

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)

Changjiang Futures (HK) Limited (“CJFHK”)
長江證券期貨(香港)有限公司 (「長江證券期貨」)
(CE No 中央編號: AYK752)

Account No.
帳戶號碼

Date
日期

Address: Suite 1908, 19/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19樓1908室
Tel 電話: (852) 2823-0333
Fax 傳真: (852) 2823-0408
Website 網址: www.cjcs.com.hk

(*) Mandatory field (*) 必需填寫

ACCOUNT OPENING FORM - INDIVIDUAL / JOINT ACCOUNT
開戶表格 - 個人 / 聯名帳戶

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
- * Individual 個人 Joint 聯名 (Please fill in part 3 if tick this box 如勾選此項, 須填寫第3部)
- * 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 Form 請附上W-8BEN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) PRIMARY ACCOUNT HOLDER INFORMATION 主帳戶持有人資料

| | | |
|---|--|------------------------------|
| * Chinese Name 中文姓名 | * English / Pinyin Name 英文/拼音姓名 | |
| * ID No / Passport No 身份證號碼/護照號碼 | * Nationality 國籍 | |
| * Date of Birth 出生日期 (YYYY年/MM月/DD日) / / | * Gender 性別 <input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女 | |
| * Home Address 住宅地址 (Postal Code 郵編:) | | |
| Home Tel No. 住宅電話號碼 | * Mobile Phone No. 手提電話號碼 | Fax No. 傳真號碼 |
| * E-mail Address 電子郵件地址 | | |
| * Employment Information 受僱資料 <input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Other 其他 _____ | | |
| * Name of Employer 僱主名稱 | | * Nature of Business 業務性質 |
| * Position 職位 | Office Tel No. 辦事處電話號碼 | Office Fax No. 辦事處傳真號碼 |
| * Office Address 公司地址 (Postal Code 郵編:) | | |

3) SECONDARY JOINT ACCOUNT HOLDER INFORMATION 第二帳戶持有人資料

Relationship with Primary Account Holder 與主帳戶持有人關係
 Relatives 親屬 (Please Specify 請註明) _____ Other 其他 _____

| | | |
|---|--|----------------------------|
| Chinese Name 中文姓名 | English / Pinyin Name 英文/拼音姓名 | |
| ID No / Passport No 身份證號碼/護照號碼 | Nationality 國籍 | |
| Date of Birth 出生日期 (YYYY年/MM月/DD日) / / | Gender 性別 <input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女 | |
| Home Address 住宅地址 (Postal Code 郵編:) | | |
| Home Tel No. 住宅電話號碼 | Mobile Phone No. 手提電話號碼 | Fax No. 傳真號碼 |
| E-mail Address 電子郵件地址 | | |
| Employment Information 受僱資料 <input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Other 其他 _____ | | |
| Name of Employer 僱主名稱 | | Nature of Business 業務性質 |
| Position 職位 | Office Tel No. 辦事處電話號碼 | Office Fax No. 辦事處傳真號碼 |
| Office Address 公司地址 (Postal Code 郵編:) | | |

4) 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)

- Home Address 住宅地址 Office Address 辦事處地址 Email Address 電子郵件地址
- Others (Please specify) 其他(請填寫) _____

5) 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 帳戶號碼 HKD _____
 USD _____
 Account Holder Name 帳戶持有人名稱 _____ CNY _____

6) CLIENT FINANCIAL INFORMATION, INVESTMENT OBJECTIVES & EXPERIENCE 客戶財務資料、投資目的及經驗 (Completed by the primary account holder where it is a Joint Account 如屬聯名帳戶, 請由主帳戶持有人填寫)

* i) Estimated Annual Income 估計每年收入 (HK\$港幣)

- Under / 以下 \$200,000 \$200,001 - \$500,000 \$500,001 - \$1,000,000
 \$1,000,001 - \$5,000,000 Over / 以上 \$5,000,000 (Please state the value to 請註明數值至: _____)

* ii) Estimated Total Net Worth 估計客戶資產淨值 (HK\$港幣)

- Under / 以下 \$500,000 \$500,001 - \$1,000,000 \$1,000,001 - \$2,000,000 \$2,000,001 - \$5,000,000
 \$5,000,001 - \$10,000,000 Over / 以上 \$10,000,000 (Please state the value to 請註明數值至: _____)

* iii) Source(s) of Funds 資金來源 (Please tick one or more 可選擇下列一項或多項)

- Salary 薪金 Savings 儲蓄 Business Income 業務收入
 Retirement Funds 退休金 Return on Investment 投資回報 Rental Income 租金收入
 Loan 借貸 Others 其他 _____

