FUTURES AND OPTIONS TRADING ACCOUNT APPLICATION FORM

期貨及期權交易開戶申請表

建銀国际 CCB International

Please tick the appropriate box 請在適當空格加√

Account opening date 開戶日期

PLEASE COMPLETE THE APPLICATION FORM USING BLOCK LETTERS WHERE APPLICABLE. **請以英文正楷填妥申請表所有適用項目。**

Account Details 戶口資料

CCB International Securities Limited (the "**Company**")
建銀國際證券有限公司（「本公司」）

Referred by
介紹人

12/F., CCB Tower, 3 Connaught Road Central
Central, Hong Kong
香港中環干諾道中3號中國建設銀行大廈12樓
TEL 電話: 3911 8211 FAX 傳真: 2525 1198
CE no. 編號: AMB276

Account no. 帳戶號碼: (For internal use only) (只供內部使用)

AMO code 客戶經理號碼: (For internal use only) (只供內部使用)

Account type 帳戶類別:	Futures and options trading 期貨期權交易	
Online account 網上戶口:	☐ Yes 是 (The first 8 digits of the account number of this account shall be used as the log-in name of the online account 以此戶口的帳戶號碼的首 8 位數字作為網上戶口的登入名稱)	☐ No 不是

Instructions 指示

If you are an **individual** applicant, please complete the following sections of this Account Application Form: 如 閣下為**個人**申請人，請填寫本開戶申請表內的以下部分：

- Section A – Individual Applicants 甲部 – 個人申請人
- Section C – All Applicants 丙部 – 所有申請人

If you are a **corporate** applicant, please complete the following sections of this Account Application Form: 如 閣下為**公司**申請人，請填寫本開戶申請表內的以下部分：

- Section B – Corporate Applicants 乙部 – 公司申請人
- Section C – All Applicants 丙部 – 所有申請人

SECTION A – INDIVIDUAL APPLICANTS 甲部 - 個人申請人

1. Account Applicant's Information (Individual Account) 戶口申請人資料 (個人戶口)

Name 姓名 ☐ Mr. 先生 ☐ Mrs. 太太 ☐ Miss 小姐	Former name / alias in English / Chinese (if any) 英文 / 中文前用姓名 / 別名 (如有)	
English (please include first name and last name) 英文 (請填寫名字及姓氏)	Chinese (please include first name and last name) 中文 (請填寫名字及姓氏)	
HKID no. / Passport no. 香港身份證 / 護照號碼 (please delete as appropriate 請刪去不適用者)	Place of birth 出生地點	Date of birth 出生日期
Issue date / Expiry date / City and country of issue of HKID or passport 香港身份證或護照的簽發日期 / 到期日 / 簽發國家及城市		
Nationality / Citizenship / Residency 國籍 / 公民資格 / 居留資格		
Contact phone no. 聯絡電話號碼 (please include country and area code 請填寫國家代碼及區號)	Fax no. 傳真號碼	
Email address 電郵地址 (optional 非必填欄目)		
Residential address 住宅地址 ____________________ ____________________		
Residential status 居住狀況 (optional 非必填欄目)		
☐ Owned 自置	☐ Mortgaged / Monthly installment 按揭 / 每月供款$__________	☐ Relative's 親屬樓宇
☐ With parent(s) 與父母同住	☐ Rented / Monthly rental 租用 / 每月租金 $__________	☐ Quarters 宿舍
Employer name 僱主名稱		
Office phone no. 辦事處電話號碼	Year(s) with existing employer 已任職年期	Position 職位
Office address 辦事處地址		
Correspondence address 通訊地址(please select only one 請選擇其中一項)		
☐ Residential 住宅	☐ Office 辦事處	☐ Other (please specify) 其他 (請列明) ____________________ ____________________

The Account Applicant must provide the following supporting documentation in connection with this Account Application Form for verification and record keeping: 戶口申請人須就本開戶申請表提供以下證明文件以作實及存檔:

(i) a certified copy of the Account Applicant's HKID card / passport, containing the Account Applicant's name and date of birth; 載列戶口申請人姓名及出生日期的戶口申請人的香港身份證 / 護照的經認證副本；

(ii) proof of residential, correspondence and permanent address (if different) within the last 3 months, usually provided by way of an original / certified copy of a recent utility bill (P.O. box, care of (c/o) and hold mail addresses are not accepted); 最近 3 個月的住址、通訊地址及目前長期地址（如不同）的證明，通常以近期公用設施帳單的正本 / 經認證副本的方式提供（恕不接受郵箱地址、轉交地址及代收郵件地址）；

(iii) if any individual is acting as a trustee, a copy of the trust deed must be provided; 如任何個人是以受託人身份行事，必須提供信託契據的副本;

(iv) originals of the following separate completed and signed forms in relation to each Account Applicant's tax information: 以下有關每名戶口申請人稅務資料的分開填寫及簽署的表格正本：

  a. Self-Certification Form - Individual (the Self-Certification Form(s) will form a part of this Account Opening Form); and 自我證明表格 - 個人（自我證明表格將構成本帳戶開立表格的一部分）；及

  b. W-8BEN / W-9 (where applicable) for US Foreign Account Tax Compliance Act ("**FATCA**") purposes; 就《美國外國帳戶稅務合規法案》（「**FATCA**」）提交的 W-8BEN / W-9 表格（如適用）；

(v) a copy of or the original signed reply slip "Acknowledgement and Consent for Use of Personal Data for Direct Marketing" in connection with the Privacy Policy of CCB International (Holdings) Limited and its subsidiaries which carry on business in Hong Kong of the Account Applicant, and if applicable, of the ultimate beneficial owners listed in Section A2; and 有關在香港開展業務的建銀國際（控股）有限公司及其子公司及（如適用）A2 部分所列最終實益擁有人的私隱政策之「確認並同意為直接促銷使用個人資料」回條的副本或已簽署正本；及

(vi) any other information as may be required by the Company from time to time. 本公司可能不時要求的任何其他資料。

Note: all documents provided must be in either English or Chinese. If the documents are originally in another language, please provide a certified

English or Chinese translation. 附註：所提供的一切文件必須為英文或中文。若文件正本為另一種語言，則請提供經認證的英文或中文譯本。

The Account Applicant must also provide a "Self-Certification Form – Individual" which will form a part of this Account Application Form. 戶口申請人亦須提供「自我證明表格 - 個人」，該表格將構成本開戶申請表的一部分。

2. Ultimate Beneficial Ownership Information (Individual Account) 最終實益擁有人資料 (個人戶口)

Is the Account Applicant the ultimate beneficial owner(s) of the account?
(The information is required by the Hong Kong Securities and Futures Commission's (the "**SFC**") Client Identity Rule Policy.)
戶口申請人是否此戶口之最終實益擁有人? (所需資料是根據香港證券及期貨事務監察委員會(「**證監會**」所制定的客戶身份規則的政策索取)

☐ Yes 是
☐ No, please provide the following details 否，請提供以下詳細資料

Name(s) of ultimate beneficial owner(s) 最終實益擁有人姓名 (please include first name and last name 請填寫名字及姓氏)

1.	2.

Former name / alias in English / Chinese 英文 / 中文前用姓名 / 別名 (if any 如有)

1.	2.

Date and place of birth 出生日期及地點

1.	2.

Nationality / Citizenship / Residency 國籍 / 公民資格 / 居留資格

1.	2.

HKID no. / passport no.* 香港身份證 / 護照號碼* (please delete as appropriate 請刪去不適用者)

1.	2.

Contact phone no. 聯絡電話號碼 (please include country and area code 請填寫國家代碼及區號)

1.	2.

Occupation 職業

1.	2.

Is the ultimate beneficial owner a **licensed** / **registered** person with the Hong Kong SFC?
最終實益擁有人是否證監會的**持牌 / 註冊人士**?

1. ☐ No 否 ☐ Yes, please specify 是，請列明: ____________________	2. ☐ No 否 ☐ Yes, please specify 是，請列明: ____________________

Is the ultimate beneficial owner a current or former senior official for any level of government, public or statutory body, or political party, or a senior executiv region or country?
最終實益擁有人是否(於現在或過往)為任何城市、區域或國家內任何層次的政府、公營或法定機構或政黨的高層人員或任何國有企業的高級行政人員?

1. ☐ No 否 ☐ Yes, please specify 是，請列明: ____________________	2. ☐ No 否 ☐ Yes, please specify 是，請列明: ____________________

Annual income (HK$) 年度收入 (港元):

1. ☐ Under HK$1,000,000 以下 ☐ HK$1,000,000 – HK$5,000,000 ☐ Above HK$5,000,000 以上 Income source 收入來源:	2. ☐ Under HK$1,000,000 以下 ☐ HK$1,000,000 – HK$5,000,000 ☐ Above HK$5,000,000 以上 Income source 收入來源:

Net asset value (HK$) 淨資產值 (港元):

1. ☐ Under HK$8,000,000 以下 ☐ HK$8,000,000 – HK$30,000,000 ☐ Above HK$30,000,000 以上	2. ☐ Under HK$8,000,000 以下 ☐ HK$8,000,000 – HK$30,000,000 ☐ Above HK$30,000,000 以上

Address of property(ies) owned 自置物業地址

1.	2.

