

5) FINANCIAL INFORMATION, INVESTMENT OBJECTIVES & EXPERIENCE 財務資料、投資目的及經驗			
* i) Issued Share Capital (HK\$) 已發行股本 (港幣)		* ii) Paid-up Capital (HK\$) 繳足股本 (港幣)	
* iii) Annual Income (HK\$) 年度收入 (港幣)		* iv) Client's Net Assets (HK\$) 淨資產值 (港幣)	
* v) Source(s) of Funds 資金來源 (Please tick one or more 可選擇下列一項或多項)			
<input type="checkbox"/> Paid Share Capital 股東資本 <input type="checkbox"/> Business Profit 企業盈利 <input type="checkbox"/> Loan 借貸 <input type="checkbox"/> Others (Please specify) 其他(請註明)_____			
* vi) Estimated Investment Amount (HK\$) 估計投資金額 (港幣)			
<input type="checkbox"/> Under/以下 \$1,000,000 <input type="checkbox"/> \$1,000,001 - \$5,000,000 <input type="checkbox"/> \$5,000,001 - \$10,000,000 <input type="checkbox"/> Over/以上 \$10,000,000			
* vii) Investment Objective(s) 投資目的 (Please tick one or more 可選擇下列一項或多項)			
<input type="checkbox"/> Capital Gain 資本增值 <input type="checkbox"/> Dividend Income 股息收入 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Others (Please specify) 其他(請說明)_____			
* viii) Investment Experiences 投資經驗			
Investment Products 投資產品 :			
<input type="checkbox"/> Nil 沒有 <input type="checkbox"/> Stock/Warrant 股票/認股權證 <input type="checkbox"/> Futures/Option 期貨/期權 <input type="checkbox"/> Bonds/Funds 債券/基金 <input type="checkbox"/> Others 其他_____			
Years of Experiences 投資經驗 :			
<input type="checkbox"/> Nil 沒有 <input type="checkbox"/> 1-3 years 年 <input type="checkbox"/> 3-5 years 年 <input type="checkbox"/> 5-10 years 年 <input type="checkbox"/> Over 10 years 超過十年			
6) LIST OF DIRECTORS, SHAREHOLDERS AND/OR ULTIMATE OWNERS 董事、股東及/或最終擁有人名單 (Not Applicable to Listed Company 不適用於上市公司)			
* Name of Director * 董事名稱		* ID No/Passport No/Registration No * 身份證號碼/護照號碼/註冊編號	* Home Address/Registered Address * 住址/註冊地址
i)			
ii)			
iii)			
iv)			
* Name of Shareholder * 股東名稱		* ID No/Passport No/Registration No * 身份證號碼/護照號碼/註冊編號	* Home Address/Registered Address * 住址/註冊地址
i)			
ii)			
iii)			
iv)			
For shareholder that is a corporate body or not an ultimate owner, please also provide details of the corresponding individual ultimate owner(s) (a person holding not less than 25% of the interest). 若股東為法人團體或非最終擁有人，請進一步提供其最終擁有人(個人擁有不少於25%的權益)之資料。			
Name of Ultimate Owner 最終擁有人名稱	Interest 權益 %	ID No /Passport No. 身份證號碼/護照號碼	Home Address 住址
i)			
ii)			
iii)			
iv)			

7) ACCOUNT OPERATIONS AUTHORIZATION 帳戶操作授權

Authorized Signatory, Trading Instruction and Settlement Instruction arrangement shall be set out in the Board Resolution.

須於董事會決議內列明授權簽署人、交易授權及交收授權之安排。

8) DISCLOSURE OF IDENTITY 相關身份披露

* i) Is any of the director(s), shareholder(s), ultimate owner(s) or authorized person(s) of the Client ("Relevant Person") an employee or relative of any employee or director or representative of Changjiang Securities International Financial Group Limited ("CJSIFG") or any of its subsidiaries?

