

## Client Agreement (Individual(s)) 客户协议书 (个人)

This agreement ("Client Agreement") is entered into between C.Xin Asset Management Limited(The "Company"/"C.Xin"), whose registered office is located at 2311, LKF Tower, 33 Wynham Street, Central, Hong Kong, and the client ("Client"/"You") whose details are set out below. The Company is licensed by the Securities and Futures Commission ("SFC") for Type 1 regulated activity (dealing in securities), Type 4 regulated activity (advising on securities) and Type 9 regulated activity (asset management) under C.E. number BQD043.

本协议书 ("客户协议书") 由橙信财富有限公司(下称"本公司"或"橙信财富"), 其注册地址为香港中环云咸街33号兰桂坊大厦与地址详列如后的客户 (下称 "客户") 订立。本公司获证券及期货监察委员会 (下称"证监会")核准以证监会中央编号BQD043经营第 1类 (证券交易)、第 4类 (就证券提供意见) 及第 9类(资产管理)的受规管活动。

C.Xin Asset Management Limited	Individual/ Primary Client's name 客户姓名:
2311, LKF Tower	Passport/ID Number 护照/身份证号码:
33 Wyndham Street	Address 客户地址:
Central, Hong Kong	
	Joint Client's name 联名客户姓名:
Email: admin@cxam.com.hk	Passport/ID Number 护照/身份证号码:
Tel: +852 3169 7172	Address 客户地址:

### CLIENT AGREEMENT TERMS AND CONDITIONS 客户协议书条款及细则

#### 1. Financial Services to be provided by C.Xin 由客户提供的数据

The Company will rely on the information provided by the Client, in particular the Investment Risk Profiling Questionnaire to determine the Client's investment objectives, investment horizon, risk tolerance, and financial circumstances. If the information provided by the Client is not accurate and complete, the Company may not be able to recommend products which are reasonably suitable to the Client.

本公司将依赖由客户提供的数据, 特别是投资风险评估, 以决定客户的投资目标、投资期限、风险承受能力及财务状况。如客户提供之数据不准确或不完整, 本公司可能无法推介合理地适合客户的产品。

#### 2. ACTING AS A BROKER OF THE CLIENT 担任客户的经纪

The Company acts as a broker of the Client in the acquisition of Investment Funds by the Client. For the avoidance of doubt, the Company does not act as an agent or fiduciary of the Client. The Client acknowledges that the Company, whilst a separate legal entity, is part of the LexinFintech Holdings Ltd. (the "Group") and that the Company may offer or recommend financial products issued by financial institutions which are also part of the Group, provided that such products recommended shall be reasonably suitable for the Client having regard to the circumstances of the Client. Any contracts for Investment Funds that the Client enter into as a result of services provided by the Company will be between the Client and the financial institutions offering those investments. The Company does not, in any event, make any representation or warranty as to the creditworthiness or fitness and properness of any product issuer or financial institution.

本公司担任经纪替客户购买投资基金。为免生疑问, 本公司不会担任客户的代理或受信人。客户知悉本公司, 虽为一间独立法定实体, 但同时亦为深圳乐信控股有限公司 (下称"集团") 的一部份, 而且本公司可提供或推介同属

集团一部份的金融机构发行的金融产品，只要在考虑客户情况下，该等推介的产品合理地适合客户。任何因本公司提供之服务而促成客户同意的投资基金合约，均由客户与提供有关投资的金融机构签订。在任何情况下，本公司不会就任何产品发行商或金融机构的借贷能力、适当性、正当性作陈述或保证。

**3. NOT ACTING AS TAX ADVISER 非税务顾问**

The Company is licensed as a securities dealer, securities adviser, and asset manager; and is not a tax adviser and therefore the Company shall not give tax advice specific to your circumstances. You are advised to seek independent tax advice from suitably qualified professionals before making any decision as to the tax implications of any investment. The Company cannot be held liable for the tax consequences of any recommendation/advice given or investments made.

本公司获准担任证券交易商、证券顾问及资产经理；而非税务顾问，故此本公司将不会就客户之个别情况提供税务意见。我们建议客户在作出任何可能对税务产生影响的投資前，应先向拥有合适资格的专业人士征询独立税务意见。本公司不会就任何其提供之推介/意见或执行投資买卖的税务后果承担责任。

**4. FEES AND COMMISSIONS 费用及佣金**

The Company may receive fees/commissions from financial institutions in respect of products purchased by the Client. The Client consents to the receipt of such fees/commissions by the Company.

