客戶資料表格

Customer Information Statement

（企業賬戶）

(Corporate 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／或中信信期證券及／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):
如貴公司為中信期貨國際及／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 your company is 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):
如貴公司為中信期貨國際及／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 your company is 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.
☐ 本公司，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) 在本公司先前填寫、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) 本公司新加之內容、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公司有約束力。
☐ The company, 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 the company previously filled, chose and/or made in this Form are not modified in writing, hereby repeat the same apart from company's 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) the company's 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 the company.

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	企業賬戶 Corporate Account	
戶口種類 Account Type		
中信信期國際證券有限公司* CITIC CFI Securities 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	中信期貨國際有限公司* CITIC Futures International Company Limited* ☐ 期貨及期權交易戶口 Futures and Options Trading Account	中信信期國際資產管理有限公司* CITIC CFI Asset Management Company Limited* ☐ 現金增強戶口 Cash Enhanced Account ☐ 定制管理戶口 Managed Account ☐ 基金戶口 Fund Account

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

1. 公司資料 Corporate Information			
客戶名稱 Name of Customer	(中文/Chinese) (英文/English)		
客戶類別 Type of Customer	□ 獨資經營商號 Sole Proprietorship □ 有限公司 Limited company □ 上市公司（請註明） Listed Company (Please specify) 上市國家（股票代號） Country of Listing (Stock Code) ：_____ □ 合夥組織 Partnership □ 受託人 Trustee □ 其他（請註明）Others (Please specify) ：_____		
註冊成立地方 Place of Incorporation		註冊成立日期 Date of Incorporation	
公司註冊號碼 Company Registration Number		商業登記證號碼 Business Registration Number	
法定股本 Authorized Share Capital		經營業務年數 Years in the Business	
法律實體識別編碼 Legal Entity Identifier ("LEI")	☐有 LEI 編碼（請提供 LEI 登記文件副本並提供下方信息） Hold a LEI Code（please provide a copy of LEI registration document and provide the following information） （1）法律實體識別編碼 LEI Code: （2）下次續約日期 Next Renewal Date:		
	☐未持有 LEI 編碼 Do not hold a LEI Code		

行業類型 Occupation of Business	□農林牧漁業 Agriculture, forestry, animal husbandry and fishery production and auxiliary	□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	
	□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
	□建築業 Construction	□衛生與醫療 Healthcare and medical treatment
	□教育 Education	□租賃、典當 Rental and Pawn
	□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)	□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
	□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(備案/注冊的基金或投資工具) Finance (registered fund or Investment instruments)
	□貿易、批發、零售業(電子元器件) Wholesale and retail trading (Electronic components)	□放債人、信貸公司(持牌)Financial leasing and credit granting (licensed)
	□貿易、批發、零售業(能源) Wholesale and retail trading (Energy)	□金錢服務商(持牌)Money Service Operators (licensed)
	□其他商品貿易 Wholesale and retail trade of others	□國際組織 International organization
	□住宿、餐飲業和旅遊業 Accommodation, catering and tourism	□黨政國家機關、事業單位 Party and state agencies, public institutions
	□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)	□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
	□娛樂場所、彩票、博彩、影視娛樂業 Entertainment place, lottery, gaming, film and television, entertainment	
	□文化、體育業、傳媒 Culture, sports, media	
	□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	

主營業務 Principal Business	
註冊地址 Registered Address	
主要營業地點(如不同於註冊辦事處的地址) Principal place of business (if different from the address of registered office)	
通訊地址 Correspondence Address	□ 註冊地址 Registered Address □ 主要營業地點 Principal place of business □ 不同於以上，請列明 Different from above, please specify：

聯絡電話 Contact Phone No.	1. ( ) -	傳真號碼 Facsimile No.	1. ( ) -
	2. ( ) -		2. ( ) -
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.	

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. 董事/合夥人/受託人（或等同者）資料 Particulars of Directors / Partners/ Trustees (or equivalent)

若不存在以上三種人士，請填寫擔任高級管理職位或具有執行權力的任何自然人
If the above is not applicable, please fill in the particulars of any natural person holding the executive or senior management role.

姓名 (中文及英文) Name (Chinese & English)	身份證/ 護照號碼/ 公司註冊號碼 ID No./ Passport No./Company Registration No.	國籍 Nationality	電話號碼 Tel. No.

3. 賬戶最終實益擁有人的身份 Identity of the Ultimate beneficial owner(s) of the Account(s)

若客戶為集合投資計劃、全權委託賬戶及/或全權委託信託，請於本欄提供有關計劃、賬戶及/或信託之名稱。
If the Customer is a collective investment scheme, discretionary account and/or discretionary trust, please fill in the name of the scheme, account and/or trust.