If you are acting under a power of attorney or are acting as a signatory on behalf of the ultimate beneficial owner, please provide the address of the attorney or the signatory 如 閣下根據授權書填寫或代表最終實益擁有人作為簽署人，則請提供授權代表或簽署人的地址:

* Please provide relevant proof for verification and record keeping. 請提供有關證明文件以作實及存檔。

Each of the beneficial owners who are considered as account holders under AEOI/FATCA must provide a Self-Certification Form (please see the definitions in the attached Client Agreement).
The Self-Certification Form(s) will form a part of this Account Opening Form.
根據 AEOI/FATCA 被認為屬帳戶持有人的每名實益擁有人須提供自我證明表格（請參閱隨附客戶協議的釋義）。
自我證明表格將構成本帳戶開立表格的一部分。

3. Account Applicant's Financial Profile and Investment Experience (Individual Account) 戶口申請人之財務紀錄及投資經驗 (個人戶口)

(The Company is required to obtain this information to fulfill the "Know-Your-Client Requirements" of the Hong Kong SFC.)
(本公司根據香港證監會所制定之「認識你的客戶要求」須索取有關資料。)

Estimated annual income 估計年收入

☐ Under HK$1,000,000 以下
☐ HK$1,000,000 – HK$5,000,000
☐ Above HK$5,000,000 以上

Other income source 其他收入來源________________________________

Estimated net asset value (HK$) (total assets – total liabilities) 估計資產淨值 (港元) (總資產 - 總負債)

☐ Under HK$8,000,000 以下
☐ HK$8,000,000 – HK$30,000,000
☐ Above HK$30,000,000 以上

Estimated amount of liquidity available for investment at account opening 在開戶時估計可作投資的流動資金

☐ Under HK$2,000,000 以下 ☐ HK$2,000,000 – HK$7,999,999 ☐ HK$8,000,000 – HK$30,000,000 ☐ Above HK$30,000,000 以上

Investment objectives 投資目標 (you may select more than one 可選擇多於一項)

☐ Investment 投資 ☐ Hedging 對沖 ☐ Speculation 投機 ☐ Capital growth 資本增值 ☐ Dividend income 股息收入 ☐ Others 其他 ________

Investment horizon 投資目光 (you may select more than one 可選擇多於一項)

☐ Long term 長線 ☐ Medium term 中線 ☐ Short term 短線

Investment experience (years) 投資經驗 (年資)

☐ Nil 沒有 ☐ Less than 少於 2 Years 年 ☐ 2-5 years 年 ☐ 6-10 years 年 ☐ Over 超過 10 years 年

Investment experience (markets) 投資經驗 (市場) (you may select more than one 可選擇多於一項)

☐ Nil 沒有 ☐ Hong Kong (including H shares) 香港股市 (包括 H 股) ☐ Developed markets 已發展市場 ☐ PRC 中國內地 ☐ Other emerging markets 其他新興市場

Investment experience (products) 投資經驗 (產品)

	Part 1 : Frequency of trade per year 第一部分 ： 每年交易次數			Part 2 : Estimated aggregate product investment (past and& present) (HK$) 第二部分 ： 估計過往及現在總產品投資量 (港元)			
	Uninvolved 沒有參與過	Less than 40 times 少於 40 次	More than 40 times 多於 40 次	Uninvolved 沒有參與過	Under HK$8,000,000 以下	HK$8,000,000 - HK$30,000,000	Above HK$30,000,000 以上
Shares 股票	☐	☐	☐	☐	☐	☐	☐
Debentures 債券	☐	☐	☐	☐	☐	☐	☐
Funds 基金	☐	☐	☐	☐	☐	☐	☐
Leverage foreign exchange 槓桿式外匯	☐	☐	☐	☐	☐	☐	☐
Precious metals 貴重金屬	☐	☐	☐	☐	☐	☐	☐
Futures / Options 期貨 / 期權	☐	☐	☐	☐	☐	☐	☐
Derivative products* 衍生產品*	☐	☐	☐	☐	☐	☐	☐

* Some examples of derivative products are warrants, callable bull bear contracts, credit-linked notes, equity-linked notes, and other products with embedded derivatives. 衍生產品的例子包括窩輪、牛熊證、信貸相連票據、股票相連票據，及其他嵌有衍生工具的產品。

Are you in general aware of the main risks relating to investing in derivative products? 你大致上了解有關投資衍生產品的主要風險嗎? ☐ Yes 了解 ☐ No 不了解

Do you in general understand the main features of derivative products? 你大致上明白衍生產品的主要特徵嗎? ☐ Yes 明白 ☐ No 不明白

Have you, undergone or attended any academic or professional training or courses about derivative products? 你有沒有從專業或學術途徑上(包括培訓或課程)認識或接觸過衍生產品? ☐ Yes 有** ☐ No 沒有

Have you executed 5 or more transactions in any derivative products within the past 3 years? 你有沒有於過去 3 年內曾進行 5 次或以上的任何衍生產品買賣交易? ☐ Yes 有** ☐ No 沒有

Do you have more than 1 year current or previous working experience related to derivative products? 你於現時或過去有沒有擁有 1 年以上有關衍生產品的工作經驗? ☐ Yes 有** ☐ No 沒有

** Supporting document(s) recognized by the Company must be provided. 必須提供本公司認可的證明文件。

Account Applicant's risk preference 戶口申請人的風險取向 ☐ Risk averse 風險規避 ☐ Risk neutral 風險中性 ☐ Risk seeking 風險追求

Other relevant investment experience 其他相關投資經驗(if any 如有)___

Internal Assessment (to be completed by AMO) 內部評估 (由客戶經理填寫)

Having considered all the information, do you agree with the risk preference claimed by the Account Applicant above?
考慮所有資料之後，你同意戶口申請人以上申報的風險取向嗎?

☐ Agree 同意

☐ Do not agree, the Account Applicant's risk tolerance level should be higher / lower than the risk preference level claimed and should be ________________. I have explained to the Account Applicant the reasons why I view differently and that we will respect his preference and serve him according to his preferred risk level.
不同意，戶口申請人的風險承受程度應比他所述的風險取向為高/低，應為____________________ ____。
我已向戶口申請人解釋我意見不同的原因和我們會尊重他的意願及依照他意願的風險程度對待他。

Having considered all the information, does the Account Applicant have knowledge of derivative products?
考慮所有資料之後，戶口申請人有沒有衍生產品知識?

☐ Yes, the Account Applicant has knowledge of derivatives. 有，戶口申請人有衍生產品知識。

☐ No, the Account Applicant does not have knowledge of derivatives. 沒有，戶口申請人沒有衍生產品知識

4. Authorized Person(s)' Specimen Signature(s) (Individual Account) 獲授權人士之簽署式樣 (個人戶口)

The Account Applicant hereby authorizes the following individual (the "**Authorized Person**") to give oral and / or written instruction(s) to the Company for this account according to the conditions and parameters stated below.

戶口申請人謹此授權以下人士(「**獲授權人士**」)，根據下文所述條件及準則就本帳戶向本公司發出口頭及 / 或書面指示。

☐ Conduct trades 進行交易 ☐ Fund transfers 資金轉撥 ☐ Others 其他 (please select one or more 請選擇一項或多項)

Instruction(s) given by the Authorized Person which fall within the stated conditions and parameters shall be absolutely binding on the Account Applicant. The Company shall have no obligation whatsoever to inquire about or confirm the authority of the Authorized Person. The Account Applicant accepts full responsibility for all oral and / or written instruction(s) given by the Authorized Person which he is empowered to give.

獲授權人士所發出並符合所述條件及準則的指示將對戶口申請人具有絕對約束力。本公司並無任何責任查詢或核實獲授權人士的權力。戶口申請人必須對獲授權人士獲賦權發出的全部口頭及 / 或書面指示負上全責。

Authorized Person's personal information 獲授權人士的個人資料

Name 姓名

English (please include first name and last name) 英文 (請填寫名字及姓氏)		Chinese (please include first name and last name) 中文 (請填寫名字及姓氏)	Former name / alias in English / Chinese (if any) 英文 / 中文前用姓名 / 別名 (如適用) Title 稱謂 ☐ Mr 先生 ☐ Mrs 太太 ☐ Miss 小姐
HKID no. / Passport no. 香港身份證 / 護照號碼* (please delete as appropriate 請刪去不適用者)	Relationship 關係	Contact phone no. 聯絡電話號碼 (please include country and area code 請填寫國家代碼及區號)	Authorized Person's specimen signature 獲授權人士之簽署式樣
Email address 電郵地址 (optional 非必填欄目)		Office phone no. 辦事處電話號碼	
Is the Authorized Person an employee of a **person licensed or registered** with the SFC, or does he provide work for such person by virtue of him being an employee of an associated company under the same group? 獲授權人士是否證監會所發牌或註冊的 **持牌人或註冊人** 的僱員，或有否因為是其集團相關公司的僱員而替其提供工作?		☐ No 否 ☐Yes 是	
Is the Authorized Person an employee within the CCBI Group (including CCB International (Holdings) Limited and its subsidiaries)? 獲授權人士是否建銀國際集團(包括建銀國際(控股)有限公司及其子公司) 之僱員?		☐ No 否 ☐Yes 是	