* iv) Estimated Investment Amount 估計投資金額 (HK\$港幣)

- Under / 以下 \$1,000,000 \$1,000,001 - \$5,000,000 \$5,000,001 - \$10,000,000 Over / 以上 \$10,000,000

* v) Investment Objective(s) 投資目的 (Please tick one or more 可選擇下列一項或多項)

- Capital Gain 資本增值 Dividend Income 股息收入 Hedging 對沖
 Speculation 投機 Others (Please specify) 其他(請說明) _____

* vi) Investment Experiences 投資經驗

Investment Products 投資產品:

- Nil 沒有 Stock/Warrant 股票/認股權證 Futures/Option 期貨/期權 Bonds/Funds 債券/基金 Others 其他 _____

Years of Experiences 投資經驗:

- Nil 沒有 1-3 years 年 3-5 years 年 5-10 years 年 Over 10 years 超過十年

7) DISCLOSURE OF IDENTITY 相關身份披露

* i) Is the Client 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 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) Identity of the ultimate beneficial owner(s) of the Account 帳戶最終權益擁有人(等)的身份

- The Client 客戶本人
 Others (Please provide copy of his/her identity card and address proof) 其他(請提供其身份證明文件及住址證明副本)

Name 姓名 _____ HKID/Passport No. 香港身份證/護照號碼 _____

Address 地址 _____

| |
|--|
| <p>* iii) Identity of the person(s) ultimately responsible for originating instructions in relation to transactions under the Account 就此帳戶進行交易的最終負責發出指示的身份</p> <p><input type="checkbox"/> The Client 客戶本人</p> <p><input type="checkbox"/> Others (Please provide completed "Third Party Trading Authorization" and copy of his/her identity card and address proof) 其他 (請提供已填妥"第三者操作帳戶授權書"及其身份證明文件及住址證明副本)</p> <p>Name 姓名 _____ HKID/Passport No. 香港身份證/護照號碼 _____</p> <p>Address 地址 _____</p> |
| <p>* iv) Is the Client an employee or director or accredited person of any licensed or registered person with the Securities and Futures Commission? 客戶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?</p> <p><input type="checkbox"/> No 不是</p> <p><input type="checkbox"/> Yes (Please specify and provide employer's consent letter) 是 (請詳述及提供僱主之書面同意書)</p> <p>Name of Licensed or Registered Person 持牌人或註冊人士名稱 _____</p> |
| <p>* v) Is the Client a director, employee or substantial shareholder (controlling not less than 10% of the shares) of any listed company in Hong Kong? 客戶是否任何香港上市公司之董事/僱員/大股東(持有不少於10%的股份)?</p> <p><input type="checkbox"/> No 不是</p> <p><input type="checkbox"/> Yes (Please specify) 是(請詳述) _____</p> |
| <p>* vi) Does the Client or his/her related person (including spouse) maintain or operate any other account with CJSIFG or any of its subsidiaries? 客戶或其關連人士(包括其配偶)是否於長證國際或其任何附屬公司持有或運作任何帳戶?</p> <p><input type="checkbox"/> No 不是</p> <p><input type="checkbox"/> Yes (Please specify) 有(請詳述)</p> <p>Account Name 帳戶名稱 _____ Account No 帳戶號碼 _____ Relationship 關係 _____</p> |
| <p>* vii) Is any of the Client(s), ultimate beneficial owner(s) or authorized person of the Account 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? 客戶、任何帳戶最終權益擁有人或授權人士或其配偶、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?</p> <p><input type="checkbox"/> No 不是</p> <p><input type="checkbox"/> Yes (Please specify) 是(請詳述) _____</p> |
| <p>* viii) Is the Client or ultimate beneficial owner of the Account a citizen or resident of the United States of America for tax purposes? 客戶或帳戶最終權益擁有人是否美國公民或就有關稅務目的而言屬美國居民?</p> <p><input type="checkbox"/> No 不是</p> <p><input type="checkbox"/> Yes (Please provide SSN or ITIN) 是 (請提供美國納稅人編號) _____</p> |
| <p>8) RELATED MARGIN FINANCING ACCOUNT(S) 相關保證金融資帳戶 (For Margin Account only 只適用於保證金帳戶)</p> <p>Does the Client have related margin financing account(s) maintained with CJSBHK? (Please refer to Declaration on Related Margin Financing Account(s)) 客戶是否在長江證券經紀(香港)有限公司擁有相關保證金融資帳戶?(詳見相關保證金融資帳戶之聲明)</p> <p><input type="checkbox"/> No 不是</p> <p><input type="checkbox"/> Yes (Please attach Declaration on Related Margin Financing Account(s)) 是(請附上相關保證金融資帳戶之聲明)</p> |
| <p>9) KNOWLEDGE OF DERIVATIVES 衍生產品的認識</p> <p>* <input type="checkbox"/> 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***)</p> <p>* <input type="checkbox"/> 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</p> <p><input type="checkbox"/> 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 _____</p> <p><input type="checkbox"/> 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 _____</p> <p><input type="checkbox"/> 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</p> <p><input type="checkbox"/> However, I/We will NOT trade derivative products with and through CJSBHK and/or CJFHK. 然而本人/吾等不會在長江證券經紀及/或長江證券期貨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***)</p> |
| <p>10) USE OF PERSONAL DATA 使用個人資料</p> <p>* I/We <input type="checkbox"/> agree / <input type="checkbox"/> disagree to the use of my/ our 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 <input type="checkbox"/> 同意 / <input type="checkbox"/> 不同意 長江證券經紀及/或長江證券期貨使用本人/吾等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。</p> <p>* 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 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。</p> |

