

帳戶號碼 Account No.:	開戶日期 Date Opened : (日 DD/月 MM/年 YYYY)

公司帳戶 CORPORATE ACCOUNT

現金帳戶開戶資料表格(公司) Cash Account Opening Information Form (Corp.)

網上交易服務 Internet Trading Services : 是 Yes 否 No

*為必填項，塗改處需客戶簽署代表人加簽 Mandatory, endorsement by authorized signatory is required for any changes

公司資料 CORPORATE INFORMATION

1. *公司名稱 Name of Company / Corporation *英文 English : _____		*中文 Chinese : _____	
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2. (a) *註冊/成立地點 Place of Incorporation/Establishment:	(b) *成立日期 Date of Establishment: (日 DD/月 MM/年 YYYY)	(c) *註冊編號 Certificate Number:
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3. *商業登記編號 Business Registration Number:	4. *法律實體識別編碼 Legal Entity Identifier (LEI): <input type="checkbox"/> 有，請提供 Yes, please provide: _____ <input type="checkbox"/> 沒有 Nil
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5. (a) *公司性質 Nature of Entity: <input type="checkbox"/> 上市公司 Listed Company <input type="checkbox"/> 有限公司 Limited Company <input type="checkbox"/> 其他 Others (請註明 please specify): _____	(b) *公司業務性質 (如證券業、銀行業、製造業等) Nature of Business (e.g. securities, banking, manufacturing, etc.):
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6. *註冊地的註冊地址 Registered Office in Country of Incorporation/Establishment: 室 / 樓層 / 大廈 / 街道 / 地區 Room / Floor / Building / Street / District _____ 城市 City _____ 省/州 Province / State _____ 國家 Country _____ 郵政編碼/郵遞區 Post Code/ZIP Code _____	
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7. *主要辦事處地址 (如有別於註冊地址) Principal Place of Business (if different from Registered Office): 室 / 樓層 / 大廈 / 街道 / 地區 Room / Floor / Building / Street / District _____ 城市 City _____ 省/州 Province / State _____ 國家 Country _____ 郵政編碼/郵遞區 Post Code/ZIP Code _____	
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8. 通訊地址 Correspondence Address: 室 / 樓層 / 大廈 / 街道 / 地區 Room / Floor / Building / Street / District _____ 城市 City _____ 省/州 Province / State _____ 國家 Country _____ 郵政編碼/郵遞區 Post Code/ZIP Code _____	
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*辦事處電話號碼 Office Tel. No.:	辦事處傳真號碼 Office Fax No.:
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*電子郵件地址 E-mail Address:

9. 成交單據正本(買賣確認)及對帳單以下列其中一項方式發送(只可選擇其一) Original Contract Notes (Trading Confirmations) and Statements to be sent by one of following means. (Please select one only) : 如客戶選用郵寄形式發送，每月將另加額外郵遞服務費 For clients choose mailing services as the delivering method , there shall be an additional postage service fee each month. <input type="checkbox"/> 電子郵件地址 E-mail address <input type="checkbox"/> 郵寄住通訊地址 Mailing to Correspondence Address	
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10. 董事資料 Particulars of Director(s) :			
董事名稱 Director(s) Name	身份證/護照/註冊證書/商業登記證號碼及簽發國家 ID Card/Passport/CI/BR No. and Issuing Country	董事現時住址/現時地址 Director(s) Current Residential Address/ Current Address	聯絡電話 Contact No.

11. 股東資料(持有百份之十或以上股權) Particulars of Shareholder(s)(shareholding 10% or above) :				
股東名稱 Shareholder(s) Name	身分證/護照/註冊證書/商業登記證號碼及簽發國家 ID Card/Passport/CI/BR No. and Issuing Country	股東時住址/現時地址 Shareholder(s) Current Residential Address/ Current Address	聯絡電話 Contact No.	所佔股權(%) Shareholding

財務狀況 CLIENT FINANCIAL INFORMATION

12. 法定股本 Authorized Share Capital	已發行股本 Issued Share Capital	繳足股本 Paid-up Capital
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13. 每年收入 Annual Income: (以港元計算 in HKD)	淨資產值 Net Assets: (以港元計算 in HKD)
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14. Source of Funds 資金來源	<input type="checkbox"/> 股東資金 Shareholders Fund <input type="checkbox"/> 股東貸款 Shareholders Loan	<input type="checkbox"/> 業務收入 Revenue of business <input type="checkbox"/> 其他 Others(請註明 please specify): _____
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15. 在收到閣下的提款指示後，將款項轉到以下銀行帳戶 Funds will be transferred to the following bank account after receiving the client's fund withdrawal instruction:

