 香港證券市場 HK Securities Trading
☐ 美國證券交易 US Securities Trading
(請提供 W-8 表格 Please provide W-8 form.)
☐ 其他海外市場 Other overseas Securities Trading (新加坡 SG\日本 JP\馬來西亞 MY\菲律賓 PH\泰國 TH\澳大利亞 AU\德國 DE\英國 UK)

滬深股票市場交易互聯互通 China Connect Markets:
☐ 上海市場 Shanghai market (MAMK)
☐ 深圳市場 Shenzhen market (SZMK)

通過勾選以上滬深股票市場交易互聯互通之選項，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《中華通條款及細則》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，並同意中信信期證券可根據該附錄第 19 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 China Connect Markets 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 Appendix in relation to China Connect (“the China Connect Addendum”). You confirm that you have read and understood the contents of the China Connect Addendum and consent to CFIS using your personal data/the Customer Information on the terms of and for the purposes set out in Clause 19 of the China Connect Addendum and the relevant Terms and Conditions for Securities Trading.</td></tr>
<tr><td>c.</td><td>投資顧問服務
Investment Advisory Service</td><td>您是否希望不時收到在受規管活動第四類範圍內之有關證券投資建議及研究報告？
Do you wish to receive investment advice and research reports on Securities from CFIS from time to time within the scope of Type 4 regulated activity?

□是 Yes　　□否 No</td></tr>
<tr><td>d.</td><td>電子交易服務
Electronic Trading Services</td><td>您是否希望使用電子服務和系統（包括獲得登錄用戶名和密碼）？
Do you wish to use the Electronic Services and Systems (including obtaining login ID and password)?

□是 Yes　　□否 No</td></tr>
<tr><td>e.</td><td>孖展證券貸款
Margin Financing Services</td><td>（若使用此服務，請填妥本客戶資料表格 B(3)(g),及(如適用)C(3)(g)，項額外的資料披露並受限於通過合適性評估及中信信期證券的提前同意）(To opt for this service, please complete itemB(3)(g), and (if applicable) C (3) (g) of this Customer Information Statement, Disclosure of Additional Information. The availability of this service is subject to suitability assessment and prior consent of CFIS)</td></tr>
</table>

		您是否希望使用中信信期證券的孖展證券貸款的服務？（包括開設孖展戶口） Do you wish to use the Margin Financing Services provided by CFIS? (Including opening a margin account) □是 Yes □否 No
f.	證券配售服務 Securities Placement Service	*（僅適用於專業投資者，需要提供資產證明並受限於通過合適性評估及中信信期證券的提前同意）(Applicable only to Professional Investors, asset proof required and subject to the customer suitability assessment and CFIS's prior consent)* 您是否希望委任及授權中信信期證券作為代理，在指示下為您進行證券配售的服務（包括將您獲分配的任何發售/配售股份以您名義或以香港結算代理人名義登記，代表您簽立相關文檔及進行一切必需事宜）？Do you wish to appoint and authorise CFIS to act as your agent, upon your instruction, to carry out the services of a securities placement on your behalf (including registering any placement of shares allocated to you in your name or in the name of HKSCC nominees, executing the relevant documents and doing all things necessary on your behalf)? □是 Yes □否 No
g.	特定投資服務 Specific Investment Services	☐ 投資基金 Investment funds ☐ 債務證券 Debt securities ☐ 結構性產品 Structured products ☐其他，請列明： Others, please specify:_____ 通過勾選以上投資基金之選項，閣下確認並同意於此服務下建立的交易應受證券買賣條款附件《基金銷售服務》中條款的約束（“《基金銷售附件》”）。閣下確認已閱讀並理解《基金銷售附件》的內容。By checking the above Investment funds box, you acknowledge and agree that Fund Transactions entered into under this service shall be subject to and governed by terms set out in the Appendix in relation to Fund Subscription (“the Fund Subscription Appendix”). You confirm that you have read and understood the contents of the Fund Subscription Appendix.

E. 期貨相關服務選擇（如適用） Choice of Futures-related Services (If Applicable)

獨立戶口持有人填寫 / 及所有聯名戶口持有人共同填寫 Completed by the Sole Account Holder / Jointly Completed by all Joint Account Holders

通過勾選如下相關選項，您申請按條款及細則接受所選服務。隨同此申請，您應完成合適性評估、客戶身份盡職調查、反洗黑錢、盡職調查和中信期貨國際要求之其他適當程序且達到令中信期貨國際滿意的結果。中信期貨國際保留絕對酌情權依據所適用之條款及細則向客戶提供客戶申請之服務。By ticking the relevant box(s) below, you apply to receive the chosen services in according to the Terms and Conditions. Along with such applications, you shall complete the due process of customer suitability assessment, know-your-client, anti-money laundering, due diligence and others that CFI requests to the satisfaction of CFI.CFI retains absolute discretions to provide such chosen services on the applicable Terms and Conditions to you.

1・服務 Services		
a.	開設戶口服務 Account Opening Service	您是否希望為與商品買賣、交易或其他處置方式有關的使用及/或持有資金而在中信期貨國際開設戶口？ Do you wish to open an account with CFI for use and/or holding funds in connection with your trading, dealing in or other disposal of commodities? □是 Yes □否 No
b.	期貨期權經紀服務 Futures & Options Broker Service	您是否希望為委任及授權中信期貨國際作為您的代理，在指示下為您買入、賣出期貨及期權、將之平倉或以其他方式處置以及提供其他受規管活動第二類項下之相關服務？ Do you wish to appoint and authorize CFI as your agent to buy, sell, close out and/or otherwise dispose of Futures and Options for you on the instructions and to provide other related services under Type 2 regulated activity? □是 Yes □否 No
c.	投資顧問服務 Investment Advisory Service	*（僅適用於專業投資者並受限於通過合適性評估及中信期貨國際的提前同意）(Applicable only to Professional Investors and subject to the customer suitability assessment and CFI's prior consent)* 您是否希望不時收到在受規管活動第五類範圍內之有關期貨期權投資建議及研究報告？ Do you wish to receive investment advice and research reports on Futures and/or Options from CFI from time to time within the scope of Type 5 regulated activity? □是 Yes □否 No
d.	電子交易服務 Electronic Trading Services	您是否希望使用電子服務和系統（包括獲得登錄用戶名和密碼）？ Do you wish to use the Electronic Services and Systems (including obtaining login ID and password)? □是 Yes □否 No

F. 期貨及／或證券客戶簽名及聲明 Customer Signatory(ies) and Declarations for CFI and/or CFIS

以下特定聲明及條款僅當客戶勾選後方適用。

The specific declarations and terms below apply only upon choice of the Customer(s) by ticking the box.

