

Changjiang Securities Brokerage (HK) Limited ("CJSBHK")
長江證券經紀(香港)有限公司 (「長江證券經紀」)
(CE No 中央編號: AXY608)

Account No.
帳戶號碼

Date
日期

Address: Suite 3605-3611, 36/F, Cosco Tower, 183 Queen's Road Central, Hong Kong
地址: 香港皇后大道中 183 號中遠大廈 36 樓 3605-3611 室
Tel 電話: (852) 2823-0333
Fax 傳真: (852) 2823-0408
Website 網址: www.cjsc.com.hk

(*) Mandatory field (*) 必需填寫

ACCOUNT OPENING FORM - CORPORATE ACCOUNT

開戶表格 - 機構帳戶

1) ACCOUNT TYPE 帳戶類別

- * ☐ Securities Trading (Cash) 現金證券交易 ☐ Securities Trading (Margin) 保證金證券交易 ☐ Futures Trading 期貨交易
- * Internet Trading Services 網上交易服務 ☐ Yes 是 ☐ No 否
- * Global Trading Services 環球交易服務
(Please attach W-8BEN-E / W-8IMY Form 請附上W-8BEN-E或W-8IMY表格) ☐ Yes 是 ☐ No 否
- * Northbound China Connect Orders 中華通北向交易 ☐ Yes 是 ☐ No 否
(Please attach Personal Information Collection Statement concerning Northbound China Connect Orders 請附上中華通北向交易之個人資料收集聲明)
- * Apply for being Professional Investor 申請成為專業投資者 (For trading Mutual Fund or Bond 可用於基金或債券的交易) ☐ Yes 是 ☐ No 否
(Please attach PI Assessment Form & Client Risk Assessment Questionnaire 請附上專業投資者評估表格及客戶風險評估問卷)

2) CLIENT INFORMATION 客戶資料

- * Client Name (English)
客戶名稱 (英文)
- * Client Name (Chinese)
客戶名稱 (中文)
- * Place of Incorporation/Establishment
註冊/成立地點
- * Date of Establishment
成立日期
- * Nature of Business
業務性質
- * Certificate of Incorporation Number
公司註冊證編號
- * Business Registration Number
商業登記編號
- * Client Type
客戶類別 ☐ Sole Proprietorship 獨資企業 ☐ Partnership 合夥企業 ☐ Corporation (Non-listed Company) 法團 (非上市公司)
☐ Listed Company 上市公司 ☐ Licensed Financial Institution 持牌金融機構
☐ Other (Please Specify) 其他 (請註明) _____
- * Registered Address
註冊地址 (Postal Code 郵編: _____)
- Business Address (if different from Registered Address)
營業地址 (如與註冊地址不同) (Postal Code 郵編: _____)
- * Office Tel No.
辦事處電話號碼
- Office Fax No.
辦事處傳真號碼
- * Mobile Tel No. (Authorized Person)
手提電話號碼 (獲授權人)
- * E-mail Address
電郵地址

3) METHOD OF COMMUNICATION/ACCOUNT STATEMENT COLLECTION 通訊/戶口結單收取方法

- * Please select one of the following methods of communication / account statement collection (Monthly fee of HK\$100 would be charged for any mailing services)
請選擇以下其中一項通訊/戶口結單收取方法 (如選用郵寄形式, 將每月收取港幣100元郵遞服務費)
- ☐ Email address 電郵地址 ☐ Registered address 註冊地址 ☐ Business address 營業地址
- ☐ Correspondence address 通訊地址 _____

4) SETTLEMENT ACCOUNT INFORMATION 結算帳戶資料 (Registration for Bank in Hong Kong only 只供登記香港銀行)

Unless otherwise instructed by the Client, all payments payable to the Client would be deposited into the following bank account(s):

除經客戶另行指示外, 客戶的應收金額將存入下列指定銀行帳戶:

Currency 貨幣: ☐ HKD 港幣 ☐ USD 美元 ☐ CNY 人民幣

Bank Name 銀行名稱 _____ Account Number HKD _____
帳戶號碼

Account Holder Name 帳戶持有人名稱 _____ USD _____
CNY _____

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 10% 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10%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)			

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 and/ or CJFHK 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 長江證券經紀及/ 或長江證券期貨使用本人/ 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及/ 或期貨交易協議的附表三) 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/ CJFHK 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/ 長江證券期貨拒絕服務名單，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 and/ or CJFHK to communicate and to exchange such information with whatever source CJSBHK and/ or CJFHK may consider appropriate for the purpose of verifying the same; I/We undertake to notify CJSBHK and/ or CJFHK 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及/ 或長江證券期貨以任何其認為適當之途徑以確證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及/ 或長江證券期貨。

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") and/or Futures Trading Agreement (and the schedules, appendices and annexes thereto, if any) (the "Futures Trading Agreement"). All those agreements have been published at CJSIFG'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」) 及/ 或期貨交易協議內之條款 (包括其附表、附錄及附件 (如有)) (「期貨交易協議」)。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；

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□於會議記□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
- ☐ Shareholding Structure Chart
股權架構圖
- ☐ Completed Self-Certification Form - Entity
填妥之自我證明表格 - 實體
- ☐ Completed Self-Certification Form - Controlling Person (applicable to Passive NFE)
填妥之自我證明表格 - 控權人（適用於被動非財務實體）
- ☐ 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：

- 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。
- 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 CJFHK 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或長江證券期貨員工、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）。
- 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

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