□ 本客戶
The Customer

請註明擁有百分之二十五或以上公司最終權益之持有人 (上市公司不用填寫)；如無，請提供一名公司高級管理層人員。
Please specify below any individual who holds 25% or more of the ultimate beneficial interest of the Customer (not applicable to public listed company); If not, please provide a senior management of the company.

姓名 Name	身份證/ 護照號碼 ID No./ Passport No.	國籍 Nationality	出生地及日期 Place and Date of Birth	住宅地址 Home Address	電話號碼 Tel. No.

4. 就此賬戶進行交易的最終負責發出指示人士
Identity of the person(s) ultimately responsible for giving instructions in relation to transactions to be conducted through the Account

若客戶為集合投資計劃、全權委託賬戶及/或全權委託信託，請於本欄填寫負責投資決定的投資經理之概要。
If the Customer is a collective investment scheme, discretionary account and/or discretionary trust, please fill in particulars of the investment manager who is responsible for the investment decision.

□ 同獲授權交易人士 Same as authorized trader(s)
□ 如不是,請在填寫下方详情 If not, please provide the details as below

姓名 Name	身份證/ 護照號碼 ID No./ Passport No.	國籍 Nationality	出生地及日期 Place and Date of Birth	住宅地址 Home Address	電話號碼 Tel. No.

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

財產來源 Source of Wealth	□ 業務收入 Business Income □ 投資獲利 Investment Income □ 其他 Others: _____
交易資金來源 Source of Transaction Fund	□ 公司擁有者 Business Owner □ 銷售款項 Sales Proceeds □ 財務貸款 Financial Loan □ 投資獲利 Investment Income □ 股票 Stocks □ 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 Mainland China □ 其他 Others: _____

截至_____經核數師作實之年收入估值
Estimated revenue of the Company based on the latest audited accounts as at

□ ⩽HK$5,000,000 □ HK$5,000,001 - HK$40,000,000 □ HK$40,000,001 - HK$100,000,000
□ >HK$100,000,000，請註明 please specify_____

截至_____經核數師作實之稅後利潤估值
Estimated profit after tax of the Company based on the latest audited accounts as at

□ ⩽HK$5,000,000 □ HK$5,000,001 - HK$10,000,000 □ HK$10,000,001 - HK$50,000,000
□ >HK$50,000,000，請註明 please specify_____

截至_____經核數師作實之資產總值 Asset value of the Company based on the latest audited accounts as at
□ ⩽HK$5,000,000 □ HK$5,000,001 - HK$40,000,000 □ HK$40,000,001 - HK$100,000,000 □ >HK$100,000,000，請註明 please specify_____
截至_____經核數師作實之資產淨值 Net Asset value of the Company based on the latest audited accounts as at
□ ⩽HK$5,000,000 □ HK$5,000,001 - HK$40,000,000 □ HK$40,000,001 - HK$100,000,000 □ >HK$100,000,000，請註明 please specify_____

投資經驗 Investment Experience	□ 沒有 No □ 上市證券 Listed Securities_____年 year(s)地區 Regions_____ □ 期貨及期權 Futures and options_____年 year(s)地區 Regions_____ □ 互惠基金或單位信託基金 Mutual funds or Unit trusts_____年 year(s)地區 Regions_____ □ 外幣 Foreign currencies _____年 year(s)地區 Regions_____ □ 其他 Others_____ 年 year(s)
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)

6. 資料披露 Disclosure of Information

是否貴公司之股東、董事、合夥人、獲授權人、最終負責就此賬戶進行的交易發出指示之人士、或就此賬戶最終實益擁有人(「有關人士」)為香港證券及期貨事務監察委員會的持牌或註冊人士之董事或職員?
Is the Customer, any of its shareholders, or directors, its partners, its Authorized Person(s), the person(s) ultimately responsible for giving instructions for the Account or the ultimate beneficial owners of the Account ("**Relevant Person(s)**") a Licensed or Registered Person, or a director or an employee of any Licensed or Registered Person of the Securities and Futures Commission in Hong Kong?

□ 否 No	□ 是 Yes	持牌或註冊人士名稱及持牌或註冊編號 Name of the Licensed / Registered person(s) and the Licensed / Registered No.:
		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 *閣下同意須得到並提供該人士同意函. You agree to obtain and provide consent letter.