* Please provide relevant proof for verification and record keeping. 請提供有關證明文件以作實及存檔。

SECTION B – CORPORATE APPLICANTS 乙部 - 公司申請人

1. Account Applicant's Information (Corporate Account) 戶口申請人資料 (公司戶口)

Company name 公司名稱	
English 英文	
Chinese 中文	

Nature of entity (e.g. private or public limited company etc.) 組織類別（如私人或上市有限公司等）	Country of incorporation / establishment 註冊 / 成立之國家
Incorporation no. in Hong Kong 香港公司註冊號碼	Incorporation no. in country of incorporation / establishment 註冊 / 成立國家之註冊號碼
Date of incorporation 註冊日期	Nature of business 業務性質
Phone no. 電話號碼 (please include country and area code 請填寫國家代碼及區號)	Fax no. 傳真號碼
Email address for statements 電郵地址 (適用於結單)	Email address for online account 電郵地址 (適用於網上戶口)

Registered address in country of incorporation / establishment 於註冊 / 成立國家之註冊地址

Principal place of business in Hong Kong 香港之主要營業地址

Country of ordinary business 日常營業國家

☐ Non U.S. (please specify) 非美國（請註明）____________________ ☐ U.S. 美國

Correspondence address 通訊地址

Name and title of the directors 董事之姓名及稱謂

Name(s) (please include first name and last name) 姓名 (請填寫名字及姓氏)	Address 地址	HKID no. / Passport no. 香港身份證 / 護照號碼 (please delete as appropriate 請刪去不適用者)

The Account Applicant is required to provide certified true copies of the following supporting documentation for verification and record keeping : 戶口申請人須提供以下證明文件的經認證真實副本以作實及存檔：

(i) the Memorandum and Articles of Association, Certificate of Incorporation / Establishment (or equivalent) and business registration certificate (if any); 組織章程大綱及細則、公司註冊 / 成立證書（或等同證書）及商業登記證（如有）；

(ii) a list of authorized signatories and specimen signatories; 獲授權簽署人名單及簽署式樣；

(iii) a list of the directors; 董事名單；

(iv) board resolution evidencing the approval of the opening of the account with the Company and conferring authority on those who will operate it; 證明批准在本公司開戶並向操作人授權的董事會決議案；

(v) HKID cards / passports of directors / partners (including that of the managing director / partner if one is appointed) (provision of HKID card / passport of the sole director / partner if no more than 1 director / partner); 董事 / 合夥人的香港身份證 / 護照（包括董事總經理 / 合夥人（如有指定）的香港身份證 / 護照）（如董事或合夥人不超過 1 人，則提供唯一董事 / 合夥人的香港身份證 / 護照）；

(vi) if any corporation is acting as trustee, a copy of the trust deed must be provided; 如任何公司以受託人身份行事，則必須提供信託契據副本；

(vii) the ownership structure chart showing details of the ownership and structure control of the corporation; 顯示公司擁有權及控制權架構詳情的擁有權架構圖；

(viii) originals of the following separate completed and signed forms in relation to the Corporation's / Partnership's tax information: 以下有關公司 / 合夥人稅務資料的分開填寫及簽署的表格正本：

  a. Self-Certification Form - Entity (the Self-Certification Form(s) will form a part of this Account Opening Form); and 自我證明表格 - 實體（自我證明表格將構成本帳戶開立表格的一部分）；及

  b. if the Applicant is a Passive Non-Financial Entity for Automatic Exchange of Information ("**AEOI**") or US Foreign Account Tax Compliance Act ("**FATCA**") purposes, W-8BEN-E for FATCA or "Self-Certification Form - Controlling Person" for AEOI (as applicable) for each of the Controlling Persons (as defined in the Terms and Conditions); 如申請人為自動交換財務帳戶資料(「**AEOI**」)或《美國外國帳戶稅務合規法案》（「**FATCA**」）所指的被動非財務實體，每名控權人（定義見條款和條件）須提供一份 W-8BEN-E 表格或就 AEOI 的「自我證明表格 - 控權人」（如適用）；

(ix) a copy of or the original signed reply slip "Acknowledgement and Consent for Use of Personal Data for Direct Marketing" in connection with the Privacy Policy of CCB International (Holdings) Limited and its subsidiaries which carry on business in Hong Kong, of the Account Applicant and, if applicable, of the ultimate beneficial owners listed in Section B2; and 有關在香港開展業務的建銀國際（控股）有限公司及其子公司及（如適用）B2 部分所列最終實益擁有人的私隱政策之「確認並同意為直接促銷使用個人資料」回條的副本或已簽署正本；及

(x) any other information as may be required by the Company from time to time. 本公司可能不時要求的任何其他資料。

The Account Applicant must also provide proof of its correspondence address, registered address and principal place of business address (if different) within the last 3 months, usually provided by way of a bank reference of an original / certified copy of a recent utility bill (P.O. box, care of (c/o) and hold mail addresses are not accepted).

戶口申請人亦須提供最近 3 個月的通訊地址、註冊地址及主要營業地點（如不同）的證明，通常以近期公用設施帳單的正本 / 經認證副本的方式提供（恕不接受郵箱地址、轉交地址及代收郵件地址）。

2. Ultimate Beneficial Ownership Information (Corporate Account) 最終實益擁有人資料 (公司戶口)

Is the Account Applicant the ultimate beneficial owner(s) of the account?
(The information is required by the Hong Kong Securities and Futures Commission's (the "**SFC**") Client Identity Rule Policy.)
戶口申請人是否此戶口之最終實益擁有人? (所需資料是根據香港證券及期貨事務監察委員會(「**證監會**」)所制定的客戶身份規則的政策索取)

☐ Yes 是
☐ No, please provide the following details 否，請提供以下詳細資料

Name(s) of ultimate beneficial owner(s) 最終實益擁有人姓名 (please include first name and last name) **(請填寫名字及姓氏)**

1.	2.	3.

Former name / alias in English / Chinese (if any) / **Business registration no. 英文 / 中文前用姓名 / 別名 (如有) / 商業登記號碼** (please delete as appropriate 請刪去不適用者)

1.	2.	3.

Date and place of birth / Place of incorporation 出生日期及地點 /註冊地點

1.	2.	3.

Nationality / Citizenship / Residency (if applicable) **國籍 / 公民資格 / 居留資格**（如適用）

1.	2.	3.

HKID no. / Passport no. 香港身份證 / 護照號碼 (please delete as appropriate 請刪去不適用者)

1.	2.	3.

Contact phone no. 聯絡電話號碼 (please include country and area code 請填寫國家代碼及區號)

1.	2.	3.

Occupation / Nature of business 職業 / 業務性質

1.	2.	3.

Is the ultimate beneficial owner a **licensed** / **registered** person with the Hong Kong SFC?
最終實益擁有人是否香港證監會的**持牌 / 註冊人士**?

1. ☐ No 否 ☐ Yes, please specify 是，請列明: ____________________	2. ☐ No 否 ☐ Yes, please specify 是，請列明: ____________________	3. ☐ No 否 ☐ Yes, please specify 是，請列明: ____________________

Is the ultimate beneficial owner a current or former senior official for any level of government, public or statutory body, or political party, or a senior executive of any state-owned enterprise for any city, region or country?
最終實益擁有人是否(於現在或過往)為任何城市、區域或國家內任何層次的政府、公營或法定機構或政黨的高層人員或任何國有企業的高級行政人員?

1. ☐ No 否 ☐ Yes, please specify 是，請列明: ____________________	2. ☐ No 否 ☐ Yes, please specify 是，請列明: ____________________	3. ☐ No 否 ☐ Yes, please specify 是，請列明: ____________________

Annual income (HK$) 年度收入 (港元):

1. ☐ Under HK$1,000,000 以下 ☐ HK$1,000,000 – HK$5,000,000 ☐ Above HK$5,000,000 以上 Income source 收入來源:	2. ☐ Under HK$1,000,000 以下 ☐ HK$1,000,000 – HK$5,000,000 ☐ Above HK$5,000,000 以上 Income source 收入來源:	3. ☐ Under HK$1,000,000 以下 ☐ HK$1,000,000 – HK$5,000,000 ☐ Above HK$5,000,000 以上 Income source 收入來源:

Net asset value (HK$) 淨資產值 (港元):

1. ☐ Under HK$8,000,000 以下 ☐ HK$8,000,000 – HK$30,000,000 ☐ Above HK$30,000,000 以上	2. ☐ Under HK$8,000,000 以下 ☐ HK$8,000,000 – HK$30,000,000 ☐ Above HK$30,000,000 以上	3. ☐ Under HK$8,000,000 以下 ☐ HK$8,000,000 – HK$30,000,000 ☐ Above HK$30,000,000 以上

Address of property(ies) owned 自置物業地址

1.	2.	3.

Remarks: If there are more than 3 beneficial owners, please attach the corresponding information to this Application Form.
備註: 如有多於 3 位實益擁有人，請將相關資料與此申請表一併提交。

Guarantor Information 擔保人資料 (if applicable如適用)

Name of guarantor (please include first name and last name) 擔保人姓名 (請填寫名字及姓氏)

1.	2.