銀行名稱 Name of the Bank :	銀行帳戶貨幣/號碼 Bank Account Currency/Number
	<input type="checkbox"/> 港元 HKD 帳戶號碼 A/C No.: <input type="checkbox"/> 人民幣 RMB 帳戶號碼 A/C No.: <input type="checkbox"/> 美元 USD 帳戶號碼 A/C No.: <input type="checkbox"/> 其他貨幣 Other Currency 請註明 Please specify: _____ 帳戶號碼 A/C No.: _____

銀行帳戶持有人名稱 (須與客戶的銀行結單及此表格上的名稱相符)
Bank Account Holder's Name(name(s) shown in the client's bank statements should match with the name of the applicant in this Form)

若為香港以外銀行帳戶，請提供地區及 SWIFT 號碼 (如適用)
For bank accounts outside Hong Kong, please state the location of the bank account and SWIFT code (if applicable)

客戶投資目的及經驗 CLIENT INVESTMENT OBJECTIVES & EXPERIENCE

16. 整體投資計劃，包括短期、中期及長期投資目標 Overall investment plan, including short, medium and long term goals :
(a) 投資計劃 Investment Plan : <input type="checkbox"/> 短期 Short <input type="checkbox"/> 中期 Medium <input type="checkbox"/> 長期 Long
(b) 可承受風險程度 Risk Tolerance level : <input type="checkbox"/> 低風險 Low <input type="checkbox"/> 中風險 Medium <input type="checkbox"/> 高風險 High

17. 投資目的 Investment Objective(s) : (可選擇下列一項或多項 Please tick one or more)
<input type="checkbox"/> 平穩增長 Stable Growth <input type="checkbox"/> 均衡增長 Balance Growth <input type="checkbox"/> 高速增長 High Growth <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 投機 Speculation <input type="checkbox"/> 其他，請說明 Others, please specify _____

18. 投資經驗 Investment Experiences :
投資產品 Investment Products:
<input type="checkbox"/> 股票/認股權證 Stocks/Warrants <input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於三年 less than 3 years <input type="checkbox"/> 三至五年 3-5 years <input type="checkbox"/> 五至十年 5-10 years <input type="checkbox"/> 超過十年 Over 10 years <input type="checkbox"/> 期貨/期權 Futures/Options <input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於三年 less than 3 years <input type="checkbox"/> 三至五年 3-5 years <input type="checkbox"/> 五至十年 5-10 years <input type="checkbox"/> 超過十年 Over 10 years <input type="checkbox"/> 債券/基金 Bonds/Funds <input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於三年 less than 3 years <input type="checkbox"/> 三至五年 3-5 years <input type="checkbox"/> 五至十年 5-10 years <input type="checkbox"/> 超過十年 Over 10 years <input type="checkbox"/> 其他 Others: _____ <input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於三年 less than 3 years <input type="checkbox"/> 三至五年 3-5 years <input type="checkbox"/> 五至十年 5-10 years <input type="checkbox"/> 超過十年 Over 10 years

其他資料 OTHER INFORMATION

19. 客戶之集團公司是否本公司客戶? Are there companies within the client's group already a client of ours?

否 No 是 Yes 帳戶名稱及帳戶號碼 Account Name and Account No. : _____

20. 客戶的董事、大股東、獲授權人士、最終負責就本帳戶發出指示的人士或帳戶的最終實益擁有人是否有親屬在國投證券國際集團(包括國投證券國際金融控股有限公司及其附屬公司)工作?

Does/Do the director(s), major shareholder(s), authorized person(s), the person ultimately responsible for originating instructions for the account(s) or the ultimate beneficial owner(s) of the client have any relatives working in SDICSI Group (includes SDIC Securities International Financial Holdings Limited and its subsidiaries)?

是, 請提供僱員/代理人姓名 Yes, please provide employee/agent name : _____ 否 No
關係 Relationship : _____

21. 客戶的董事、大股東、獲授權人士、最終負責就本帳戶發出指示的人士或帳戶的最終實益擁有人是否香港證監會已註冊持牌法團或註冊機構的董事、僱員或代表?

Is/Are any director(s), major shareholder(s), authorized person(s), the person ultimately responsible for originating instructions for the account(s) or the ultimate beneficial owner(s) of the client, a director, an employee or representative of any Licensed Corporation or Registered Institution registered with Hong Kong Securities and Futures Commission?