本公司可就客户购买产品从金融机构收取费用/佣金，而客户亦同意本公司收取该等费用/佣金。

**5. COMPLAINTS 投诉**

Complaints about our recommendation or service should be made in writing to the Complaints Officer of the Company, the contact details of which can be found at the public register of licensed persons & registered institutions made available by the SFC in its website.

有关对本公司之推介或服务之投诉，须以书面形式向本公司的投诉主任提出，其联络详情可从证监会网站公开之持牌人及注册机构的公众纪录册获取。

**6. JOINT CLIENTS 联名客户**

Where this Client Agreement is signed by more than one person, each person shall be jointly and severally liable for any and all liabilities incurred by any of them in connection with this Client Agreement. Any one of the joint Clients may individually give instructions to the Company and such instructions shall be accepted by the Company without the need to consult the other joint Client(s) and shall be binding on all the joint Clients. Each joint Client shall be jointly and severally liable for any and all liabilities arising from such instructions.

倘若本客户协议书由超过一位人士签署，则每位人士均须承担与本客户协议书有关及有之引起的所有共同及个别责任。任何一位联名客户均可向本公司提出个别指示，该等指示将在无需征询其他联名客户的同意下为本公司接纳，而所有联名客户成员均需负责。每位联名客户需就该等指示引起的所有责任承担任何共同或个别风险。

**7. CLIENT INSTRUCTIONS 客户指示**

For the sake of client protection, the Company normally requires an original signed copy of an instruction from the Client. Nevertheless, the Company may, at its discretion, accept facsimile or other electronically communicated instructions, and in such circumstances, the Company shall not be responsible for any loss or liability that arises as a result of non-receipt, fraud, errors or delays in respect of such instructions.

为保障客户，本公司通常要求客户就一项指示提交一份签署本。然而，本公司可按其酌情权，接纳透过传真或其他电子形式传送的指示，而在该等情况下，本公司就未能收取该等指示、有关之诈骗、错误或延误而引起之任何损失或法律责任概不负责。

**8. CLIENT ASSET 客户资产**

The Company shall not take ownership, possession or custody of any client assets and shall not accept responsibility for the safe custody of any client assets. Any payments which the Client may make under any contract with any financial institution should be made directly by the Client to the financial institution. Any documents received by the Company in connection with any investments shall be forwarded as soon as practicable by the Company to the Client.

本公司并非拥有、管有或保管客户资产，故此亦不对任何客户资产的安全保管负责。客户须根据与任何金融机构签订合同中定明之款项直接向金融机构支付。任何由本公司就任何投资收取之文件，须在可行情况下，由本公司尽快转寄给客户。

**9. REPRESENTATION AND WARRANTIES 陈述与保证**

The Client is responsible for the accuracy of any personal information provided to product issuers or financial institutions. The Company is entitled to rely upon any representations and warranties made by the Client in any application for subscribing for investments. Any risk disclosures in any offering materials provided to the Client by the Company in connection with any investments shall be deemed to have been given by the Company to the Client even if such materials were not prepared by the Company.

客户有责任保证提供予产品发行及金融机构之所有个人资料均为准确。本公司有权依靠任何客户就申请认购投资产品的陈述和保证作出判断。由本公司向客户发放之有关任何投资产品配发文件中的风险披露文件，即使并非由本公司预备，仍会被视为是由本公司给予客户的。

If the Company solicits the sale of or recommends any financial products to the Client, the financial products must be reasonably suitable for the Client having regard to the Client's financial situation, investment experience and investment objectives. No other provision of this Client Agreement or any other document the Company may ask the Client to sign and no statement the Company may ask the Client to make derogates from this clause. 如本公司游说或推介客户购买任何金融产品，在考虑客户的财务情况、投资经验及投资目标下，该金融产品必须合理地适合客户。本客户协议书或任何其他本公司可能要求客户签署的文件或声明中没有其他条文会减损本条款的效力。

**10. PROVISION FOR DEATH 死亡条款**

In the event of death of the Client, the Company shall not be obliged to act upon instructions from any person other than a duly appointed personal representative of the Client's estate.

如遇客户死亡，本公司有责任受理客户的合法遗产代理人之指示并处理其指示。

**11. MATERIAL CHANGES 重大转变**

The Client and the Company agree to notify each other in the event of any material changes to their name, address and identification information.