1. ☐ **確認及承認 （必選項）Confirmations and Acknowledgements (Mandatory choice)**

(1) 本人/吾等確認收妥構成協議之所有文件，包括但不限於(i) 此表格；(ii) 期貨及期權買賣條款及／或證券買賣條款（包括風險披露聲明）；(iii) 收費表；及(iv)其他中信期貨國際及／或中信信期證券要求及提供之所適用文件。

I/We acknowledge my/our receipt of all documents that constitute the Agreement, including but not limited to (i) this Form; (ii) Terms and Conditions for Futures and Options and/ or Terms and Conditions for Securities Trading (including Risk Disclosure Statement); (iii) Fee Schedule; and (iv) all other applicable documents that CFI and/or CFIS requests and provides.

(2) 本人/吾等承認並確認本人/吾等已獲得按照本人/吾等選擇的語言版本的協議，包括中信期貨國際之期貨及期權買賣條款及／或中信信期證券之證券買賣條款中的風險披露聲明，並已獲邀請閱讀該等條款及細則及聲明、提出問題及徵求獨立意見(如本人/吾等有此意願)。

I/We acknowledge and confirm that the Agreement, including but not limited to the Risk Disclosure Statement scheduled in the Terms and Conditions for Futures and Options and/or Terms and Conditions for Securities Trading, was provided to me/us in a language of my/our choice and I/we was/were invited to read the same, to ask questions and to take independent advice if I/we wish.

(3) 本人/吾等確認此表格構成客戶和中信期貨國際及／或中信信期證券間之協議，且本人/吾等已經閱讀、理解和接受協議中包括的所有條款及細則並且通過簽署本表格即受協議中所有條款及細則之約束。

I/We confirm that this Form constitutes parts of the Agreement between the Customer and CFI and/or CFIS and I/we have read, understood and accepted all the terms and conditions set out in the Agreement and shall be bound by the Agreement by signing this Form.

(4) **本人/吾等承認並確定本人/吾等已根據期貨及期權買賣條款第 12 條及／或證券買賣條款第 11 條授權中信期貨國際及／或中信信期證券處置客戶資產，並已獲解釋並且明白相關條文之內容。**

I/We acknowledge and confirm that I/we have authorized CFI and/or CFIS to deal with client assets in accordance with Clause 12 of the Terms and Conditions for Futures and Options Trading and/or Clause 11 of the Terms and Conditions for Securities Trading, and the contents of such Clause(s) have been explained to me/us and I/we understand the contents of that Clause.

(5) 本人/吾等已閱讀並接受中信期貨國際及／或中信信期證券網頁（"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。有關內容是以中信期貨國際及／或中信信期證券認為可靠之公開資訊為基礎。然而，中信期貨國際及／或中信信期證券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、不准確或其中包含的遺漏承擔責任。

I/We have read and accepted the terms of use of the CFI and/or CFIS website (the "**Website**") and agree to abide by the relevant restrictions. I/We also have the responsibility to comply with all applicable laws and regulations. I/We understand that the information on products and services provided on the Website is for reference only. Nothing herein or in the Website shall be deemed to be an offer or recommendation to subscribe for, buy or sell or offer to subscribe for any securities, financial instruments, products or investments or to enter into any transaction in any jurisdiction. Such information is based on publicly available information which CFI and/or CFIS believe to be reliable. However, neither CFI nor CFIS can guarantee or warrant its accuracy and completeness, and shall not be liable for any loss or damage (direct or indirect) arising from the use of such information, nor for any errors, discrepancies, inaccuracies or omissions contained therein.

(6) 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期貨國際及／或中信信期證券。 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期貨國際及／或中信信期證券或曾作出不實陳述，中信期貨國際及／或中信信期證券有權立刻終止提供予本人/吾等的所有服務和與本人/吾等業務關係而並提起訴訟、追討損失。

I/We will immediately notify CFI and/or CFIS of any change in my/our status as a non-U.S. person. I/We confirm that we have not made any misrepresentations about our status as a non-U.S. person. I/We understand that if I/we fail to notify CFI and/or CFIS in a timely manner or have made an untrue statement, CFI and/or CFIS shall have the right to immediately terminate all services rendered to me/us and the business relationship with me/us and institute legal proceedings to recover damages.

(7) 本人/吾等確認並確定已經閱讀並了解大額未平倉合約申報和持倉限額的相關義務，包括但不限於由證券及期貨事務監察委員會（證監會）根據《證券及期貨條例》第 35（1）條制定之《證券及期貨（合約限量及須申報的持倉量）規則》設定的持倉限額及申報水準、以及證監會《持倉限額及大額未平倉合約的申報規定指引》中有關合計不同人持有或控制的持倉，在多間公司持有或控制的持倉，以及綜合賬戶的申報規定等。

I/We confirm that I/we have read and understood the obligations in relation to large open position reporting and position limits, including but not limited to the position limits and reporting levels set by the Securities and Futures (Limits of Contracts and Reportable Positions) Rules made by the Securities and Futures Commission (SFC) under section 35 (1) of the SFO, as well as the reporting requirements for aggregating positions held or controlled by different persons, positions held or controlled by more than one company, and composite accounts under the SFC's Guidelines on Large Open Positions (LOP) Reporting Level and Position Limits.

(8) 中信期貨國際及／或中信信期證券可能會不時與本人/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他相關情況及(如有需要)尋求獨立的專業意見。

CFI and/or CFIS may contact me/us from time to time to discuss my/our risk profile and other information provided by me/us. I/We shall comply with all applicable laws and regulations relating to my/our securities account, any assets held in the account and any transactions conducted through it. Before each transaction is made, I/We will first confirm that each transaction is in line with my/our investment experience, investment objectives, financial condition, term of investment, risk tolerance level, liquidity needs, (if applicable) my/our views on the potential performance of the issuer of the product and the creditworthiness of the issuer and (if applicable) the guarantor, tax situation, The need to diversify and other relevant circumstances and, if necessary, to seek independent professional advice.