客戶之任何董事、股東、最終擁有人或獲授權人士(「相關人士」)是否長江證券國際金融集團有限公司(「長證國際」)或其任何附屬公司之僱員或與其任何僱員、董事或持牌代表有親屬關係?

No 不是

Yes (Please specify) 是(請詳述)

Name of Relevant Person 相關人士姓名 _____

Name of employee / director / representative 僱員/董事/代表姓名 _____

Relationship 關係 The Client 客戶本人 Spouse 配偶 Parents 父母 Children 子女 Others 其他 _____

* ii) Is any of the shareholder(s) or ultimate owner(s) of the Client ("Controlling Person") an employee or director or accredited person of any licensed or registered person with the Securities and Futures Commission?

客戶之任何股東或最終擁有人(「控制人」)是否證券及期貨監察委員會持牌人或註冊人之僱員、董事或持牌代表?

No 不是

Yes (Please specify and provide employer's consent letter) 是(請詳述及提供僱主之書面同意書)

Name of Controlling Person 控制人姓名 _____

Name of Licensed or Registered Person 持牌人或註冊人名稱 _____

* iii) Is any of the Relevant Person(s) a director, employee or substantial shareholder (controlling not less than 25% of the shares) of any listed company in Hong Kong?

任何相關人士是否任何香港上市公司之董事、僱員或大股東(持有不少於25%的股份)?

No 不是

Yes (Please specify) 是(請詳述)

Name of Relevant Person 相關人士名稱 _____

Name of listed company and respective role 上市公司名稱及其身份 _____

* iv) Does any of the Relevant Person(s) maintain or operate any other account with CJSIFG or any of its subsidiaries?

任何相關人士是否於長證國際或其任何附屬公司持有或運作任何帳戶?

No 不是

Yes (Please specify) 是(請詳述)

Account Name 帳戶名稱 _____

Account No 帳戶號碼 _____

* v) Is any of the Relevant Person(s) or his/her spouse, partner, child, parent, spouse or partner of his/her child, or close associate a politically exposed person, senior government official or senior executive of a state owned corporation?

任何相關人士或其配偶、伴侶、子女或父母、或其子女的配偶或伴侶、或與其關係密切的人是否為政治人物、高級政府官員或國有企業高級行政人員?

No 不是

Yes (Please specify) 是(請詳述)

9) RELATED MARGIN FINANCING ACCOUNT(S) 關係證金融資帳戶 (For Margin Account only 只適用於保證金帳戶)

Does the Client have related margin financing account(s) maintained with CJSBHK? (Please refer to Declaration on Related Margin Financing Account(s))

No 不是

Yes (Please specify) 是(請詳述) _____

10) KNOWLEDGE OF OF DERIVATIVES 衍生產品的認識

* I/We have NOT acquired knowledge of derivative products (e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, Commodity, Structured Products and Exchange Traded Fund etc, whether traded on an exchange or not)

本人/吾等沒有衍生產品之認識(例如: 衍生權證、牛熊證、股票期權、期貨及期權、商品、結構性產品及交易所買賣基金等、不論是否於交易所進行交易)(*** If tick this box, it represents NO trading function for derivative products 如勾選此項, 代表沒有交易衍生產品的功能 ***)

* I/We understand the nature and risks of derivative products by:

本人/吾等了解衍生產品的性質和風險

By undergoing training or attending courses that provide general knowledge of the nature and risk of derivatives

已接受有關介紹一般衍生產品之性質及風險的培訓或課程

Please specify 請註明 _____

From my/our current or previous work experience related to derivative products

從本人/吾等現時或過去與衍生產品有關的工作經驗

Please specify 請註明 _____

From my/our relevant trading experience i.e. I/we have executed five or more transactions within the past three years in derivative products

從本人/吾等相關之交易經驗, 即本人/吾等於過去三年內已進行了五次或以上有關衍生產品之交易

However, I/We will NOT trade derivative products with and through CJSBHK.