如遇姓名、地址及身份证明文件出现任何重大转变，客户与本公司同意通知对方。

The Company agrees to notify the Client in the event of any material change to its licensing status, change in representative's information and scope of services. The Client shall notify the Company of any material changes to personal circumstances provided within the account opening documentation including the Investment Risk Profiling Questionnaire.

如遇持牌状况、代表资料及服务范围出现任何重大转变，本公司同意通知客户。客户须就曾在开户时提供的个人资料中(包括投资风险评估)的有关个人状况的重大转变通知本公司。

**12. AMENDMENTS AND ASSIGNMENT 修订及转让**

The Company reserves the right to amend or modify the terms and conditions of this Client Agreement from time to time at its absolute discretion. Such amendment or modification shall be notified to Client in writing and shall be deemed to have been accepted by the Client after the expiration of any applicable prior notice period determined by the Company in its absolute discretion. In the event that the Company transfers its business to another entity, the Company may assign any of the rights and obligations under this Client Agreement to such entity and the Client expressly consents to any future assignment of this Client Agreement in such circumstances. 按其绝对决定权，本公司保留不时修订或更改本客户协议书条款及细则的权利。本公司须以书面形式将该等修订或更改通知客户，而且在由本公司全权决定的事先通知期限届满后，将视客户已同意该等修订或更改。如遇本公司转让其业务予其他实体，本公司可转让任何本客户协议书订明之权利及责任予该实体，在该等情况下，客户已明显同意本客户协议书未来的转让。

**13. LIABILITY 责任**

Neither the Company nor any of its officers, employees or agents shall be liable to the Client for any loss or

damage suffered by the Client arising out of or in connection with the Company's performance of its services under this Client Agreement, unless such loss or damage results directly from an act of gross negligence, fraud or wilful default on the part of the Company or its officers, employees or agents (and for this purpose "gross negligence" means, in relation to a person, a standard of conduct beyond negligence whereby that person acts with reckless disregard for the consequences of a breach of duty of care owed to another). In any event neither the Company nor any of its officers, employees or agents shall be liable to the Client for any loss or damage suffered by the Client arising out of or in connection with any advice, recommendation, research or information prepared and/or generated by a third party service provider and provided to the Client through the Company.

本公司及其任何主任、职员或代理均不会就任何根据本客户协议书订明，由本公司提供之服务的表现引起之损失及损害负责，除非该等损失及损害直接由本公司及其任何主任、职员或代理之重大过失、诈骗或故意违约引起(就此而言，“重大过失”指在正常情况下，人在法律行为能力范围内能够预计而没有预计或已经预计但疏忽而未采取行动所造成的重大错误)。如遇客户由于或有关于本公司向客户提供第三者服务供货商准备及/或制作的任何意见、推介、研究或资料而导致任何损失及损害，本公司及其任何主任、职员或代理概不负责。

**14. NO THIRD PARTY RIGHTS 不含第三者权利**

Except as provided in the section headed "LIABILITY" above or where a right or remedy of a third party already exists or is available apart from the Contracts (Rights of Third Parties) Ordinance, a person who is not a party to this Client Agreement shall have no rights under the Contracts (Rights of Third Parties) Ordinance to enforce or enjoy the benefit of any provision of this Client Agreement. The rights of the parties to terminate, rescind, or agree any amendment, waiver, variation or settlement under or relating to this Client Agreement, or any term of this Client Agreement, are not subject to the consent of any third party.

除于以上“责任”一项条文中另有所指；或本身一项第三者权利或补偿已存在；或该等权利或补偿在《合约（第三者权利）条例》之外存在，根据《合约（第三者权利）条例》，一位并非本客户协议书签署方的人士无权执行或享有本客户协议书中任何条文赋予之权利。协议书双方拥有终止、撤销或同意有关本客户协议书的任何修订、弃权条款、更改及安排或修改任何本客户协议书之条款的权利，并不受任何第三者影响。

**15. CLIENT DOCUMENTATION 客户文件**

The Company is required by laws and regulations to obtain certain documentation from clients, including but not limited to identity documentation. The Company may decline to provide its services to the Client in the absence of receipt of such documentation.

本公司受法律及规例要求，必须从客户取得相关文件，包括但不限于身份证明文件。如客户未能提供该等文件，本公司可拒绝向客户提供服务。

**16. TERMINATION OF THIS CLIENT AGREEMENT 终止本客户协议书**

This Client Agreement may be terminated at any time with immediate effect by either party by giving a written notice to the other party. 于任何时间内，协议书任何一方只需向另一方提出书面要求，即可实时终止本客户协议书。

**17. GOVERNING LAW AND JURISDICTION 适用法律及司法管辖权**

This Client Agreement is governed by the laws of Hong Kong. Both parties irrevocably submit to the non-exclusive jurisdiction of the courts of Hong Kong.