是否貴公司之股東、董事、合夥人、獲授權人、最終負責就此賬戶進行的交易發出指示之人士、或就此賬戶最終實益擁有人為中信期貨國際及／或中信信期證券及／或中信信期資管之董事或職員?
Is any of the Customer's shareholders, or directors, its partners, its Authorized Person(s), the person(s) ultimately responsible for giving instructions for the Account or the ultimate beneficial owners of the Account a director or an employee of CFI and/or CFIS and/or CFIAM?

□ 否 No	□ 是 Yes	董事或職員之名稱 Name of the director(s)/ employee(s):

是否貴公司之股東、董事、合夥人、獲授權人、最終負責就此賬戶進行的交易發出指示之人士、或就此賬戶最終實益擁有人與中信期貨國際及／或中信信期證券及／或中信信期資管之董事或職員有親屬關係?
Do any of the Customer's shareholders, or directors, its partners, its Authorized Person(s), the person(s) ultimately responsible for giving instructions for the Account or the ultimate beneficial owners of the Account 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)	有關人士之名稱 Name of the Relevant Person(s):
		董事或職員之名稱Name of the director(s) / employee(s):
		關係 Relationship: □父親/母親/兒子/女兒Father/Mother/Son/ Daughter □丈夫/妻子 Husband/ Wife □其他 Others_____

僅適用於中信期貨國際的客戶 For Customer of CFI only
貴公司的受益人是否單獨或與配偶共同控制中信期貨國際其他期貨客戶百分之三十五或以上的投票?
Does the BO of the Customer control, either alone or with spouse, 35% or more of the voting rights of another futures Customer of CFI?

□ 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):

僅適用於中信信期證券的客戶 For Customer of CFIS only
請披露貴公司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 the customer is 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:

7. 不記名股票聲明 Bearer Share Declaration

7.1 貴公司有發行不記名股票嗎？
Has your company issued any bearer shares?
☐ 有 Yes (請跳至問題 7.2 Please go to question 7.2)
☐ 沒有 No (請跳至問題 7.3 Please go to question 7.3)

7.2 請問不記名股票是否保存於保管人？
Is the bearer share deposited under a custodian?
☐ 有 Yes (請跳至問題 7.2(a) Please go to question 7.2(a))
☐ 沒有 No (請跳至問題 7.2(b) Please go to question 7.2(b))

7.2(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)

7.2(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。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).	百分比 Percentage	實益持有人名稱 Beneficial Owner Full Name

7.3 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期貨國際及／或中信信期證券及／或中信信期資管。
I / we will promptly provide written notification to CFI and/or CFIS and/or CFIAM in case of the issuance of bearer share.

8. 孖展戶口客戶額外資料披露 Margin Account Clients Disclosure of Information

只適用於孖展客戶（For Margin Clients Only）
如貴公司申請了保證金融資服務(請見本客戶資料表格 C(1)(e)項)，請完成以下部分 If your company applied for Margin Financing Service (please see section C(1)(e) of this Customer Information Statement), please complete the below section:

(1) 貴公司是否控制另一中信信期證券的公司孖展客戶的 35%或以上的表決權?
Please advise whether your company is in control of 35% or more of the voting rights of another corporate Margin Client of CFIS ?

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

(2) 請問是否有另一中信信期證券的個人孖展客戶或公司孖展客戶控制貴公司 35%或以上的表決權（如該客戶為個人，則包括其配偶的表決權）？Please advise whether there is another individual Margin Client or corporate Margin Client of CFIS controlling 35% or more of the voting rights of your company. (if the other Margin Client is an individual, the calculation of voting rights is inclusive of the voting rights of his/her spouse)

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

(3) 請問是否有其他中信信期證券的公司孖展客戶與貴公司均屬同一公司集團的成員？
Please advise whether there is any corporate Margin Client(s) of CFIS being member(s) of your group of companies.

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

(4) 請問控制貴公司 35%或以上表決權的人士（無論是單獨或其配偶共同持有）是否同時控制其他中信信期證券的公司孖展客戶 35%以上的表決權?Please advise whether the person(s) (individually or collectively with his/her spouse) holding 35% or more of the voting rights of your company simultaneously holds 35% or more of the voting rights of other CFIS's Margin Client.

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

(5) 貴公司有否為其他中信信期證券的孖展賬戶提供擔保？Is your company a guarantor of any other CFIS margin account?

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

(6) 是否有任何人士/公司為貴公司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 company's 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(7)項） Yes, the guarantor is **NOT** a CFIS Margin Client. (Please answer section (7) below)	☐有擔保安排，擔保人為 CFIS 孖展客戶 Yes, the guarantor is CFIS Margin Client 客戶名稱 Customer Name:	孖展賬戶號碼 Margin Account No.