然而本人/吾等不會在長江證券經紀進行衍生產品買賣交易。

(*** if tick this box, it represents NO trading function for derivative products unless otherwise requested 如勾選此項, 代表沒有交易衍生產品的功能

· 除非日後另行要求***)

11) USE OF PERSONAL DATA 使用個人資料

* I/ We agree / disagree to the use of my/ our/ Client's Personal Data for direct marketing by CJSBHK under Personal Information Collection Statements of the Part V of Securities Trading Account and/ or Schedule III of Futures Trading Agreement.

* 本人 / 吾等 同意 / 不同意 長江證券經紀使用本人 / 吾等 / 客戶的個人資料按個人資料收集聲明 (載於證券交易協議的第五部份) 作直接促銷。

I/we understand that at any time in the future, in respect of direct marketing, I/we are entitled to inform Data Privacy Officer of CJSBHK if I/we wish to opt-out of the use of my/our/Client's personal data for any of the direct marketing purposes.

本人 / 吾等知悉，在將來任何情況下，如本人 / 吾等希望本人 / 吾等 / 客戶的個人資料加入長江證券經紀拒絕服務名單，本人 / 吾等可聯絡有關公司的私隱資料主任。

12) FOREIGN ACCOUNT TAX COMPLIANCE ACT ("FATCA") CLASSIFICATION 美國外國帳戶稅務合規法案分類

The Client is an U.S. Entity 客戶為美國機構

US Taxpayer Identification Number (TIN) 美國納稅人編號: _____

The Client is a Non-U.S. Financial Institution (FFI) 客戶為非美國金融機構

With Global Intermediary Identification Number (GIIN) 全球中介人編號: _____

Registered with the Internal Revenue Service but the GIIN has not been received 已向美國國稅局註冊，但未收到全球中介人編號

As a Certified deemed compliant FFI 為認證視為合規的非美國金融機構

As a Non-participating FFI 為不參與的非美國金融機構

As an Owner Documented FFI 為記錄擁有人的非美國金融機構

As an Exempt Beneficial Owner 為豁免受益人

Others (Please specify) 其他 (請列明) _____

The Client is Non-Financial Foreign Entities (NFFE) 客戶為非美國機構

Passive NFFE # where no Controlling Person is a U.S. citizen or resident

被動非美國機構#及控制人並非美國公民或居民

Passive NFFE where following Controlling Person is a U.S. citizen or resident

被動非美國機構及以下控制人為美國公民或居民

Name in English 英文姓名 _____ US TIN 美國納稅人編號 _____

Address in English 英文地址 _____

Not a Passive NFFE 不是被動非美國機構

Passive NFFE is an entity which satisfies one of the below conditions : (a) More than 50% of the entity's gross income for the preceding calendar year is passive income including interest, dividend, rental income, foreign exchange gain, annuity; or (b) More than 50% of the entity's assets held during the preceding calendar year are assets that produce or are held for the production of passive income.

被動非美國機構指符合以下其中一項條件之機構：(a) 根據該企業去年的財務報表，其50%以上的總收入是利息、股息、租金、外幣兌換收益或年金等被動收入；或(b)根據該企業去年的財務報表，其50%以上的總資產是為產生被動收入而持有。

13) DECLARATION BY CLIENT 客戶聲明

(To be signed by sole proprietor or all partners or authorized person(s) in accordance to the Board Resolution
由獨資東主或所有合夥人或由董事會決議的獲授權人士簽署)

I/We hereby acknowledge and confirm that:

本人/吾等謹此承諾並確認：

- i) I/ we confirm that all of the above information is true and correct and authorize CJSBHK to communicate and to exchange such information with whatever source CJSBHK may consider appropriate for the purpose of verifying the same; I/ we undertake to notify CJSBHK immediately upon the occurrence of any material changes of the above information.