(9) 本人/吾等陳述及保證本表格中所有資料、陳述以及本人/吾等向中信期貨國際及／或中信信期證券所提交或其後補充提供之任何文件、證明文件、資料或聲明（無論以任何形式提供），均為真實、正確和完整的，無任何虛假、誤導或遺漏之情況，並授權中信期貨國際及／或中信信期證券通過任何方式進行核實。本人/吾等承諾若客戶資料表格中的資料或陳述如有任何變更，會立即通知中信期貨國際及／或中信信期證券。本人/吾等明白並確認，如提交任何虛假、偽造或具誤導性的資料或

文件，將構成嚴重後果，中信期貨國際及／或中信信期證券有權即時拒絕開戶、暫停或終止有關戶口及相關服務，並可向監管機構及／或執法機關舉報有關情況。本人/吾等亦知悉有關行為可能涉及刑事責任，並可能面臨刑事檢控。
I/We represent and warrant that all the information given, statements made in this Form, as well as any documents, supporting evidence, data, or declarations (in whatever form) submitted or subsequently supplemented by me/us to CFI and/or CFIS, are true, correct and complete and do not contain any misleading statements or omissions and authorize CFI and/or CFIS (as the case may be) to verify it with any source. I/We undertake to promptly notify CFI and/or CFIS if there is any change in the information given , statement made or documents provided by me/us in this Form. I/We understand and acknowledge that the submission of any false, forged or misleading information or documents will lead to serious consequences. CFI and/or CFIS shall have the right to refuse to open an account, or to suspend or terminate the relevant account and related services immediately. The matter may also be reported to regulatory authorities and/or law enforcement agencies. I/We further acknowledge that such conduct may give rise to criminal liability and may result in criminal prosecution.

2. □ **簽署指示（只適用於聯名戶口）Signing Instruction（for Joint Account only）**

(1) 以上每一位聯名戶口持有人均各自有權不時以口頭及/或透過電子服務（如適用）發出指示為賬戶買賣任何期貨及／或證券產品。Each of the Joint Account Holders specified is authorized to give verbal instructions and/or instructions through the Electronic Services (if applicable) in relation to the purchase or sale of any Futures and/or dealing in Securities from time to time singly.

(2) □ 其中一位聯名戶口持有人單獨簽署 Either one of the Joint Account Holders sign solely
□ 所有聯名戶口持有人共同簽署 All Joint Account Holders sign jointly，
任何就戶口運作及賬戶款項之書面指示，方為有效。Validates any written instructions relating to the operation of the Account(s).

3. □ **收集個人資料聲明 Personal Information Collection Statement**

本人/吾等已細閱、完全理解並同意接受及遵守中信期貨國際及／或中信信期證券之有關**個人資料（私隱）政策**。
I/We have carefully read, fully understood and agreed to accept and be bound by the **Personal Data Privacy Policy** set out by CFI and/ or CFIS.

當本人/吾等向中信期貨國際及／或中信信期證券提供自然人的個人資料（如私隱政策聲明中所定義）時，本人/吾等確認該自然人已同意中信期貨國際及／或中信信期證券或中信期貨國際及／或中信信期證券的關聯公司出於私隱政策聲明中列 出的目的收集、使用、處理或披露其個人資料，並且該自然人已被告知該等目的。特別是，當本人/吾等向中信期貨國際及／或中信信期證券提供位於中華人民共和國的自然人的個人資料時，本公司確認除了上述同意外，本人/吾等已獲得該自然人的單獨同意，並分別同意(i)中信期貨國際及／或中信信期證券或中信期貨國際及／或中信信期證券的關聯公司出於私隱政策聲明中列出的目的收集、使用、處理或披露其敏感個人信息（其定義請參考中華人民共和國個人資訊保護法）；(ii)中信期貨國際及／或中信信期證券可向中信期貨國際及／或中信信期證券的關聯公司、第三方服務提供者、專業顧問（包括律師）及中信期貨國際及／或中信信期證券因向本人/吾等履行/提供服務所需的代理人或第三方（包括但不限於中信期貨國際及／或中信信期證券的執行經紀人、清算所和結算代理人）、審計師、法律或任何法院命令允許或要求向其披露的任何人、對中信期貨國際及／或中信信期證券或中信期貨國際及／或中信信期證券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/或任何繼任者和受讓人披露其個人資料； (iii) 根據私隱政策聲明中所列的目的並應根據相關司法管轄區的個人資料保護法的規定，將他/她的個人資料進行跨境轉移給中信期貨國際及／或中信信期證券的關聯公司、中信期貨國際及／或中信信期證券的第三方服務提供者、中信期貨國際及／或中信信期證券或中信期貨國際及／或中信信期證券關聯公司的專業顧問、代理人以及私隱政策聲明中所述的任何其他人、團體、機構、組織或實體。本人/吾等並已經通知該自然人，他/她可以聯繫中信期貨國際及／或中信信期證券的資料保護主任，並擁有根據他/她所屬司法管轄區相關個人資料保護法律和法規授予其的權利。為免生疑問，若相關司法管轄區的個人資料保護法允許中信期貨國際及／或中信信期證券在未經該自然人同意的情況下收集、使用、處理或披露個人資料，法律授予的此類權利繼續適用。
Where I/We provide CFI and/or CFIS with the personal data (as defined in the Privacy Policy Statement) of a natural person, I/We confirms that such natural person has consented to CFI and/or CFIS or its affiliate's collection, use, processing or disclosure of his/her personal data for the purposes listed in the Privacy Policy Statement and such natural person has been informed of such purposes. In particular, where I/We provide CFI and/or CFIS with the personal data of a natural person located in the People's Republic of China, I/We confirms that in addition to the above consent of such natural person, I/We have obtained a separate consent from such natural person to each of (i) CFI and/or CFIS or its affiliate's collection, use, processing or disclosure of his/her sensitive personal information (as defined in the Personal Information Protection Law of the People's Republic of China) for the purposes listed in the Privacy Policy Statement; (ii) CFI and/or CFIS's or its disclosure of his/her personal data to its affiliates, third party service providers, professional advisers (including lawyers) and agents or third parties necessary for CFI and/or CFIS performing/providing services to us (including but not limited to the executing brokers, clearing houses and settlement agents of CFI and/or CFIS), auditors, any person to whom disclosure is permitted or required by law or any court order, any local or foreign government agencies, regulatory authorities and statutory bodies having jurisdiction over CFI and/or CFIS or its affiliates; and/or any successors and assigns; and (iii) CFI and/or CFIS's transfer of his/her personal data outside of the relevant jurisdiction to CFI and/or CFIS's affiliates, third party service providers of CFI and/or CFIS, CFI and/or CFIS or its affiliate's professional advisers, agents and to any other person, body, agency, organization or entity for the purposes listed in the Privacy Policy Statement, which shall be carried out in accordance with the personal data protection law of the relevant jurisdiction. I/We has also informed such natural person that he/she may contact personal Data Protection Officer of CFI and/or CFIS and have the rights conferred to him/her under the relevant personal data protection laws and regulations in the relevant jurisdiction. For the avoidance of doubt, under relevant circumstances where the personal data protection law of the relevant jurisdictions permits CFI and/or CFIS to collect, use, process or disclose the personal data without such natural person's consent, such permission granted by the law shall continue to apply.