(7) 承上題(6)，如貴公司孖展賬戶的擔保人**並非**中信信期證券孖展客戶，就貴公司所知，該名擔保人有否為其他中信信期證券賬戶提供擔保？
Further to (6), if the guarantor of your company's margin account with CFIS **is not** a Margin Client of CFIS, to your company's 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 Customer Name:	孖展賬戶號碼 Margin Account No.

9. 美國稅務責任披露 Disclosure of U.S. Tax obligations

貴公司是否為美國註冊之實體?
Is the Customer an entity incorporated in the U.S.?

☐ 否 No	☐ 是 Yes	請提供貴公司之稅項代碼 Please provide the Customer's Tax Reference Number/ Taxpayer Identification Number (TIN):

貴公司是否為美國稅局 (IRS)註冊的「參與法案的外國金融機構 (PFFI)」或「註冊視同合規的外國金融機構 (RDCFFI)」?
Is the Customer a Participating Foreign Financial Institution (PFFI) or a Registered deemed-compliant Foreign Financial Institution (RDCFFI) registered with the U.S. Internal Revenue Service (IRS)?

□ 否 No	□ 是 Yes	請提供貴公司之全球中介人編號 Please provide the Customer's Global Intermediary Identification Number (GIIN):

10. 獲授權人士 Authorized Person (s)

請注意：
本部分應隨附一份董事會決議正式核證副本。獲授權人士之權限以董事會決議為准。如涉及授權第三者操作賬戶，應特別告知中信期貨國際及／或中信信期證券及／或中信信期資管。
Please Note:
This section should be accompanied by a duly certified board resolution. The authority of the Authorized Person(s) shall be subject to the board resolution. CFI and/or CFIS and/or CFIAM shall be duly notified if there is any third-party authorization on the account.

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《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;

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

通過勾選如下相關選項，貴公司申請按條款及細則接受所選服務。隨同此申請，貴公司應完成合適性評估、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, your company applies to receive the chosen services in according to the Terms and Conditions. Along with such applications, your company 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 your company.

<table>
<tr><th colspan="2">1・服務 Services</th></tr>
<tr><td>a. 開設戶口服務
Account Opening Service</td><td>貴公司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 the company wish to open an account with CFIS for use and/or holding funds in connection with your company's trading, dealing in or other disposal of Securities?

□ 是 Yes　　□ 否 No</td></tr>
<tr><td rowspan="2">b. 證券經紀服務
Securities Broker Service</td><td>貴公司是否希望為委任及授權中信信期證券作為代理，在指示下為貴公司買入、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 the company wish to appoint and authorize CFIS as agent to buy, sell and/or otherwise dispose of Securities, including but not limited to stocks, mutual funds, unit trusts and debt securities, for your company 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，貴公司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》”）。貴公司確認已閱讀並理解《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貴公司的個人資料/客戶信息。
By checking the above China Connect Markets box, your company 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"). Your company confirm that your company 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. 投資顧問服務
Investment Advisory Service</td><td>貴公司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 the company 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. 電子交易服務
Electronic Trading Services</td><td>貴公司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 the company wish to use the Electronic Services and Systems (including obtaining login ID and password)?

□ 是 Yes　　□ 否 No</td></tr>
</table>

e. 孖展證券貸款 Margin Financing Services	*（若使用此服務，請填妥本客戶資料表格 B(8)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 item B(8) of this Customer Information Statement, Disclosure of Additional Information. The availability of this service is subject to suitability assessment and prior consent of CFIS)* 貴公司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 the company 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)* 貴公司是否希望委任及授權中信信期證券作為代理，在指示下為貴公司進行證券配售的服務（包括將貴公司獲分配的任何發售/配售股份以貴公司名義或以香港結算代理人名義登記，代表貴公司簽立相關文檔及進行一切必需事宜）？Do the company wish to appoint and authorise CFIS to act as your agent, upon your instruction, to carry out the services of 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，貴公司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》”）。貴公司確認已閱讀並理解《基金銷售附件》的內容。By checking the above Investment funds box, your company 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”). Your company confirm that your company have read and understood the contents of the Fund Subscription Appendix.

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

通過勾選如下相關選項，貴公司申請按條款及細則接受所選服務。隨同此申請，貴公司應完成合適性評估、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, your company applies to receive the chosen services in according to the Terms and Conditions. Along with such applications, your company shall complete the due process of customer suitability assessment, know-your-Customer, 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 your company.