Occupation 職業

1.	2.

Annual income (HK$) 年度收入 (港元):

1. ☐ Under HK$1,000,000 以下 ☐ HK$1,000,000 – HK$5,000,000 ☐ Above HK$5,000,000 以上	2. ☐ Under HK$1,000,000 以下 ☐ HK$1,000,000 – HK$5,000,000 ☐ Above HK$5,000,000 以上

Net asset value (HK$) 淨資產值 (港元):

1. ☐ Under HK$8,000,000 以下 ☐ HK$8,000,000 – HK$30,000,000 ☐ Above HK$30,000,000 以上	2. ☐ Under HK$8,000,000 以下 ☐ HK$8,000,000 – HK$30,000,000 ☐ Above HK$30,000,000 以上

Address of property(ies) owned 自置物業地址

1.	2.

3. Declaration of Tax Residency (Corporate Account) 申報稅務居住地(公司戶口) (if applicable 如適用)

The Account Applicant should provide the Company with the original signed 戶口申請人須向本公司提供以下文件的簽名原本:

(i) Self-Certification Form - Entity; 自我證明表格 – 實體；

(ii) if the Account Applicant is a Passive NFE for AEOI/FATCA purposes, Self-Certification Form - Controlling Person for each of the controlling persons; and 如戶口申請人為 AEOI/FATCA 所指的被動非財務實體，每名控權人須提供一份「自我證明表格 - 控權人」；及

(iii) if the Account Applicant is not the sole beneficial owner of the account, a separate Self-Certification Form for each of the beneficial owners who are considered as account holders under AEOI/FATCA (please see the definitions in the attached Client Agreement). 如戶口申請人並非帳戶的唯一實益擁有人，請提供根據 AEOI/FATCA 被認為屬帳戶持有人的每名實益擁有人的獨立自我證明表格（請參閱隨附客戶協議的釋義）。

The above Self-Certification Form(s) will form a part of this Account Opening Form.
以上自我證明表格將構成本帳戶開立表格的一部分。

If you are a U.S. person, please contact Client Administration at 12/F, CCB Tower, 3 Connaught Road Central, Central, Hong Kong. 如 閣下為美國人士，請聯絡客户管理部，地址為香港中環干諾道中3號中國建設銀行大廈12樓。

The Account Applicant agrees to provide the Company with an updated Self-Certification Form within 30 days of a change in circumstances that makes any information on a previously provided Self-Certification Form inaccurate. 戶口申請人同意，若情況有變而令之前提供的自我證明表格中的任何資料不準確，會於 30 天內向本公司提供經更新的自我證明表格。

4. Licensed / Registered Person Declaration (Corporate Account) 持牌 / 註冊人士申報 (公司戶口)

Does/Do the director(s) of the Account Applicant has/have any relative(s) working in the CCBI Group (which includes CCB International (Holdings) Limited and its subsidiaries)? 戶口申請人的董事之任何親屬是否建銀國際集團 (包括建銀國際(控股)有限公司及其子公司) 之員工?

☐ No 否 ☐ Yes 是 Name (please include first name and last name) 姓名 (請填寫名字及姓氏) ________________________________
Company 所屬公司________________________ Relationship 關係_____________________________________

Is the Account Applicant a licensed / registered person with the Hong Kong SFC?
戶口申請人是否香港證監會的持牌 / 註冊人士?

☐ No 否 ☐ Yes, please specify 是，請列明: ________________________

Are the Account Applicant, its directors or senior officials a current or former senior official for any level of government, public or statutory body, or political party, or a senior executive of any state-owned enterprise for any city, region or country? 戶口申請人、其董事或高級管理人員是否(於現在或過往)為任何城市、區域或國家內任何層次的政府、公營或法定機構或政黨的高層人員或任何國有企業的高級行政人員?

☐ No 否 ☐ Yes, please specify 是，請列明: ________________________

5. Account Applicant's Financial Profile and Investment Experience (Corporate Account) 戶口申請人之財務紀錄及投資經驗 (公司戶口)

(The Company is required to obtain this information to fulfill the "Know-Your-Client Requirements" of the Hong Kong SFC.)
(本公司根據香港證監會所制定之「認識你的客戶要求」須索取有關資料。)

Financial background 財務背景

Paid-up capital 繳足股本 ______________________ Net asset value (in HK$) 淨資產值 (港元) ______________________

Net profit (after tax) in preceding 3 years 以往三年除稅後純利

Year 年 ______________ Year 年 ______________ Year 年 ______________

HK$ 港元 ______________ HK$ 港元 ______________ HK$ 港元 ______________

Corporate structure 公司結構

The individuals who hold 10% or more of the ultimate beneficial interests of the Account Applicant (not applicable to public listed companies)
持有戶口申請人的最終實益權益 10%或以上的個人 (不適用於上市公司)

Name(s) (please include first name and last name) 姓名 (請填寫名字及姓氏)	Address 地址	Percentage 百分率 (%)

Credit reference 信貸參考

Bank references (including type of account and account no.) 銀行提述 (包括帳戶類別及號碼)

Name(s) of bank 銀行名稱	Account type 帳戶類別	Account no. 帳戶號碼

Other brokerage reference (including type of account (e.g. cash or margin and nature of financial products) and account no.)
其他經紀提述(包括帳戶類別(如現金或保證金及金融產品性質)及帳戶號碼)

Name(s) of broker(s) (please include first name and last name) 經紀名稱 (請填寫名字及姓氏)	Account type 帳戶類別	Account no. 帳戶號碼

Please provide relevant proof for verification and record keeping. 請提供有關證明文件以作實及存檔。

Estimated amount of liquidity available for investment at account opening 在開戶時估計可作投資的流動資金:

☐ Under HK$2,000,000 以下 ☐ HK$2,000,000 – HK$7,999,999 ☐ HK$8,000,000 – HK$30,000,000 ☐ Above HK$30,000,000 以上

Investment objectives 投資目標 (you may select more than one 可選擇多於一項)

☐ Investment 投資 ☐ Hedging 對沖 ☐ Speculation 投機 ☐ Capital growth 資本增值 ☐ Dividend income 股息收入 ☐ Others 其他

Investment horizon 投資目光 (you may select more than one 可選擇多於一項)

☐ Long term 長線 ☐ Medium term 中線 ☐ Short term 短線

Investment experience (years) 投資經驗 (年資)

☐ Nil 沒有 ☐ Less than 少於 2 years 年 ☐ 2-5 years 年 ☐ 6-10 years 年 ☐ Over 超過 10 years 年

Investment experience (markets) 投資經驗 (市場) (you may select more than one 可選擇多於一項)

☐ Nil 沒有 ☐ Hong Kong (including H shares) 香港股市 (包括 H 股) ☐ Developed markets 已發展市場 ☐ PRC 中國內地 ☐ Other emerging markets 其他新興市場

Investment experience (products) 投資經驗 (產品)

	Part 1 : Frequency of trade per year 第一部分 : 每年交易次數			Part 2 : Estimated aggregate product investment (past and present) (HK$) 第二部分 : 估計過往及現在總產品投資量 (港元)			
	Uninvolved 沒有參與過	Less than 40 times 少於 40 次	More than 40 times 多於 40 次	Uninvolved 沒有參與過	Under HK$8,000,000 以下	HK$8,000,000 - HK$30,000,000	Above HK$30,000,000 以上
Shares 股票	☐	☐	☐	☐	☐	☐	☐
Debentures 債券	☐	☐	☐	☐	☐	☐	☐

Funds 基金	☐	☐	☐	☐	☐	☐	☐
Leverage foreign exchange 槓桿式外匯	☐	☐	☐	☐	☐	☐	☐
Precious metals 貴重金屬	☐	☐	☐	☐	☐	☐	☐
Futures / Options 期貨 / 期權	☐	☐	☐	☐	☐	☐	☐
Derivative products* 衍生產品*	☐	☐	☐	☐	☐	☐	☐

* Some examples of derivative products are warrants, callable bull bear contracts, credit-linked notes, equity-linked notes, and other products with embedded derivatives. 衍生產品的例子包括窩輪、牛熊證、信貸相連票據、股票相連票據，及其他嵌有衍生工具的產品。

Are the directors or authorized persons of the Account Applicant or its investment decision makers in general aware of the main risks relating to investing in derivative products? 戶口申請人的董事或獲授權人士或其投資決策者大致上了解有關投資衍生產品的主要風險嗎？	☐ Yes 了解	☐ No 不了解
Do the directors or authorized persons of the Account Applicant or its investment decisions makers in general understand the main features of derivative products? 戶口申請人的董事或獲授權人士或其投資決策者大致上明白衍生產品的主要特徵嗎？	☐ Yes 明白	☐ No 不明白
Have the directors or authorized persons of the Account Applicant undergone or attended any academic or professional training or courses on derivative products? 戶口申請人的董事或獲授權人士有沒有從專業或學術途徑上(包括培訓或課程)認識或接觸過衍生產品？	☐ Yes 有**	☐ No 沒有
Have the directors or authorized persons of the Account Applicant executed 5 or more transactions in any derivative products within the past 3 years? 戶口申請人的董事或獲授權人士有沒有於過去 3 年內曾進行 5 次或以上的任何衍生產品買賣交易？	☐ Yes 有**	☐ No 沒有
Do the directors or authorized persons of the Account Applicant have more than 1 year current or previous working experience related to derivative products? 戶口申請人的董事或獲授權人士現時或過去有沒有擁有 1 年以上有關衍生產品的工作經驗？	☐ Yes 有**	☐ No 沒有

