

To: CNI SECURITIES GROUP LIMITED (“CNI”), whose CE number is ATM582, being a licensed corporation under the Securities and Futures Ordinance (cap. 571) registered as such with the Securities and Futures Commission (“SFC”) and having its registered office at 26th Floor, Times Media Centre, 133 Wanchai Road, Wan Chai, Hong Kong.

致：中國北方證券集團有限公司(“中國北方”)根據香港法例第 571 章之證券及期貨條例在香港證券及期貨事務監察委員會註冊的持牌法團，中央編號為 ATM582，其註冊地址為香港灣仔灣仔道 133 號卓凌中心 26 樓

CLIENT IDENTITY FORM

客戶身份表格

I/We, _____, hereby request that a Professional Investor Account be opened and maintained in the name of me/us with CNI Securities Group Limited for the purpose of engaging in securities trading and related services or otherwise including, but not limited to, any purchases, sales, holdings and other dealings in securities trading from time to time at my/our request.

本人/吾等，_____，特此以本人/吾等向中國北方證券集團有限公司申請專業投資者賬戶開立及其維護管理事宜。此賬戶之目的為進行證券交易及相關業務操作，或包括但不限於本人/吾等之需的任何買入，沽出，持貨及其他證券交易操作。

We agree that the following terms shall apply in respect of all Transactions with your firm:-

吾等同意按改協議書進行的所有交易均遵守下列條款:-

If we effect transactions for the account of clients, whether on a discretionary or non-discretionary basis, and whether as agent or by entering into matching transactions as principal with our clients, we hereby agree that, in relation to a transaction where you have received an enquiry from the Exchange and/or the Securities and Futures Commission (the “Hong Kong regulators”), the following provisions shall apply.

若吾等是以客戶的戶口進行交易，不論是否受客戶全權委託、以代理人身份抑或以當事人身份與吾等之客戶進行對盤交易，吾等同意就閣下接獲港交所及證券及期貨事務監察委員會（「香港監管機構」）查詢的交易而言，須遵守下列規定：

(a) Subject to as provided below, we shall, immediately upon request by you (which request shall include the relevant contact details of the Hong Kong regulators), inform the Hong Kong regulators within 2 business days of the identity, address, occupation and contact details of the client for whose account the transaction was effected and (so far as known to us) of the person with the ultimate beneficial interest in the transaction. We shall also inform the Hong Kong regulators of the identity, address, occupation and contact details of any third party (if different from the client/the ultimate beneficiary) who originated the transaction.

在符合下列規定下，吾等須按閣下要求（此要求應包括香港監管機構的聯絡詳情），立即知會香港監管機構有關所進行交易之戶口所屬客戶及（據吾等所知）該宗交易的最終受益人的身份、地址、職業及聯絡資料，吾等亦須知會香港監管機構任何發起有關交易的第三者（與客戶/最終受益人不同者）的身份、地址、職業及聯絡資料。

(b) (i) If we effected the transaction for a collective investment scheme, discretionary account or discretionary trust, we shall, immediately upon request by you (which request shall include the relevant contact details of the Hong Kong regulators), inform the Hong Kong regulators within 2 business days of the identity, address and contact details of the scheme, account or trust and, if applicable, the identity, address, occupation and contact details of the person who, on behalf of the scheme, account or trust, instructed us to effect the transaction. 若吾等是為集合投資計劃、全權委託戶口或全權信託進行交易，吾等須按閣下要求（該要求應包括香港監管機構的聯絡詳情），立即知會香港監管機構有關該計劃、戶口或信託的身份、地址及聯絡資料及（如適用）有關該名代表、該計劃、戶口或信託向吾等發出交易指示的人士的身份、地址、職業及聯絡資料。

(ii) If we effected the transaction for a collective investment scheme, discretionary account or discretionary trust, we shall, as soon as practicable, inform you when our discretion to invest on behalf of the scheme, account or trust has been overridden. In the case where our investment discretion has been overridden, we shall, immediately upon request by you (which request shall include the relevant contact details of the Hong Kong regulators), inform the Hong Kong regulators within 2 business days of the identity, address, occupation and contact details of the person(s) who has or have given the instruction in relation to the transaction.

若吾等是為集合投資計劃、全權委託戶口或全權信託進行交易，吾等在吾等全權代表該計劃、戶口或信託進行投資的權力已予撤銷時須在盡快可行的情況下通知閣下。在吾等全權代客投資的權力已予撤銷的情況下，吾等須按閣下要求（該要求應包括香港監管機構的聯絡詳情）立即知會香港監管機構有關該名 / 或多名曾向吾等發出有關交易指示的人士的身份、地址、職業及聯絡資料。

(c) we are aware that our client is acting as intermediary for its underlying client(s), and we do not know the identity, address, occupation and contact details of the underlying client for whom the transaction was effected, we confirm that:-

若吾等知悉吾等之客戶乃作為其本身客戶之中介人進行交易，但吾等並不知道有關交易所涉及其本身客戶之身份、地址、職業及聯絡資料，則：

(i) we have arrangements in place with our client which entitle us to obtain the information set out in paragraph

(a) and/or (b) from our client immediately upon request or procure that it be so obtained; and

吾等須與吾等之客戶作出安排，讓吾等可按要求立即向吾等之客戶取得第 (a) 及 / 或 (b) 段的資料，或促使取得有關資料；及

(ii) we will, upon request from you in relation to a transaction, promptly request the information set out in paragraph (a) and/or (b) from our client on whose instructions the transaction was effected, and provide the information to the Hong Kong regulators as soon as received from our client or procure that it be so provided.

吾等將按閣下就有關交易提出的要求，即行要求或促使向吾等發出交易指示的客戶提供 (a) 及 / 或 (b) 段的資料，及在收到吾等之客戶所提交的資料後即呈交予香港監管機構。

SIGNED BY CLIENT

客戶簽名

Authorized Signature(s) with Company Chop

客戶簽名及公司蓋章

Name

姓名：_____

Date

日期：_____