1．服務 Services	
a. 開設戶口服務 Account Opening Service	貴公司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 the company wish to open an account with CFI for use and/or holding funds in connection with your company's 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	貴公司是否希望為委任及授權中信期貨國際及作為貴公司的代理，在指示下為貴公司買入、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 the company wish to appoint and authorize CFI as your agent to buy, sell, close out and/or otherwise dispose of Futures and Options for your company 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)* 貴公司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 the company 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	貴公司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 the company wish to use the Electronic Services and Systems (including obtaining Login ID and Password)? □ 是 Yes □ 否 No

E. 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) 本公司確認收妥構成協議之所有文件，包括但不限於(i) 此交易賬戶開戶表格；(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。

The company acknowledge the company's 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) 本公司承認並確認本公司已獲得按照本公司選擇的語言版本，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聲明、提出問題及徵求獨立意見(如本公司有此意願)。

The company 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 the company in a language of the company's choice and the company was invited to read the same, to ask questions and to take independent advice if the company wish.

(3) 本公司確認此期貨及期權及/或證券交易賬戶開戶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，且本公司已經閱讀、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之約束。

The company confirm that this Form constitutes parts of the Agreement between the Customer and CFI and/or CFIS and the company 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) **本公司承認並確定本公司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該條款之內容。**

The company acknowledge and confirm that the company 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 the company and the company understand the contents of that Clause.

(5) 本公司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。本公司亦有責任遵守所有適用法律、法規。本公司也明白， 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。

The company 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. The company also have the responsibility to comply with all applicable laws and regulations. The company 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) 本公司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。

The company confirm that the company 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.

(7) 中信期貨國際及／或中信信期證券可能會不時與本公司聯繫，討論本公司的風險狀況以及本公司提供的其他信息。本公司應遵守與本公司證券戶口、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,本公司會先確定每 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)本公司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 the company from time to time to discuss the company's risk profile and other information provided by the company. The company shall comply with all applicable laws and regulations relating to the company's securities account, any assets held in the account and any transactions conducted through it. Before each transaction is made, the company will first confirm that each transaction is in line with the company's investment experience, investment objectives, financial condition, term of investment, risk tolerance level, liquidity needs, (if applicable) the company's 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.

(8) 本公司陳述及保證本表格中所有資料、陳述以及本公司向中信期貨國際及／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。本公司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。本公司明白並確認，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。本公司亦知悉有關行為可能涉及刑事責任，並可能面臨刑事檢控。

The company represents and warrants that all the information given and statements made in this Form, as well as any documents, supporting evidence, data, or declarations (in whatever form) submitted or subsequently supplemented by the company to CFI and/or

CFIS, are true, correct and complete and not misleading or omitted information is true, correct and complete, and authorize CFI and/or CFIS (as the case may be) to verify it with any source. The company undertake to promptly notify CFI and/or CFIS if there is any change in the information given , statement made or documents provided by the company in this Form The company understands and acknowledges 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. The company further acknowledges that such conduct may give rise to criminal liability and may result in criminal prosecution.

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

本公司已細閱、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**個人資料私隱政策聲明**。
The company have carefully read, fully understood and agreed to accept and be bound by the **Personal Data Privacy Policy Statement** set out by CFI and/or CFIS.

當本公司向中信期貨國際及／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，本公司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，當本公司向中信期貨國際及／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，本公司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公司履行/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。本公司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 Our Company provide CFI and/or CFIS with the personal data (as defined in the Privacy Policy Statement) of a natural person, our Company 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 our Company provide CFI and/or CFIS with the personal data of a natural person located in the People's Republic of China, our Company confirms that in addition to the above consent of such natural person, our Company 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. Our Company 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.

本公司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。該等資料包括本公司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。本公司明白本公司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公司的個人資料。
The company's 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 the company's 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. The company understand that the company may, at any time, require CFI and/or CFIS to cease to use the company's personal data for direct marketing through such channel prescribed by CFI and/or CFIS.

☐ 本公司同意中信期貨國際及／或中信信期證券如上述情況使用本公司之個人資料用作直接促銷之用途
The company consent to the use of the company's personal data by CFI and/or CFIS in direct marketing

☐ 本公司反對中信期貨國際及／或中信信期證券如上述情況使用本公司之個人資料用作直接促銷之用途
The company object to the use of the company's personal data by CFI and/or CFIS in direct marketing

本公司已閱讀個人資料（私隱）政策聲明的其他部分，並明白及同意該等條款。特別是，本公司通過勾選下面的相關方框表示同意進行跨境傳輸。
The company have read the rest of the Personal Data Privacy Policy Statement and understand and agree to the terms therein. In particular, the company consent to the cross-border transfer by checking the relevant box below.