** Supporting document(s) recognized by the Company must be provided. 必須提供本公司認可的證明文件。

Account Applicant's risk preference 戶口申請人的風險取向 ☐ Risk averse 風險規避 ☐ Risk neutral 風險中性 ☐ Risk seeking 風險追求

Other relevant investment experience 其他相關投資經驗(if any 如有)

____

Internal assessment (to be completed by AMO) 內部評估 (由客戶經理填寫)

Having considered all the information, do you agree with the risk preference claimed by the Account Applicant above?
考慮所有資料之後，你同意戶口申請人以上申報的風險取向嗎？

☐ Agree 同意

☐ Do not agree, the Account Applicant's risk tolerance level should be higher / lower than the risk preference level claimed and should be ____________. I have explained to the Account Applicant the reasons why I view differently and that we will respect his/their preference and serve him/them according to his/their preferred risk level. 不同意，戶口申請人的風險承受程度應比他所述的風險取向為高 /低，應為 ______________。我已向戶口申請人解釋我意見不同的原因和我們會尊重他們的意願及依照他們意願的風險程度對待他。

Having considered all the information, does the Account Applicant have knowledge of derivative products?
考慮所有資料之後，戶口申請人有沒有衍生產品知識?

☐ Yes, the Account Applicant has knowledge of derivatives. 有，戶口申請人有衍生產品知識。
☐ No, the Account Applicant does not have knowledge of derivatives. 沒有，戶口申請人沒有衍生產品知識。

6. Account Applicant's Other Information (Corporate Account) 戶口申請人之其他資料 (公司戶口)

Does/Do the Account Applicant and/or its directors and/or its shareholders maintain any other account(s) with the Company?
戶口申請人及/或其董事及/ 或其股東現時是否持有任何其他本公司之戶口?

☐ No 否 ☐ Yes, please provide details 是，請提供詳細資料：

Account holder's name 戶口持有人名稱	Account type 戶口類別	Account no. 戶口號碼

SECTION C – ALL APPLICANTS 丙部 - 所有申請人

1. Account Applicant's Bank Details 戶口申請人之銀行資料

Bank name 銀行名稱	☐ HKD 港幣	☐ RMB 人民幣	☐ USD 美元
	☐ Saving 儲蓄戶口	☐ Current 支票戶口	☐ Consolidated 綜合戶口
Account no. 帳戶號碼	Account holder's name (please include first name and last name) 帳戶持有人姓名 (請填寫名字及姓氏)		

^ Please provide details of the bank through which you anticipate most of the fund transfers for this account will be effected. 請提供 閣下預期與本戶口有最頻繁資金劃撥活動的銀行資料。

2. Professional Investor Status 專業投資者身份

In Hong Kong certain rules and restrictions exist in connection with dealing with investors who are not professional investors. For the purposes of the SFO (in particular Sections 174, 175 and Part IV) and its subsidiary legislation (including the Securities and Futures (Professional Investor) Rules (Cap. 571D), and the Securities and Futures (Contract Notes, Statements of Account and Receipts) Rules (Cap. 571Q)), the Companies Ordinance (Cap. 622) (the "**Companies Ordinance**") and Schedule 17 of the Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap. 32), please confirm the category you fall within by selecting one of the following: 在香港存在有關處理本身並非專業投資者的投資者的若干規則及限制。因此，為遵守《證券及期貨條例》（尤其第 174 條、175 條及第 IV 部）及其附屬法例（包括《證券及期貨（專業投資者）規則》（第 571D 章）、《證券及期貨（成交單據、戶口結單及收據）規則》（第 571Q 章）、《公司條例》（第 622 章）（「**公司條例**」）及《公司（清盤及雜項條文）條例》（第 32 章）附表 17），請選擇以下其中一項以確認 閣下所屬類別：

1. ☐ A corporation falling within paragraphs (a) to (i) of the definition of "professional investor" under Part 1 of Schedule 1 to the SFO (i.e. an institutional professional investor) 屬於《證券及期貨條例》附表 1 第 1 部所載「專業投資者」定義(a)至(i)段範圍內的法團（即機構專業投資者）

2. ☐ A corporation / partnership with a portfolio of cash and / or securities of at least HK$8 million (or its foreign currency equivalent) or total assets of at least HK$40 million (or its foreign currency equivalent) 擁有的現金及 / 或證券組合不少於 800 萬港元（或等值外幣）或總資產不少於 4,000 萬（或等值外幣）的公司 / 合夥企業

3. ☐ A trust corporation which has been entrusted under trust(s) of which it acts as trustee, with total assets of at least HK$40 million (or its foreign currency equivalent) 擔任一項或多項信託的信託法團，而在該項或該等信託下獲託付的總資產不少於 4,000 萬港元（或等值外幣）

4. ☐ A high-net-worth individual investor, either alone or with your spouse or children on a joint account, has a portfolio of cash and / or securities of at least HK$8 million (or its foreign currency equivalent) 單獨或與 閣下的配偶或子女於某聯權共有帳戶擁有的現金及 / 或證券組合不少於 800 萬港元（或等值外幣）的高資產淨值個人投資者

5. ☐ An investment holding corporation which does not have the required portfolio or asset amount, but is wholly owned by an individual, corporation / partnership or trust corporation as per paragraphs 2, 3 and / or 4 above. 並無擁有所要求的投資組合或資產金額，但由以上第 2、3 及 / 或 4 段所述個人、公司 / 合夥企業或信託法團全資擁有的投資控股公司

3. Contract Notes and Statements 成交單據及結單

Where we are required to provide you with contract notes, statements of account and receipts pursuant to the Securities and Futures (Contract Notes, Statements of Account and Receipts) Rules, or otherwise do so in our discretion, please indicate below your preference relating to such contract notes, statements of account and receipts:
若我們須根據《證券及期貨(成交單據、戶口結單及收據)規則》或自行酌情向 閣下提供成交單據、戶口結單及收據，請在下文示意 閣下對該等成交單據、結單及收據的取向：

Choice of statement language 結單語言選擇	☐ English 英文	☐ Chinese 中文
Would you like to receive your statements via email? 閣下是否希望以電郵形式收取結單？	☐ No 否	☐ Yes, please send the statements only to my stated email address. 是，請只把結單電郵到我所述的電郵地址。

4. Two Factor Authentication (2FA) Access Notification 雙重認證資訊

(Only applicable when opening an online account 只適用於開立網上戶口之戶口申請人)

The Account Applicant will receive One-Time Password (OTP) via the registered mobile number and/or email address when access our online trading service platform for identity validation and authentication. Please select notification channel(s) to receive the OTP:
戶口申請人需透過登記的手提號碼和/或電郵地址接收單次密碼，以便登入我們的網上交易服務平台時核實及驗證您的身分。請選擇接收雙重認證資訊的途徑:

☐ Mobile 手提電話 ☐ Email 電郵 (Can select multiple 可選多於一項)

E-mail address and mobile number are mandatory for online trading. If not provided, the application will not be processed. Both Email and mobile number registered here will be automatically registered to receive logon and trade notifications. 如欲申請使用網上交易戶口服務，客户必須提供一個電子郵件地址及一個手提電話號碼。否則申請將不獲處理。本註冊電郵地址及手提電話號碼，將自動註冊為接收登入和交易通知之用途。

Mobile Number 手提電話號碼:____________________ (please include country and area code 請填寫國家代碼及區號)

Email Address 電郵地址:____________________

Futures and Options Trading Account Opening Form
期貨期權交易帳戶開立表格

建银国际
CCB International

Account no. 帳戶號碼: ____________________

To: CCB International Securities Limited (CE no. AMB 276), a corporation licensed to carry on a business in Type 1 (dealing in securities), Type 2 (dealing in futures contracts) and Type 4 (advising on securities) regulated activities in Hong Kong for the purposes of the Securities and Futures Ordinance (the "**SFO**") and an Exchange Participant both of The Stock Exchange of Hong Kong Limited and The Hong Kong Futures Exchange Limited of 12/F., CCB Tower, 3 Connaught Road Central, Central, Hong Kong (the "**Company**").

致： 建銀國際證券有限公司（中央編號：AMB276），為一間獲發牌從事證券及期貨條例（「證券及期貨條例」）中第一類（證券交易）、第二類（期貨合約交易）及第四類 (就證券提供意見) 受規管活動之持牌法團，和香港聯合交易所有限公司及香港期貨交易所有限公司的交易所參與者，地址為香港中環干諾道中 3 號中國建設銀行大廈 12 樓（下稱「**貴公司**」）

Words denoting the plural shall include the singular and vice versa.
Words importing the masculine gender shall include the feminine gender and the neuter gender.
含有眾數意義的名詞亦具單數的意義，反之亦然。

凡涉及性別之用詞如無指明具體性別，可包括指男性、女性和中性。

Account Opening Form 帳戶開立表格

I/We ____ (the "**Client**") hereby request the Company to open and maintain a futures and options trading account or accounts (referred to, together with any other accounts maintained by me/us with the Company, as the "**Account(s)**") on the terms and conditions set out in the Client Agreement for Futures and Options Trading (the "**Client Agreement**") and to provide me/us with a password and login name in order to access the electronic services (if applicable).

