SECURITIES ACCOUNT APPLICATION FORM – INDIVIDUAL / JOINT
證券開戶申請表

建银国际 CCB International

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」)
CE no. 編號 : AMB276

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 8221 FAX 傳真: 2525 1198

Client Type 客戶類別:	**Individual Account 個人帳戶**	**Joint Account 聯名帳戶**
Account Type 帳戶類別:	**Cash Account 現金帳戶** **CIES Account 投資移民帳戶**	**Margin Account 保證金帳戶 (孖展)**
Online Account 網上戶口:	**Yes 是**	**No 否**

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

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

A. Account Applicant's Information (Individual / Joint 戶口申請人資料 (個人 / 聯名戶口)

If you are an individual opening an account, please complete the section headed "Individual / First Account Applicant" below. 如 閣下為開立帳戶的個人，請填寫以下「個人/ 第一戶口申請人」一節。

If you are individuals opening a joint account, please complete the sections headed "Individual / First Account Applicant" and "Second Account Applicant" below. 如 閣下為開立聯名戶口的個人，請填寫以下「個人/ 第一戶口申請人」及「第二戶口申請人」兩節。

A1. Individual / First Account Applicant 個人 / 第一戶口申請人

☐ Mr. 先生 ☐ Mrs. 太太 ☐ Miss 小姐 ☐ Ms. 女士

English Name (please include first name and last name) 英文姓名 (請填寫名字及姓氏)	Chinese Name (please include first name and last name) 中文姓名(請填寫名字及姓氏)
Former Name / Alias in English (if any) 英文前用姓名/ 別名(如有)	Former Name / Alias in Chinese (if any) 曾用中文姓名/ 別名(如有)

ID no. / Passport no. 身份證 / 護照號碼* *(please delete as appropriate 請刪去不適用者) ❑ Permanent 永久 ❑ Non-Permanent 非永久 (Only for HKID 只適用於香港身份證)	Place of Birth 出生地點	Date of Birth 出生日期

Issue date of ID or Passport 身份證或護照的簽發日期	Expiry date of ID or Passport 身份證或護照的到期日	Issuing Country of ID or Passport 簽發國家
Nationality 國籍		

Contact Phone No. 聯絡電話號碼	
Office Phone No. 辦事處電話號碼	

(Please include country and area code 請填寫國家及地區代碼)

Email Address 電郵地址
Residential Address 住宅地址 (Address proof required 請提供地址證明)
Office address 辦事處地址

Correspondence Address 通訊地址 (Address proof required 請提供地址證明)

☐ Residential 住宅 ☐ Office 辦事處

☐ Others (Please specify) 其他 (請列明):

_____

Employment Status **工作性質**	☐ Employed 受僱 ☐ Business Owner 自營企業 ☐ Self-Employed 自僱人士	☐ Housewife 家庭主婦 ☐ Retired 退休 ☐ Student 學生 ☐ Unemployed 非就業 ☐ Others (Please specify) 其他 (請列明): _____

Company Name **公司名稱**	**Place of Business** **營業地點**	**Year(s) with Existing Employer** **已任職年期**

Job Position **職業 / 職銜**	☐ Director / Chairman / CEO 董事 / 主席 / CEO ☐ Consultant 顧問 ☐ Manager / Executive 經理 / 行政人員 ☐ Officer / Supervisor/Administrator 主任 / 主管/管理員 ☐ Clerical / Secretarial 文員 / 秘書 ☐ Others (Please specify): 其他 (請註明): _____

Business Nature **業務性質**	☐ AGRICULTURE AND FISHING 農業及漁業 ☐ ART AND DESIGN 藝術及設計 ☐ BANKING, ACCOUNTING & FINANCE 銀行、會計及金融 ☐ BEAUTY, FITNESS, HAIR SALON 美容、健身、理髮 ☐ DEFENCE AND WEAPONS 防禦及武器 ☐ EDUCATIONAL SERVICES 教育服務 ☐ EMPLOYMENT AGENCIES 招聘機構 ☐ ENTERTAINMENT, RECREATION and SPORTS 娛樂、消閑、運動 ☐ FOREIGN GOVERNMENT, INTERNATIONAL / POLITICAL ORGANIZATION 外國政府、國際 / 政治組織 ☐ FORESTRY 林業 ☐ INFORMATION TECHNOLOGY 資訊科技 ☐ INSURANCE 保險	☐ LOGGING 伐木 ☐ MANUFACTURING / INDUSTRIAL 製造業及工業 ☐ MANUFACTURING (TOBACCO / LEATHER / CHEMICAL PRODUCTS) 生產烟草 / 皮革 / 化學製品 ☐ MARKETING 市場推廣 ☐ MONEY SERVICES AND INSURANCE AGENTS 貨幣服務及保險代理 ☐ NIGHTLIFE, GAMING AND GAMBLING 夜生活場所、遊戲場所及賭博 ☐ OIL, GAS AND MINING INDUSTRY 石油、天然氣及採礦業 ☐ PRECIOUS METALS AND DIAMONDS 貴金屬及鑽石 ☐ RETAIL JEWELRY, TOBACCO IMPORT AND EXPORT 零售珠寶、烟草出入口 ☐ TELECOMMUNICATION 電訊 ☐ LOCAL NON-PROFIT ORGANIZATION 地方非牟利機構 ☐ MEDIA & COMMUNICATION 傳媒及通訊	☐ TRAVEL AGENTS 旅行社代理 ☐ BUILDING SERVICES & CONSTRUCTION 屋宇設備及建築 ☐ CATERING, RESTAURANT & FOOD SERVICES 餐飲、餐廳及飲食業 ☐ HAWKERS & STALLHOLDERS 小販及攤檔持有人 ☐ HOSPITALITY & TOURISM 酒店及旅遊 ☐ INVESTMENT & SECURITIES 投資及證券 ☐ LEGAL SERVICES, ACCOUNTANTS & TRUST 法律事務、會計及信託 ☐ LOCAL GOVERNMENT & PUBLIC UTILITIES 地方政府及公共機構 ☐ MEDICAL & HEALTH CARE SERVICES 醫療及健康護理 ☐ PERSONAL SERVICES, RETAIL & WHOLESALE 個人服務、零售及批發 ☐ PROPERTY MANAGEMENT & REAL ESTATE 物業管理及地產 ☐ PUBLIC TRANSPORTATION & LOGISTIC 公共運輸及物流 ☐ NON-EMPLOYED 非受僱 ☐ Others (Please specify) 其他 (請註明): _____

A2. Account Applicant's Financial Profile (Individual) 戶口申請人之財務紀錄 (Individual / First Account Applicant 個人 / 第一戶口申請人)	
Annual Income (HK$) **每年收入 (港元)**	☐ Below 500,000 500,000 以下 ☐ 500,000-1,000,000 500,000-1,000,000 ☐ 1,000,001- 2,000,000 1,000,001- 2,000,000 ☐ 2,000,001- 3,000,000 2,000,001- 3,000,000 ☐ 3,000,001- 4,000,000 3,000,001- 4,000,000 ☐ 4,000,001- 5,000,000 4,000,001- 5,000,000 ☐ Above 5,000,000 5,000,000 以上
Source of Funds **收入來源**	☐ Salary 薪金 ☐ Business Income 生意收入 ☐ Return on Investment 投資收益 ☐ Others, please specify: 其他，請註明: _____
Source of Wealth **財富來源**	☐ Salary and/or Incentive Bonus 受僱薪金或花紅 ☐ Investment/Saving 投資/儲蓄 ☐ Others, please specify: 其他，請註明: _____
Estimated Net Asset Value (HK$)* *Total Assets – Total Liabilities **估計資產淨值(港元)**** **總資產 - 總負債	☐ Below 1,000,000 1,000,000 以下 ☐ 1,000,000- 5,000,000 1,000,000- 5,000,000 ☐ 5,000,001- 8,000,000 5,000,001- 8,000,000 ☐ 8,000,001- 15,000,000 8,000,001- 15,000,000 ☐ 15,000,001-30,000,000 15,000,001-30,000,000 ☐ Above 30,000,000 30,000,000 以上
Estimated Amount of Liquidity Available for Investment with CCB International Securities Limited (HK$) **預計在建銀國際證券投資的流動資金(港元)**	☐ Below 500,000 500,000 以下 ☐ 500,001- 1,000,000 500,001- 1,000,000 ☐ 1,000,001- 2,000,000 1,000,001- 2,000,000 ☐ 2,000,001- 3,000,000 2,000,001- 3,000,000 ☐ 3,000,001- 5,000,000 3,000,001- 5,000,000 ☐ Others, please specify: 其他，請註明: _____
Investment Objectives (you may select more than one) **投資目標 (可選擇多於一項)**	☐ Hedging 對沖 ☐ Speculation 投機 ☐ Capital growth 資本增值 ☐ Dividend income 股息收入 ☐ Fixed income 固定收益