本客户协议书受香港法律管辖。协议书双方须不可撤回地接受香港特区法院的非专属司法管辖权。

**RISK DISCLOSURE STATEMENT 风险披露声明**

- a) The prices of securities fluctuate, sometimes dramatically. The prices of a security may move up or down, and may become valueless. It is as likely that losses will be incurred rather than profit made as a result of buying and selling securities. Hence, there is no guarantee that any particular strategy will achieve the Client's investment objectives. Past performance is not necessarily indicative of future performance.

证券价格有时可能会非常波动。证券价格可升可跌，甚至变成毫无价值。买卖证券未必一定能够赚取利润，反而可能会招致损失。故此，无法保证任何特定策略能达到客户的投资目标。过往表现并不预示未来业绩。



- b) You should read and consider carefully the statements set out in this Risk Disclosure Statement and the risk factors set out in the relevant prospectus, principal brochure and/or any other offering document or information memorandum in relation to the Products You purchase, invest or otherwise deal in and which must be taken into account when You make investment decisions.  
您应仔细阅读并考虑本《风险披露声明》中的陈述以及与您购买、投资或购买的产品有关的招股书、销售手册和/或任何其他发行文件或信息备忘录中规定的风险因素。当您交易并且在做出投资决定时必须考虑到这一点。
- c) The profit or loss in transactions in foreign currency-denominated assets (whether they are traded in your own or another jurisdiction) will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the assets to another currency.  
以外币计算的资产之交易所带来的利润或招致的亏损(不论交易是否在您本身所在的司法管辖区或其他地区进行), 均会在需要将资产的货币单位兑换成另一种货币时受到汇率波动的影响。
- d) Client assets received or held by a custodian outside Hong Kong are subject to the applicable laws and regulations of the relevant overseas jurisdiction which may be different from the Hong Kong Securities and Futures Ordinance and the rules made thereunder. Consequently, such client assets may not enjoy the same protection as that conferred on client assets received or held in Hong Kong.  
在香港以外收取或持有的客户资产, 将受有关海外司法管辖区的适用法律及规例监管, 与香港《证券及期货条例》及根据该条例制定的规则有所不同。因此, 该等客户资产将可能不获享有赋予在香港收取或持有之客户资产的同等保障。

#### **Supplement 附录: Unit Trusts and Mutual Funds Trading Agreement 单位信托及互惠基金交易协议**

This Unit Trusts and Mutual Funds Trading Agreement is supplemental to the Client Agreement entered into by the Company and the Client to which this Unit Trusts and Mutual Funds Trading Agreement is annexed whereby the Client is allowed to conduct trading of Unit Trusts and Mutual Funds and the Company agrees to provide such trading services to the Client. Where any conflict arises between the Client Agreement and the provisions of this Unit Trusts and Mutual Funds Trading Agreement, the provisions of the latter shall prevail.

本单位信托及互惠基金交易协议乃是本公司与客户签订的证券客户协议之补充, 作为附件附录在客户协议之后。此协议允许客户进行单位信托基金交易。而本公司同意向客户提供 单位信托基金交易的服务。倘若客户协议与本单位信托基金交易之条款发生冲突, 以后者之条款为准。

#### **Unit Trusts and Mutual Funds ("Fund(s)") Trading Conditions 单位信托及互惠基金基金交易细则**

1. The Client fully understands that Funds are not bank deposits and are not endorsed or guaranteed by, and do not constitute obligation of the Company or its affiliates.  
客户完全明白基金不是银行存款, 及不会受到本公司或其他关连公司所保证, 或构成任何责任。
2. The Client has read all offering documents including, without limitation, the relevant prospectus and/or its summary of product key facts statement and annual report and agrees to the terms set out in such offering documents. The Client is fully aware of and understands the terms set out in the offering documents, including, without limitation, the risks of investing in the Fund(s). The aforementioned offering documents are provided in a language of the Client's choice (English or Chinese). The Client has been invited to read them, to ask questions and take independent advice if the Client wishes. The Client agrees to the contents as set out in the aforementioned offering documents, and the Client hereby declares that the Client is fully responsible for bearing the risk of loss involved in investing in the Fund(s).  
客户已细读所有销售文件, 包括但不限于相关的基金说明书及/或其产品数据概要及年报, 客户同意所有销售文件上的条款。客户完全知悉及理解销售文件所载的条款, 包括但不限于有关投资基金的风险。上述的销售文件均以客户选择的语言书写(英文或中文)。本公司已呈请客户细阅上述的销售文件, 提出问题或咨询独立意见(如需要)。客户同意接受上述销售文件之内容并声明会全部承担及负责投资基金损失的风险。