本人/吾等為 ____（下稱「**客戶**」），茲要求貴公司依照期貨期權交易客戶協議（下稱「**客戶協議**」）所載之條款和條件，為本人/吾等開立並維持一個或多個期貨期權交易帳戶（此帳戶將與本人/吾等在貴公司維持的任何其他帳戶合稱為「**帳戶**」）及為本人/吾等提供一個使用電子服務的密碼及登入名稱（如適用）。

In the event of a conflict between this Account Opening Form and the Client Agreement, the Client Agreement shall prevail with respect to the relevant term. In the event of a conflict between the Client Agreement and any specific terms applicable to a specific product, service or transaction, the specific terms applicable to the relevant product, service or transaction shall prevail.

如果本帳戶開立表格與客戶協議之間存在任何衝突，概以客戶協議內有關條款的內容為準。如果客戶協議與適用於特定產品、服務或交易的任何特定條款之間存在任何衝突，概以適用於有關產品、服務或交易的特定條款為準。

The Company may provide you with a translation of the Account Opening Form and the Client Agreement in Chinese but any such translation shall be for your reference only. **Where any such translation is provided, you agree that the English language version shall be the only binding version and shall prevail in the event of any inconsistency. Any translation is provided for reference only and should not be relied upon as being true and accurate and we shall not be liable for any inaccuracy or inconsistency between the English language version and the translation.**

本公司可向 閣下提供本帳戶開立表格及客戶協議的中文譯本，但任何有關翻譯僅供 閣下參考。**若提供任何有關翻譯， 閣下同意英文版本是唯一具約束力的版本，而在出現任何不一致之處時，概以英文版本為準。任何翻譯僅提供作參考，不應視為真實準確而加以信賴，而我們對英文版本與譯本之間存在的任何不準確或不一致之處概不負責。**

Type of Service Required 要求的服務類別

I/We understand that the Company may in its absolute discretion from time to time, provide me/us with financial accommodation in respect of transactions in futures contracts or options effected by the Company on my/our behalf, in accordance with the Client Agreement and any other terms and conditions the Company may think fit. The Account(s) which the Company establishes for me/us to record such transactions shall be the Account(s). I/We wish to open one or more Account(s) with the Company as I/we may decide from time to time for the purchase or sale of futures contracts or options.

本人/吾等理解，貴公司可以絕對酌情不時依照客戶協議以及貴公司認為適當的任何其他條款和條件，就貴公司代表本人/吾等進行之期貨合約或期權交易向本人/吾等提供財務通融。貴公司為記錄此類交易而為本人/吾等開立的帳戶應是期貨期權交易帳戶。本人/吾等希望不時按本人/吾等的決定在貴公司開立一個或多個帳戶，以便買賣期貨合約或期權。

The Company agrees that it will from time to time at my/our request and at the Company's sole discretion allow me/us to open one or more Account(s) with the Company and accept and maintain such Account(s) and will act as agent (except as principal(s) on occasions specified in this Agreement) for me/us in the purchase or sale of futures contracts or options subject to the Client Agreement.

貴公司同意不時按本人/吾等要求，全權酌情接納本人/吾等開立一個或多個帳戶並接納本人/吾等開立及維持該（等）帳戶；貴公司亦將根據客戶協議擔任本人/吾等之代理人（如有本協議另行指明充任主事人（等）之情況例外），代本人/吾等買賣期貨或期權。

Confirmations and Acknowledgements 確認及承認

I/We confirm that 本人/吾等確認:

(a) the information I/we have provided in the Account Application Form is true, complete and correct and that the representations in the attached Client Agreement, and Account Opening Form of the Company (collectively referred to as the "**Agreement**") are accurate. Information in the Account Application Form and representations in the Agreement are collectively referred to as the "**Account Opening Information**". The Company is entitled to rely fully on such Account Opening Information for all purposes, unless the Company receives notice in writing from me/us of any change. The Company is authorized at any time to contact any persons, including but without limitation to banks, brokers or any credit agency for the purposes of verifying the Account Opening Information;

本人/吾等在開戶申請表內的資料屬實、完整及正確，而附上的貴公司的客戶協議及帳戶開立表格(以下統稱為「**協議**」)內的申述均屬準確。開戶申請表內的資料及協議內的申述統稱為「**開戶資料**」。除非貴公司從本人/吾等收到有關任何變動的書面通知，否則貴公司有權在任何用途上完全依賴這些開戶資料。貴公司有權隨時聯絡任何人，包括但不限於本人/吾等之銀行、經紀或任何信貸調查機構，以求證實開戶資料；

(b) all transactions to be undertaken by me/us with or through the Company shall be subject to the Agreement. I/We have read the Agreement carefully before signing this Account Opening Form. By signing this Account Opening Form, I/we acknowledge and agree that I/we have read, fully understood and accepted the Agreement, in particular the risk disclosure contained in the Client Agreement and agree to be bound by the terms and conditions thereof which may be amended from time to time;

所有由本人/吾等與或透過貴公司進行之交易均受協議之條文限制。本人/吾等於簽署本帳戶開立表格前已細閱協議各項條文。透過簽署本帳戶開立表格，本人/吾等承認及同意本人/吾等已細閱、完全明白及接受協議(尤其客戶協議內所載風險披露)，並同意接受該等現時有效及不時修改的條款和條件約束；

(c) the individual(s) whose name(s) is/are listed in the section headed "Authorized Person(s)' Specimen Signature(s)" of the Account Application Form are the persons authorized on my/our behalf to give the Company oral and written instructions (the "**Authorized Person(s)**"):

名列於開戶申請表之「獲授權人士之簽署式樣」一節中的個人為獲授權就下列事項代表本人/吾等向貴公司作出口頭及書面指示之人士（「**獲授權人士**」）：

(i) in relation to the operation of the Account; and
有關帳戶運作；及

(ii) to effect purchases, sales, holdings and other dealings in futures or options; and
進行期貨或期權買賣、持有及其他交易；及

(d) the signature(s) opposite the name of each of the Authorized Person(s) in such section headed "Authorized Person(s)' Specimen Signature(s)" is his/their genuine signature and, in the case of written instructions, such signature operates as the specimen signature of each of such persons;

在「獲授權人士之簽署式樣」一節所列的每名獲授權人士旁邊的簽署為其/彼等的真實簽署，而在作出書面指示的情況下，有關簽署應作為每名有關人士的簽署式樣;

(e) where the Company is required under the Securities and Futures (Contract Notes, Statements of Account and Receipts) Rules to provide contract notes, statements of account and receipts to me/us (or if the Company otherwise does so in its discretion), I/we acknowledge that the price quoted in the contract note or daily statement to be provided by the Company may be, at its sole discretion, the average price of the total purchase or sale (as the case may be) or the price per unit for each transaction of futures contracts or options in the case that there is more than one purchase or sale transaction (as the case may be) of the futures contracts or options in the account during the same day. I/We shall upon receipt of the contract note or daily statement shall examine the same and promptly notify the Company in writing if I/we want such prices to be quoted otherwise. If the Company does not receive any written objection from me/us within the period stipulated in the contract note or daily statement, I/we shall be deemed to have accepted the presentation of such contract note or daily statement, and I/we hereby request (and if accepted by the Company) that the price to be quoted in the contract note or daily statement shall be the average price of the total purchase or sale (as the case may be) of the futures contracts or options;

倘貴公司須根據《證券及期貨（成交單據、戶口結單及收據）規則》向本人/吾等提供成交單據、戶口結單及收據（或如貴公司全權酌情另行向本人/吾等提供該等成交單據、戶口結單及收據），本人/吾等承認貴公司所提供的成交單據或日結單所報的價格，可由貴公司全權酌情決定是總購買或售賣（視情況而定）的平均價格，或每項期貨合約或期權交易的每個單位價格（如果於同一日在帳戶內有超過一項期貨合約或期權的購買或售賣交易（視情況而定））。本人/吾等應於收到成交單據或日結單時檢查有關單據或結單，而若果本人/吾等希望以其他方式報價，應從速以書面通知貴公司。如貴公司於成交單據或日結單內列明的期限內未有收到本人/吾等的任何書面反對，本人/吾等將被視為接受該等成交單據或日結單的列報方式，而若本人/吾等謹此要求（且如獲貴公司接納）在成交單據或日結單內報列價格，該價格將為期貨合約或期權的總購買或售賣（視情況而定）的平均價格；

(f) I/We acknowledge our receipt of (i) the Agreement and (ii) information on fees and charges related to the Account(s); and

本人/吾等確認收妥(i)協議及(ii)有關帳戶的收費表;及

(g) I/We acknowledge and agree to the terms set out in the Agreement and any related appendices in respect of the Account(s) with the Company.
本人/吾等承認及與貴公司同意協議所載的條款及有關帳戶的任何相關附錄。

Agreement and Risk Disclosure Statements 協議和風險披露聲明

I/We hereby acknowledge and confirm that this Agreement was provided to me/us in a language of my/our choice (English or Chinese) and I was/we were invited to read the Risk Disclosure Statements carefully, ask questions and take independent advice if I/we wish.