是, 請提供詳情 Yes, please provide details : _____ (僱主姓名及註冊編號 Employer Name and Reg. No.)
 否 No

22. (a) 帳戶最終實益擁有人(等)的名稱 Name of ultimate beneficial owner(s) of the account :

本身 Self
 其他(請提供姓名、國籍、出生日期、身份證明文件號碼、聯絡話及現時住址):
Others (Please provide the name, nationality, date of birth, identification document and its no., telephone no. and current residential address):

(b) 最終負責就本帳戶之交易發出有關指示的人為

The person(s) ultimately responsible for originating instructions in relation to transactions under the account :

本身 Self
 其他(請提供姓名、國籍、出生日期、身份證明文件號碼、聯絡話及現時住址):
Others (Please provide the name, nationality, date of birth, identification document and its no., telephone no. and current residential address):
(請填具買賣授權書 Please fill in Trading Authorization)

結構性及/或衍生工具產品的認識評估 ASSESSMENT ON KNOWLEDGE OF STRUCTURED AND/ OR DERIVATIVES PRODUCTS

控制該戶口或負責投資決定的人員或職員 (“負責人”) 曾接受有關結構性及/或衍生工具產品的培訓或相關課程
The person or the staff who is in control of the account or responsible for making the investment decision (“Responsible Person”) has attended trainings or courses in relation to structured and/or derivative product(s)

負責人現時或之前的工作經驗與結構性及/或衍生工具產品有關
Responsible Person's current or previous work experience is related to structured and/or derivative product(s)

客戶在過去 3 年內曾執行過 5 宗或以上有關結構性及/或衍生工具產品的交易
The client has executed 5 or more transactions relating to structured and/or derivative product(s) in the past 3 years

如客戶沒有以上任何一項經驗及認識, 客戶將被視作沒有結構性及/或衍生工具產品認識。在客戶買賣結構性及/或衍生工具產品之前, 客戶需要留意結構性及/或衍生工具產品交易有關之風險 (如《附表三- 其他風險披露聲明》所述)。

For clients do not have any of the above mentioned knowledge and experience, such clients will be considered as without knowledge of structured and/or derivatives product(s). Before trading in structured and/or derivative product(s), the attention of client is drawn to the risks associated with structured and/or derivative product(s) (as described in the “Third Schedule - Other Risk Disclosure Statement”).

結構性及/或衍生工具產品包括(但不限於) 牛熊證、衍生認股證、股票掛鈎產品、交易所買賣換股債券、交易所買賣基金、期貨及期權與及股票期權等。

Structured and/or derivative product(s) includes, but not limited to, Callable Bull/Bear Contracts, Derivative Warrants, Equity Linked Instruments/Notes, Exchange Traded Funds, Futures and Options and Stock Option, etc.

有關結構性及/或衍生工具產品確認 ACKNOWLEDGEMENT RELATING TO STRUCTURED AND/ OR DERIVATIVES PRODUCT(S)

本公司確認已細心閱讀及完全明白在附表三所載的其他風險披露聲明的內容。如果本公司決定買賣該等結構性及/或衍生工具產品時, 本公司同意承擔有關風險。本公司確認, 在買賣衍生工具產品前, 本公司將會進行自我風險評估或尋求獨立專業意見, 並擁有足夠資本承擔有關風險及損失。本公司明白, 如客戶並沒有結構性及/或衍生工具產品的知識或經驗, 國投證券(香港)有限公司(「國投證券(香港)」)並不鼓勵客戶進行結構性及/或衍生工具產品買賣。

We acknowledge that we have carefully read and fully understand the content of Other Risk Disclosure Statement as contained in the Third Schedule. If we decide to trade the Structured and/or Derivatives Product(s), we agree to bear the risks involved. We confirm that we shall make our own risk assessment, or seek independent professional advice before trading in Structured and/or Derivatives Product(s), and that we have sufficient net worth to be able to assume the risks and bear the potential losses for our trades in Structured and/or Derivatives Product(s). We understand that SDIC Securities (Hong Kong) Limited (“SDIC Securities HK”) does not encourage the clients to trade Structured and/or Derivative Product(s) if they do not have any knowledge or experience relating to the Structured and/or Derivative Products.

虛擬資產相關產品知識評估 ASSESSMENT ON KNOWLEDGE OF VIRTUAL ASSETS RELATED PRODUCT(S)

- 控制該戶口或負責投資決定的人員或職員（“負責人”）曾接受有關虛擬資產相關產品的培訓或相關課程
The person or the staff who is in control of the account or responsible for making the investment decision (“Responsible Person”) has attended trainings or courses in relation to virtual assets related product(s)
- 負責人現時或之前的工作經驗與虛擬資產相關產品有關
Responsible Person's current or previous work experience is related to virtual assets related product(s)
- 客戶在過去3年內曾執行過5宗或以上有關虛擬資產相關產品的交易
The client has executed 5 or more transactions relating to virtual assets related product(s) in the past 3 years

如客戶沒有以上任何一項經驗及認識，客戶將被視作沒有虛擬資產相關產品認識。在客戶買賣虛擬資產相關產品之前，客戶需要留意虛擬資產相關產品交易有關之風險（如《附表六 - 關於虛擬資產相關產品的風險披露聲明》所述）。

For clients do not have any of the above mentioned knowledge and experience, such clients will be considered as without knowledge of virtual assets related product(s). Before trading in virtual assets related product(s), the attention of client is drawn to the risks associated with virtual assets related product(s) (as described in the “Sixth Schedule - Risk Disclosure Statements for Virtual Assets Related Products”).

虛擬資產指以數碼形式來表達價值的資產，其形式可以是數碼代幣（如數碼貨幣、功能型代幣，或以證券或資產作為抵押的代幣）、任何其他虛擬商品、加密資產或其他本質相同的資產，不論該等資產是否構成《證券及期貨條例》所界定的“證券”或“期貨合約”，但不包括由中央銀行發行以數碼形式來表達的貨幣（經香港證監會不時修訂）。

Virtual assets means digital representations of value which may be in the form of digital tokens (such as digital currencies, utility tokens or security or asset-backed tokens), any other virtual commodities, crypto assets or other assets of essentially the same nature, irrespective of whether they amount to “securities” or “futures contracts” as defined under the Securities and Futures Ordinance, but excludes digital representations of fiat currencies issued by central banks (as amended from time to time by the Hong Kong SFC).

有關虛擬資產相關產品確認 ACKNOWLEDGEMENT RELATING TO VIRTUAL ASSETS RELATED PRODUCTS

本公司確認已細心閱讀及完全明白在附表六所載的關於虛擬資產相關產品的風險披露聲明的內容。如果本公司決定買賣該等虛擬資產相關產品時，本公司同意承擔有關風險。本公司確認，在買賣虛擬資產相關產品前，本公司將會進行自我風險評估或尋求獨立專業意見，並擁有足夠資本承擔有關風險及損失。本公司明白，如客戶並沒有虛擬資產相關產品的知識或經驗，除非客戶之後接受虛擬資產相關產品的培訓，否則客戶將不可進行虛擬資產相關產品交易。

We acknowledge that we have carefully read and fully understand the content of Risk Disclosure Statements for Virtual Assets Related Products as contained in the Sixth Schedule. If we decide to trade virtual assets related products, we agree to bear the risks involved. We confirm that we shall make our own risk assessment, or seek independent professional advice before trading in virtual assets related product, and that we have sufficient net worth to be able to assume the risks and bear the potential losses for our trades in virtual assets related product. We understand that if clients do not have any knowledge or experience relating to virtual assets related product, unless the clients thereafter receives training on virtual assets related products, otherwise the clients will not be eligible for trading virtual asset-related products.

帳戶管理授權 ACCOUNT MANAGEMENT AUTHORIZATION

以下任何_____位授權人士簽署均可同意帳戶的任何條款或條件，開立、操作或終止帳戶，並就帳戶和其中涉及的財產代表公司簽訂任何（書面或電子的）協議，包括解除書、委託書、轉讓書或其他文件（“文件”），及一般性地進行和採取所有就帳戶而言該授權人士視為必須或合理的行動，而授權人士之真實簽名樣本已於其姓名旁邊註明：

Any _____ of the undersigned individuals are authorized to agree to any terms or conditions of the account, open, operate or terminate the account and to enter into any (written or electronic) agreement, including letter of discharge, power of attorney, letter of transfer or other documents (“Documents”), and in general conduct and take all actions that the authorized individuals deem necessary and reasonable in relation to the account on behalf of the client and specimen signatures appearing against their names are the true signatures of the authorized individuals:

授權人士姓名 Authorized Person's Name	身份證/護照號碼及 簽發國家 ID Card /Passport No. and Issuing Country	現時住址/現時地址 Current Residential Address/ Current Address	職業/職位 Occupation /Position	聯絡電話 Contact No.	簽名樣本 Specimen Signature

交易授權 TRADING AUTHORIZATION

下列人士均可對帳戶以書面或口頭形式發出交易指示：

The following individuals are authorized to place the oral or written instructions for trades on behalf of the client:

授權人士姓名 Authorized Person's Name	身份證/護照號碼及 簽發國家 ID Card /Passport No. and Issuing Country	現時住址/現時地址 Current Residential Address/ Current Address	職業/職位 Occupation /Position	聯絡電話 Contact No.	簽名樣本 Specimen Signature

簽署安排 SIGNING ARRANGEMENT

以下任何_____位授權人士簽署均可代表公司對帳戶進行資金/股票存入或提取，發出結算指示和其他帳戶有關指示，而授權人士之真實簽名樣本已於其姓名旁邊註明：

Any _____ of the undersigned individuals are authorized to deposit/withdraw fund/shares to/from the account, give settlement instructions and any other instructions on behalf of the client and specimen signatures appearing against their names are the true signatures of the authorized individuals:

授權人士姓名 Authorized Person's Name	身份證/護照號碼及 簽發國家 ID Card /Passport No. and Issuing Country	現時住址/現時地址 Current Residential Address/ Current Address	職業/職位 Occupation /Position	聯絡電話 Contact No.	簽名樣本 Specimen Signature

使用個人資料作直接促銷同意書 USE OF PERSONAL DATA IN DIRECT MARKETING - CONSENT LETTER

國投證券（香港）有限公司（「國投證券（香港）」）擬使用貴公司的個人資料作直接促銷，該等個人資料包括本公司在本開戶資料表格中向國投證券（香港）提供的及國投證券（香港）不時獲得的姓名、聯絡詳情、財務背景、統計資料等的個人資料。為此須取得貴公司的同意。

SDIC Securities (Hong Kong) Limited ("SDIC Securities HK") intends to use your company's personal data in direct marketing. Such personal data includes the name, contact details, financial background and statistical data which are provided to SDIC Securities HK under this Account Opening Information Form or obtained by SDIC Securities HK from time to time. SDIC Securities HK proposes to obtain your company's consent.

本公司同意國投證券（香港）向本公司的個人資料發放關於財務、保險、證券、投資的服務和產品的推廣資料。本公司亦同意國投證券（香港）及其集團公司分享本公司的個人資料作促銷用途。本公司亦明白和接受國投證券（香港）及其集團公司可能不時聘請第三方代表國投證券（香港）及其集團公司提供直接促銷服務，除非本公司在下方表示反對：

We agree to receive promotional and direct marketing information from SDIC Securities HK in respect of financial, insurance, securities, investment services and products of SDIC Securities HK may offer. We also agree that SDIC Securities HK can share our company's personal data with its group companies for marketing and promotional purposes. We understand and accept that SDIC Securities HK and its group companies may, from time to time, engage third parties to provide direct marketing services unless I indicate an objection herein below:

本公司反對國投證券（香港）使用或轉移，不論是否為得益，本公司所有個人資料的種類，給予所有資料承轉人的類別以用作所有促銷產品/服務/設施的類別的直接促銷用途。

We object to the SDIC Securities HK use or transfer, whether for gain or not, of all kinds of our company's personal data to all classes of data transferees, for direct marketing of all classes of marketing subject.

如貴公司將來不希望國投證券（香港）使用或提供貴公司的個人資料給他人作直接促銷，請致電(852) 2213 1000 通知我們。

In the future, if your company does not wish SDIC Securities HK to use or provide your company's personal data to other persons for the use in direct marketing, your company may exercise your opt-out right by notifying SDIC Securities HK at (852) 2213 1000.

有關香港投資者識別碼制度及場外證券交易匯報制度的客戶資料收集聲明同意書**CLIENT CONSENT ON THE PERSONAL INFORMATION COLLECTION IN CONNECTION TO THE HONG KONG INVESTOR IDENTIFICATION REGIME AND OVER-THE-COUNTER SECURITIES TRANSACTIONS REPORTING REGIME**

本公司確認已閱讀及理解國投證券（香港）的《予客戶有關香港投資者識別碼制度及場外證券交易匯報制度的客戶資料收集聲明通知》（「客戶通知」）（載於《證券交易帳戶協議》內）的內容。一經勾選下列同意方框，即表示本公司同意國投證券（香港）根據客戶通知的條款及其中所載目的使用本公司的個人資料（包括客戶識別信息及/或券商客戶編碼）及表示本公司承諾按照客戶識別信息中可接納的身份證明文件的優先排序表向國投證券（香港）提供正確、準確和更新的個人資料（包括客戶識別信息）及承諾如本公司的個人資料有所改變會於合理的切實可行範圍內盡快通知國投證券（香港）有關更改的個人資料。

We acknowledge we have read and understand the content of the "Notice to Client on the Personal Information Collection Statement in connection to the Hong Kong Investor Identification Regime and Over-the-counter Securities Transactions Reporting Regime" ("Client Notice") of SDIC Securities HK (as contained in the Agreement for Securities Trading Account). By ticking the box of AGREE as below, we signify our consent for SDIC Securities HK to use our personal data (including CID and/or BCAN(s)) for the purposes on the terms set out in the Client Notice and signify our undertaking to provide SDIC Securities HK with correct, accurate and updated personal data (including CID) by following the waterfall for acceptability of identity document for the CID and to notify SDIC Securities HK for any change(s) of our personal data as soon as reasonably practicable.