本人/吾等在此提供的個人資料由中信期貨國際及／或中信信期證券收集，並將會用作直接促銷及/或符合監管機構之命令或要求之用途。該等資料包括本人/吾等在本開戶表格中向中信期貨國際及／或中信信期證券不時獲得的姓名、聯絡詳情及財務背景的個人資料。本人/吾等明白本人/吾等可以隨時通過中信期貨國際及／或中信信期證券指定的渠道要求中信期貨國際及／或中信信期證券停止在直接促銷中使用本人/吾等的個人資料。
My/Our personal information provided herein will be collected by CFI and/or CFIS, and will be used for direct marketing and/or orders or lawful requests may be required by relevant regulators. Such personal data includes, but not limited to my/our name(s), contact details and financial background which are provided to CFI and/or CFIS under this Form or obtained by CFI and/or CFIS from time to time. I/We understand that I/we may, at any time, require CFI and/or CFIS to cease to use my/our personal data for direct marketing through such channel prescribed by CFI and/or CFIS.

□ 本人/吾等同意中信期貨國際及／或中信信期證券如上述情況使用本人/吾等之個人資料用作直接促銷之用途
I/We consent to the use of my/our personal data by CFI and/or CFIS in direct marketing

□ 本人/吾等反對中信期貨國際及／或中信信期證券如上述情況使用本人/吾等之個人資料用作直接促銷之用途
I/We object to the use of my/our personal data by CFI and/or CFIS in direct marketing

本人/吾等已閱讀個人資料（私隱）政策聲明的其他部分，並明白及同意該等條款。特別是，本人/吾等通過勾選下面的相關方框表示同意進行跨境傳輸。

I/We have read the rest of the Personal Data Privacy Policy Statement and understand and agree to the terms therein. In particular, I/we consent to the cross-border transfer by checking the relevant box below.

為提供本人/吾所選之產品及/或服務之目的，中信期貨國際及／或中信信期證券可能會把本人/吾等的個人資料轉移至香港境外之相關主體。該處可能沒有與《個人資料（私隱）條例》大體上相似或達致與此條例的目的相同的目的之法律，亦即是說，本人/吾等的個人資料未必可以獲得與在香港相同或類似程度的保障。

For the purposes of providing products and/ or services, CFI and/or CFIS may transfer my/our personal data to related entities situated outside Hong Kong, where there may not be in place data protection laws which are substantially similar to, or serve the same purposes as, the Personal Data (Privacy) Ordinance. That means my/our personal data may not be protected to the same or similar level in Hong Kong.

☐ 本人/吾等同意把本人/吾等的個人資料轉移至香港境外

I/We consent to such transfer of my/our personal data outside Hong Kong

本人/吾等理解，如果本人/吾等不希望中信期貨國際及／或中信信期證券使用本人/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/吾等必須依照私隱政策聲明中的規定書面通知中信期貨國際及／或中信信期證券。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期貨國際及／或中信信期證券無法持續向本人/吾等提供某些服務及/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/吾等可以與中信期貨國際及／或中信信期證券聯繫。

I/We understand that if I/we do not wish CFI and/or CFIS to use my/our personal data, I/we may withdraw my/our consent in writing, provided that I/we notify CFI and/or CFIS in writing in accordance with the provisions of the Personal Data Privacy Policy. I/We understand that, as the case may be, my/our withdrawal of consent may result in CFI and/or CFIS being unable to continue to provide certain services and/or products to me/us and, where permitted by law, may result in the termination of my/our account. In addition, the withdrawal of consent will not affect the legality of the collection, use and disclosure of my/our personal data based on my/our consent prior to the withdrawal. If I/we have any questions about my/our consent in relation to my/our personal data, I/we may contact CFI and/ or CFIS.

4. ☐ 專業投資者確認 Professional Investor Confirmation

《證券及期貨事務監察委員會持牌人或註冊人操守準則》（"**準則**"）允許持牌人在特定情形下將客戶視為個人專業投資者，即為該條例附表1第1部分"professional investor (專業投資者)"定義界定的"專業投資者"及《證券及期貨（專業投資者）規則》（第571D章）第 3（b）條列明的人士。

The Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission ("**Code**") permits CFI and/or CFIS in certain circumstances to treat clients as Individual Professional Investors, as defined in section 1 of Part 1 of Schedule 1 to the Ordinance and persons specified in Section 3(b) of the Securities and Futures (Professional Investor) Rules (Cap 571D).

(1) 本人/吾等確認，本人/吾等是個人專業投資者定義範圍內的人士並同意被如此認定。I/We confirm that I am/ we are a person/ persons within the meaning of Individual Professional Investor and consent to be treated as such.

(2) 本人/吾等確認，一旦本人/吾等不再符合上述有關個人專業投資者的定義，本人/吾等將立即通知中信期貨國際及／或中信信期證券。I/We confirm that I/ we will notify CFI and/or CFIS immediately if I/ we cease to fall within the meaning of Individual Professional Investor.

(3) 本人/吾等確認準則第 15.3B 段中所列之要求已獲滿足和遵守，因此，本人/吾等瞭解並同意中信期貨國際及／或中信信期證券不遵守《準則》的下列要求 I/We confirm that the requirements set out in paragraph 15.3B of the Code have been fulfilled and complied with and as such, I/ we understand and consent to CFI's and/or CFIS's waiving the following requirements of the Code：

向客戶提供資訊 Information for Customers

- 向本人/吾等告知持牌人資訊，及其雇員或代理人的身份和狀態資訊的要求 the need to inform me/ us about the licensed person and the identity and status of its employees and others acting on its behalf；
- 在為本人/吾等完成一項交易後，立即向本人/吾等確認該交易的基本情況的要求；以及 the need to confirm promptly with me/ us the essential features of a transaction after effecting a transaction for me/ us
- 須向本人/吾等提供關於納斯達克－美國證券交易所試驗計劃的資料文件（如適用）。the need to provide me/ us with documentation on the Nasdaq-Amex Pilot Program (if applicable).