本人/吾等謹此承認並確定本人/吾等已獲得按照吾等所選擇的語言（英文或中文）的本協議，及本人/吾等已獲邀請細閱風險披露聲明、提出問題及徵求獨立的意見（如吾等有此意願）。

I/We have carefully read and understood the contents of the Client Agreement. I/We expressly agree and consent, as evidenced by my/our signature below, to each and all the terms and provisions contained in the Client Agreement. I/We also acknowledge that I/we have been invited to ask questions and to read the “Provisions required by Schedule 4 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission” in Clause 5 and the “Risk Disclosure Statements” in Clause 21 of the Client Agreement in a language of my/our choice and to seek independent professional advise if I/we wish. I am/We are satisfied with the explanations and clarifications provided to me/us. I/We hereby declare that I am/we are willing and capable of fulfilling the duties and obligations as specified in the Client Agreement.

本人/吾等已仔細審閱並理解客戶協議的內容，而本人/吾等以下的簽名則表明本人/吾等明確同意和接受客戶協議所載的每一條及全部條款和細節。本人/吾等亦確認已被邀請提出問題、細閱由本人/吾等選定的語言的客戶協議內第 5 條「證券及期貨事務監察委員會持牌人或註冊人操守準則附表 4 所要求的規定」和第 21 條「風險披露聲明」，並根據本人/吾等意願徵詢獨立專業意見。本人/吾等滿意給予本人/吾等的解釋和說明。本人/吾等謹此聲明本人/吾等願意並有能力履行客戶協議內規定的責任和義務。

I/We confirm that I/we have read through and fully understood the Derivative Products Features and Risk Disclosures document (the “**Risk Disclosure document**”) provided to me/us before the opening of the account. I/We acknowledge that if I/we have any questions relating to the

Risk Disclosure document, I/we should seek independent professional advice. I/We further acknowledge that the Risk Disclosure document may not cover all risks of listed derivative products and that I/we shall make my/own assessment and ensure that I/we have sufficient net worth to assume the risks and bear the potential losses before trading in listed derivative products.
本人/吾等確認，本人/吾等已細閱及完全明白貴公司於開戶前提供的衍生產品特點及風險披露（「**風險披露文件**」）。本人/吾等承認，若本人/吾等對風險披露文件有任何疑問，本人/吾等應該諮詢獨立專業意見。本人/吾等亦承認，風險披露文件可能未申述所有上市衍生產品的風險，而本人/吾等在買賣上市衍生產品前將自行作出評估及確定有足夠的淨資產來承擔風險和潛在的損失。

I/We acknowledge that I/we meet any of the criteria of the investor characterization assessment relating to knowledge of derivative products and have provided supporting document(s) which are accepted by the Company, and that I/we will be treated as having knowledge of derivative products. I/We hereby confirm that the supporting document(s) provided in relation to the Agreement are true, complete and accurate, and can be fully relied on by the Company.

本人/吾等承認，本人/吾等符合關於衍生產品知識的投資者分類評估的任何一項準則並已提供貴公司接受之證明文件，本人/吾等將會被視為「對衍生產品有所認識」。本人/吾等特此確認所提供與協議有關之證明文件屬實、完整及準確，貴公司有權完全依賴該等證明文件。

I/We further acknowledge that if the supporting document(s) provided by me/us is not accepted by the Company or if I/we do not meet any of the criteria of the investor characterization assessment relating to knowledge of derivative products, I/we will be treated as not having general knowledge of derivative products.

本人/吾等亦承認，若本人/吾等提供的證明文件不被貴公司接受或本人/吾等不符合關於衍生產品知識的投資者分類評估中的任何一項準則，本人/吾等將會被視為「對衍生產品沒有一般認識」。

Professional Investor Treatment 專業投資者的處理 / Contract Notes, Statement of Accounts and Receipts 成交單據、戶口結單及收據

As you fall within a category described in section C2 of the Application Form, you are a professional investor for the purposes of the SFO and its subsidiary legislation, the Companies Ordinance (Cap. 622) (the "**Companies Ordinance**") and the Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap. 32) (the "**C(WUMP)O**"). As a consequence: 由於 閣下屬於申請表 C2 節所述類別， 閣下為《證券及期貨條例》及其附屬法例、《公司條例》(第 622 章) (「**公司條例**」)及《公司（清盤及雜項條文）條例》(第 32 章) （「**清盤及雜項條例**」）所指的專業投資者。因此，

- the Company will be able to offer you certain investment opportunities which are only available to professional investors. In particular, we will be able to offer you securities or investment products which are not authorized by the Securities and Futures Commission (the "**SFC**") and in relation to which the prospectus requirements under the C(WUMP)O do not apply; 本公司將可向 閣下提供只有專業投資者才可獲得的若干投資機會。尤其是，我們將可向 閣下發售不獲證券及期貨事務監察委員會 (「**證監會**」) 認可而清盤及雜項條例的招股章程規定對其並不適用的證券或投資產品；
- the Company will not be required to provide you with materials or information in relation to any offer of securities in the form prescribed in Section 175 of the SFO; 本公司將無須以證券及期貨條例第 175 條所述方式向 閣下提供有關任何證券發售的材料或資料；
- you agree to provide relevant supporting documents / information for the relevant professional investor classifications upon the Company's request; and 閣下同意在本公司的要求下提供有關專業投資者分類的相關證明文件 / 資料；及
- you agree not to receive from the Company contract notes, monthly statements of account or receipts in accordance with the Securities and Futures (Contract Notes, Statements of Account and Receipts) Rules (if applicable). 閣下同意不會根據《證券及期貨（成交單據、戶口結單及收據）規則》（如適用）向本公司收取成交單據、戶口月結單或收據。

If you fall within the definition of “professional investor” under section 3(a), (c) or (d) of the Securities and Futures Ordinance (Professional Investor) Rules and satisfy or do not satisfy the criteria under paragraph 15.3A of the SFC's Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission (the “**SFC Code of Conduct**”) or fall within the definition of "professional investor" under section 3(b) the Securities and Futures Ordinance (Professional Investor) Rules, the Company may separately notify you that the Company is reasonably satisfied that you are a Corporate Professional Investor or Individual Professional Investor as described in clause 5.1.2, 5.1.3 or 5.1.4 (as applicable) of the Client Agreement. By signing this Account Opening Form, you confirm that you understand and agree to the following:

如 閣下屬於《證券及期貨條例(專業投資者)規則》第 3(a)、(c)或(d)條所述的「專業投資者」釋義範圍，而符合或不符合《證券及期貨事務監察委員會持牌人或註冊人操守準則》（「**證監會操守準則**」）第 15.3A 段項下準則，或屬於《證券及期貨條例(專業投資者)規則》第 3(b)條所述的「專業投資者」釋義範圍，本公司或會另外通知 閣下本公司合理地信納 閣下為客戶協議第 5.1.2、5.1.3 或 5.1.4 條 (如適用) 所述之法團專業投資者或個人專業投資者。透過簽署本帳戶開立表格， 閣下確認 閣下明白及同意以下各項：

(a) You are a professional investor falling under clause 5.1.2, 5.1.3 or 5.1.4 (as applicable) of the Client Agreement as separately notified to you.

誠如我們已另外通知 閣下， 閣下為屬於客戶協議第 5.1.2、5.1.3 或 5.1.4 條 (如適用) 所示類別的專業投資者。

(b) You will provide relevant supporting documents / information for the relevant professional investor classifications upon the Company's request.

閣下將在我們要求下提供有關專業投資者分類的相關證明文件 / 資料。

(c) The risks and consequences of consenting to being treated as a professional investor for the purposes of the SFC Code of Conduct and the right to withdraw from being treated as such, as summarised in clause 5.1.2, 5.1.3 or 5.1.4 (as applicable) of the Client Agreement, have been fully explained to you.

同意根據證監會操守準則被視為專業投資者的風險及後果，以及享有撤回被視為專業投資者的權利（已在客戶協議第 5.1.2、5.1.3 或 5.1.4 條 (如適用)概述，並已向 閣下詳盡說明）。

(d) You have no objection to being treated as a professional investor in accordance with the provisions of the SFC Code of Conduct and/or as otherwise described in the Client Agreement.

閣下對根據證監會操守準則及 / 或客戶協議內另有說明的條文被視為專業投資者並無異議。

You understand that you have the right to withdraw from being treated as such at any time but confirm that it is your current wish that you be treated as a professional investor for the purposes of the SFC Code of Conduct.

閣下明白　閣下有權隨時撤回被視為專業投資者，但　閣下確認根據證監會操守準則被視為專業投資者乃　閣下目前意願。

As a consequence of you being a professional investor under the SFO, you also agree not to receive any contract notes, statements of the Account and/or receipts from the Company or any of its associated entities under the Securities and Futures (Contract Notes, Statements of Account and Receipts) Rules.