3. The Client fully understands that the aforementioned offering documents are not intended to provide, and must not be relied upon for, tax, legal or accounting advice, a credit or other evaluation of the Fund(s) nor as an assurance or guarantee as of the expected return (if any) of the Fund(s). The Client should consult their tax legal, accounting, investment, financial and/or other advisors. 客户完全明白上述的销售文件不拟提供，亦不可赖以作为税务、法律或会计意见、或有关基金的信用或其他评估，也不得构成任何基金预期回报的保证或担保。客户应咨询其税务、法律、会计、投资、财务及/或其他顾问。
4. The Client certifies that the Client is not prohibited from purchasing or holding units, and acting on behalf of any person or entity who is prohibited from purchasing or holding units, as provided in the aforementioned offering documents. The Client declares that the Client is not forbidden to invest in aforementioned offering documents, including but not limit to the citizen(s) or resident(s) of the United States of America. The Client undertakes to inform the Company immediately if a change to the Client's status occurs, in which circumstances the Client may be obliged to redeem the units of the respective Fund(s). 客户保证并非为或代表上述的销售文件所订明被禁止购买或持有基金单位的个人或团体。客户保证并非为上述的销售文件所订明被禁止投资国家的公民或居民，包括但不限于美国的公民或居民。客户承诺若客户成为该等国家的公民或居民将实时通知本公司。而在此情况下，客户或需赎回已认购的基金单位。
5. Any discount that may be provided by the Company will be offered on a discretionary basis only.  
本公司保留提供任何折扣优惠的权利。
6. Any order instruction form received on non-dealing day/after dealing cut-off time will only be processed on the next dealing day and the Client's order instruction may not be carried out at such time due to circumstances beyond the Company's reasonable control.  
在非交易日/交易截止时间后接收的交易指示只会在下一个交易日处理，此交易指示可因当时的处境不在本公司的合理控制范围以内而不获执行。
7. The Client understands and agrees that the Company will not be liable for any unsuccessful execution or any delay in the execution of the Client's order. All unexecuted orders will lapse by the end of trading day on which the order is actually received by the Company.  
客户明白并同意本公司于不能成功执行交易或于交易中有任何延迟，并不负有任何责任。此交易指示如未能于本公司实际收到此指示的交易日完结前执行，便会失效。
8. The Company reserves the right to nominate any non-Hong Kong company as a custodian for any Fund investment purchased and to hold them under the custodian's name on the behalf of the Client.  
本公司保留委托任何非香港注册公司作为基金投资托管人的权利，并为客户所投资的基金登记于托管人名下，由托管人代表客户购入及持有。
9. The Client understands the relevant fees, charges and expenses incurred from the Client's instructions. The Client hereby authorises the Company to accept and retain for the Company's own benefit including, without limitation, any commission, rebate, reallowance, benefit, and/or other advantage arising out of or in connection with the handling of any transaction(s) entered into on the Client's behalf from the fund managers, service providers, and/or other parties. The Client accepts that the Company shall be entitled to retain any interest generated on any transaction pending payment(s) of that amount in settlement of that transaction.  
客户明白客户指示所产生的相关费用、收费及支出。客户特此授权本公司可从基金经理，服务供货商和/或其他人士收取并保留从代表客户买卖基金或与之相关所产生的任何收益，包括但不限于佣金、回扣、回佣、利益及/或其他益处。客户接受本公司有权保留在一项交易交收前为客户持有用作交收的金额所产生的任何利息。
10. The Client accepts the actual transaction price will be determined in accordance with the aforementioned offering documents after the cut-off time of the trading day. The Client accepts that any figures, the Company or its representatives may have quoted at any time, are for indicative purposes only. Where the price of the relevant units, or any other payment due hereunder, is denominated in a currency different from the settlement currency, the Client authorises the Company to convert any currency into the required currency at such rate of exchange as conclusively determined by the Company to be prevailing at the relevant time.  
客户接受任何交易的实际交易价格乃根据在交易日截止时间之后因应上述的销售文件的条款而订定。客户接受

由本公司或其代表在任何时间所作出的报价，均属参考性质。如果有关基金的价格或其他应支付的费用货币单位与结算货币有所不同，客户授权本公司利用当时的有关汇价作任何的货币转换。

11. The Company reserves the right to reject any transaction at its sole discretion if settlement account has insufficient balance to cover the settlement amount, and the Client will bear any financial loss including, without limitation, initial charge, switch charge, and price discrepancy due to the rejection.

如客户的交收户口没有足够资金缴付交收款项，本公司单方面有权决定拒绝此交易，而客户需负责因拒绝交易所产生的财务损失，包括但不限于手续费，交易费及价格差别等。

12. The actual dividend pay date of the Fund(s) may be different from its designated dividend pay date, subject to various factors including, without limitation, the discretion of the fund manager, custodian, or trustee assigned by the fund manager, and relevant bank transaction procedure.

基金的实际派息日可能与其原定派息日有所不同，要视乎不同因素，包括并不限于基金经理、基金公司所委托的托管机构/信托机构所行使的酌情权，及相关银行的转账程序。

13. The Client understands and agrees that if the settlement currency is any other than Hong Kong Dollar, Renminbi and US Dollar, bank charges may be incurred.

客户明白及同意如交收金额非港币、人民币或美金，有可能会衍生银行收费。

14. The Client understands that all instructions are conclusive and binding on the Client upon placement of any instruction but is subject to final execution and acceptance by the Company.

客户明白于提交此指示时已是最终的决定并对客户有约束性，但取决于是否被本公司接纳及视乎最终交易而定。

15. The Client has read and understands the risks relevant to Fund(s) trading contained in Client Agreement.

客户已阅读并明白在客户协议中所列明的风险披露。

#### **CLIENT ACKNOWLEDGEMENT 客户确认书**

I, the undersigned representative of the Company, confirm that I have provided the Risk Disclosure Statement to the Client(s) in the language of their choice and that they have read the Risk Disclosure Statement and been invited to ask questions and take independent advice if needed.

本人/吾等同意本客户协议书之条款及细则。本人/吾等确认本人/吾等已阅读由本人选择之语言编成的风险披露声明，而本人/吾等获邀请在本人需要时提出问题及寻求独立意见。

#### **Individual/Primary Client 个人客户**

#### **Joint Client 联名客户 (if applicable 如适用)**

Signature 签名: \_\_\_\_\_

Signature 签名: \_\_\_\_\_

Name 姓名: \_\_\_\_\_

Name 姓名: \_\_\_\_\_

Date 日期: \_\_\_\_\_

Date 日期: \_\_\_\_\_

☐ 个人账户 Individual Account / ☐ 联名账户 Joint Account  
☐ 电子结单 E-Statements

户口号码 Account No.:  
申请日期 Application Date:

开户表 (个人/联名账户)  
ACCOUNT OPENING FORM (INDIVIDUAL / JOINT ACCOUNT)

<b>第一部分 Part : 主要客户资料 PRIMARY CLIENT INFORMATION</b>					
英文全名 English		中文全名 Chinese		性别 Gender	
香港身份证 / 护照号码 HKID Card / Passport No.		出生日期 (日/月/年) Date of Birth (dd/mm/yy)		国籍 Nationality	
住宅地址 Residential Address					
手机电话号码 Mobile Phone No.		住宅电话号码 Home Tel. No.		传真号码 Fax No.	
<b>工作资料状况 EMPLOYMENT INFORMATION</b>					
雇主名称 Employer Name				职位 Position	
公司地址 Office Address					
公司电话号码 Office Tel. No.		公司传真号码 Office Fax No.		电邮地址 Email Address	
通讯地址 Correspondence Address	<input type="checkbox"/> 住宅地址 Residential Address <input type="checkbox"/> 办公地址 Office Address <input type="checkbox"/> 其他 Others (请填写其他地址)				
<b>通讯方法 METHOD OF COMMUNICATION</b>					
日结单 / 月结单 / 一般函件收取方式 Receive Daily Statements / Monthly Statements / General Correspondence Method <input type="checkbox"/> 电邮 E-mail <input type="checkbox"/> 邮寄 Mail <input type="checkbox"/> 电邮及邮寄 E-mail and Mail					
<b>财政状况 FINANCIAL STATUS</b>					
年薪 (港元) Annual Salary (HKD)	<input type="checkbox"/> <\$200,000 <input type="checkbox"/> \$200,000 ~ \$500,000 <input type="checkbox"/> \$500,001 ~ \$1,000,000 <input type="checkbox"/> >\$1,000,000				
资产总值 (港元) Total Net Value (HKD)	<input type="checkbox"/> <\$500,000 <input type="checkbox"/> \$500,000 ~ \$1,000,000 <input type="checkbox"/> \$1,000,001 ~ \$5,000,000 <input type="checkbox"/> >\$5,000,000				
住宅业权 Ownership of Residence	<input type="checkbox"/> 自置 Owned <input type="checkbox"/> 租用 Rented <input type="checkbox"/> 与家人同住 Living with Family <input type="checkbox"/> 按揭 Mortgaged				
其他收入来源 Other Source of Income	<input type="checkbox"/> 利息收入 Interest Income <input type="checkbox"/> 投资收入 Investment Income <input type="checkbox"/> 无 Nil <input type="checkbox"/> 其他 Others				

<b>* 联名客户资料 JOINT CLIENT INFORMATION (如适用 If Applicable)</b>					
英文全名 English		中文全名 Chinese		性别 Gender	
香港身份证 / 护照号码 HKID Card / Passport No.		出生日期 (日/月/年) Date of Birth (dd/mm/yy)		国籍 Nationality	
住宅地址 Residential Address					
手机电话号码 Mobile Phone No.		住宅电话号码 Home Tel. No.		传真号码 Fax No.	



<b>工作资料状况 EMPLOYMENT INFORMATION</b>					
雇主名称 Employer Name				职位 Position	
公司地址 Office Address					
公司电话号码 Office Tel. No.		公司传真号码 Office Fax No.		电邮地址 Email Address	
通讯地址 Correspondence Address	<input type="checkbox"/> 住宅地址 Residential Address <input type="checkbox"/> 办公地址 Office Address <input type="checkbox"/> 其他 Others (请填写及提供其他地址证明)				
<b>财政状况 FINANCIAL STATUS</b>					
年薪 (港元) Annual Salary (HKD)	<input type="checkbox"/> <\$200,000 <input type="checkbox"/> \$200,000 ~ \$500,000 <input type="checkbox"/> \$500,001 ~ \$1,000,000 <input type="checkbox"/> >\$1,000,000				
资产总值 (港元) Total Net Value (HKD)	<input type="checkbox"/> <\$500,000 <input type="checkbox"/> \$500,000 ~ \$1,000,000 <input type="checkbox"/> \$1,000,001 ~ \$5,000,000 <input type="checkbox"/> >\$5,000,000				
住宅业权 Ownership of Residence	<input type="checkbox"/> 自置 Owned <input type="checkbox"/> 租用 Rented <input type="checkbox"/> 与家人同住 Living with Family <input type="checkbox"/> 按揭 Mortgaged				
其他收入来源 Other Source of Income	<input type="checkbox"/> 利息收入 Interest Income <input type="checkbox"/> 投资收入 Investment Income <input type="checkbox"/> 无 Nil <input type="checkbox"/> 其他 Others				
<b>第二部分 Part 2: 身份声明 IDENTITY DECLARATION</b>					
<p>1. 客户是否联交所或期交所之交易所参与者或证监会之持牌人或注册人之董事、雇员或认可人士? Is the Client a director or employee or accredited person of an exchange participant of the Stock Exchange or Futures Exchange, or a licensed or registered person of the Securities and Futures Commission ("SFC")?</p> <p><input type="checkbox"/> 否 No <input type="checkbox"/> 是, 请说明 Yes, Please Specify _____</p> <p>2. 客户之任何董事、主要股东、最终实益持有人、最终主要实益持有人或获授权人士是否与橙信财富任何雇员有亲属关系? Does any director, substantial shareholder, ultimate beneficiary, ultimate principal beneficial owner or Authorized Person of the Client are related to any employee in C.Xin?</p> <p><input type="checkbox"/> 否 No <input type="checkbox"/> 是, 雇员姓名为 Yes, such employee's name is _____</p> <p>3. 本人/吾等属税务目的下的美国居民, 亦为美国公民。 I am/we are resident of the U.S. for tax purposes and that I am/we are a U.S. citizen.</p> <p><input type="checkbox"/> 否 No <input type="checkbox"/> 是, 请说明 Yes, Please Specify: _____</p>					
<b>第三部分 Part 3: 银行户口资料 BANK ACCOUNT INFORMATION</b>					
银行名称 Bank Name					
银行帐户货币/ 号码 Bank Account Currency / Number	<input type="checkbox"/> HKD 港元 A/C# 帐户号码 _____ <input type="checkbox"/> CNY 人民币 A/C# 帐户号码 _____				
账户持有人名称 Bank Account Holder's Name					