本公司 同意 / 不同意國投證券（香港）有權根據客戶通知的條款及其中所載目的使用本公司的個人資料（包括客戶識別信息及/或券商客戶編碼）及本公司承諾如本公司的個人資料（包括客戶識別信息）有所改變，會於合理的切實可行範圍內盡快透過填寫及提交更改客戶資料表格通知國投證券（香港）有關更改的個人資料。

We AGREE / DISAGREE to the right of SDIC Securities HK to use our personal data (including CID and/or BCAN(s)) for the purposes set out in the Client Notice and we shall undertake to notify SDIC Securities HK for any change(s) of our personal data (including CID) by completing and submitting Change of Client Information Form as soon as reasonably practicable.

客戶聲明 DECLARATIONS BY CLIENT

本公司謹此承諾並確認：

We hereby acknowledge and confirm that:

- 本開戶資料表格的資料均屬真實、準確及完整，除非國投證券（香港）有限公司（「國投證券（香港）」）收到我們的書面另行通知，國投證券（香港）將有權依據這些資料及陳述，作任何用途或目的。客戶授權國投證券（香港）可在任何時間聯絡任何人，包括客戶的銀行、經紀或任何信貸機構，藉以確定及查證本開戶資料表格內的資料；
The information contained in this Account Opening Information Form is true, accurate and complete. SDIC Securities (Hong Kong) Limited (“SDIC Securities HK”) is entitled to rely fully on such information and representations for all purposes, unless SDIC Securities HK receives written notice from us stating otherwise. SDIC Securities HK is authorized at any time to contact anyone, including the Client’s banks, brokers or any credit agency, for the purpose of verifying the information provided on this Account Opening Information Form;
- 本公司已收到、閱讀及明白證券交易帳戶協議內之條款(包括其附表、附錄及附件(如有)) (「協議」)，而本公司接納並同意受該等條款約束；
we have received, read and understood the Terms and Conditions contained therein the Agreement for Securities Trading Account (and the schedules, appendices and annexes thereto, if any) (the “Agreement”), and we accept and agree to be bound by them;
- 本公司已獲提供以本人/吾等選擇語言(英文或中文)所撰寫的風險披露聲明；
the risk disclosure statements were provided to us in a language of our choice(English or Chinese);
- 本公司已獲邀請參閱風險披露聲明，並提出問題及諮詢獨立意見(如有此意願)；
we were invited to read the risk disclosure statements, and to ask questions and take independent advice if we so wished;
- 本公司謹此聲明其並非《海外帳戶稅收合規法案》下所定義的美國人士，而且此帳戶下之相關的收入依《海外帳戶稅收合規法案》毋須扣繳稅款。本公司承諾如於 W8BEN 表格中的情況有任何更改，本公司須於三十日內主動通知國投證券（香港），否則本公司同意該 W8BEN 表格會被當作續期。本公司亦同意悉數對國投證券（香港）因本公司違規或遺漏而蒙受的任何索償、損害、損失、費用及開支作出彌償並保證其利益不受損害；
we hereby declare that we are not a United States resident for Foreign Account Tax Compliance Act (FATCA) purposes, and the income to which the said Account(s) related is not subjected to tax under FATCA. We undertake to notify SDIC Securities HK within 30 days for any change of circumstances stated in the W8BEN Form, without which we agree that the W8BEN Form will be deemed renewed. We shall fully indemnify and hold harmless SDIC Securities HK from and against all claims, damages, losses, costs and expenses whatsoever incurred as a result of such non-compliance or omission;
- 本公司承諾若本公司的共同匯報標準自我證明的狀況資料如有變更，會於三十日內主動通知國投證券（香港）。本公司亦同意悉數對國投證券（香港）因本公司違規或遺漏而蒙受的任何索償、損害、損失、費用及開支作出彌償並保證其利益不受損害；
we agree to inform SDIC Securities HK within 30 days upon any changes in the information of the Self-Certification of Common Reporting Standard status supplied to SDIC Securities HK. We shall fully indemnify and hold harmless SDIC Securities HK from and against all claims, damages, losses, costs and expenses whatsoever incurred as a result of such non-compliance or omission;
- 國投證券（香港）須本公司提供自我證明或其他文件以揭示本公司納稅所在地，以作自動交換財務帳戶資料用途。如本公司因任何情況而影響本公司的納稅所在地，或令國投證券（香港）有理由相信本公司之自我證明有不正確或不可靠時，國投證券（香港）保留權利可要求本公司遞交新的自我證明及/或額外文件。作為國投證券（香港）的帳戶持有人，本公司承諾及同意向國投證券（香港）提供進一步的資料。國投證券（香港）為遵守香港《稅務條例》（第 112 章）有關交換財務帳戶資料的法律條文及/或指引，可能導致收集、儲存、使用及處理本公司的資料。本公司的資料亦可向香港特別行政區政府稅務局披露，從而把資料轉交到本公司的居留司法管轄區的稅務當局。如果本公司未能提供任何所要求的資料，國投證券（香港）保留採取任何補救措施的權利，包括(但不限於)限制及終止帳戶的運作；
SDIC Securities HK will request a self-certification and/or other relevant documentation in order to establish our tax residence for automatic exchange of financial account information purposes. If there is any change in circumstances that would affect our tax residence or there is reason for SDIC Securities HK to know that the self-certification is incorrect or unreliable, SDIC Securities HK reserves the right to request and we have the obligation to provide a new self-certification and/or additional documentation. As account holder of SDIC Securities HK, we shall be deemed to acknowledge that further information may need to be provided to SDIC Securities HK. SDIC Securities HK’s compliance with the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112) and/or guidance may result in gathering, storing, using, and processing our information. Our information may also be disclosed to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region, which is further exchanged with tax authorities of another jurisdiction or jurisdictions in which we may be resident for tax purposes. Where we fail to provide any requested information (regardless of the consequences), SDIC Securities HK reserves the right to take any action and/or pursue all remedies at its disposal including, without limitation to restrictor terminate the operation of the account;
- 本公司明白根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級（即\$10,000）罰款；
we understand that it is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).
- 本公司已參閱國投證券（香港）《予客戶有關《個人資料（私隱）條例》的通知》及《予客戶有關香港投資者識別碼制度及場外證券交易匯報制度的客戶資料收集聲明的通知》（載於證券交易帳戶協議內），並明白且同意其條款；
we have read SDIC Securities HK’s “Notice to Client on the Personal Data (Privacy) Ordinance” and “Notice to Client on the Personal Information Collection Statement in connection to the Hong Kong Investor Identification Regime and Over-the-counter Securities Transactions Reporting Regime” (as contained in the Agreement for Securities Trading Account), understand and agree to such terms;
- 倘若中文本與英文本在解釋或意義方面有任何歧義，本公司同意應以英文本為準。
In the event of any difference in interpretation or meaning between the Chinese and English version, we agree that the English version shall prevail.

客戶簽署並蓋章(並作為簽署式樣)
Client Authorized Signature(s) with Company Chop
(also as Specimen Signature)

客戶簽署代表人的姓名及職銜
Authorized Signatory’s name and title(s)

日期(日/月/年)
Date (DD/MM/YYYY)

註：請參閱本開戶表格末頁之開立帳戶所需文件核對表 Note: Please refer to the document checklist in the last page of this Form for opening corporate account accordingly.

核證 CERTIFICATION

(如本表格並非在國投證券(香港)職員面前簽署,須填寫此欄)
(must be completed where this Form is not signed before a staff member of SDIC Securities HK.

由香港證監會發牌或註冊之人士或其聯繫人士、國投證券(香港)的聯繫人士,專業人士(例如銀行分行經理、執業會計師、律師或公證人)核證。
To be certified by a person licensed or registered with Hong Kong SFC or his affiliate, an affiliate of SDIC Securities HK, professional person (such as a branch manager of a bank, certified public accountant, lawyer or notary public).

本人(姓名見下)核證已經與本表格簽署人會晤及核對其身份證或護照正本,他(們)並在本人面前簽署本表格。

I, named below, certify that I have met and identified each of the person(s) who executed this Form before me, and reviewed the original of his/their ID card(s) or passport(s).

簽署Signature

姓名Name:

職業Profession:

日期Date:

(日DD/月MM/年YYYY)

國投證券(香港)有限公司職員聲明 DECLARATION BY SDIC SECURITIES (HONG KONG) LIMITED STAFF

本人(姓名見下),為國投證券(香港)之職員,謹此聲明,本人:

- (i) 已向客戶提供以客戶選擇語言(英文或中文)所撰寫的風險披露聲明(載於協議內);及
- (ii) 已邀請客戶參閱風險披露聲明,並按客戶的意願提出問題及諮詢獨立意見。

I, named below, a staff member of SDIC Securities HK, hereby declare that I have:

- (i) provided to the above-named client the risk disclosure statements (as contained in the Agreement) in a language of the client's choice (English or Chinese); and
- (ii) invited the client to read the risk disclosure statement, ask questions and take independent advice if the client wishes.

以上客戶乃本人面前簽立*

The above Client Signature(s) was/were made in my presence*

職員簽署Signature of Staff

職員姓名 Staff Name:

(以英文大楷或中文正楷填寫 In block letter)

職員職銜 Staff Designation:

職員CE編號 Staff CE Number:

日期Date:

(日DD/月MM/年YYYY)

*如不適用,請刪除。Delete if not applicable.

本公司專用 FOR OFFICE USE ONLY

Submitted By [Name of AE / Dealer / CS (Select if applicable)]: _____ Checked by Risk Management: _____

Reviewed and Approved by: RO: _____ Compliance: _____ Executive Director: _____

Turnover Limit /Credit Limit: _____ Interest Rate: _____ Brokerage: _____ Date: _____

Remark: _____

開立帳戶之文件核對表 DOCUMENTATION CHECK LIST FOR ACCOUNT OPENING

重要事項：所有提交的文件如非正本，必須經認可人士或國投證券（香港）員工認證後，方為有效。

Important note: All documents submitted must either be original or certified copy by recognized person/ staff members of SDIC Securities HK.

在香港註冊的公司 Incorporated in Hong Kong

1. 董事局決議及授權書
Board Resolutions and Authorization
2. 擔保書
Guarantee
3. 公司股東/董事/獲簽署人/授權人/最終實益擁有人/擔保人的身份證/護照/公司註冊證書核證副本
Certified True Copies of the Identity Card/Passport / Certificate of Incorporation of shareholders/directors/authorized signatories/authorized persons/ultimate beneficial owners/guarantor/ of the Company
4. 法律實體識別編碼（LEI）文件（如適用）
Legal Entity Identifier (LEI) document (if applicable)
5. 公司章程
Memorandum and Article of Association
6. 公司註冊證書
Certificate of Incorporation
7. 商業登記證
Business Registration Certificate
8. 最近週年申報表
Latest Annual Return
9. 最近經審核財務報表（如適用）
Latest Audited Financial Statements (if applicable)
10. 共同匯報標準的自我認證表格
Common Reporting Standard Self-certification Form
11. 最近三個月內的通訊地址證明（如適用）
Address Proof of Correspondence Address which issued within the last 3 months (if applicable)
12. 股東、擔保人及最終實益擁有人最近三個月的住址證明
Residential address proof of Shareholder(s), Guarantor(s) and Ultimate Beneficial Owner(s) within the last 3 months
13. 公司的擁有權及控制權結構詳情(例如：擁有公司董事就描述中介層而作出聲明的架構圖表)
Details of the ownership and structure control of the Company (i.e. organization chart incorporating a declaration from the Company's director describing the intermediate layers of the Company)
14. 國投證券（香港）合理情況下需要的其他文件或資料
Other document and/or information as SDIC Securities HK may reasonably requires

上述(5)至(9)的文件，須由香港公司註冊處或專業第三者核證(例如：執業律師/會計師)。而(8)的文件須在最近6個月內簽發。

The aforesaid documents listed in (5) – (9) should be certified by the Hong Kong Company Registry or professional third party (e.g. practicing Solicitor / Accountant) and documents listed in (8) should have been issued within the last 6 months.

在香港以外註冊的公司 Incorporated outside Hong Kong

1. 董事局決議及授權書
Board Resolutions and Authorization
2. 擔保書
Guarantee
3. 公司股東/董事/獲簽署人/授權人/最終實益擁有人/擔保人的身份證/護照/公司註冊證書核證副本
Certified True Copies of the Identity Card /Passport / Certificate of Incorporation of the shareholders/directors/authorized signatories/authorized persons/ultimate beneficial owners/guarantor of the Company
4. 法律實體識別編碼（LEI）文件（如適用）
Legal Entity Identifier (LEI) document (if applicable)
5. 公司章程
Memorandum and Article of Association
6. 公司註冊證書
Certificate of Incorporation
7. 董事名單
Register of Directors
8. 股東名單
Register of Members
9. 存續證明或良好聲譽證明書
Certificate of Incumbency or Certificate of Good Standing
10. 最近經審核財務報表（如適用）
Latest Audited Financial Statements (if applicable)
11. 共同匯報標準的自我認證表格
Common Reporting Standard Self-certification Form
12. 最近三個月內的通訊地址證明（如適用）
Address Proof of Correspondence Address which issued within the last 3 months (if applicable)
13. 股東、擔保人及最終實益擁有人最近三個月的住址證明
Residential address proof of Shareholder(s), Guarantor(s) and Ultimate Beneficial Owner(s) within the last 3 months
14. 公司的擁有權及控制權結構詳情(例如：擁有公司董事就描述中介層而作出聲明的架構圖表)
Details of the ownership and structure control of the Company (i.e. organization chart incorporating a declaration from the Company's director describing the intermediate layers of the Company)
15. 國投證券（香港）合理情況下需要的其他文件或資料
Other document and/or information as SDIC Securities HK may reasonably requires

上述(5)至(10)的文件，須由公司註冊地的註冊處或專業第三者核證(例如：執業律師/會計師)。而(9)的文件須在最近6個月內簽發。

The aforesaid documents listed in (5) – (10) should be certified by a company registry in the place of incorporation or professional third party (e.g. practicing Solicitor / Accountant) and documents listed in (9) should have been issued within the last 6 months.