A3. Second Account Applicant (Joint Account) 第二戶口申請人 (聯名戶口)

Relationship with First Account Applicant 與第一戶口申請人關係

☐ Mr. 先生 ☐ Mrs. 太太 ☐ Miss 小姐 ☐ Ms. 女士	
English Name (please include first name and last name) 英文姓名 (請填寫名字及姓氏)	Chinese Name (please include first name and last name) 中文姓名(請填寫名字及姓氏)
Former Name / Alias in English (if any) 英文前用姓名/ 別名(如有)	Former Name / Alias in Chinese (if any) 曾用中文姓名/ 別名(如有)

ID no. / Passport no. 身份證 / 護照號碼* *(please delete as appropriate 請刪去不適用者) ❑Permanent ❑ Non-Permanent	Place of Birth 出生地點	Date of Birth 出生日期

Issue date of ID or Passport 身份證或護照的簽發日期 ❑Permanent ❑ Non-Permanent	Expiry date of ID or Passport 身份證或護照的到期日	Issuing Country of ID or Passport 簽發國家
Nationality 國籍		

Contact Phone No. 聯絡電話號碼	
Office Phone No. 辦事處電話號碼	

(Please include country and area code 請填寫 國家及地區代碼)

Email Address 電郵地址
Residential Address 住宅地址 (Address proof required 請提供地址證明)
Office Address 辦事處地址

Correspondence Address 通訊地址 (Address proof required 請提供地址證明)

☐ Residential 住宅 ☐ Office 辦事處

☐ Others (Please specify) 其他 (請列明):

_____

Employment Status **工作性質**	☐ Employed 受僱 ☐ Business Owner 自營企業 ☐ Self-Employed 自僱人士	☐ Housewife 家庭主婦 ☐ Retired 退休 ☐ Student 學生 ☐ Unemployed 非就業 ☐ Others (Please specify) 其他 (請列明): _____

Company Name **公司名稱**	**Place of Business** **營業地點**	**Year(s) with Existing Employer** **已任職年期**

Job Position **職業 / 職銜**	☐ Director / Chairman / CEO	董事 / 主席 / CEO
	☐ Consultant	顧問
	☐ Manager / Executive	經理 / 行政人員
	☐ Officer / Supervisor/Administrator	主任 / 主管/管理員
	☐ Clerical / Secretarial	文員 / 秘書
	☐ Others (Please specify):	其他 (請註明): _____

Business Nature **業務性質**	☐ AGRICULTURE AND FISHING 農業及漁業 ☐ ART AND DESIGN 藝術及設計 ☐ BANKING, ACCOUNTING & FINANCE 銀行、會計及金融 ☐ BEAUTY, FITNESS, HAIR SALON 美容、健身、理髮 ☐ DEFENCE AND WEAPONS 防禦及武器 ☐ EDUCATIONAL SERVICES 教育服務 ☐ EMPLOYMENT AGENCIES 招聘機構 ☐ ENTERTAINMENT, RECREATION and SPORTS 娛樂、消閑、運動 ☐ FOREIGN GOVERNMENT, INTERNATIONAL / POLITICAL ORGANIZATION 外國政府，國際 / 政治組織 ☐ FORESTRY 林業 ☐ INFORMATION TECHNOLOGY 資訊科技 ☐ INSURANCE 保險	☐ LOGGING 伐木 ☐ MANUFACTURING / INDUSTRIAL 製造業及工業 ☐ MANUFACTURING (TOBACCO / LEATHER / CHEMICAL PRODUCTS) 生產烟草 / 皮革 / 化學製品 ☐ MARKETING 市場推廣 ☐ MONEY SERVICES AND INSURANCE AGENTS 貨幣服務及保險代理 ☐ NIGHTLIFE, GAMING AND GAMBLING 夜生活場所、遊戲場所及賭博 ☐ OIL, GAS AND MINING INDUSTRY 石油、天然氣及採礦業 ☐ PRECIOUS METALS AND DIAMONDS 貴金屬及鑽石 ☐ RETAIL JEWELRY, TOBACCO IMPORT AND EXPORT 零售珠寶、烟草出入口 ☐ TELECOMMUNICATION 電訊 ☐ LOCAL NON-PROFIT ORGANIZATION 地方非牟利機構 ☐ MEDIA & COMMUNICATION 傳媒及通訊	☐ TRAVEL AGENTS 旅行社代理 ☐ BUILDING SERVICES & CONSTRUCTION 屋宇設備及建築 ☐ CATERING, RESTAURANT & FOOD SERVICES 餐飲、餐廳及飲食業 ☐ HAWKERS & STALLHOLDERS 小販及攤檔持有人 ☐ HOSPITALITY & TOURISM 酒店及旅遊 ☐ INVESTMENT & SECURITIES 投資及證券 ☐ LEGAL SERVICES, ACCOUNTANTS & TRUST 法律事務、會計及信託 ☐ LOCAL GOVERNMENT & PUBLIC UTILITIES 地方政府及公共機構 ☐ MEDICAL & HEALTH CARE SERVICES 醫療及健康護理 ☐ PERSONAL SERVICES, RETAIL & WHOLESALE 個人服務、零售及批發 ☐ PROPERTY MANAGEMENT & REAL ESTATE 物業管理及地產 ☐ PUBLIC TRANSPORTATION & LOGISTIC 公共運輸及物流 ☐ NON-EMPLOYED 非受僱 ☐ Others (Please specify) 其他 (請註明): _____

A4. Account Applicant's Financial Profile 戶口申請人之財務紀錄 (Second Account Applicant 第二戶口申請人 / 聯名戶口)	
Annual Income (HK$) **每年收入 (港元)**	☐ Below 500,000 500,000 以下 ☐ 500,000-1,000,000 500,000-1,000,000 ☐ 1,000,001- 2,000,000 1,000,001- 2,000,000 ☐ 2,000,001- 3,000,000 2,000,001- 3,000,000 ☐ 3,000,001- 4,000,000 3,000,001- 4,000,000 ☐ 4,000,001- 5,000,000 4,000,001- 5,000,000 ☐ Above 5,000,000 5,000,000 以上
Source of Funds **收入來源**	☐ Salary 薪金 ☐ Business Income 生意收入 ☐ Return on Investment 投資收益 ☐ Others, please specify: 其他，請註明: _____
Source of Wealth **財富來源**	☐ Salary and/or Incentive Bonus 受僱薪金或花紅 ☐ Investment/Saving 投資/儲蓄 ☐ Others, please specify: 其他，請註明: _____
Estimated Net Asset Value (HK$)* *Total Assets – Total Liabilities **估計資產淨值(港元)**** **總資產 - 總負債	☐ Below 1,000,000 1,000,000 以下 ☐ 1,000,000- 5,000,000 1,000,000- 5,000,000 ☐ 5,000,001- 8,000,000 5,000,001- 8,000,000 ☐ 8,000,001- 15,000,000 8,000,001- 15,000,000 ☐ 15,000,001-30,000,000 15,000,001-30,000,000 ☐ Above 30,000,000 30,000,000 以上
Estimated Amount of Liquidity Available for Investment with CCB International Securities Limited (HK$) **預計在建銀國際證券投資的流動資金(港元)**	☐ Below 500,000 500,000 以下 ☐ 500,001- 1,000,000 500,001- 1,000,000 ☐ 1,000,001- 2,000,000 1,000,001- 2,000,000 ☐ 2,000,001- 3,000,000 2,000,001- 3,000,000 ☐ 3,000,001- 5,000,000 3,000,001- 5,000,000 ☐ Others, please specify: 其他，請註明: _____
Investment Objectives (you may select more than one) **投資目標 (可選擇多於一項)**	☐ Hedging 對沖 ☐ Speculation 投機 ☐ Capital growth 資本增值 ☐ Dividend income 股息收入 ☐ Fixed income 固定收益

B. Risk Profiling Questionnaire 客戶風險取向問卷

This questionnaire is designed to help you consider your appetite towards investment risk. It asks questions which provide some indication of the overall general appetite towards risk for a typical investor displaying your personal investment characteristics. It may not match your actual appetite towards investment risk, but it indicates the profile that you fit into.
這份問卷是為幫助您評估您的投資風險取向而設的，其問題用以表示擁有類似您個人投資特性的典型投資者對投資風險的態度。這問卷會顯示 您的風險取向，但未必與您的實際投資風險取向相符。

You need to provide up-to-date, complete and accurate information to us in order for us to comply with the applicable laws and regulations. This questionnaire will assist us in considering potentially suitable products for you. Your failure to provide information that is up-to-date, complete and accurate would materially affect our suitability assessment and we shall be unable to provide services to you.客戶必須提供最新、完整及正確的資料，以便本公司能遵守相關法律及條例。此問卷將會協助本公司向客戶提供潛在合適產品時作考慮。如客戶未能提供最新，完整和準確的資料將會嚴重影響本公司作出合適性評估，並且將不能為客戶提供服務。

For the purpose of opening a joint account only: Where 2 (or more) Account Applicants provide different "know your client" information, the more (or most) conservative information will be used for classifying clients, determining suitability or other internal evaluation purposes.
僅就開立聯名戶口而言：倘有 2 名（或以上）戶口申請人提供不同的「認識你的客戶」資料，較為（或最）保守的資料將用作為客戶分類、釐定合適性或作其他內部評估用途。

1. Which age range do you fall into?
   您的年齡屬於以下哪個組別？(只適用于個人客戶)

☐	Above 60	60 歲以上	(0)
☐	Between 56 and 60	56 至 60 歲	(1)
☐	Between 46 and 55	46 至 55 歲	(3)
☐	Between 26 and 45	26 至 45 歲	(4)
☐	Between 18 and 25	18 至 25 歲	(2)

2. Over a period of time the value of investments can rise and fall, this is called fluctuation. How many years of experience do you have in the following investment products the value of which can fluctuate (including 'buy and hold' and active trading): bonds, blue chip stocks, investment-linked insurance plans, authorized funds, foreign currencies.
   在一段時間之內，產品價值可升可跌，我們稱之為波動。投資於以下價值波動的產品, 您有多少年經驗：(包括購入並長期持有及經常買賣)債券、藍籌股、含投資成分的保險計畫、認可基金、外幣。

☐	No experience	沒有經驗	(0)
☐	Less than 1 year	少於 1 年	(1)
☐	Between >= 1 and < 3 years	多於或等於 1 至 少於 3 年	(2)
☐	Between >= 3 and < 8 years	多於或等於 3 至 少於 8 年	(3)
☐	8 years or above	多於或等於 8 年	(4)

3. How many years of experience do you have in the following investment products the value of which can fluctuate (including 'buy and hold' and active trading): emerging market stocks, structured investment products, warrants, options, futures, unauthorized funds. Emerging markets refer to markets such as China, Taiwan, Brazil, India, Russia, etc.
   投資於以下價值波動的投資產品, 您有多少年經驗(包括購入並長期持有及經常買賣投資產品)：新興市場股票、結構投資產品、認股權證(俗稱"窩輪")、期權、期貨、私募基金; 新興市場指中國內地、臺灣、巴西、印度、俄羅斯等非成熟市場。

☐	No experience	沒有經驗	(0)
☐	Less than 1 year	少於 1 年	(2)
☐	Between >= 1 and < 3 years	多於或等於 1 年 至 少於 3 年	(3)
☐	Between >= 3 and < 8 years	多於或等於 3 年 至 少於 8 年	(4)
☐	8 years or above	多於或等於 8 年	(5)

4. Are you currently holding or have you in the past 12 months held any of the investment products listed below? (you may select more than 1 option)

您現在或在過去 12 個月內是否持有以下任何投資產品?(您可選擇多於一個選項)

☐ Cash, deposits, certificates of deposit, capital protected products 現金、存款、存款證、保本產品 (0)
☐ Bonds, bond funds 債券、債券基金 (1)
☐ Foreign currencies, non-capital protected currency linked structured products 外幣、非保本之貨幣掛鉤結構產品及投資產品 (2)
☐ Stocks, open-end funds excluding bond funds and money market funds, non-capital protected equity linked structured products, investment-linked insurance plans, commodities 股票、開放式基金(不包括債券基金或貨幣市場基金)、非保本之股票掛鉤結構產品、具投資成份的保險計劃、商品 (2)
☐ Options, futures, warrants 期權、期貨、認股權證(俗稱"窩輪") (3)
☐ Products not authorized by the Securities and Futures Commission including private funds and OTC derivative products 證監會非認可產品包括私募基金及場外衍生產品 (3)

- Are you in general aware of the main risk relating to investing in derivatives 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 of 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

5. Approximately what percentage of your assets (excluding property) is currently held in securities or investment products (as listed in questions 2 & 3 above) of which the value can fluctuate?
您現時投資於價值波動的投資產品大概佔您資產(不包括物業)的百分之幾?

☐	0%	0%	(0)
☐	Between > 0% and ≤10%	大於 0% 至 少於或等於 10%	(1)
☐	Between > 10% and ≤ 25%	大於 10% 至 少於或等於 25%	(2)
☐	Between > 25% and ≤50%	大於 25% 至 少於或等於 50%	(3)
☐	Over 50%	大於 50%	(4)

6. Generally, the higher the investment risk the higher the potential fluctuation but also the higher the potential returns. On the other hand, the lower the investment risk the lower the potential fluctuation but also the lower the potential returns. What level of fluctuation would be acceptable to you? (Note: This information is just for our reference. There is absolutely no guarantee that CCBI can contain the level of fluctuation according to your selection in this question.)
一般而言，風險愈高的投資，其潛在波動愈大，但潛在回報亦愈高。相反，風險愈低的投資，其潛在波動愈小，但潛在回報亦相對較低。您願意接受有多大波動程度的投資產品? (注：此資料只供我們參考。建銀國際不擔保能控制波動程度在以下選項內。)

☐	Between -5% and +5%	-5%至+5%之間	(0)
☐	Between -10% and +10%	-10%至+10%之間	(1)
☐	Between -20% and +20%	-20%至+20%之間	(2)
☐	Between -30% and +30%	-30%至+30%之間	(3)
☐	Between -40% and +40%	-40%至+40%之間	(4)
☐	Between total loss and unlimited gain	全部損失至无上限收益	(5)

7. Investment portfolio may rise or fall in value, which of the following best describes your risk appetite towards investment value fluctuations?
投資組合常有價格波動，下列哪一項最能代表您對相關風險的看法?

☐ Risk adverse – I would be very concerned about any volatility; I am not comfortable with fluctuations in the values of my investment portfolio.
保守–我是相當保守的投資者，我不願意所從事的投資有任何價格波動。 (0)

☐ Conservative – I am conservative, but can accept some minor fluctuations in my portfolio's value and some potential loss of principal. I am more concerned with preserving my principal and earning income that maximizing capital appreciation.
謹慎–我是保守的投資者，我可以接受所從事的投資有少許價格波動及可能損失部分投資本金，但比較注重保本及收益。 (1)

☐ Moderate – I have a moderate investment appetite and accept that the potential for higher returns means accepting fluctuations in my portfolio's value and possible loss of principal.
穩健–我瞭解風險與高回報息息相關，因此我願意接受從事的投資有價格波動情況，及可能損失投資本金。 (2)

☐ Moderately Aggressive – My main goal is long-term capital appreciation; and though I would be concerned about major fluctuations and increased risk of loss, I can accept considerable investment volatility.
進取–我以追求長期資本增值為主。雖然我會關注所從事的投資有較大的價格波動及損失風險，但我可以接受相當的投資波動。(3)

☐ Aggressive – I want my investments to grow and earn the highest possible return. I can accept negative fluctuations and possible loss of my initial investments.
激進–我期望透過投資增長而達至最高回報。我能接受價格下跌及可能損失投資本金。 (4)

8. Normally, what percentage of your monthly household/corporate income could be available for investment or savings?
於一般情況下，在您每月的家庭收入中，有百分之幾可用作投資或儲蓄?

☐	0%	0%	(0)
☐	Between 0% and ≤10%	大於 0% 至 少於或等於 10%	(1)
☐	Between > 10% and ≤ 25%	大於 10% 至 少於或等於 25%	(2)
☐	Between > 25% and ≤ 50%	大於 25%至 少於或等於 50%	(3)
☐	Over 50%	大於 50%	(4)

9. It is generally true that the longer the investment horizon, the higher the risk an investor can tolerate. What time horizon would you generally plan with when investing in products the value of which can fluctuate?
一般而言，投資者計劃的投資期限越長，意味著能承受的風險越高。您投資時一般會對投資期限做什麼樣的計劃?

☐	<= 1 year	少於或等於 1 年	(0)
☐	<= 3 years	少於或等於 3 年	(1)
☐	<= 5 years	少於或等於 5 年	(2)
☐	<= 10 years	少於或等於 10 年	(3)
☐	Over 10 years	多于 10 年	(4)

Client Risk Tolerance Analysis Result (Please circle if appropriate) 風險承受能力分析結果 (請圈出適用者)

Total Score 總分: _____

投資產品或服務風險等級劃分參考標準

Total Score **投資取向得分**	**Investment Appetite** **投資取向**	**Investment Appetite Characteristic** **投資取向特徵**	**Risk Tolerance Level and Product Risk** **風險承受能力及產品風險等級**	**Product reference factors** **產品參考因素***
0-9	Risk Adverse 保守型 C1	The investor tend to prefer risk-averse investments and may consider investing in low-risk products. 投資者更傾向進行風險回避投資，可考慮投資於低風險產品。	Low Risk 低風險 R1	Simple product structure, with low historical volatility of past performance and net asset value, excellent liquidity of investment targets, no involvement of derivatives, clear valuation policies, and no inclusion of leverage. 產品結構簡單，過往業績及淨值的歷史波動率低，投資標的流動性很好 、不含衍生品，估值政策清晰，不含杠杆。
10-18	Conservative 謹慎型 C2	The investor tend to prefer conservative investments and may consider investing in moderately risky or lower risk products. 投資者更傾向保守型投資，可考慮投資於偏中風險或更低風險的產品。	Low to Moderate Risk 低至偏中風險 R2	Simple product structure, featuring relatively low historical volatility in past performance and net asset value. The investment targets exhibit good liquidity, and derivative investments are used solely for hedging purposes. Valuation policies are transparent, and leverage does not exceed 100% or below. 產品結構簡單，過往業績及淨值的歷史波動率較低，投資標的流動性好、投資衍生品以套期保值為目的，估值政策清晰，一倍(含)以下杠杆。
19- 27	Moderate 穩健型 C3	The Investor has a high awareness of risk but also expect certain capital appreciation, may consider investing in medium-risk or lower risk products. 投資者風險意識很高，但同時也期望有一定的增值，可考慮投資於中風險或更低風險的產品。	Low to Medium Risk 低至中風險 R3	The product structure is relatively simple, yet it exhibits higher historical volatility in past performance and net asset value. Investment targets display better liquidity, and derivative investments aim for hedging purposes. Valuation policies are clear, and leverage ranges from 100% to 200%. 產品結構較簡單，過往業績及淨值的歷史波動率較高，投資標的流動性較好、投資衍生品以對沖為目的，估值政策清晰，一倍(不含)以上至二倍(不含)以下杠杆。
28-36	Moderately Aggressive 進取型 C4	The investor anticipates achieving higher returns and could tolerate asset volatility; may contemplate investing in relatively high-risk or lower-risk products. 投資者期望獲得較高的收益，同時也能接受資產的波動性，可考慮投資于偏高風險或更低風險的產品。	Low to Moderate-to-High Risk 低至偏高風險 R4	The product structure is relatively complex, with high historical volatility in past performance and net asset value. The liquidity of investment targets is poorer, yet the valuation policies are fairly clear. Leverage ranges from more than 100% to 300%. 產品結構較複雜，過往業績及淨值的歷史波動率高，投資標的流動性較差，估值政策較清晰，一倍(不含)以上至三倍(不含)以下杠杆。
37-45	Aggressive 激進型 C5	The investor possesses a high tolerance for risk and has thoroughly comprehended the information about high-risk returns; may contemplate investing in high-risk or lower-risk products. 投資者具有較高的風險承受能力，且已充分瞭解高風險收益的資訊，可考慮投資于高風險或更低風險的產品。	Low to High Risk 低至高風險 R5	Complex product structure, showing extremely high historical volatility in past performance and net asset value. The liquidity of investment targets is poor, and the valuation policies lack clarity. Leverage is above 300%. 產品結構複雜，過往業績及淨值的歷史波動率很高，投資標的流動性差，估值政策不清晰，三倍（含）以上杠杆。

Account Management Officer please pay attention 客戶主任人員請注意

If the client risk tolerance analysis result is a lower level (more conservative) or higher level (riskier) than his/her investment appetite as indicated in the Question 7 (risk appetite of Client)of this Questionnaire, please write down whether you have informed the client for the relevant differences and whether you have explained the risk tolerance level. Please also write down client's reason for the differences (if any) ：

若客戶風險承受能力分析結果較客戶在本問卷的問題 7(客戶對風險的看法)提供的投資取向為低（較保守）或取向為高（較進取），請填寫您是否已通知客戶有關差異及您是否已解釋風險承受能力等級。請填寫客戶有關差異的原因（如有）：

_____

_____

_____

The client may invest in products with a maximum risk rating of 可投資最高為此風險程度的產品: _____

(In addition to considering the client's risk tolerance, the answer to Question 7 of this questionnaire (client's risk appetite) must still be considered. The maximum risk rating of product can be invested should be based on the lower level of the customer's risk tolerance and risk appetite. 除考慮客戶的風險承受能力, 仍須考慮本問卷的問題 7(客戶對風險的看法), 可投資最高風險程度的產品應以客戶的風險承受能力及對風險的看法兩者中較低級別為准。)

Disclaimer:
責任聲明:

This questionnaire and the results are not an offer to sell or a solicitation for an offer to buy any financial products and services and they should not be considered as investment advice. You should also consider your own circumstances, including but not limited to your financial situation, investment experience and investment objectives, before making any investment decisions. CCBI accepts no responsibility or liability as to the accuracy or completeness of the information given. All information provided in this questionnaire will be held in accordance with our privacy policy.

此問卷結果基於您所提供的資料，並祇供您作為個人投資決定的參考。此問卷內容及結果不可視為對任何投資產品及服務的銷售或購買之邀請，亦不應當為投資建議。在做出任何投資決定之前，應該考慮自己的個人狀況，包括但不限於財務狀況，投資經驗和投資目標。建銀國際對上述有關資料的準確性及完整性並不負上任何責任。對於閣下在此問卷內所提供的所有資料，將按本公司的私隱政策處理。

C. Professional Investor 專業投資者

Application of Professional Investor - Individual 申請成為專業投資者 (個人)

☐ I would like to apply as a Professional Investor as defined in the Securities and Futures (Professional Investor) Rules (Cap. 571D).

本人欲根據《證券及期貨條例》（第 571D）章申請成為專業投資者。

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), 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

☐ a high-net-worth individual investor has a portfolio of cash and / or securities of at least HK$8 million (or its foreign currency equivalent), taking into account one or more of the following: (a) a portfolio on the individual's own account; (b) a portfolio on a joint account with the individual's spouse or any child; (c) the individual's share of a portfolio on a joint account with one or more persons other than the individual's spouse or any child; (d) a portfolio of a corporation which has as its principal business the holding of investments and is wholly owned by the individual

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

☐ Others, please specify:
其他，請註明:

_____

☐ None of the above
以上皆不是

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 the 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 six 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 6 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；及

(iv) (v) Copies/ originals of the 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：

- 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
- 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) 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。

D. Account Applicant's Declaration and Other Information (Individual / Joint Account) 戶口申請人的聲明及其他資 料 (個人 / 聯名戶口)

If you are an individual opening an account, please complete the section headed "Individual / First Account Applicant" below. 如 閣下為開立帳戶的個人， 請填寫以下「個人 / 第一戶口申請人」一節。

If you are individuals opening a joint account, please complete the sections headed "Individual / First Account Applicant" and "Second Account Applicant" below. 如 閣下為開立聯名戶口的個人，請填寫以下「個人 / 第一戶口申請人」及「第二戶口申請人」兩節。

D1. Individual / First Account Applicant 個人 / 第一戶口申請人

Do you or your spouse maintain, operate or have beneficial interests in any other account(s) with the Company?
閣下或 閣下配偶現時是否持有或運作任何其他本公司戶口，或擁有其他本公司戶口的實益權益?

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

Account Name (please include first name and last name) 帳戶名稱

_____

Account No. 帳戶號碼

_____

Relationship with Account Applicant 與戶口申請人關係

_____

Do you have any direct relative(s) working in the CCBI Group (which includes CCB International (Holdings) Limited and its subsidiaries)?
閣下的直系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?

Yes, please provide the following details No 否
是，請提供以下資料

Staff Name 員工姓名 _____

Company 所屬公司 _____

Relationship 關係 _____

Are you an employee of a licensed or registered person that was licensed by or registered with the SFC, or do you provide work for such person by virtue of you being an employee of an associated company under the same group?

你是否證監會所發牌或註冊的持牌人或註冊人的僱員，或有否因爲你是其集團相關公司的僱員而替其提供工作？

☐ Yes, please specify CE No. and provide your employer's consent letter
是，請列明中央編號及提供僱主就這開戶之同意信

CE No.: _____

☐ No 否

Are you 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?

你是否 (於現在或過往) 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？

☐ Yes, please specify 是，請列明: _____

☐ No 否

Are you the ultimate beneficial owner(s) of the account?

閣下是否此戶口之最終實益擁有人?

☐ Yes 是

☐ No 否 (Please seek advice from your Account Managing Officer 請諮詢你的客戶經理)

D2. Second Account Applicant 第二戶口申請人

Do you or your spouse maintain, operate or have beneficial interests in any other account(s) with the Company?
閣下或 閣下配偶現時是否持有或運作任何其他本公司戶口，或擁有其他本公司戶口的實益權益?

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

Account Name (please include first name and last name) 帳戶名稱

_____

Account No. 帳戶號碼

_____

Relationship with Account Applicant 與戶口申請人關係

_____

Do you have any direct relative(s) working in the CCBI Group (which includes CCB International (Holdings) Limited and its subsidiaries)?
閣下的直系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?

Yes, please provide the following details 是，請提供以下資料 No 否

Staff Name 員工姓名 _____

Company 所屬公司 _____

Relationship 關係 _____

Are you an employee of a licensed or registered person that was licensed by or registered with the SFC, or do you provide work for such person by virtue of you being an employee of an associated company under the same group?

你是否證監會所發牌或註冊的持牌人或註冊人的僱員，或有否因爲你是其集團相關公司的僱員而替其提供工作？

☐ Yes, please specify CE No. and provide your employer's consent letter
是，請列明中央編號及提供僱主就這開戶之同意信

CE No.: _____

☐ No 否

Are you 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?

你是否(於現在或過往)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？

☐ Yes, please specify 是，請列明: _____

☐ No 否

Are you the ultimate beneficial owner(s) of the account?

閣下是否此戶口之最終實益擁有人?

☐ Yes 是

☐ No 否 (Please seek advice from your Account Managing Officer 請諮詢你的客戶經理)

E. Trading and Signing Arrangement (Joint Account) 交易及簽署安排 (聯名戶口)

(This section applies to individuals opening a joint account only. 本節僅適用於開立聯名戶口的個人。)

We hereby decide that all securities trading / order instructions in connection with the account must be given by **ANYONE** / **BOTH** / **ALL** of the Account Applicants (or by only) and all valid documents in connection with the operations (including fund withdrawal, asset/securities transfer and reset online trading password and etc.) of our account must be signed by **ANYONE** / **BOTH** / **ALL** of the Account Applicants or by_____only.

(Please delete the inapplicable one).

吾等决定有關戶口的所有證券交易 / 指令的指示必須由 其中一位 / 兩位 / 所有 戶口申請人或只是由_____下達；另外，有關吾等戶口操作(包括提款、 資產 / 證券轉移、重設網上密碼等帳戶事宜)的一切有效文件必須由 其中一位 / 兩位 / 所有 戶口申請人或只是由_____簽署。

F. Correspondence Address (Joint Account) 通訊地址 (聯名戶口)

(This section applies to individuals opening a joint account only. 本節僅適用於開立聯名戶口的個人。)

We hereby decide to use the First Account Applicant's / Second Account Applicant's Residential / Office as our correspondence address. (Please delete the inapplicable one)

吾等决定以第一戶口申請人 / 第二戶口申請人之住宅 / 辦事處為吾等之通訊地址。(請刪去不適用者)

* Please provide relevant proof for verification and record keeping (P.O. Box is not accepted). 請提供有關證明文件以作實及存檔 (郵政信箱恕不接受)。

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

Account Applicant's Bank Details

Bank Name 銀行名稱	
Bank Code 銀行編號	
SWIFT Code 國際銀行代碼	
Bank Account Name 帳戶名稱	
Bank Account Number 帳戶號碼	
Bank Account Currency 帳戶貨幣	☐ Hong Kong Dollar 港幣 ☐ US Dollar 美元 ☐ Renminbi 人民幣

H. 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	☐ Simplified Chinese and English 簡體中文 及 英文 ☐ Traditional Chinese and English 繁體中文 及 英文
Please select how would you like to receive the Contract Notes and Statements 請選擇方式收取成交單據及月結單	☐ Only to the registered email address(es) 只把結單電郵到我/我們登記的電郵地址。 ☐ By Regular Post 郵寄 ☐ By Both Email and Regular Post 電郵到我/我們登記的電郵地址及郵寄

Account Login Information 戶口登入資料

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

☐ I/We shall use the first 7 digits of the account number of this account as the log-in name of the online account; or.
本人/吾等將以此戶口的帳戶號碼的首 7 位數字作為網上戶口的登入名稱; 或

☐ I/We shall use the mobile no. as the log-in name of the online account; or.
本人/吾等將以此戶口的流動電話號碼作為網上戶口的登入名稱; 或

☐ I/We shall use the registered email as the log-in name of the online account; or.
本人/吾等將以此戶口的登記電郵作為網上戶口的登入名稱; 或

☐ Please provide your preferred online account login name (6-30 alphanumeric, no space and symbol, e.g. martin1234).
請提供閣下希望使用網上戶口之登入名稱(6 至 30 個數字或字母，不能加入空格和符號，例 martin1234).

1.

Two Factor Authentication (2FA) Access information/ Logon & Trade Notifications
雙重認證資訊/登入及交易通知

Mobile Number 手提電話號碼		
	Country Code 國家代碼	Mobile Number 手提電話號碼

Email Address 電郵地址	

1) Mobile number and e-mail address are mandatory for online trading application. If not provided, the application will not be processed.

如欲申請使用網上交易戶口服務，客户必須提供手提電話號碼及電子郵件地址,否則申請將不獲處理。

2) Mobile number provided above will be registered for receiving 2FA access information. PLEASE DO NOT forward one-time-password received from the registered mobile device to other devices.
以上提供之手提電話號碼，將註冊為接收雙重認證資訊之用途。請勿將一次性密碼短訊轉發。

3) Mobile number and e-mail address provided above will be registered for receiving login and trade notifications.
以上提供之手提電話號碼及電郵地址, 將註冊為接收登入和交易通知之用途。

4) After approval of the application, your password will be sent to the registered mobile number for online stock trading.
申請獲確認後，密碼將發送到註冊網上股票戶口的手提電話號碼。

Cash Securities Trading Account Opening Form
現金證券交易帳戶開立表格

帳戶號碼 Account no.: _____

To: CCB International Securities Limited (CE no. AMB276), a corporation licensed with the Securities and Futures Commission (the " **SFC** ") 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 under 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）為獲證券及期貨事務監察委員會 (「**證監會** 」)發牌，可在香港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，通訊地址位於香港中環干諾道中 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_____(collectively, the "**Client(s)** ") hereby request the Company to open and maintain a cash securities 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 Cash Securities Trading Account Terms and Conditions (the "Terms and Conditions ") and to provide my/us with a password and login name in order to access the electronic services (if applicable)

本人/吾等為_____（以下統稱為「**客戶**」），茲要求貴公司依照現金證券交易帳戶條款和條件所載之條款和條件（下稱「**條款和條件**」）為本人/吾等開立並維持一個或多個現金證券交易帳戶（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, the Account Application Form and the Terms and Conditions, the Terms and Conditions shall prevail with respect to the relevant term. In the event of a conflict between the Terms and Conditions 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、開戶申請表與條款和條件之間存在任何衝突，概以條款和條件內有關條款的內容為準。如果條款和條件與適用於特定產品、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 this Account Opening Form, the Account Application Form and the Terms and Conditions 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、開戶申請表及條款和條件的中文譯本，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 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 securities.

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，以便買賣證券。

The Company agrees that the Company will from time to time at 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 occasion s specified in this Agreement) for me/us in the purchase or sale of securities subject to the Terms and Conditions.