(4) 本人/吾等注意到且同意，中信期貨國際及／或中信信期證券出於提供本人/吾等於表格（個人/聯名戶口）所選擇服務之目的，而將本人/吾等視為個人專業投資者。I/We note that CFI and/or CFIS is treating me/us as an Individual Professional Investor for the purposes of providing the services that I/ we chose in the above Form (Individual /Joint Account).

(5) 通過簽署和交回此份聲明及所有必要的證明文件（如有），本人/吾等確認：被視為個人專業投資者的風險和後果已完全向本人/吾等說明。By signing and returning this declaration with all the required supporting documents (if any), I/We acknowledge that the risks and consequences of being treated as an Individual Professional Investor have been fully explained to me/us.

(6) 本人/吾等同意被視為個人專業投資者，且本人/吾等同意，在本人/吾等聲明的前述任何資訊不再真實準確時，立即通知中信期貨國際及／或中信信期證券。I/We agree to inform CFI and/or CFIS promptly in the event that any information I/we have set out above ceases to be true and accurate.

(7) 本人/吾等知曉，本人/吾等有權通過生效日前至少 30 個工作日事先書面通知中信期貨國際及／或中信信期證券，就所有產品或市場、或其中任一部分，反對或撤回被視為個人專業投資者。若本人/吾等不願意被視為個人專業投資者，本人/吾等將隨時通知中信期貨國際及／或中信信期證券。I/We understand that I/we have the right to object and withdraw from being treated as an Individual Professional Investor whether in respect of all products or markets or any part thereof by giving written notice to CFI and/ or CFIS at least 30 business days before the effective date. I/We will inform CFI and/or CFIS at any time if I/ we do not wish to be treated as an Individual Professional Investor.

(8) 本人/吾等被歸類為個人專業投資者後，中信期貨國際及／或中信信期證券無須遵守、且本人/吾等在此同意中信期貨國際及／或中信信期證券不遵守《證券及期貨（成交單據、戶口結單及收據）規則》中的監管要求，但中信期貨國際及／或中信信期證券有絕對酌情權選擇自己或通過代理根據協議向本人/吾等發送成交單據、結單及收據。本人/吾等應知曉該等歸類的風險。As a consequence of this classification, CFI and/or CFIS shall not be required to comply and I/we hereby give consent to CFI and/ or CFIS not complying with the regulatory requirements set out in the Securities and Futures (Contract Notes, Statements of Accounts and Receipts) Rules, however CFI and/or CFIS may at its sole discretion choose to dispatch or appoint agents to dispatch contract notes, statements and receipts to me/us according to the Agreement. I/ we have been aware of the risk of such classification.

(9) 本人/吾等知曉中信期貨國際及／或中信信期證券將進行年度確認，以確保本人/吾等持續符合專業投資者規則中的要求。本

人/吾等亦知曉被視為個人專業投資者的歸類將持續有效，直到本人或吾等不時撤回或中信期貨國際及／或中信信期證券隨時拒絕為止。在不影響中信期貨國際及／或中信信期證券權利及利益之前提下，在本人/吾等被終止認定為個人專業投資者時，那些僅適用於專業投資者的相關服務、豁免和條款及細則將被立即終止。而如本人/吾等繼續使用提供給非專業投資者的服務（如有），協議中所有適用於非專業投資者的條款及細則將作為替代條款及細則而直接及全面地對本人/吾等適用，本人/吾等無需重新簽署本表格。I/ We understand that CFI and/or CFIS will carry out a confirmation exercise annually to ensure that I/we continue to fulfill the requisite requirements under the Professional Investor Rules and the treatment of classification as an Individual Professional Investor will continue to take effect until withdrawal from me/us or objection by CFI and/or CFIS from time to time. Without prejudice to all rights and interests that CFI and/or CFIS has, upon such cessation of being an Individual Professional Investor, those relevant services, exemptions and terms and conditions applicable to Professional Investors only, are immediately terminated and all similar terms and conditions applicable to persons other than Professional Investors in the Agreement as substitute will then directly and entirely apply to me/us if I/we continue to use the services that are available to the non-Professional Investors (if any) without re-signing this Form.

(10) 本人/吾等承諾，在中信期貨國際及／或中信信期證券要求時，本人/吾等會完成和個人專業投資者有關的任何評估、表格聲明以及提供任何令中信期貨國際及／或中信信期證券滿意的有關證明、證據和文件。即便如此，本人/吾等理解中信期貨國際及／或中信信期證券可隨時無理由拒絕將本人/吾等視為個人專業投資者。I/We undertake, at the request of CFI and/or CFIS, to complete whatever assessments, forms or statements in relation to Individual Professional Investors and provide whatever related proofs, evidences and documents to its satisfaction. Despite all this, I/we understand CFI and/or CFIS may at any time refuse to treat me/us as Individual Professional Investor(s) without giving any reasons.

5. 服務選擇（勾選適用者）Service Selection (tick where applicable)

☐ **(只適用於保証金戶口客戶) (For margin account customers only)**

本人/吾等現申請中信信期證券之孖展證券貸款服務，並同意接受中信信期證券的《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)。I/We hereby apply for the margin loan service of CFIS and agree to be bound by the Terms and Conditions for Margin Loan and the Terms and Conditions for Securities Trading Terms of CFIS as amended from time to time. I/We confirm that I/we have read these documents (in particular, their various risk disclosure statements). I/We confirm that I/we have been provided with the above risk disclosure statements in the language of my/our choice and have been invited to read these risk disclosure statements, ask questions and seek independent professional advice if I/we so wish.

本人/吾等謹此承諾及確認本人/吾等已授權信期证券根據上述保証金證券貸款條款第 11 條及第 12 條規定處理本人/吾等的證券及證券抵押品。授權有效期根據證券買賣條款中第 11.5 條規定。I/We acknowledge and confirm that I/We have authorized CFIS to deal with our securities and securities collateral in accordance with Clause 11 and Clause 12 of the aforesaid Terms and Conditions for Margin Financing. The term of the authorization shall be decided in accordance with the Clause 11.5 of the Terms and Conditions of Securities Trading.