為提供本公司所選之產品及/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公司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，本公司

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 the company's 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 the company's personal data may not be protected to the same or similar level in Hong Kong.

☐ 本公司同意把本公司的個人資料轉移至香港境外
The company consent to such transfer of the company's personal data outside Hong Kong

本公司理解，如果本公司不希望中信期貨國際及／或中信信期證券使用本公司的個人資料，本公司可以書面撤回本公司的同意，但本公司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。本公司理解，根據情況，本公司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公司/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公司的關係或賬戶。另外，撤回同意不會影響撤回前基於本公司的同意收集、使用和披露本公司的個人資料的合法性。如果本公司對有關個人資料的同意有任何疑問，本公司可以與中信期貨國際及／或中信信期證券聯繫。
The company understand that if the company do not wish CFI and/or CFIS to use the company's personal data, the company may withdraw the company's consent in writing, provided that the company notify CFI and/or CFIS in writing in accordance with the provisions of the Personal Data Privacy Policy. The company understand that, as the case may be, the company's withdrawal of consent may result in CFI and/or CFIS being unable to continue to provide certain services and/or products to the company and, where permitted by law, may result in the termination of the company's account. In addition, the withdrawal of consent will not affect the legality of the collection, use and disclosure of the company personal data based on the company's consent prior to the withdrawal. If the company have any questions about the company's consent in relation to the company's personal data, the company may contact CFI and/or CFIS.

3. ☐ 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法團專業投資者，即為《證券及期貨條例》(第 571 章)附表 1 第 1 部分第 1 條"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(a)、3(c) 和 3(d)條列明的人士。
The Code of Conduct for Persons Licenced by or Registered with the Securities and Futures Commission ("**Code**") permits CFI and/or CFIS in certain circumstances to treat Customers as Corporate Professional Investors, as defined in paragraph (j) of Part 1 of Schedule 1 to the Securities and Futures Ordinance (Cap 571) and persons specified in Section 3(a)、3(c) and 3(d) of the Securities and Futures (Professional Investor) Rules (Cap 571D).

(1) 本公司確認，本公司是法團專業投資者定義範圍內的人士並同意被如此認定。The company confirm that the company is a person within the meaning of Corporate Professional Investor and consent to be treated as such.
(2) 本公司確認，一旦本公司不再符合上述有關法團專業投資者的定義，本公司將立即通知中信期貨國際及／或中信信期證券。The company confirm that the company will notify CFI and/or CFIS immediately if the company cease to fall within the meaning of Corporate Professional Investor.
(3) 本公司確認準則第 15.3A 和第 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／或中信信期證券有權就《準則》第 15.4 和 15.5 段中所列條款的要求豁免。The company confirm that the requirements set out in paragraph 15.3A and 15.3B of the Code have been fulfilled and complied with and as such, the company understand and consent that CFI and/or CFIS is entitled to be exempt from the provisions set out in paragraph 15.4 and 15.5 of the Code.
(4) 本公司注意到且同意，中信期貨國際及／或中信信期證券出於提供本表格所選擇服務之目的，而將本公司視為法團專業投資者。The company note that CFI and/or CFIS is treating the company as an Corporate Professional Investor for the purposes of providing the services that the company chose in this Form.
(5) 通過簽署和交回此份聲明及所有必要的證明文件（如有），本公司確認：被視為法團專業投資者的風險和後果已完全向本公司說明。By signing and returning this declaration with all the required supporting documents (if any), the company acknowledge that the risks and consequences of being treated as an Corporate Professional Investor have been fully explained to the company.
(6) 本公司同意被視為法團專業投資者，且本公司同意，在本公司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。The company agree to inform CFI and/or CFIS promptly in the event that any information the company have set out above ceases to be true and accurate.
(7) 本公司知曉，本公司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，反對或撤回被視為法團專業投資者。若本公司不願意被視為法團專業投資者，本公司將隨時通知中信期貨國際及／或中信信期證券。The company understand that the company have the right to object and withdraw from being treated as an Corporate 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. The company will inform CFI and/or CFIS at any time if the company do not wish to be treated as an Corporate Professional Investor.
(8) 本公司被歸類為法團專業投資者後，中信期貨國際及／或中信信期證券無須遵守、且本公司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客戶發送成交單據、結單及收據。本公司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 the company 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 the Customer according to the Agreement. The company have been aware of the risk of such classification.
(9) 本公司知曉中信期貨國際及／或中信信期證券將進行年度確認，以確保本公司持續符合專業投資者規則中的要求。本公司亦知曉被視為法團專業投資者的歸類將持續有效，直到本公司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，在此等客戶被終止認定為法團專業投資者時，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。而如客戶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和細則將作為替代條款而直接及全面地對客戶適用，客戶無需重新簽署本表格。The company understand that CFI and/or CFIS will carry out a confirmation exercise annually to ensure that the company continue to fulfill the requisite requirements under the Professional Investor Rules and the treatment of classification as an Corporate Professional Investor will continue to take effect until withdraw from the company 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 Corporate 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 the Customer if the Customer continues to use the services that are available to the non-Professional Investors (if any) without re-signing this Form.

(10) 本公司承諾，在中信期貨國際及／或中信信期證券要求時，本公司會完成和法團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，本公司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公司視為法團專業投資者。The company undertake, at the request of CFI and/or CFIS, to complete whatever assessments, forms or statements in relation to Corporate Professional Investors and provide whatever related proofs, evidences and documents to its satisfaction. Despite all this, the company understand CFI and/or CFIS may at any time refuse to treat us as Corporate Professional Investor(s) without giving any reasons.

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

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

本公司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。本公司確認本公司已閱讀這些文件 (尤其是其各項風險披露聲明)。本公司確定已按照本公司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 (如本公司有此意願)。The company 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. The company confirm that the company have read these documents (in particular, their various risk disclosure statements). The company confirm that the company have been provided with the above risk disclosure statements in the language of the company's choice and have been invited to read these risk disclosure statements, ask questions and seek independent professional advice if the company so wish.

本公司謹此承諾及確認本公司已授權中信信期證券根據上述保證金證券貸款條款第 11 條及第 12 條規定處理本公司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。Our Company acknowledges and confirms that our Company has 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.

☐ 本公司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，本公司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。The company confirm that the company 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). The company have fully understood all potential security risks of using instant messaging tools to place orders.

☐ 本公司茲通知中信期貨國際及／或中信信期證券本公司主動要求放棄收取執行交易通知，且本公司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》）。本公司同時知曉，除非直至中信期貨國際及／或中信信期證券已收到本公司發出的重啟收取「執行交易通知」的指示，否則，「執行交易通知」不會提供服務。The company hereby notify CFI and/or CFIS that the company voluntarily request to cancel internet trade execution notification, and the company 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"). The company also understand that execution notices will not be provided unless and until CFI and/or CFIS has received the company's instruction to re-initiate receipt of the execution notices.

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

本公司已細閱、完全理解並同意接受及遵守中信信期資管之有關**個人資料私隱政策聲明**。

The company have carefully read, fully understood and agreed to accept and be bound by the **Personal Data Privacy Policy Statement** set out by CFIAM.

當本公司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，本公司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，當本公司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，本公司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公司履行/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。本公司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 Our Company provide CFIAM with the personal data (as defined in the Privacy Policy Statement) of a natural person, our Company 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 our Company provide CFIAM with the personal data of a natural person located in the People's Republic of China, our Company confirms that in addition to the above consent of such natural person, our Company 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. Our Company 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.

本公司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。該等資料包括本公司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。本公司明白本公司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公司的個人資料。

The company's 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 the company's name(s), contact details and financial background which are provided to CFIAM under this Form or obtained by CFIAM from time to time. The company understand that the company may, at any time, require CFIAM to cease to use the company's personal data for direct marketing through such channel prescribed by CFIAM.

☐ 本公司同意中信信期資管如上述情況使用本公司之個人資料用作直接促銷之用途
The company consent to the use of the company's personal data by CFIAM in direct marketing

☐ 本公司反對中信信期資管如上述情況使用本公司之個人資料用作直接促銷之用途
The company object to the use of the company's personal data by CFIAM in direct marketing

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

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

為提供本公司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公司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，本公司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 the company's 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 the company's personal data may not be protected to the same or similar level in Hong Kong.

☐ 本公司同意把本公司的個人資料轉移至香港境外
The company consent to such transfer of the company's personal data outside Hong Kong

本公司理解，如果本公司不希望中信信期資管使用本公司的個人資料，本公司可以書面撤回本公司的同意，但本公司必須依照私隱政策聲明中的規定書面通知中信信期資管。本公司理解，根據情況，本公司撤回同意可能會導致中信信期資管無法持續向本公司/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公司的關係或賬戶。另外，撤回同意不會影響撤回前基於本公司的同意收集、使用和披露本公司的個人資料的合法性。如果本公司對有關個人資料的同意有任何疑問，本公司可以與中信信期資管聯繫。

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

2. ☐ 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法團專業投資者，即為《證券及期貨條例》(第 571 章)附表 1 第 1 部分第 1 條"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(a)、3(c) 和 3(d)條列明的人士。

The Code of Conduct for Persons Licenced by or Registered with the Securities and Futures Commission ("**Code**") permits CFIAM in certain circumstances to treat Customers as Corporate Professional Investors, as defined in paragraph (j) of Part 1 of Schedule 1 to the Securities and Futures Ordinance (Cap 571) and persons specified in Section 3(a)、3(c) and 3(d) of the Securities and Futures (Professional Investor) Rules (Cap 571D).

(1) 本公司確認，本公司是法團專業投資者定義範圍內的人士並同意被如此認定。The company confirm that the company is a person within the meaning of Corporate Professional Investor and consent to be treated as such.

(2) 本公司確認，一旦本公司不再符合上述有關法團專業投資者的定義，本公司將立即通知中信信期資管。The company confirm that the company will notify CFIAM immediately if the company cease to fall within the meaning of Corporate Professional Investor.

(3) 本公司確認準則第 15.3A 和第 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有權就《準則》第 15.4 和 15.5 段中所列條款的要求豁免。The company confirm that the requirements set out in paragraph 15.3A and 15.3B of the Code have been fulfilled and complied with and as such, the company understand and consent that CFIAM is entitled to be exempt from the provisions set out in paragraph 15.4 and 15.5 of the Code.

(4) 本公司注意到且同意，中信信期資管出於提供本表格所選擇服務之目的，而將本公司視為法團專業投資者。The company note that CFIAM is treating the company as an Corporate Professional Investor for the purposes of providing the services that the company chose in this Form.

(5) 通過簽署和交回此份聲明及所有必要的證明文件（如有），本公司確認：被視為法團專業投資者的風險和後果已完全向本公司說明。By signing and returning this declaration with all the required supporting documents (if any), the company acknowledge that the risks and consequences of being treated as an Corporate Professional Investor have been fully explained to the company.

(6) 本公司同意被視為法團專業投資者，且本公司同意，在本公司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。The company agree to inform CFIAM promptly in the event that any information the company have set out above ceases to be true and accurate.

(7) 本公司知曉，本公司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，反對或撤回被視為法團專業投資者。若本公司不願意被視為法團專業投資者，本公司將隨時通知中信信期資管。The company understand that the company have the right to object and withdraw from being treated as an Corporate 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. The company will inform CFIAM at any time if the company do not wish to be treated as an Corporate Professional Investor.

(8) 本公司被歸類為法團專業投資者後，中信信期資管無須遵守、且本公司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客戶發送成交單據、結單及收據。本公司應知曉該等歸類的風險。As a consequence of this classification, CFIAM shall not be required to comply and the company 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 the Customer according to the Agreement. The company have been aware of the risk of such classification.

(9) 本公司知曉中信信期資管將進行年度確認，以確保本公司持續符合專業投資者規則中的要求。本公司亦知曉被視為法團專業投資者的歸類將持續有效，直到本公司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，在此等客戶被終止認定為法團專業投資者時，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。而如客戶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和細則將作為替代條款而直接及全面地對客戶適用，客戶無需重新簽署本表格。The company understand that CFIAM will carry out a confirmation exercise annually to ensure that the company continue to fulfill the requisite requirements under the Professional Investor Rules and the treatment of classification as an Corporate Professional Investor will continue to take effect until withdraw from the company or objection by CFIAM from time to time. Without prejudice to all rights and interests that CFIAM has, upon such cessation of being an Corporate 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 the Customer if the Customer continues to use the services that are available to the non-Professional Investors (if any) without re-signing this Form.

(10) 本公司承諾，在中信信期資管要求時，本公司會完成和法團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，本公司理解中信信期資管可隨時無理由拒絕將本公司視為法團專業投資者。The company undertake, at the request of CFIAM, to complete whatever assessments, forms or statements in relation to Corporate Professional Investors and provide whatever related proofs, evidences and documents to its satisfaction. Despite all this, the company understand CFIAM may at any time refuse to treat us as Corporate Professional Investor(s) without giving any reasons.

客戶 Customer

*獲授權人代表企業客戶簽署或/及企業客戶蓋章
Authorized signatory(ies) signed for and on behalf of the Customer and/or common seal

客戶名稱：
Name of Customer:

獲授權人姓名：
Name of the Authorized Signatory(ies) :

身份證/護照號碼：
ID/ Passport No. of the Authorized Signatory(ies) :

簽署日期：
Signing Date:

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 No. of witness/ 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:			