由於根據證券及期貨條例被視為專業投資者，閣下同意不會根據《證券及期貨（成交單據、戶口結單及收據）規則》向本公司或其任何有連繫實體收取任何成交單據、戶口結單及/或收據。

Standing Authority 常設授權

I/We hereby acknowledge and confirm that I/we have authorized the Company to deal with futures and options in accordance with Clause 7 of the Client Agreement and the contents of that Clause have been explained to us and we understand the contents of that Clause.

本人/吾等謹此承認並確定本人/吾等已經根據客戶協議第 7 條授權貴公司處置有關期貨及期權，並且吾等就該條款的內容已獲得解釋，及吾等明白該條款的內容。

I/We acknowledge that as I am a "professional investor" as defined under the SFO and its subsidiary legislation, the standing authority shall be valid until revoked by me/us in accordance with the relevant requirements in the Client Agreement.

本人/吾等承認，本人為證券及期貨條例及其附屬法例所界定的「專業投資者」，常設授權將一直有效，直至本人/吾等根據客戶協議內的相關規定撤回為止。

Privacy Policy 私隱政策

You confirm that you have received understood and accepted the "Privacy Policy of CCB International (Holdings) Limited and its subsidiaries which carry on business in Hong Kong" (the "**Privacy Policy**") and fully understand and agree to the following:

閣下確認　閣下已收取、了解及接受「在香港經開展業務的建銀國際控股有限公司及其子公司的私隱政策」（「**私隱政策**」），並已完全明白和同意以下各項：

(a) the use (other than for direct marketing purposes) of Personal Data (as defined in the Privacy Policy) as set out in the Privacy Policy; and
按私隱政策所述方式使用（除作直銷用途外）個人資料（定義見私隱政策）；及

(b) where Personal Data (as defined in the Privacy Policy) or information relating to any of my/our representatives (including directors, employees, agents, customer (direct or indirect) or affiliates, where applicable) or any third party is provided to or held by the Company or CCB International (Holdings) Limited or its subsidiaries which carry on business in Hong Kong (collectively, "**CCBI Group**") in the course of your business dealings with CCBI Group, you undertake and represent that you have obtained the relevant consent of your representatives or such third party to enable CCBI Group to use, process, deal, share or transfer such data or information (other than for direct marketing purposes) in accordance with the Privacy Policy and you agree that you will promptly provide evidence of such consents as and when requested by CCBI Group.
若有關　閣下任何代表（包括董事、僱員、代理、客戶（直接或間接）或聯屬人士（如適用））或任何第三方的個人資料（定義見私隱政策）或信息，在與建銀國際集團進行業務往來的過程中向本公司或在香港開展業務的建銀國際控股有限公司及其子公司（以下統稱為「**建銀國際集團**」）提供或由其持有，則　閣下承諾及聲明，　閣下已獲得　閣下的代表或該第三方的有關同意，讓建銀國際集團可根據私隱政策使用、處理、運用、分享或轉交有關資料或信息（除作直銷用途外），而　閣下同意會在建銀國際集團要求下從速提供上述同意的憑證。

In order to keep you updated and informed of CCBI Group's offering of Products and Services (as defined in the Privacy Policy), we would like to process, use, or transfer your Personal Data (as defined in the Privacy Policy) for direct marketing purposes as set out in the Privacy Policy. However, we cannot use your Personal Data (as defined in the Privacy Policy) without your consent. Therefore, please complete and return the reply slip "Acknowledgement and Consent for Use of Personal Data for Direct Marketing" accompanying the Privacy Policy provided to you (the "**Reply Slip**") to the Company, indicating your choice.

為了讓　閣下獲得建銀國際集團所提供產品及服務（定義見私隱政策）的最新資料及信息，我們擬按私隱政策所述方式處理、使用或轉移　閣下的個人資料（定義見私隱政策）作直接促銷用途。然而，我們如未經　閣下同意，不能使用　閣下的個人資料（定義見私隱政策）。因此，請填寫及向本公司交回向　閣下提供的私隱政策所附的「確認並同意為直接促銷使用個人資料」回條（「**回條**」），以表示　閣下的選擇。

Please read the Privacy Policy and the Reply Slip carefully before completing and signing the Reply Slip to indicate your choice with respect to the use of your Personal Data (as defined in the Privacy Policy) in direct marketing:

在簽署回條以表示　閣下有關於直接促銷中使用　閣下的個人資料（定義見私隱政策）的選擇前，請仔細閱讀私隱政策及回條：

- You can opt-out of the use of your Personal Data (as defined in the Privacy Policy) for direct marketing purposes as set out in the Privacy Policy, by ticking the opt-out box in the Reply Slip.
閣下可剔選回條內的選擇排除方格，以選擇不同意按私隱政策所述方式使用　閣下的個人資料（定義見私隱政策）作直接促銷用途。

- If you do not tick the opt-out box in the Reply Slip, this means that you consent to the use of your Personal Data (as defined in the Privacy Policy) for direct marketing as set out in the Privacy Policy.
如果　閣下沒有剔選回條內的選擇排除方格，即表示　閣下同意按私隱政策所述方式使用　閣下的個人資料（定義見私隱政策）作直接促銷用途。

The provisions of the Privacy Policy and the signed Reply Slip shall form part of the Agreement. In the event of a conflict between the Privacy Policy and any other term of the Agreement, the Privacy Policy shall prevail.

私隱政策的條文及已簽署的回條構成協議的一部分。若私隱政策與協議的任何其他條款之間出現衝突，概以私隱政策為準。

Client Acknowledgement (Individual and Corporate) 客戶確認書 (個人及公司)

If you are an individual opening an account, please complete the section headed "**Individual**" below.
如 閣下為開立帳戶的個人，請填寫以下「**個人**」一節。

If you are a corporation opening an account, please complete the section headed "**Corporation**" below.
如 閣下為開立帳戶的公司，請填寫以下「**公司**」一節。

Individual 個人

I acknowledge and agree to the above. 本人吾等確認並同意以上內容。

*

____

Client signature / Specimen[1] (Individual client)

客戶簽署 / 簽署式樣 [1] (個人客戶)

Client's name (please include first name and last name) 客戶姓名(請填寫名字及姓氏) ______________________________

HKID no. / Passport no. 香港身份證 / 護照號碼 please delete as appropriate 請刪去不適用者) ______________________________

Date 日期______________________________

Corporation 公司

We acknowledge and agree to the above.
吾等確認並同意以上內容。

*	*
Specimen signature of director / Authorized Person (with company chop) 董事 / 獲授權人士簽署式樣 (蓋上公司蓋章)	Specimen signature of director / Authorized Person (with company chop) 董事 / 獲授權人士簽署式樣 (蓋上公司蓋章)
Name of director / Authorized Person (please include first name and last name) (block letters) 董事 / 獲授權人士姓名(請填寫名字及姓氏) (正楷)	Name of director / Authorized Person (please include first name and last name) (block letters) 董事 / 獲授權人士姓名(請填寫名字及姓氏) (正楷)
HKID no. / Passport no. 香港身份證 / 護照號碼 (please delete as appropriate 請刪去不適用者) ______________	HKID no. / Passport no. 香港身份證 / 護照號碼 (please delete as appropriate 請刪去不適用者) ______________
Date 日期 ______________	Date 日期 ______________

[1] Specimen signature(s) herein will be used to verify all written instructions given relating to the operation of the Account(s). 簽署式樣將被用作核證就帳戶運作發出之所有書面指示。

Declaration by Licensed Person 持牌人聲明

I have provided the Client Agreement to the Client in a language of his/their choice (English or Chinese) and have invited the Client to read the Client Agreement (including the risk disclosure contained therein) carefully, ask questions and take independent advice (if the Client wishes).

本人已按照客戶所選擇的語言（英文或中文）向客戶提供客戶協議及已邀請客戶細閱該客戶協議（包括其中之風險披露內容），提出問題及徵求獨立意見（如客戶有此意願）。

Signature of Licensed Person
持牌人簽署

Name of Licensed Person (please include first name and last name)
持牌人姓名(請填寫名字及姓氏)

(block letters 正楷)

CE no. of Licensed Person
持牌人中央編號

Date 日期:

For Internal Use Only 只供內部使用

Account Management Officer Signature 客戶經理簽署

Signature of Account Management Officer 客戶經理簽署 Date 日期：

Name of Account Management Officer 客戶經理姓名

Commission 佣金

Online Trade 網上交易	Others 其他	Minimum Charge 最低收費

Overdraft Interest Rate (%) 透支利率(%)

Remarks 備註

Compliance Staff Signature 法規部人員簽署 (if applicable 如適用)	Acknowledged And Accepted By CCB International Securities Limited 建銀國際證券有限公司確認並同意以上內容
Signature of Compliance Staff 法規部人員簽署	Responsible Officer Signature for and on behalf of CCB International Securities Limited 代表建銀國際證券有限公司負責人員簽署
Name of Compliance Staff 法規部人員姓名	Name of Responsible Officer signing for and on behalf of CCB International Securities Limited 代表建銀國際證券有限公司簽署的負責人員姓名
Date 日期:	Date 日期: