

<p>公司賬戶 CORPORATE A/C</p>
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- 證券 SECURITIES  
 期貨/期權 FUTURES/OPTIONS

賬戶號碼 A/C No.	
客戶名稱 A/C Name	
全權委託賬戶 Discretionary A/C	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
賬戶分類 A/C Classified	<input type="checkbox"/> 本公司 House <input type="checkbox"/> 經紀 Account Executive 編碼 Code:



**中投証券(香港)**  
**CHINA INVESTMENT SECURITIES (HK)**

## 開戶表格補充文件

## Supplementary document to Account Opening Form

適用於 For :

中投證券國際經紀有限公司

China Investment Securities International Brokerage Limited

中投證券國際期貨有限公司

China Investment Securities International Futures Limited

中投證券國際經紀有限公司(CE No: AYA587)及中投證券國際期貨有限公司(CE No:AZQ989)為獲證券及期貨條例事務監察委員會發牌的持牌法團, 分別可經營證券及期貨條例附表 5 第 1 部份中所指第 1 類和第 4 類及第 2 類和第 5 類受規管活動。中投證券國際經紀有限公司乃是香港聯合交易所有限公司參與者, 而中投證券國際期貨有限公司則為香港期貨交易所有限公司參與者。

China Investment Securities International Brokerage Limited (CE No: AYA587) and China Investment Securities International Futures Limited (CE No:AZQ989) are licensed corporations by Securities and Futures Commission for carrying out Type 1 and Type 4, and Type 2 and Type 5 regulated activities respectively in Schedule 5 to the Securities and Futures Ordinance. China Investment Securities International Brokerage Limited is an exchange participant of The Stock Exchange of Hong Kong Limited and China Investment Securities International Futures Limited is an exchange participant of The Futures Exchange of Hong Kong Limited

<p><b>1. 額外客戶資料 Additional Client Information</b></p>
<p><b>1. New Entity Account – Self-certification for IGA Jurisdictions</b>  <b>新實體帳戶 – 在政府間協議司法管轄區自行證明</b></p>
<p>• <b>Question 1 – U.S. Person</b>  <b>問題 1 – 美國人士</b></p> <p><input type="checkbox"/> Check here if the client is a “U.S. Person.” For example, a legal entity such as a corporation or partnership created or organized in the U.S. (See Instructions - Question 1). If the client checked this Question 1, the client must complete the following questions.</p> <p><input type="checkbox"/> 若客戶為「美國人士」，請勾選此處。例如在美國創立或組織的法團或合夥企業等法律實體（請參閱問題 1 的填寫說明）。如果客戶勾選問題 1，客戶必須回答下列問題。</p> <p>If the client checks “yes” on the above question, please complete Form W-9          如果客戶在上文問題勾選「是」，請填寫 W-9 表格</p>
<p><b>Complete this Section only if the client checked Question 1 (U.S. Person)</b>  <b>僅在客戶勾選問題 1（美國人士）時填寫本節</b></p>
<p><input type="checkbox"/> Check here if this U.S. Person is a “Specified U.S. Person.” If you check here, then please complete U.S. IRS Form W-9 for this entity, and provide a U.S. Taxpayer Identification Number for it.</p> <p><input type="checkbox"/> 若客戶為「指定美國人士」，請勾選此處。如果客戶勾選此處，請填寫美國國稅局 W-9 表格，並提供客戶的美國納稅人識別號碼。</p>
<p>“Specified U.S. Person” means a “U.S. Person” (including U.S. residents* and citizens**), other than:          「指定美國人士」指除下述者以外的「美國人士」（包括美國居民*和公民**）：</p> <ol style="list-style-type: none"> <li>1. A corporation the stock of which is regularly traded on one or more established securities markets;              其股票在一個或多個成熟證券市場上定期買賣的法團；</li> <li>2. Any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause 1.;              與第 1 條所述法團同屬符合美國國內收入法第 1471(e)(2)條定義之擴大關聯集團成員公司的任何法團；</li> <li>3. The United States or any wholly owned agency or instrumentality thereof;              美國或由美國完全擁有的機構或政府部門；</li> <li>4. Any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;              美國的任何州份、美國的任何領土、上述任何地方的任何政治分部，或由上述一項或多項完全擁有的機構或政府部門；</li> <li>5. Any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;              根據美國國內收入法第 501(a)條獲豁免稅項的任何組織，或符合美國國內收入法第 7701(a)(37)條定義的個人退休計劃；</li> <li>6. Any bank as defined in section 581 of the U.S. Internal Revenue Code;              符合美國國內收入法第 581 條定義的任何銀行；</li> <li>7. Any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;              符合美國國內收入法第 856 條定義的任何房地產投資信託；</li> <li>8. Any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);              符合美國國內收入法第 851 條定義的任何受監管投資公司，或根據 1940 年投資公司法（15</li> </ol>

U.S.C. 80a-64) 在美國證券交易委員會註冊的任何實體；

9. Any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;  
符合美國國內收入法第 584(a)條定義的任何共同信託基金；
10. Any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;  
根據美國國內收入法第 664(c)條獲豁免稅項的任何信託，或美國國內收入法第 4947(a)(1)條所述的任何信託；
11. A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State; or  
根據美國或任何州份法律註冊的證券、商品或衍生金融工具（包括名義本金合約、期貨、遠期合約及期權）交易商；或
12. A broker as defined in section 6045(c) of the U.S. Internal Revenue Code.  
符合美國國內收入法第 6045(c)條定義的任何經紀商。

\* U.S. tax residents include Green Card holder (i.e. holder of U.S. Permanent Resident card) as well as individual who meets the substantial presence test To meet the substantial presence test, the Controlling Person must have been physically present in the U.S. on at least:

\*美國稅務居民包括綠卡持有人（即美國永久居民卡的持有人）以及通過實質居住測試的人士。為了通過實質居住測試，控制人必須：

- 31 days during the current year, and  
當前年度在美國實質居住至少 31 天，及
- 183 days during the 3 year period that includes the current year and the 2 years immediately before. To satisfy the 183 days requirement, count:  
於包括當前年度及緊接之前 2 年的 3 年期間在美國實質居住至少 183 天。183 天居住規定的計算方法如下：
  - o All of the days you were present in the current year, and  
當前年度的所有居住天數，及
  - o One-third of the days you were present in the first year before the current year, and  
當前年度之前第一年居住天數的三分之一，及
  - o One-sixth of the days you were present in the second year before the current year.  
當前年度之前第二年居住天數的六分之一。

Please seek advice from the client's tax advisor regarding the substantial presence test when necessary.  
請在有必要時就實質居住測試向客戶的稅務顧問徵求建議。

\*\* U.S. citizens include individuals born in the U.S. territory or possession of the United States (i.e., American Samoa, Guam, the Northern Mariana Islands, Puerto Rico, or the U.S. Virgin Islands).

\*\* 美國公民包括在美國領土或美國屬地（即美屬薩摩亞、關島、北馬里亞納群島、波多黎各和美國維爾京群島）出生的人士。

Instructions to Questions 1

問題 1 的填寫說明

In the case of a legal entity, the term “U.S. person” means:

若為法律實體，「美國人士」一詞是指：

- A domestic partnership or a domestic corporation – i.e., a corporation or partnership created or organized in the United States or under the law of the United States or of any State ;  
國內合夥企業或國內法團 — 即在美國創立或組織或根據美國或任何州份之法律成立的法團或合夥企業；
- Any estate (other than a foreign estate – i.e., an estate the income of which, from sources without the U.S. which is not effectively connected with the conduct of a trade or business within the United States, is not includible in gross income under subtitle A); and  
任何遺產（外國遺產除外 — 即其收入源自美國境外，而且與在美國境內開展的商業或業務沒有實際關聯的遺產，相關收入不得納入 A 分節的總收入）；及
- Any trust if:  
符合以下條件的信託：
- a court within the U.S. is able to exercise primary supervision over the administration of the trust, and  
美國境內一家法院能夠對該信託的管理行使主要監督權，及
- one or more U.S. persons have the authority to control all substantial decisions of the trust.  
一名或多名美國人士有權控制該信託的所有重大決策。

• **Question 2 – Non-U.S. Financial Institution**

**問題 2 – 非美國金融機構**

Check here if the client is a non-U.S. Financial Institution (See Instructions - Question 2). If checked this Question 2, the client must complete the following questions.

若客戶為非美國金融機構，請勾選此處。（請參閱問題 2 的填寫說明）。如果客戶勾選問題 2，客戶下必須回答下列問題。

**Complete this Section only if the client checked Question 2 (Non-U.S. Financial Institution)**

**僅在客戶勾選問題 2（非美國金融機構）時填寫本節**

- A.  Check this box if the client is a Hong Kong Financial Institution, or other Partner Jurisdiction Financial Institution. Do not check if the client also check B. If checked, please provide the client’s Global Intermediary Identification Number (GIIN) here: \_\_\_\_\_.
- 若客戶為香港金融機構或其他合作夥伴司法管轄區金融機構，請勾選此項。若客戶亦勾選 B 項，請勿勾選此處。若勾選此項，請在以下提供客戶的全球中介機構識別號碼 (GIIN)：\_\_\_\_\_。
- B.  Check this box if the client is a Non-participating Foreign Financial Institution.
- 若客戶為非參與外國金融機構，請勾選此項。
- C.  Check this box if the client is a Participating Foreign Financial Institution. A participating Foreign Financial Institution means an FFI that has agreed to comply with the requirements of an FFI agreement, including an FFI described in a Model 2 IGA that has agreed to comply with the requirements of an FFI agreement. The term participating FFI also includes a QI branch of a U.S. financial institution, unless such branch is a reporting Model 1 FFI. See U.S. Treas. Reg. 1.1471-1(b)(85). If checked, please provide the client’s Global Intermediary Identification Number (GIIN) here: \_\_\_\_\_.
- 若客戶為參與外國金融機構，請勾選此項。參與外國金融機構是指同意遵守外國金融機構協議規定的外國金融機構，包括第 2 模式政府間協議所述的已同意遵守外國

<p>金融機構協議規定之外國金融機構。參與外國金融機構一詞亦包括美國金融機構的合資格中介人 (QI) 分公司，有關分公司為一家報告第 1 模式外國金融機構則除外。請參閱美國財政部規例第 1.1471-1(b)(85) 條。若勾選此項，請在以下提供客戶的全球中介機構識別號碼 (GIIN)：_____。</p> <p>D. <input type="checkbox"/> Check this box if the client is a Deemed-compliant Foreign Financial Institution (as defined in U.S. Treas. Reg. 1.1471-5(f)). If checked, please provide the client's Global Intermediary Identification Number (GIIN) if it is required to register with the U.S. Internal Revenue Service: _____.</p> <p>E. <input type="checkbox"/> 若客戶被視作合規外國金融機構 (定義見美國財政部規例第 1.1471-5(f) 條)，請勾選此項。若勾選此項，且客戶須在美國國稅局註冊，請提供客戶的全球中介機構識別號碼 (GIIN)：_____。</p> <p>F. <input type="checkbox"/> Check this box if the client is an Exempt Beneficial Owner (as defined in U.S. Treas. Reg. 1.1471-6).  <input type="checkbox"/> 若客戶為豁免實益擁有人 (定義見美國財政部規例第 1.1471-6 條)，請勾選此項。</p>
<p><b>Instructions to Questions 2</b>  <b>問題 2 的填寫說明</b></p> <p>The client is “non-U.S.” if it is not a U.S. Person (<i>see</i> Instructions - Question 1 for definition of U.S. Person)          若客戶並非美國人士，則客戶於「非美國實體」(請參閱問題 1 的填寫說明以了解美國人士的定義)</p> <p>A “Financial Institution” generally means any of the following: a Custodial Institution, a Depository Institution, an Investment Entity, or a Specified Insurance Company. See Article 1(1) of the “Agreement between the Government of the United States of America and the Government of [FATCA Partner] to Improve International Tax Compliance and to Implement FATCA,” (IGA) for further details of the definition of “Financial Institution.”          「金融機構」一般指以下各項：託管機構、存款機構、投資實體或指定保險公司。請參閱「美國政府與 [FATCA 合作夥伴] 政府就改善國際稅務合規及實施 FATCA 而訂立的協議」(政府間協議) 第 1(1) 條，以了解「金融機構」的詳細定義。</p>
<p>• <b>Question 3 – Controlling Persons include U.S. Person(s)</b>  <b>問題 3 – 包括美國人士在內的控制人</b></p> <p><input type="checkbox"/> Check here if any of the Controlling Persons of the client are U.S. Persons (See Instructions - Question 3). If checked this Question 3, the client must complete the following questions.  <input type="checkbox"/> 若客戶的任何控制人是美國人士，請勾選此處。(請參閱問題 3 的填寫說明)。如果客戶勾選問題 3，客戶必須回答下列問題。</p>
<p><b>Complete this Section only if you checked Question 3 (Controlling Persons include U.S. Person(s))</b>  <b>僅在客戶勾選問題 3 (包括美國人士在內的控制人) 時填寫本節</b></p>
<p>A. <input type="checkbox"/> Check this box if any of the Controlling U.S. Persons are “Specified U.S. Persons.” <i>See</i> the definition of “Specified U.S. Person at question 1.  <input type="checkbox"/> 若任何控制美國人士為「指定美國人士」，請勾選此項。「指定美國人士」的定義請參閱問題 1。</p> <p>B. <input type="checkbox"/> Check this box if the client is a Passive Non-Financial Foreign Entity (Passive NFFE). See definition</p>

of “Passive NFFE,” below.

若客戶為被動非金融外國實體（被動 NFFE），請勾選此項。「被動 NFFE」的定義請參閱下文。

C.  Check this box if the client is an Active NFFE. See definition of “Active NFFE,” below.

若客戶為主動 NFFE，請勾選此項。「主動 NFFE」的定義請參閱下文。

If both A and B are checked, then please provide the following information for the Controlling Persons (an individual/natural person) of this Passive NFFE who are also Specified U.S. Persons:

若同時勾選 A 項和 B 項，則請提供同時身為指定美國人士的相關被動 NFFE 控制人（個人／自然人）的以下資訊：

(Pls expand the table for additional Specified U.S. Persons where needed.)

（若有需要，請擴充表格以填寫額外指定美國人士的資訊。）

Name 姓名	Address 地址	U.S. Taxpayer Identification Number 納稅人識別號碼

A “Passive NFFE” means any NFFE that is not (i) an Active NFFE, or (ii) a withholding foreign partnership or withholding foreign trust pursuant to relevant U.S. Treasury Regulations.

「被動 NFFE」是指並非以下各項的任何 NFFE：(i) 主動 NFFE，或(ii)根據相關美國財政部規例為應繳預扣稅之外國合夥企業或應繳預扣稅之外國信託。

An “Active NFFE” means any NFFE that meets any of the following criteria:

「主動 NFFE」是指符合以下任何條件的任何 NFFE：

- a) Less than 50 percent of the NFFE’s gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50 percent of the assets held by the NFFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;

NFFE 在上一個曆年或其他適用報告期的總收入中少於 50%是被動收入，且 NFFE 在上一個曆年或其他適用報告期持有的資產中少於 50%是產生被動收入或持作產生被動收入的資產；

- b) The stock of the NFFE is regularly traded on an established securities market or the NFFE is a Related Entity of an Entity the stock of which is traded on an established securities market;

NFFE 的股票在成熟證券市場上定期買賣，或 NFFE 是一家其股票在成熟證券市場上買賣之實體的相關實體；

- c) The NFFE is organized in a U.S. Territory and all of the owners of the payee are bona fide residents of that U.S. Territory;

NFFE 在美國領土內組織，且該收款人的所有擁有人均是美國領土的真正居民；

- d) The NFFE is a government (other than the U.S. government), a political subdivision of such government (which, for the avoidance of doubt, includes a state, province, county, or municipality), or a public body performing a function of such government or a political subdivision thereof, a government of a U.S. Territory, an international organization, a non-U.S. central bank of issue, or an Entity wholly owned by one or more of the foregoing;

NFFE 為政府（美國政府除外）、該等政府的政治分部（為免生疑問，此包括州、省、縣或市政府），或履行該等政府或其政治分部之職能的公共機構、美國領土由政府、國際組織、非美國發鈔中央銀行或由上述一個或多個機構完全擁有的實體；

- e) Substantially all of the activities of the NFFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an NFFE shall not qualify for this status if the NFFE functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;

NFFE 幾乎所有的活動是包括持有（全部或部分）從事除金融機構業務以外的商業或業務的一家或多家附屬公司的已發行股票，或向該等附屬公司提供融資及服務，但如果 NFFE 履行（或聲稱其履行）投資基金的職能，例如私募股權基金、風險資本基金、槓桿式收購基金，或目的是收購或資助公司，然後出於投資目的持有該等公司之權益作為資本資產的投資工具，則相關 NFFE 不符合成為主動 NFFE 的資格；

- f) The NFFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFFE;

NFFE 仍未經營業務且沒有先前的經營歷史，但正在對資產作出資本投資，目的是經營除金融機構業務以外的業務，前提是 NFFE 在其最初組織之日起計 24 個月後不符合取得此項豁免的資格；

- g) The NFFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;

NFFE 在過去五年內並非金融機構，但正在清算其資產或進行重組，目的是繼續或重新開始經營除金融機構業務以外的業務；

- h) The NFFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;

NFFE 主要與或為並非金融機構的相關實體從事融資及對沖交易，且不向並非相關實體的任何實體提供融資或對沖服務，前提是任何該等相關實體的所屬集團主要從事金融機構業務以外的業務；

- i) The NFFE is an “excepted NFFE” as described in relevant U.S. Treasury Regulations; or

NFFE 是相關美國財政部規例所述的「獲豁免 NFFE」；或

j) The NFFE meets all of the following requirements:

NFFE 符合所有以下規定：

i. It is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare;

其僅出於宗教、慈善、科學、藝術、文化、體育或教育目的而在其居住地司法管轄區建立和經營，或是其居住地司法管轄區建立及經營的專業組織、商業聯盟、商會、工會組織、農業或園藝組織、公民聯盟或專門為了促進社會福利而運作的組織；

ii. It is exempt from income tax in its jurisdiction of residence;

在其居住地司法管轄區獲豁免繳納利得稅；

iii. It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;

股東或成員在其收入或資產中概無擁有所有權權益或實益權益；

iv. The applicable laws of the NFFE's jurisdiction of residence or the NFFE's formation documents do not permit any income or assets of the NFFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFFE has purchased; and

NFFE 居住地司法管轄區的適用法律或 NFFE 的成立文件不允許將 NFFE 的任何收入或資產分配至私人或非慈善實體，或出於私人或非慈善實體的利益而予以運用，但根據 NFFE 的慈善活動守則作出的分配或運用，或就已提供之服務支付的合理報酬，或支付相當於 NFFE 已購買財產之公允市值的款項除外；及

v. The applicable laws of the NFFE's jurisdiction of residence or the NFFE's formation documents require that, upon the NFFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFFE's jurisdiction of residence or any political subdivision thereof.

NFFE 居住地司法管轄區的適用法律或 NFFE 的成立文件要求，在該 NFFE 清盤或解散時，其所有資產將分配至政府實體或其他非牟利機構，或歸還至 NFFE 居住地司法管轄區的政府或其任何政治分部。

### Instructions to Questions 3

#### 問題 3 的填寫說明

A “Controlling Person” means the natural persons who exercise control over an Entity. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. The term “Controlling Persons” shall be interpreted in a manner consistent with the Financial Action Task Force Recommendations. See Article 1(1) of the IGA for further details of the definition of



“Controlling Person”.

「控制人」是指對一家實體行使控制權的自然人。若為信託，控制人是指委託人、受託人、保護人（若有）、受益人或受益人類別以及對信託行使最終實際控制權的其他自然人，如果是除信託以外的其他法律安排，則該詞彙指擁有相同或類似身份的人士。「控制人」一詞應按照與金融行動特別工作組之建議一致的方式作出解釋。請參閱政府間協議第 1(1)條以了解「控制人」的詳細定義。

**2. Self-certification by Corporate Clients (for Question 2 and 3 above)**

公司客戶自行證明（適用於上述問題 2 及 3）

- Please provide form W-8  
請提供 W-8 表格

**2. 客戶聲明、承認及同意 Declaration, Acknowledgement and Agreement By Client**

本人/吾等聲明、承認、確認并同意：I/We declare, acknowledge, confirm and agree that:

**1. Inform CISIB and/ or CISIF upon change of client information**

客戶在相關資料發生變化時通知中投國際經紀及/ 或中投國際期貨

If there is a change in information on a Form W-8/information on the account opening form or other documentation for which the client provided to CISIB and/ or CISIF, the client should notify CISIB and/ or CISIF within 30 days of such change and furnish a new Form W-8 or documentary evidence for documentation purposes.

倘若 W-8 表格上的資料/開戶表或客戶向中投國際經紀及/ 或中投國際期貨提供的其他文件所載資料發生變化，客戶應於 30 天內通知中投國際經紀及/ 或中投國際期貨發生該等變化，並提供新的 W-8BEN 表格或文件證明，以記錄在案。

**2. Client may provide additional identification documents for FATCA purposes**

客戶可能需要就 FATCA 目的，提供額外身份證明文件

CISIB and/ or CISIF reserves the right to request and the client has the obligation to provide to CISIB and/ or CISIF additional documentary evidence to validate the U.S. or non-U.S. status when potential U.S. indicia or change in circumstances is noted by CISIB and/ or CISIF during the course of relationship.

當中投國際經紀及/ 或中投國際期貨在合作期間留意到有潛在美國人身份標記或情況發生變化時，中投國際經紀及/ 或中投國際期貨保留權利以索取且客戶有義務向中投國際經紀及/ 或中投國際期貨提供額外文件證明，以核實美國人或非美國人身份。

If the client fails to provide CISIB and/ or CISIF with any of the necessary information within 30 days, CISIB and/ or CISIF should be entitled to reserves the right to close the accounts or classify the account as "non-consenting" or "non-participating FFI" or execute withholding and reporting under FATCA regulations.

倘若客戶未能在 30 天內向中投國際經紀及/ 或中投國際期貨提供任何必需的資料，中投國際經紀及/ 或中投國際期貨保留結束客戶的帳戶或將該帳戶分類或「不同意」或「非參與外國金融機構」的權利，或根據 FATCA 規則預扣稅款及作出申報。

**3. Client consents to disclose information to tax authority**

**客戶同意披露資料予稅務機關**

Client consents CISIB and/ or CISIF to submit information of the client to the U.S. tax authority, if required (e.g. if the client is U.S. person).

客戶同意中投國際經紀及/ 或中投國際期貨可在有必要時（若客戶持有人為美國人士）向美國稅務機關提交客戶的資料。

**本開戶文件擬定中英文版本，兩種語言版本均具同等效力，但應以英文版本解譯並視為確實及具最終效力。**

**This document are drawing in English and Chinese Languages, all two versions being equally authenticated. However, the English Language version shall deem to be conclusive and prevail.**

**4. 客戶簽署 Client Signature**

茲見證本人/吾等簽署本開戶文件於：\_\_\_\_\_年\_\_\_\_\_月\_\_\_\_\_日。

**IN WITNESS WHEREOF I/We have set my/our hands this \_\_\_\_\_ day of \_\_\_\_\_.**

簽署及蓋章 Signed and Sealed By :

簽署及蓋章 Signed and Sealed By :

\_\_\_\_\_✍

\_\_\_\_\_✍

姓名（正楷）：

Name（Block Letter）：

姓名（正楷）：

Name（Block Letter）：

職銜 Title：

職銜 Title：