☐ 本人/吾等確認向中信期貨國際及／或中信信期證券申請即時通訊工具下單服務，由授權交易員/授權簽署人（請劃去不適用者）另行簽署即時通訊下單服務申請表指定授權賬號ID，本人/吾等已完全了解使用即時通訊工具下單的所有潛在的保安風險。I/We confirm that I/we hereby apply to CFI and/or CFIS for order placing service via instant messaging tools, and the authorized account ID specified in the application form for the order placing service via instant message tools shall be separately signed by the authorized trader/authorized signatory (please cross out the inapplicable). I/we have fully understood all potential security risks of using instant messaging tools to place orders.

☐ 本人/吾等茲通知中信期貨國際及／或中信信期證券本人/吾等主動要求放棄收取網上執行交易通知，且本人/吾等已清楚瞭解及明白並願意承擔由此所面臨的風險和可能產生損失（詳見《不收取互聯網交易賬戶之「執行交易通知」聲明》）。本人/吾等同時知曉，除非直至中信期貨國際及／或中信信期證券已收到本人/吾等發出的重啟收取「執行交易通知」的指示，否則，「執行交易通知」不會提供服務。I/We hereby notify CFI and/or CFIS that I/we voluntarily request to cancel internet trade execution notification, and I/we have clearly understood and are willing to bear the risks and possible losses arising therefrom (for details, please refer to the "Statement of Not Receiving 'Execution Notice' of Internet Trading Account "). I/We also understand that execution notices will not be provided unless and until CFI and/or CFIS has received my/our instruction to re-initiate receipt of the execution notices.

G. 資管客戶簽名及聲明 Customer Signatory(ies) and Declarations for CFIAM

以下特定聲明及條款僅當客戶勾選後方適用。

The specific declarations and terms below apply only upon choice of the Customer(s) by ticking the box.

1. ☐ **簽署指示（只適用於聯名戶口）Signing Instruction（for Joint Account only）**

□ 其中一位聯名戶口持有人單獨簽署 Either one of the Joint Account Holders sign solely

□ 所有聯名戶口持有人共同簽署 All Joint Account Holders sign jointly,

任何就戶口運作及賬戶款項之書面指示，方為有效。Validates any written instructions relating to the operation of the Account(s).

2. ☐ 收集個人資料聲明 Personal Information Collection Statement

本人/吾等已細閱、完全理解並同意接受及遵守中信信期資管之有關**個人資料（私隱）政策**。

I/We have carefully read, fully understood and agreed to accept and be bound by the **Personal Data Privacy Policy** set out by CFIAM.

當本人/吾等向中信信期資管提供自然人的個人資料（如私隱政策聲明中所定義）時，本人/吾等確認該自然人已同意中信信期資管或中信信期資管的關聯公司出於私隱政策聲明中列 出的目的收集、使用、處理或披露其個人資料，並且該自然人已被告知該等目的。特別是，當本人/吾等向中信信期資管提供位於中華人民共和國的自然人的個人資料時，本公司確認除了上述同意外，本人/吾等已獲得該自然人的單獨同意，並分別同意(i)中信信期資管或中信信期資管的關聯公司出於私隱政策聲明中列出的目的收集、使用、處理或披露其敏感個人信息（其定義請參考中華人民共和國個人資訊保護法）；(ii)中信信期資管可向中信信期資管的關聯公司、第三方服務提供者、專業顧問（包括律師）及中信信期資管因向本人/吾等履行/提供服務所需的代理人或第三方（包括但不限於中信信期資管的執行經紀人、清算所和結算代理人）、審計師、法律或任何法院命令允許或要求向其披露的任何人、對中信信期資管或中信信期資管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/或任何繼任者和受讓人披露其個人資料； (iii) 根據私隱政策聲明中所列的目的並應根據相關司法管轄區的個人資料保護法的規定，將他/她的個人資料進行跨

境轉移給中信信期資管的關聯公司、中信信期資管的第三方服務提供者、中信信期資管或中信信期資管關聯公司的專業顧問、代理人以及私隱政策聲明中所述的任何其他人、團體、機構、組織或實體。本人/吾等並已經通知該自然人，他/她可以聯繫中信信期資管的資料保護主任，並擁有根據他/她所屬司法管轄區相關個人資料保護法律和法規授予其的權利。為免生疑問，若相關司法管轄區的個人資料保護法允許中信信期資管在未經該自然人同意的情況下收集、使用、處理或披露個人資料，法律授予的此類權利繼續適用。

Where I/We provide CFIAM with the personal data (as defined in the Privacy Policy Statement) of a natural person, I/We confirms that such natural person has consented to CFIAM or its affiliate's collection, use, processing or disclosure of his/her personal data for the purposes listed in the Privacy Policy Statement and such natural person has been informed of such purposes. In particular, where I/We provide CFIAM with the personal data of a natural person located in the People's Republic of China, I/We confirms that in addition to the above consent of such natural person, I/We have obtained a separate consent from such natural person to each of (i) CFIAM or its affiliate's collection, use, processing or disclosure of his/her sensitive personal information (as defined in the Personal Information Protection Law of the People's Republic of China) for the purposes listed in the Privacy Policy Statement; (ii) CFIAM's or its disclosure of his/her personal data to its affiliates, third party service providers, professional advisers (including lawyers) and agents or third parties necessary for CFIAM performing/providing services to us (including but not limited to the executing brokers, clearing houses and settlement agents of CFIAM), auditors, any person to whom disclosure is permitted or required by law or any court order, any local or foreign government agencies, regulatory authorities and statutory bodies having jurisdiction over CFIAM or its affiliates; and/or any successors and assigns; and (iii) CFIAM's transfer of his/her personal data outside of the relevant jurisdiction to CFIAM's affiliates, third party service providers of CFIAM, CFIAM or its affiliate's professional advisers, agents and to any other person, body, agency, organization or entity for the purposes listed in the Privacy Policy Statement, which shall be carried out in accordance with the personal data protection law of the relevant jurisdiction. I/We has also informed such natural person that he/she may contact personal Data Protection Officer of CFIAM and have the rights conferred to him/her under the relevant personal data protection laws and regulations in the relevant jurisdiction. For the avoidance of doubt, under relevant circumstances where the personal data protection law of the relevant jurisdictions permits CFIAM to collect, use, process or disclose the personal data without such natural person's consent, such permission granted by the law shall continue to apply.