本人/吾等證實在本表格內所填報之資料在所有方面全屬真實及正確，並授權長江證券經紀以任何其認為適當之途徑以確認該等資料之真確性及與有關方面交換資料；如上述資料有重大改變，本人/吾等確保會即時通知長江證券經紀。

- ii) I am/ we are duly authorized to execute this Account Opening Form for and on behalf of the Client;

本人/吾等獲正式授權代表客戶簽署此開戶表格；

- iii) I/we have received, read and understood the Terms and Conditions contained therein the Securities Trading Agreement (and the schedules, appendices and annexes thereto, if any) (the "Securities Trading Agreement"). All those agreements have been published at C JSIFG's website at www.cjsc.com.hk. I/we accept and agree to be bound by them;

本人/吾等已收到、閱讀及明白規限證券交易協議內之條款(包括其附表、附錄及附件(如有)) (「證券交易協議」)。該等協議亦已上載於長證國際網頁 www.cjsc.com.hk 上。而本人/吾等接納並同意受該等條款約束；

- iv) The risk disclosure statements (as contained in the Securities Trading Agreement) were provided to me/us in a language of my/our choice (English or Chinese);
本人/吾等已獲提供以本人/吾等選擇語言(英文或中文)所撰寫的風險披露聲明(載於證券交易協議內);
- v) I/we was/were invited to read the risk disclosure statements, and to ask questions and take independent advice if I/we so wished; I/We hereby confirm that I/We have fully understood and accepted all the aforesaid risk disclosure statements;
本人/吾等已獲邀請參閱風險披露聲明,並按其意願提出問題及諮詢獨立意見;本人/吾等謹此確認已完全明白及接受所有上述的風險披露聲明。
- vi) I/we have read CJSBHK Personal Information Collection Statements (as contained in the Securities Trading Agreement), understand and agree to its terms;
本人/吾等已參閱長江證券經紀給予客戶有關《個人資料收集聲明》(載於證券交易協議內),並明白且同意其條款;
- vii) I/we hereby acknowledge and confirm (i) the contents and effects of the power of attorney under Clause 5 of Schedule B of the Securities Trading Agreement (applicable to Margin Account only) have been explained to me/us; (ii) I/we fully understand the contents and effects of the Power of Attorney; (iii) I/we have authorized CJSBHK to deal with client monies, securities and securities collateral in accordance with the Power of Attorney; and (iv) I/we have authorized CJSBHK to have an absolute discretion to renew the Power of Attorney; and
本人/吾等知悉及確認(i)載於證券交易協議附表B第5條的授權書(只適用於保證金帳戶)的內容及作用並已獲清楚解釋;(ii)本人/吾等完全明白有關授權的內容及作用;(iii)本人/吾等已授權長江證券經紀根據有關授權處置款項、證券及證券抵押品;及(iv)已授權長江證券經紀有絕對的酌情權延續有關授權;及
- viii) I/We understand that the Power of Attorney may be deemed to be renewed on a continuing basis without my/our written consent if CJSBHK issue me/us a written reminder at least 14 days prior to the expiry date of the Power of Attorney, and I/we do not object to such deemed renewal before such expiry date.
本人/吾等明白長江證券經紀若在有關授權的有效期限滿前14日之前,向本人/吾等發出書面通知,提醒本人/吾等本授權書即將屆滿,而本人/吾等沒有在有關授權屆滿前反對此授權續期,有關授權應當作在不需要本人/吾等的書面同意下按持續的基準已被續期。

* Authorized Signature with Company Chop 公司印章及獲授權人簽名

Authorized Signature with Company Chop 公司印章及獲授權人簽名

* Name 姓名

Name 姓名

* Date 日期

Date 日期

14) SIGNED BY WITNESS 見證人簽署

(to be completed by staff, representative or affiliate of the Company or Professional (any other licensed or registered person with the SFC, a JP, branch manager of a bank, certified public accountant, lawyer or notary public))

(由本公司職員、持牌代表或聯繫人士或專業人士(其他證監會持牌人或註冊人、太平紳士、銀行分行經理、執業會計師、律師或公證人)填寫)

I hereby certify that I have witnessed the signature and verified the original identity documents of the above-named authorized person(s).