<b>客户声明 Client Declaration</b>	
<p>本人/吾等在此确认本人/吾等已经收到、阅读、理解并同意客户协议书、投资风险评估和条款及细则及风险披露声明。 I/We hereby confirm that I/we have received, read, understood and agree to the Client Agreement, Investment Risk Profiling Questionnaire and Terms and Conditions and Risk Disclosure Statements.</p> <p>本人/吾等在此声明客户数据声明内的资料均为属实、完整及正确。橙信财富有限公司获授权随时联络任何人包括但不限于本人/吾等之银行、经纪或任何信用机构, 以求证实客户资料声明内所载之内容。 I/We represent that all information provided to C.Xin Asset Management Limited in connection with this Client Agreement is in all respects true, complete and correct. The C.Xin Asset Management Limited is authorized at any time to contact any person, including, but without limitation, to my/our banks, brokers or any credit agency, for purposes of verifying the client information contained herein.</p> <p>本人/吾等确认本人/吾等现时并非受雇于任何持牌法团或注册机构从事证券及期货条例(香港法例第五百七十一章)界定的受监管活动, 否则本人/吾等明白本人/吾等须向橙信财富有限公司提供本人/吾等雇主所发出的同意书方可以于橙信财富有限公司开立及使用本人/吾等的帐户。本人/吾等并承诺如不再受雇于任何持牌法团或注册机构从事受监管活动时立即通知橙信财富有限公司。</p>	

I/We declare that I am / we are not currently employed by any entity licensed or registered to carry on regulated activities as defined in the Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong). Otherwise, I/we understand that I am/we are required to provide C.Xin Asset Management Limited written consent from my/our employer(s) before I/we open and operate any account with The C.Xin Asset Management Limited. I/We undertake to promptly notify C.Xin Asset Management Limited if I/we become or cease to be employed by any entity licensed or registered to carry on regulated activities.

本人/吾等承诺如任何载于此客户协议书内的资料有任何变更，本人/吾等将尽快以书面通知橙信财富有限公司。除非橙信财富有限公司接收到本人/吾等更改有关内容的书面通知。橙信财富有限公司有权在任何情况下完全依赖本人/吾等的证明及确认。

I/We undertake to notify C.Xin Asset Management Limited in writing forthwith upon any changes to any of the information contained in this Agreement. C.Xin Asset Management Limited is entitled to rely fully on any of my/our certification and confirmation contained herein for all purposes, unless C.Xin Asset Management Limited receives notice in writing of any changes thereof.

### 客户签署 Client Signature

个人客户 Individual/Primary Client	联名客户 Joint Client (如适用)
<p>客户签署 Signature: _____</p> <p>客户姓名 Client Name: _____</p> <p>日期 Date: _____</p>	<p>客户签署 Signature: _____</p> <p>客户姓名 Client Name: _____</p> <p>日期 Date: _____</p>

如申请开立联名账户，请选择以下其中一项账户签署要求 (如果不选择任何选项，默认需要所有联名账户户口持有人的签署)：  
For Joint Account application, please select one of the following options for signatory requirement for your account (if no option is chosen, the default is all signatures of Joint Account holders required):

- ☐ Requires all signatures of Joint Account Holders  
需要所有联名账户户口持有人的签署
- ☐ Requires at least one (1) signature  
需要其中一位联名账户户口持有人的签署
- ☐ Requires signature of Joint Account Primary Holder 需要联名账户主要户口持有人的签署。

### 只供本行使用 For Internal Use Only

本人已向客户提供了客户协议 (包括但不限于，条款及细则、投资风险评佔及风险披露声明) (以下称“客户协议”) 的中英文版本。本人已向客户解释了客户协议之内容，并且已建议客户有权提出问题及寻求独立意见。I have provided to the client(s) the Client Agreement (including but not limited to, Terms and Conditions, Investment Risk Profiling Questionnaire and Risk Disclosure Statements) (the “Client Agreement”) in both English and Chinese version. I have explained the content of the Client Agreement to the client(s), and I have advised the client(s) the right to ask questions and seek independent advice.

经由橙信财富有限公司承认及接纳。APPROVED AND ACCEPTED BY C.XIN ASSET MANAGEMENT LIMITED.

C.Xin licensed staff	Responsible Officer
Signature: _____	Signature: _____
Name and CE No.: _____	Name and CE No.: _____
Date: _____	Date: _____