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；貴公司亦將根據條款和條件擔任本人 /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 /吾等買賣證券。

Confirmations and Acknowledgements 確認及承認

I/We confirm that (if applicable):

本人/吾等確認(如適用)：

(a) The information I/we have provided in this Account Application Form is true, complete and correct and that the representations in the attached Terms and Conditions 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 of any change. The Company is authorized at any time to contact anyone, including but without limitation to banks, brokers or any credit agency for the purposes of verifying the Account Opening Information;

本人/吾等在本開戶申請表內的資料屬實、完整及正確，而附上的貴公司的條款和條件及帳戶開立表格(以下統稱為「**協議**」)內的申述均屬準確。本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 concluded 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(s) and agree(s) that I/we have read, fully understood and accepted the Agreement, in particular the section entitled "Risk Disclosure Statements" 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/吾等已於簽署本帳戶開立表格前細閱協議各項條文。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「風險披露聲明」一節)，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 our behalf to give the Company oral and written instructions as specified in that section(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該節所列事項代表吾等向貴公司作出口頭及書面指示之人士（「**獲授權人士**」）。

(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, including but not limited to the following Risk Disclosure Statements contained therein, were provided to me/us in a language of 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，當中載列但不限於下列風險披露聲明，及本人/吾等已獲邀 請細閱該風險披露聲明、提出問題及徵求獨立的意見（如吾等有此意願）。

I/We 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。

Professional Investor Treatment 專業投資者的處理
Contract Notes, Statements of Account and Receipts 成交單據、戶口結單及收取

If you fall within a category described in Section C 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:

如 閣下屬於上文申請表 C 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 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 4, 6 or 7 of the Securities and Futures Ordinance (Professional Investor) Rules and satisfy or do not satisfy the criteria under paragraph 15.3A of the 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 5 of 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 3.1.1, 3.1.2 or 3.13 (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 4、6 或 7 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 5 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 3.1.1、3.1.2 或 3.13 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 3.1.1, 3.1.2 or 3.13 (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 3.1.1、3.1.2 或 3.13 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 summarized in clause 3.1.1, 3.1.2 or 3.13 (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 3.1.1、3.1.2 或 3.13 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。

If you are not a professional investor under the SFO, the Company shall within the period from time to time specified under the SFO and/or the subsidiary legislation related thereto as amended from time to time, send you copies of contract notes, statements of account and receipts in accordance with the requirements of the Securities and Futures (Contract Notes, Statements of Account and Receipts) Rules. 如 閣下並非證券及期貨條例所指的專業投資者，本公司將於證券及期貨條例及/或其經不時修訂的相關附屬法例不時指定的時限內，根據《證券及期貨（成交單據、戶口結單及收據）規則》的規定向 閣下發出成交單據、戶口結單及收據的副本。

Standing Authority 常設授權

I/ We hereby acknowledge and confirm that I/ we have authorized the Company to deal with monies and securities (as defined in the term (s) and condition (s)) in accordance with clause 18 of the Terms and Conditions 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 /吾等已經根據條款和條件第 18 條授權貴公司處置在條款和條件內所定義的款項 及證券 ，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 if I am:

本人 /吾等承認， 如本人：

- 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 Clause 18 of the Terms and Conditions; or
  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 /吾等根據條款和條件第 18 條撤回為止；

- not a "professional investor" as defined under the SFO and its subsidiary legislation, the standing authority shall be valid for a period of 12months from the date of execution of the Account Opening Form and shall expire on 31 December each year, subject to renewal by me/us in accordance with Clause 18 of the Terms and Conditions. 並非證券及期貨條例及其附屬法例所 界定的「專業投資者」， 常設授權的有效期最長為簽立 帳戶開立 表格 日期起計 12 個月，並將於每年十二月三十一日屆滿，惟可由 本人 /吾等 根據 條款和條件第 18 條重續 。

Privacy Policy 私隱政策

You (in the case of joint account holders, each of the holders respectively) 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（如屬聯名帳戶持有人，分別為各持有人）確認 閣下已收取、了解及接受「在香港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 part party to enable CCB I 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.

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）。

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

在填寫本部份以表明 閣下對個人資料 (定義見隱私政策) 用於直接營銷的選擇前, 請仔細閱讀私隱政策:

- 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 opt-out box in this section. 閣下可剔選以下方格，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 this section, 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 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.

私隱政策的條文為協議的一部分。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。

In order to keep you updated and informed of CCBI Group's offering of Products and Services or our business, we would like to process your personal data (including for direct marketing purposes) as set out in the Privacy Policy. However, we cannot process your personal data without your consent. Therefore, if you consent to the processing of your personal data as set out in the Privacy Policy, please tick the opt-in box below.

為讓您了解建銀國際提供的產品和服務或業務的最新信息，我們會按照私隱政策所述來處理您的個人信息（包括用作直接促銷用途），但我們不會在未取得您同意的情況下處理您的個人信息。因此，如果您同意按私隱政策所述處理您的個人信息，請勾選以下參與方格：

Personal data processing, cross-border transfer and sharing 個人信息處理、跨境轉移及共用

□ I have received, understood and accepted the Privacy Policy of CCBI Group as attached to the Agreement and fully understand and agree to the processing (other than for direct marketing purposes) of personal data (including sensitive personal data) as set out in the Privacy Policy;我已收到、明白及接受協議附帶的建銀國際的私隱政策，並完全明白和同意按私隱政策所述處理（除用作直接促銷用途以外）個 人信息，包括敏感個人信息；

□ I agree to the transfer of personal data outside of where I live (if applicable) as set out in the Privacy Policy; and 我同意按私隱政策所述將個人信息轉移至我居住所在地以外的其它地方（如適用）；及

□ I agree to the sharing of personal data with third parties as set out in the Privacy Policy.我同意按私隱政策所述將個人信息與第三方共用。

□ Where data or information relating to any third party is provided to or processed by CCBI Group or its affiliates in the course of my business dealings with CCBI Group, I undertake and represent that I have obtained the relevant consent of such third party to enable CCBI Group to process such data or information (other than for direct marketing purposes) in accordance with the Privacy Policy and I agree that I will promptly provide evidence of such consents as and when requested by CCBI Group.若有關任何第三方的資料或信息，在我與建銀國際進行業務往來的過程中向建銀國際或其聯屬人士提供或由其處理，則我承諾和聲明，我已獲得該第三方的有關同意，讓建銀國際可根據私隱政策處理有關資料或信息（除用作直接促銷用途外），而我同意會在建銀國際要求下從速提供上述同意的憑證。

Please note that you have the right not to provide your personal data. However, failure to do so means we may not be able to provide the Products and Services or carry out our relevant business. 請注意，您有權不提供您的個人信息。但是，我們在這種情況下可能無法提供產品和服務，或開展相關業務。

Direct marketing 直接促銷

□ I wish for CCB International Securities Limited to use my personal data in direct marketing (as described in the Privacy Policy) and/or provide my personal data to other persons for their use in direct marketing (as described in the Privacy Policy). 我擬讓建銀國際證券有限公司在直接促銷中使用我的個人信息（如私隱政策中所述）及/或向其他人士提供我的個人信息以供他們 用作直接促銷（如私隱政策中所述）。

If I consent to the processing, use and/or transfer of my personal data for use in direct marketing, I understand the following: 如果我同意在直接促銷中處理、使用我的個人信息及/或轉移該等個人信息作直接促銷用途，我明白以下事項：

(a) where CCBI Group accedes to my request by providing or making available to me materials and information on various opportunities, Products and Services, I understand that CCBI Group may contact me through various means (including telephone calls, text messages, faxes, emails, or other electronic means); and 若建銀國際同意我的要求，向我提供或讓我取得有關不同機會、產品及服務的材料及信息，我明白建銀國際可透過各種途徑（包 括電話、短訊、傳真、電郵或其他電子方式）聯絡我。

(b) where data or information relating to any third party is provided to or held by CCBI Group or its affiliates in the course of my business dealings with CCBI Group, I undertake and represent that I have obtained the relevant consent of such third party to enable CCBI Group to use such data or information for direct marketing purposes in accordance with the Privacy Policy and I agree that I will promptly provide evidence of such consents as and when requested by CCBI Group.若有關任何第三方的資料

或信息，在我與建銀國際進行業務往來的過程中向建銀國際或其聯屬人士提供或由其持有，我承諾和 聲明，我已獲得該第三方的有關同意，讓建銀國際可根據私隱政策使用有關資料或信息作直接促銷用途，而我同意會在建銀國 際要求下從速提供上述同意的憑證。

Please note that if you do tick the box above, this means that you consent to the use of your personal data for direct marketing (as described in the Privacy Policy). Hence, please study this section and the Privacy Policy carefully. 請注意，如您勾選以上方格，即表示您同意我們使用您的個人信息作直接促銷（如私隱政策中所述）。因此，請您仔細研究此部份及私隱政策的內容。

I understand that the above choice applies to the direct marketing of the Products and Services as set out in the Privacy Policy. Please refer to the Privacy Policy which sets out the types of personal data which may be used in direct marketing and the classes of other persons to which my personal data may be provided for use in direct marketing.我明白以上選擇適用於私隱政策所述產品和服務的直接促銷。請參閱私隱政策，其中載有可用作直接促銷的個人信息種類以及我的個 人信息可向其提供以用作直接促銷的其他人士類別。