本人/吾等在此提供的個人資料由中信信期資管收集，並將會用作直接促銷及/或符合監管機構之命令或要求之用途。該等資料包括本人/吾等在本開戶表格中向中信信期資管不時獲得的姓名、聯絡詳情及財務背景的個人資料。本人/吾等明白本人/吾等可以隨時通過中信信期資管指定的渠道要求中信信期資管停止在直接促銷中使用本人/吾等的個人資料。

My/Our personal information provided herein will be collected by CFIAM, and will be used for direct marketing and/or orders or lawful requests may be required by relevant regulators. Such personal data includes, but not limited to my/our name(s), contact details and financial background which are provided to CFIAM under this Form or obtained by CFIAM from time to time. I/We understand that I/we may, at any time, require CFIAM to cease to use my/our personal data for direct marketing through such channel prescribed by CFIAM.

☐ 本人/吾等同意中信信期資管如上述情況使用本人/吾等之個人資料用作直接促銷之用途
I/We consent to the use of my/our personal data by CFIAM in direct marketing

☐ 本人/吾等反對中信信期資管如上述情況使用本人/吾等之個人資料用作直接促銷之用途
I/We object to the use of my/our personal data by CFIAM in direct marketing

本人/吾等已閱讀個人資料（私隱）政策聲明的其他部分，並明白及同意該等條款。特別是，本人/吾等通過勾選下面的相關方框表示同意進行跨境傳輸。

I/We have read the rest of the Personal Data Privacy Policy Statement and understand and agree to the terms therein. In particular, I/we consent to the cross-border transfer by checking the relevant box below.

為提供本人/吾等於本表格所選之產品及/或服務之目的，中信信期資管可能會把本人/吾等的個人資料轉移至香港境外之相關主體。該處可能沒有與《個人資料（私隱）條例》大體上相似或達致與此條例的目的相同的目的之法律，亦即是說，本人/吾等的個人資料未必可以獲得與在香港相同或類似程度的保障。

For the purposes of providing products and/ or services, CFIAM may transfer my/our personal data to related entities situated outside Hong Kong, where there may not be in place data protection laws which are substantially similar to, or serve the same purposes as, the Personal Data (Privacy) Ordinance. That means my/ our personal data may not be protected to the same or similar level in Hong Kong.

☐ 本人/吾等同意把本人/吾等的個人資料轉移至香港境外
I/We consent to such transfer of my/our personal data outside Hong Kong

本人/吾等理解，如果本人/吾等不希望中信信期資管使用本人/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/吾等必須依照私隱政策聲明中的規定書面通知中信信期資管。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信期資管無法持續向本人/吾等提供某些服務及/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/吾等可以與中信信期資管聯繫。

I/We understand that if I/we do not wish CFIAM to use my/our personal data, I/we may withdraw my/our consent in writing, provided that I/we notify CFIAM in writing in accordance with the provisions of the Personal Data Privacy Policy. I/We understand that, as the case may be, my/our withdrawal of consent may result in CFIAM being unable to continue to provide certain services and/or products to me/us and, where permitted by law, may result in the termination of my/our account. In addition, the withdrawal of consent will not affect the legality of the collection, use and disclosure of my/our personal data based on my/our consent prior to the withdrawal. If I/we have any questions about my/our consent in relation to my/our personal data, I/we may contact CFIAM.

3. ☐ 專業投資者確認（必選項）Professional Investor Confirmation (Mandatory choice)

《證券及期貨事務監察委員會持牌人或註冊人操守準則》（"**準則**"）允許持牌人在特定情形下將客戶視為個人專業投資者，即為該條例附表1第1部分"professional investor (專業投資者)"定義界定的"專業投資者"及《證券及期貨（專業投資者）規則》（第571D章）第 3（b）條列明的人士。

The Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission ("**Code**") permits CFIAM in certain circumstances to treat clients as Individual Professional Investors, as defined in section 1 of Part 1 of Schedule 1 to the Ordinance and persons specified in Section 3(b) of the Securities and Futures (Professional Investor) Rules (Cap 571D).

(1) 本人/吾等確認，本人/吾等是個人專業投資者定義範圍內的人士並同意被如此認定。I/We confirm that I am/we are a person/ persons within the meaning of Individual Professional Investor and consent to be treated as such.

(2) 本人/吾等確認，一旦本人/吾等不再符合上述有關個人專業投資者的定義，本人/吾等將立即通知中信信期資管。I/ We confirm that I/ we will notify CFIAM immediately if I/we cease to fall within the meaning of Individual Professional Investor.

(3) 本人/吾等確認準則第 15.3B 段中所列之要求已獲滿足和遵守，因此，本人/吾等瞭解並同意中信信期資管不遵守《準則》的

下列要求 I/ We confirm that the requirements set out in paragraph 15.3B of the Code have been fulfilled and complied with and as such, I/ we understand and consent to CFIAM's waiving the following requirements of the Code：

向客戶提供資訊 Information for Customers

- 向本人/吾等告知持牌人資訊，及其僱員或代理人的身份和狀態資訊的要求 the need to inform me/ us about the licensed person and the identity and status of its employees and others acting on its behalf；
- 在為本人/吾等完成一項交易後，立即向本人/吾等確認該交易的基本情況的要求；以及 the need to confirm promptly with me/ us the essential features of a transaction after effecting a transaction for me/us
- 須向本人/吾等提供關於納斯達克－美國證券交易所試驗計劃的資料文件（如適用）。the need to provide me/ us with documentation on the Nasdaq-Amex Pilot Program (if applicable).

(4) 本人/吾等注意到且同意，中信信期資管出於提供本人/吾等於表格（個人/聯名戶口）所選擇服務之目的，而將本人/吾等視為個人專業投資者。I/We note that CFIAM is treating me/us as an Individual Professional Investor for the purposes of providing the services that I/we chose in the above Form (Individual /Joint Account).

(5) 通過簽署和交回此份聲明及所有必要的證明文件（如有），本人/吾等確認：被視為個人專業投資者的風險和後果已完全向本人/吾等說明。By signing and returning this declaration with all the required supporting documents (if any), I/We acknowledge that the risks and consequences of being treated as an Individual Professional Investor have been fully explained to me/us.

(6) 本人/吾等同意被視為個人專業投資者，且本人/吾等同意，在本人/吾等聲明的前述任何資訊不再真實準確時，立即通知中信信期資管。I/We agree to inform CFIAM promptly in the event that any information I/we have set out above ceases to be true and accurate.