11) DECLARATION BY CLIENT 客戶聲明

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 authorise 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/ we agree to open account(s) listed in Section 1 herein (the “Account”) with CJSBHK and/or CJFHK;
本人/吾等同意開立此開戶表格第1章節所列出的帳戶(“帳戶”)；
- 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；
- iv) the risk disclosure statements (as contained in the Securities Trading Agreement and/or Futures 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(載於證券交易協議及/或期貨交易協議內)；
- 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 and/ or CJFHK Personal Information Collection Statements (as contained in the Securities Trading Agreement and/ or Futures Trading Agreement), understand and agree to its terms;
本人/吾等已參閱長江證券經紀及/或長江證券期貨給予客戶有關《個人資料收集聲明》(載於證券交易協議及/或期貨交易協議內)，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) and / or under Clause 24 of the Futures Trading Agreement (the “Power of Attorney”) 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 and/ or CJFHK to deal with client monies, securities and securities collateral in accordance with the Power of Attorney; and (iv) I/ we have authorized CJSBHK and/or CJFHK 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)及/或載於期貨交易協議內第24條的授權書(“有關授權”)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及/或長江證券期貨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及/或長江證券期貨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 and/or CJFHK 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及/或長江證券期貨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。

| * Primary Account Holder's Signature 主帳戶持有人簽署 | Secondary Joint Account Holder's Signature 第二帳戶持有人簽署 |
|---|---|
| | |
| * Date 日期 | Date 日期 |
| Written instruction to be signed by 簽署書面指示方式 (For Joint Account Only. 只適用於聯名帳戶) <input type="checkbox"/> Either one of the account holders; 任何一位帳戶持有人的指示 <input type="checkbox"/> All account holders 所有帳戶持有人的指示 <input type="checkbox"/> Others (Please specify) 其他(請註明) _____ | |

12) 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 Client(s).

本人謹此確認本人已見證及驗證客戶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 _____

13) 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 and/ or Futures 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(載於證券交易協議及/或期貨交易協議內),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 _____

14) DOCUMENT REQUIRED FOR APPLICATION 申請所需文件

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

請將填妥附有客戶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:

- Copy of HKID/ Passport of the Client(s), ultimate beneficial owner(s) and authorized person
客戶、最終權益擁有人及獲授權人士之香港身份證或護照副本
- Latest residential address proof issued within the last 3 months, (electricity bill, bank statement, etc) of the Client(s), ultimate beneficial owner(s) and authorized person
客戶、最終權益擁有人及獲授權人士之最近三個月內發出之住址證明文件,如電費單、銀行月結單
- Completed Self-Certification Form - Individual
填妥之自我證明表格 - 個人
- Completed W-8BEN Form (if applicable)
填妥之 W-8BEN 表格 (如適用)
- Completed Personal Information Collection Statement concerning Northbound China Connect Orders (if applicable)
填妥之中華通北向交易之資料收集聲明 (如適用)
- Completed PI Assessment Form & Client Risk Assessment Questionnaire (if applicable)
填妥之專業投資者評估表格及客戶風險評估問卷 (如適用)
- Completed Third Party Trading Authorization Letter (if applicable)
填妥之第三者操作帳戶授權書 (如適用)
- Completed Declaration on Related Margin Financing Account(s) (if applicable)
填妥之相關保證金融資帳戶聲明 (如適用)
- Consent Letter from Employer (if applicable)
僱主之書面同意書 (如適用)

NOTE 備註:

- Any deletion or amendment must be initialed by the Client(s).
任何刪除或修改必須由客戶簽署作實。
- 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 | | |