I have indicated my choice with regards to the following: (a) The processing and/or cross-border transfer and/or sharing of my personal data (if applicable) (other than for direct marketing purposes); (b) The use, processing and/or transfer of my personal data in direct marketing in the manner described above; (c) Where I have consented to the use, processing and/or transfer of my personal data in direct marketing in (a) above, my choice with regards to: (i) the receipt of materials and personal information as described above; and (ii) being contacted by CCBI Group in the manner and for the purposes set out above. This replaces any choice previously communicated by me to CCB International Securities Limited (including but not limited to any choice communicated in any CCB International Securities Limited account opening forms, if any).
我對以下方面作出選擇： (a) 處理及/或跨境轉移及/或共用我的個人信息（如適用）（除作直接促銷用途外）； (b) 按上文所述方式在直接促銷中使用、處理及/或轉移我的個人信息； (c) 若我同意上文第(a)項所述在直接促銷中使用、處理及/或轉移我的個人信息，我在以下方面所作的選擇： (i) 按上文所述收取有關材料及個人信息；及 (ii) 建銀國際按上述方式聯絡我及作上述用途。 此選擇取代我之前向建銀國際證券有限公司傳達的選擇（包括但不限於在任何建銀國際證券有限公司開戶表格（如有）中所傳達的 任何選擇）。

Client Acknowledgement 客戶確認書

I/ We acknowledge and agree to the above.

本人/吾等確認並同意以上內容 。

Individual Client / First Account Applicant) **個人客戶 / 第一戶口申請人**	**Second Account Applicant** **第二戶口申請人**
_____ Client Signature/**Specimen 客戶簽署 / **簽署式樣 _____ Client's Name 客戶姓名 _____ ID no. / Passport no. 身份證 / 護照號碼 _____ Date 日期	_____ Client Signature/**Specimen 客戶簽署 / **簽署式樣 _____ Client's Name 客戶姓名 _____ ID no. / Passport no. 身份證 / 護照號碼 _____ Date 日期

**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 Risk Disclosure Statements to the Client(s) in a language of his/ their choice (English or Chinese) and have invited the Client(s) to read the Risk Disclosure Statements carefully, ask questions and take independent advice (if the Client(s) wish(es)). *(Not applicable to applicants through "CCBI APP".)*

本人已按照客戶所選擇的語言（英文或中文）向客戶 提供風險披露聲明及已邀請客戶細閱該風險披露聲明 、提出問題及徵求獨立意見（如客戶有此意願）。*(不適用於經"建銀國際" 應用程式的申請者)*

Signature of Licensed Person 持牌人簽署: _____

Name of Licensed Person 持牌人姓名: _____

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			
Remarks 備註	**Commission 佣金 %**		
	Online Trading 網上交易	**Others 其他**	**Minimum Charge 最低收費**

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
Responsible Officer Signature for and on behalf of CCB International Securities Limited 代表建銀國際證券有限公司的負責人員簽署
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:

Margin Securities Trading Account Opening Form
保證金證券交易帳戶開立表格

帳戶號碼 Account no.: _____

To: CCB International Securities Limited (CE no. AMB276), a corporation licensed with the Securities and Futures Commission (the " **SFC** ") 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 under 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）為獲證券及期貨事務監察委員會 (「**證監會** 」)發牌，可在香港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，通訊地址位於香港中環干諾道中 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_____(collectively, the "**Client(s)** ") hereby request the Company to open and maintain a margin securities 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 Cash Securities Trading Account Terms and Conditions (the "Terms and Conditions ") and to provide my/us with a password and login name in order to access the electronic services (if applicable)

本人 /吾等為 _____（以下統稱為 「**客戶** 」），茲要求貴公司依照保證金證券交易帳戶條款和條件所載之條款和條件（下稱「 **條款和件** 」）為本人 /吾等開立並維持一個或多個保證金證券交易帳戶（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, the Account Application Form and the Terms and Conditions, the Terms and Conditions shall prevail with respect to the relevant term. In the event of a conflict between the Terms and Conditions 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、

開戶申請表與條款和條件之間存在任何衝突，概以條款和條件內有關條款的內容為準。如果條款和條件與適用於特定產品、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 this Account Opening Form, the Account Application Form and the Terms and Conditions 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、開戶申請表及條款和條件的中文譯本，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 securities (as defined in the Terms and Conditions) effected by the Company on my/our behalf on the Terms and Conditions 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 margin securities trading 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 securities.

本人 /吾等理解，貴公司可以絕對酌情不時依照條款和條件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 /吾等進行之證券 交易 （定 義見條款和條件）向吾等提供財務通融。貴公司為記錄此類交易而為 本人/吾等開立的帳戶應是保證金證券交易帳戶。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，以便買賣證券。

The Company agrees that the Company 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 securities subject to the Terms and Conditions.

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；貴公司亦將根據條款和條件擔任本人 /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 /吾等買賣證券。

Confirmations and Acknowledgements 確認及承認

I/We confirm that (if applicable):

本人/吾等確認(如適用)：

(a) the information I/we have provided in this Account Application Form is true, complete and correct and that the representations in the attached Terms and Conditions 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 of any change. The Company is authorized at any time to contact anyone, including but without limitation to banks, brokers or any credit agency for the purposes of verifying the Account Opening Information;

本人/吾等在本開戶申請表內的資料屬實、完整及正確，而附上的貴公司的條款和條件及帳戶開立表格(以下統稱為「**協議**」)內的申述均屬準確。本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 concluded 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(s) and agree(s) that I/we have read, fully understood and accepted the Agreement, in particular the section entitled “Risk Disclosure Statements” 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/吾等已於簽署本帳戶開立表格前細閱協議各項條文。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「風險披露聲明」一節)，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 our behalf to give the Company oral and written instructions as specified in that section(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該節所列事項代表吾等向貴公司作出口頭及書面指示之人士（「**獲授權人士**」）。

(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, including but not limited to the following Risk Disclosure Statements contained therein, were provided to me/us in a language of 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，當中載列但不限於下列風險披露聲明，及本人/吾等已獲邀 請細閱該風險披露聲明、提出問題及徵求獨立的意見（如吾等有此意願）。

I/We 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。

Professional Investor Treatment 專業投資者的處理
Contract Notes, Statements of Account and Receipts 成交單據、戶口結單及收取

If you fall within a category described in Section C 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:

如 閣下屬於上文申請表 C 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 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 4, 6 or 7 of the Securities and Futures Ordinance (Professional Investor) Rules and satisfy or do not satisfy the criteria under paragraph 15.3A of the 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 5 of 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 3.1.1, 3.1.2 or 3.13 (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 4、6 或 7 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 5 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 3.1.1、3.1.2 或 3.13 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 3.1.1, 3.1.2 or 3.13 (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 3.1.1、3.1.2 或 3.13 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 summarized in clause 3.1.1, 3.1.2 or 3.13 (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 3.1.1、3.1.2 或 3.13 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。

If you are not a professional investor under the SFO, the Company shall within the period from time to time specified under the SFO and/or the subsidiary legislation related thereto as amended from time to time, send you copies of contract notes, statements of account and receipts in accordance with the requirements of the Securities and Futures (Contract Notes, Statements of Account and Receipts) Rules. 如 閣下並非證券及期貨條例所指的專業投資者，本公司將於證券及期貨條例及/或其經不時修訂的相關附屬法例不時指定的時限內，根據《證券及期貨（成交單據、戶口結單及收據）規則》的規定向 閣下發出成交單據、戶口結單及收據的副本。

Standing Authority 常設授權

I/ We hereby acknowledge and confirm that I/ we have authorized the Company to deal with monies and securities (as defined in the term (s) and condition (s)) in accordance with clause 18 of the Terms and Conditions 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 /吾等已經根據條款和條件第 18 條授權貴公司處置在條款和條件內所定義的款項 及證券 ，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 if I am:

本人 /吾等承認， 如本人：

- 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 Clause 18 of the Terms and Conditions; or
  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 /吾等根據條款和條件第 18 條撤回為止；

- not a "professional investor" as defined under the SFO and its subsidiary legislation, the standing authority shall be valid for a period of 12months from the date of execution of the Account Opening Form and shall expire on 31 December each year, subject to renewal by me/us in accordance with Clause 18 of the Terms and Conditions. 並非證券及期貨條例及其附屬法例所 界定的「專業投資者」， 常設授權的有效期最長為簽立 帳戶開立 表格 日期起計 12 個月，並將於每年十二月三十一日屆滿，惟可由 本人 /吾等 根據 條款和條件第 18 條重續 。

Privacy Policy 私隱政策

You (in the case of joint account holders, each of the holders respectively) 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（如屬聯名帳戶持有人，分別為各持有人）確認 閣下已收取、了解及接受「在香港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 part party to enable CCB I 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.