(7) 本人/吾等知曉，本人/吾等有權通過生效日前至少 30 個工作日事先書面通知中信信期資管，就所有產品或市場、或其中任一部分，反對或撤回被視為個人專業投資者。若本人/吾等不願意被視為個人專業投資者，本人/吾等將隨時通知中信信期資管。I/We understand that I/we have the right to object and withdraw from being treated as an Individual Professional Investor whether in respect of all products or markets or any part thereof by giving written notice to CFIAM at least 30 business days before the effective date. I/We will inform CFIAM at any time if I/we do not wish to be treated as an Individual Professional Investor.

(8) 本人/吾等被歸類為個人專業投資者後，中信信期資管無須遵守、且本人/吾等在此同意中信信期資管不遵守《證券及期貨（成交單據、戶口結單及收據）規則》中的監管要求，但中信信期資管有絕對酌情權選擇自己或通過代理根據協議向本人/吾等發送成交單據、結單及收據。本人/吾等應知曉該等歸類的風險。As a consequence of this classification, CFIAM shall not be required to comply and I/we hereby give consent to CFIAM not complying with the regulatory requirements set out in the Securities and Futures (Contract Notes, Statements of Accounts and Receipts) Rules, however CFIAM may at its sole discretion choose to dispatch or appoint agents to dispatch contract notes, statements and receipts to me/us according to the Agreement. I/we have been aware of the risk of such classification.

(9) 本人/吾等知曉中信信期資管將進行年度確認，以確保本人/吾等持續符合專業投資者規則中的要求。本人/吾等亦知曉被視為個人專業投資者的歸類將持續有效，直到本人或吾等不時撤回或中信信期資管隨時拒絕為止。在不影響中信信期資管權利及利益之前提下，在本人/吾等被終止認定為個人專業投資者時，那些僅適用於專業投資者的相關服務、豁免和條款及細則將被立即終止。而如本人/吾等繼續使用提供給非專業投資者的服務（如有），協議中所有適用於非專業投資者的條款及細則將作為替代條款及細則而直接及全面地對本人/吾等適用，本人/吾等無需重新簽署本表格。I/We understand that CFIAM will carry out a confirmation exercise annually to ensure that I/we continue to fulfill the requisite requirements under the Professional Investor Rules and the treatment of classification as an Individual Professional Investor will continue to take effect until withdrawal from me/us or objection by CFIAM from time to time. Without prejudice to all rights and interests that CFIAM has, upon such cessation of being an Individual Professional Investor, those relevant services, exemptions and terms and conditions applicable to Professional Investors only, are immediately terminated and all similar terms and conditions applicable to persons other than Professional Investors in the Agreement as substitute will then directly and entirely apply to me/us if I/we continue to use the services that are available to the non-Professional Investors (if any) without re-signing this Form.

(10) 本人/吾等承諾，在中信信期資管要求時，本人/吾等會完成和個人專業投資者有關的任何評估、表格聲明以及提供任何令中信信期資管滿意的有關證明、證據和文件。即便如此，本人/吾等理解中信信期資管可隨時無理由拒絕將本人/吾等視為個人專業投資者。I/We undertake, at the request of CFIAM, to complete whatever assessments, forms or statements in relation to Individual Professional Investors and provide whatever related proofs, evidences and documents to its satisfaction. Despite all this, I/we understand CFIAM may at any time refuse to treat me/us as Individual Professional Investor(s) without giving any reasons.

客戶 Customer *客戶簽署/簽署樣式 Customer Signature/Specimen Signature	*聯名客戶簽署/簽署樣式 Joint Account Customer Signature/Specimen Signature
客戶姓名： Customer's Name:	聯名客戶姓名： Joint Account Customer's Name:
身份證/護照號碼： ID/ Passport No. :	身份證/護照號碼： ID/ Passport No. :
簽署日期： Signing Date:	簽署日期： Signing Date:

*簽署樣式將被用作核證任何就賬戶運作之書面指示。Specimen Signature(s) herein will be used to verify all written instructions given relating to the operation of the Account(s).

見證人 Witness 見證人姓名： In the presence of: 見證人身份證/護照號碼/資格証號碼： ID/ Passport/Licence No. of witness:	見證人簽署 Signature of Witness 簽署日期： Signing Date:

持牌人聲明 Declaration by Licensed Person 職員姓名 Name of Staff：_____ 中央編號 CE No. ： _____ 代表 Representing： □中信期貨國際有限公司 CITIC Futures International Company Limited □中信信期國際證券有限公司 CITIC CFI Securities Company Limited □中信信期國際資產管理有限公司 CITIC CFI Asset Management Company Limited 本人確認已按上述客戶選擇的語言版本，為其提供中信期貨國際及／或中信信期證券及／或中信信期資管之期貨及期權買賣條款及／或證券買賣條款及／或投資管理協議（特別是其中的**風險披露聲明**），並已邀請客戶閱讀該等條款及細則及聲明、提出問題及徵求獨立意見(如客戶有此意願)。 I hereby confirm that I have provided the Terms and Conditions for Futures and Options and/ or Terms and Conditions for Securities Trading and/ or Investment Management Agreement, in particular **Risk Disclosure Statement** therein 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). □（如適用，持牌人需勾選此聲明, 中信信期資管客戶必須勾選）*(Licensed Person shall tick the box if applicable, mandatory for the CFIAM Client)*本人也已經 (i) 取得客戶關於將其視為專業投資者的簽署聲明；(ii)向客戶充分說明將其視為專業投資者的後果；以及 (iii) 指明在特定的產品和市場中將客戶視為專業投資者，且告知客戶其有權撤回被視為專業投資者。I have also (i) obtained a signed declaration from the above Customer to be treated as a Professional Investor, (ii) fully explained to the Customer the consequences of being treated as a Professional Investor; and (iii) specified the Customer is treated as a Professional Investor in a particular product and market and inform the Customer that he/she has a right to withdraw from being treated as a Professional Investor.	持牌人簽署 Signature of Licensed Person 簽署日期： Signing Date:

授權代表簽署 Signature of Authorised Person

獲正式授權並代表 Duly authorised for and on behalf of
□**中信期貨國際有限公司 CITIC Futures International Company Limited**
□**中信信期國際證券有限公司 CITIC CFI Securities Company Limited**
□**中信信期國際資產管理有限公司 CITIC CFI Asset Management Company Limited**

承認和同意以上各項。Acknowledge and agrees to the above.

FOR OFFICIAL USE ONLY		
	[RM] Reviewed & Concurred By	[RO] Approved By
Initial:		

	[CS] Handled by	[CS] Docs. Checked	Approved by
Initial:			
Date:			