本人謹此確認本人已見證及驗證上述獲授權簽署人之簽署及有關其身分證明文件之正本。

Signature 簽署 _____

Profession 所屬專業/職銜 _____

Name 姓名 _____

Date 日期 _____

15) DECLARATION BY LICENSED PERSON 持牌人士聲明

I confirm that I have provided the risk disclosure statements (as contained in the Securities Trading Agreement) in a language of the Client's choice (English or Chinese) and invited the Client to read the risk disclosure statements, ask questions and take independent advice if the Client wishes.

本人確認已按照客戶所選擇的語言(英文或中文)提供風險披露聲明(載於證券交易協議內),並已邀請客戶閱讀該等風險披露聲明、提出問題及徵求獨立的意見(如客戶有此意願)。

Signature 簽署 _____

CE Number 中央編號 _____

Name 姓名 _____

Date 日期 _____

16) DOCUMENT REQUIRED FOR APPLICATION 申請所需文件

Please return the completed Account Opening Form with original signature of the authorized person(s) and the following documents in original or certified copy (Note):

請將填妥附有所有授權人士之原跡簽署的開戶表格連同以下正本或核證副本 (備註) 文件交回:

- Memorandum and Article of Association (M&A)
公司組織章程大綱及細則
- Certificate of Incorporation (CI)
公司註冊證書
- Board Resolution (sufficient number of directors signed on the resolution as quorum in M&A) for approval of account opening and granting account operations authorization with specimen signatures
董事決議 (根據公司組織章程大綱及細則, 需要指定董事人數於會議記錄上簽署) 批准開設帳戶及授權帳戶操作連同簽署範本
- Register of Directors
董事名冊
- Register of Members
股東名冊
- ID/ Passport/ CI of Director(s), Shareholder(s), Ultimate Owner(s), Authorized Person(s) and Guarantor(s)
所有董事、股東、最終擁有人、獲授權人及擔保人之身份證、護照副本或公司註冊證書
- Latest residential address proof issued within the last 3 months of company, directors and guarantor(s) (if any)
公司、董事及擔保人(如有)的最近3個月以內之住址證明
- Latest Audited Financial Statements
最近期經審計帳目
- Latest Annual Return (applicable to HK incorporated)
最近期週年申報表 (適用於香港註冊公司)
- Business Registration Certificate (applicable to HK incorporated)
商業登記牌照 (適用於香港註冊公司)
- Certificate of Incumbency issued within the last 6 months (applicable to overseas incorporated)
最近六個月發出的董事在職證明 (適用於海外註冊公司)
- Good Standing (applicable to overseas incorporated)
存續證書 (適用於海外註冊公司)

NOTE 備註:

- i) Any deletion or amendment must be initialed by all authorized person(s).
任何刪除或修改必須由授權人士簽署作實。
- ii) Certified copy means a copy of the original that has been sighted by an independent certifier (the "Certifier"). The Certifier can be an employee, licensed person or affiliate of CJSBHK or Professional (any other licensed or registered person with the SFC, a JP, branch manager of a bank, certified public accountant, lawyer or notary public).
核證副本是指文件的正本須經由一名獨立合適人士 (「核證人」) 查看。核證人包括長江證券經紀員工、持牌人士或聯繫人士或專業人士 (其他證監會持牌人或註冊人、太平紳士、銀行分行經理、執業會計師、律師或公證人)。
- iii) The Certifier must i) sign and date the copy document (printing his/her name clearly in capitals underneath), ii) clearly indicate his/her position or capacity on it and iii) state that it is a true copy of the original (or words to similar effect).
核證人必須 i) 在副本文件上簽署並寫上日期 (以大楷清楚列示其姓名)、ii) 清楚註明其職位或身分及 iii) 註明該副本文件為正本文件的真確副本 (或具類似效力的字詞)。

FOR OFFICE USE ONLY 本公司專用

Document Reviewed By	
System Input By	Checked By:
Account Opening Approved By	
A.E. Code	
Interest Rate	
Trade Limit/Trading Limit	
Credit Limit/Position Limit	
Commission	
Date	
Remark	