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）。

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

在填寫本部份以表明 閣下對個人資料 (定義見隱私政策) 用於直接營銷的選擇前, 請仔細閱讀私隱政策:

- 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 opt-out box in this section. 閣下可剔選以下方格，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 this section, 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 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.

私隱政策的條文為協議的一部分。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。

In order to keep you updated and informed of CCBI Group's offering of Products and Services or our business, we would like to process your personal data (including for direct marketing purposes) as set out in the Privacy Policy. However, we cannot process your personal data without your consent. Therefore, if you consent to the processing of your personal data as set out in the Privacy Policy, please tick the opt-in box below.

為讓您了解建銀國際提供的產品和服務或業務的最新信息，我們會按照私隱政策所述來處理您的個人信息（包括用作直接促銷用途），但我們不會在未取得您同意的情況下處理您的個人信息。因此，如果您同意按私隱政策所述處理您的個人信息，請勾選以下參與方格：

Personal data processing, cross-border transfer and sharing 個人信息處理、跨境轉移及共用

□ I have received, understood and accepted the Privacy Policy of CCBI Group as attached to the Agreement and fully understand and agree to the processing (other than for direct marketing purposes) of personal data (including sensitive personal data) as set out in the Privacy Policy;我已收到、明白及接受協議附帶的建銀國際的私隱政策，並完全明白和同意按私隱政策所述處理（除用作直接促銷用途以外）個 人信息，包括敏感個人信息；

□ I agree to the transfer of personal data outside of where I live (if applicable) as set out in the Privacy Policy; and 我同意按私隱政策所述將個人信息轉移至我居住所在地以外的其它地方（如適用）；及

□ I agree to the sharing of personal data with third parties as set out in the Privacy Policy.我同意按私隱政策所述將個人信息與第三方共用。

□ Where data or information relating to any third party is provided to or processed by CCBI Group or its affiliates in the course of my business dealings with CCBI Group, I undertake and represent that I have obtained the relevant consent of such third party to enable CCBI Group to process such data or information (other than for direct marketing purposes) in accordance with the Privacy Policy and I agree that I will promptly provide evidence of such consents as and when requested by CCBI Group.若有關任何第三方的資料或信息，在我與建銀國際進行業務往來的過程中向建銀國際或其聯屬人士提供或由其處理，則我承諾和聲明，我已獲得該第三方的有關同意，讓建銀國際可根據私隱政策處理有關資料或信息（除用作直接促銷用途外），而我同意會在建銀國際要求下從速提供上述同意的憑證。

Please note that you have the right not to provide your personal data. However, failure to do so means we may not be able to provide the Products and Services or carry out our relevant business. 請注意，您有權不提供您的個人信息。但是，我們在這種情況下可能無法提供產品和服務，或開展相關業務。

Direct marketing 直接促銷

□ I wish for CCB International Securities Limited to use my personal data in direct marketing (as described in the Privacy Policy) and/or provide my personal data to other persons for their use in direct marketing (as described in the Privacy Policy). 我擬讓建銀國際證券有限公司在直接促銷中使用我的個人信息（如私隱政策中所述）及/或向其他人士提供我的個人信息以供他們 用作直接促銷（如私隱政策中所述）。

If I consent to the processing, use and/or transfer of my personal data for use in direct marketing, I understand the following: 如果我同意在直接促銷中處理、使用我的個人信息及/或轉移該等個人信息作直接促銷用途，我明白以下事項：

(a) where CCBI Group accedes to my request by providing or making available to me materials and information on various opportunities, Products and Services, I understand that CCBI Group may contact me through various means (including telephone calls, text messages, faxes, emails, or other electronic means); and 若建銀國際同意我的要求，向我提供或讓我取得有關不同機會、產品及服務的材料及信息，我明白建銀國際可透過各種途徑（包 括電話、短訊、傳真、電郵或其他電子方式）聯絡我。

(b) where data or information relating to any third party is provided to or held by CCBI Group or its affiliates in the course of my business dealings with CCBI Group, I undertake and represent that I have obtained the relevant consent of such third party to enable CCBI Group to use such data or information for direct marketing purposes in accordance with the Privacy Policy and I agree that I will promptly provide evidence of such consents as and when requested by CCBI Group.若有關任何第三方的資料或信息，在我與建銀國際進行業務往來的過程中向建銀國際或其聯屬人士提供或由其持有，我承諾和 聲明，我已獲得該第三方的有關同意，讓建銀國際可根據私隱政策使用有關資料或信息作直接促銷用途，而我同意會在建銀國 際要求下從速提供上述同意的憑證。

Please note that if you do tick the box above, this means that you consent to the use of your personal data for direct marketing (as described in the Privacy Policy). Hence, please study this section and the Privacy Policy carefully. 請注意，如您勾選以上方格，即表示您同意我們使用您的個人信息作直接促銷（如私隱政策中所述）。因此，請您仔細研究此部份及私隱政策的內容。

I understand that the above choice applies to the direct marketing of the Products and Services as set out in the Privacy Policy. Please refer to the Privacy Policy which sets out the types of personal data which may be used in direct marketing and the classes of other

persons to which my personal data may be provided for use in direct marketing.我明白以上選擇適用於私隱政策所述產品和服務的直接促銷。請參閱私隱政策，其中載有可用作直接促銷的個人信息種類以及我的個 人信息可向其提供以用作直接促銷的其他人士類別。

I have indicated my choice with regards to the following: (a) The processing and/or cross-border transfer and/or sharing of my personal data (if applicable) (other than for direct marketing purposes); (b) The use, processing and/or transfer of my personal data in direct marketing in the manner described above; (c) Where I have consented to the use, processing and/or transfer of my personal data in direct marketing in (a) above, my choice with regards to: (i) the receipt of materials and personal information as described above; and (ii) being contacted by CCBI Group in the manner and for the purposes set out above. This replaces any choice previously communicated by me to CCB International Securities Limited (including but not limited to any choice communicated in any CCB International Securities Limited account opening forms, if any).
我對以下方面作出選擇： (a) 處理及/或跨境轉移及/或共用我的個人信息（如適用）（除作直接促銷用途外）； (b) 按上文所述方式在直接促銷中使用、處理及/或轉移我的個人信息； (c) 若我同意上文第(a)項所述在直接促銷中使用、處理及/或轉移我的個人信息，我在以下方面所作的選擇： (i) 按上文所述收取有關材料及個人信息；及 (ii) 建銀國際按上述方式聯絡我及作上述用途。 此選擇取代我之前向建銀國際證券有限公司傳達的選擇（包括但不限於在任何建銀國際證券有限公司開戶表格（如有）中所傳達的 任何選擇）。

Client Acknowledgement 客戶確認書

I/ We acknowledge and agree to the above.

本人/吾等確認並同意以上內容 。

Individual Client / First Account Applicant) **個人客戶 / 第一戶口申請人**	**Second Account Applicant** **第二戶口申請人**
_____ Client Signature/**Specimen 客戶簽署 / **簽署式樣 _____ Client's Name 客戶姓名 _____ ID no. / Passport no. 身份證 / 護照號碼 _____ Date 日期	_____ Client Signature/**Specimen 客戶簽署 / **簽署式樣 _____ Client's Name 客戶姓名 _____ ID no. / Passport no. 身份證 / 護照號碼 _____ Date 日期

**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 Risk Disclosure Statements to the Client(s) in a language of his/ their choice (English or Chinese) and have invited the Client(s) to read the Risk Disclosure Statements carefully, ask questions and take independent advice (if the Client(s) wish(es)). *(Not applicable to applicants through "CCBI APP".)*

本人已按照客戶所選擇的語言（英文或中文）向客戶 提供風險披露聲明及已邀請客戶細閱該風險披露聲明 、提出問題及徵求獨立意見（如客戶有此意願）。*(不適用於經"建銀國際" 應用程式的申請者)*

Signature of Licensed Person 持牌人簽署: _____

Name of Licensed Person 持牌人姓名: _____

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

Remarks 備註	Margin Interest Rate 保證金利率(%)	Commission 佣金 %		
		Online Trading 網上交易	**Others 其他**	**Minimum Charge 最低收費**

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

Responsible Officer Signature for and on behalf of CCB International Securities Limited
代表建銀國際證券有限公司的負責人員簽署

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: