



证券账户开立申请表(适用于机构)

Securities Account Opening Application Form (Apply for Entities)

身份信息 Identification Information			
机构名称 Entity Name			国籍或地区 Nationality or Region
主要身份证明文件类别 Main Identification Document Type	<input type="checkbox"/> 工商营业执照 <input type="checkbox"/> 社团法人登记证书 <input type="checkbox"/> 事业法人登记证书 <input type="checkbox"/> 机关法人成立批文 <input type="checkbox"/> LEI (全球法人机构识别编码) <input type="checkbox"/> 其他证件 <input type="checkbox"/> Certificate of Incorporation <input type="checkbox"/> Association Incorporation Business Registration <input type="checkbox"/> Institutional Incorporation Business Registration <input type="checkbox"/> Government Agency Incorporation Approval Letter <input type="checkbox"/> LEI (Legal Entity Identifier) <input type="checkbox"/> Others		证件有效期截止日期 ID Maturity Date <input type="checkbox"/> 年 月 日 YYYY/MM/DD <input type="checkbox"/> 长期有效 No fixed maturity
主要身份证明文件号码 Main Identification Document Number			
主要身份证明文件注册地址 Main Identification Document Address			
辅助身份证明文件类别 Supplementary Identification Document Type		证件有效期截止日期 ID Maturity Date	<input type="checkbox"/> 年 月 日 YYYY/MM/DD
辅助身份证明文件号码 Supplementary Identification Document Number			
辅助身份证明文件注册地址 Supplementary Identification Document Address			
是否属于应当在中国基金业协会登记的私募基金管理人: <input type="checkbox"/> 是 <input type="checkbox"/> 否 Pertain to Private Equity Fund Manager which shall be registered with Asset Management Association of China: <input type="checkbox"/> Yes <input type="checkbox"/> No		私募基金管理人编码 Private Equity Fund Manager Code	
基本信息 Basic Information			
机构简称 Abbreviated Name			英文名称 English Name
机构类别 Type of Entity	境内机构 Domestic Entity	一般法人机构 General Incorporated Entity	<input type="checkbox"/> 企业法人 <input type="checkbox"/> 机关法人 <input type="checkbox"/> 事业法人 <input type="checkbox"/> 社团法人 <input type="checkbox"/> 工会法人 <input type="checkbox"/> 其他非金融机构法人 <input type="checkbox"/> Enterprise Incorporation <input type="checkbox"/> Government Agency Incorporation <input type="checkbox"/> Institutional Incorporation <input type="checkbox"/> Association Incorporation <input type="checkbox"/> Labor Union Incorporation <input type="checkbox"/> Other Non-financial Incorporation
		特殊法人机构 Special Incorporated Entity	<input type="checkbox"/> 证券公司 <input type="checkbox"/> 银行 <input type="checkbox"/> 信托投资公司 <input type="checkbox"/> 基金管理公司 <input type="checkbox"/> 保险公司 <input type="checkbox"/> 破产管理人 <input type="checkbox"/> 私募基金管理人 <input type="checkbox"/> 其他特殊法人机 构 <input type="checkbox"/> Securities Company <input type="checkbox"/> Bank <input type="checkbox"/> Trust and Investment Company <input type="checkbox"/> Fund Management Company <input type="checkbox"/> Insurance Company <input type="checkbox"/> Bankruptcy Administrator <input type="checkbox"/> Private Equity Fund Manager <input type="checkbox"/> Other Special Incorporated Entities
		非法人机构 Unincorporated Entity	<input type="checkbox"/> 普通合伙企业 <input type="checkbox"/> 特殊普通合伙企业 <input type="checkbox"/> 有限合伙企业 <input type="checkbox"/> 非法人创业投资企业 <input type="checkbox"/> General Partnership Enterprise <input type="checkbox"/> Special General Partnership Enterprise <input type="checkbox"/> Limited Partnership <input type="checkbox"/> Unincorporated Venture Capital Enterprise

	境外机构 Overseas Entity	<input type="checkbox"/> 境外一般机构 <input type="checkbox"/> 境外代理人 <input type="checkbox"/> 境外证券公司 <input type="checkbox"/> 境外基金公司 <input type="checkbox"/> 外国战略投资者 <input type="checkbox"/> 其他 <input type="checkbox"/> Institution <input type="checkbox"/> Nominee <input type="checkbox"/> Securities Company <input type="checkbox"/> Fund <input type="checkbox"/> Strategic Investor <input type="checkbox"/> Others			
国有属性 State-owned Property	<input type="checkbox"/> 国有股东 (SS) <input type="checkbox"/> 国有实际控制股东 (CS) <input type="checkbox"/> 暂未分类的国有股东 <input type="checkbox"/> 非国有或非国有实际控制股东 <input type="checkbox"/> State-owned Shareholder (SS) <input type="checkbox"/> State Controlled Shareholder (CS) <input type="checkbox"/> Unclarified State-owned Shareholder <input type="checkbox"/> Non State-owned or Non State Controlled Shareholder				
资本属性 Capital Property	<input type="checkbox"/> 境内资本 <input type="checkbox"/> 三资 (合资、合作、外资) <input type="checkbox"/> 境外资本 <input type="checkbox"/> Domestic Capital <input type="checkbox"/> Joint Capital, Cooperation, Foreign Capital <input type="checkbox"/> Overseas Capital				
法定代表人或负责人 Legal Representative/ Person in Charge	姓名 Name		身份证明文件类型 Identification Document Type	<input type="checkbox"/> 居民身份证 <input type="checkbox"/> 其他 () <input type="checkbox"/> Resident Identification Card <input type="checkbox"/> Others ()	
	身份证明文件号码 Identification Document Number				
联系信息 Contact Information					
联系人 Contact Person	姓名 Name		身份证明文件类型 Identification Document Type	<input type="checkbox"/> 居民身份证 <input type="checkbox"/> 其他 () <input type="checkbox"/> Resident Identification Card <input type="checkbox"/> Others ()	
	身份证明文件号码 Identification Document Number				
单位电话 Office Phone Number		单位传真 Fax Number		移动电话 Mobile Phone Number	
联系地址 Address					邮政编码 Postal Code
电子邮箱 Email Address			公司网址 Website		
服务信息 Services Information					
是否直接开通网络服务 Directly Open Internet Services	<input type="checkbox"/> 是 <input type="checkbox"/> 否 Yes No			网络服务初始密码 Internet Services Initial Password	
证券账户开立 Securities Account Opening					
<input type="checkbox"/> 一码通账户号码: <u>已有一码通的填写一码通号码</u> <input type="checkbox"/> YI MA TONG Account Number (if any): _____ <input type="checkbox"/> A 股账户 <input type="checkbox"/> 沪市 B 股账户 <input type="checkbox"/> 深市 B 股账户 <input type="checkbox"/> 沪市封闭式基金账户 <input type="checkbox"/> 深市封闭式基金账户 <input type="checkbox"/> 沪市衍生品合约账户 <input type="checkbox"/> 深市衍生品合约账户 <input type="checkbox"/> 其他 () <input type="checkbox"/> A Share Account <input type="checkbox"/> Shanghai B Share Account <input type="checkbox"/> Shenzhen B Share Account <input type="checkbox"/> Shanghai Close-end Fund Account <input type="checkbox"/> Shenzhen Close-end Fund Account <input type="checkbox"/> Shanghai Derivatives Contracts Account <input type="checkbox"/> Shenzhen Derivatives Contracts Account <input type="checkbox"/> Others ()					
开户方式: <input type="checkbox"/> 临柜开户 <input type="checkbox"/> 见证开户 <input type="checkbox"/> 网上开户 Account Opening Approach: On Site Witness Online					
机构经办人或自然人代办人信息 Entity's or Natural Person's Agent Information					
姓名 Name			身份证明文件类型 Identification Document Type	<input type="checkbox"/> 居民身份证 <input type="checkbox"/> 护照 <input type="checkbox"/> 其他 <input type="checkbox"/> Resident Identification Card <input type="checkbox"/> Passport <input type="checkbox"/> Others	
联系电话 Phone Number			身份证明文件号码 Identification Document Number		

备注： Notes:		
开户代理机构填写 For Delegated Account Opening Agency		
<input type="checkbox"/> 已审核投资者身份证明文件的真实性、有效性、完整性。 The authenticity, validity and completeness of the investor's ID checked		
<input type="checkbox"/> 申请人、经办人或代办人已签名。 Applicant or agent signed		
<input type="checkbox"/> 已审核业务申请表中的填写信息与业务申请材料相关内容一致。 The consistency of information in application form and application materials checked		
经办人： Agent:	复核人： Checker:	联系方式： Phone Number:
代理机构用章： Stamp by Agency:		填表日期： Date:

本人已阅读并承诺遵守《证券账户业务办理须知》（见背面），保证填写的上述资料真实、准确、完整、有效，并承诺不出借证券账户给他人使用，不通过证券账户下设子账户、分账户、虚拟帐户等方式违规进行证券交易。对因违反《证券账户管理规则》导致的相应经济损失和法律责任由本人承担

I/we have read and acknowledge to comply with the *Securities Account Business Process Notice* (See back-side); guarantee for authenticity, accuracy, completeness and validity of the above filled information; promise not lending the securities account for others' using, not conduct securities transactions in violation of rules via created sub, segregated, virtual accounts. Any corresponding financial losses or legal liabilities due to violations of *Securities Account Business Process Notice* shall be borne by myself/ourselves.

申请人确认签字：

Applicant's Seal/Signature:

日期：

Date:

年

月

日

证券账户业务办理须知

1、中国证券登记结算有限责任公司(以下简称中国结算)及其委托的开户代理机构,负责为投资者开立证券账户,用于记录证券账户持有人的证券(含证券衍生品)持有及其变动情况,并提供证券账户查询、变更、注销以及关联关系确认等账户业务服务。

2、投资者开立和使用证券账户应当遵守国家有关法律法规、行政规章以及中国结算《证券账户管理规则》及相关自律规则等有关规定。投资者在申请开立证券账户前,应当仔细阅读本须知及业务申请表。投资者签署业务申请表后,表示其已经认真阅读并同意接受本须知条款。对于拒绝签署申请表的投资者,中国结算或其委托的开户代理机构拒绝为其开立证券账户。

3、投资者应当以本人名义开立证券账户,不得冒用他人名义或利用虚假证件开立证券账户。投资者提交开户申请时,应当提供真实、准确、完整、有效的开户信息及申请材料,并对材料的真实性、准确性、完整性、有效性负责。投资者应对中国结算或开户代理机构录入的证券账户信息予以确认并对确认结果负责。投资者因违规开立证券账户导致的相应经济损失和法律责任由其本人承担。

4、中国结算及其委托的开户代理机构对投资者所提供的开户申请材料进行形式审核,可通过身份证阅读器或公安部身份证核查系统、机构信息核查系统、电信运营商等核验投资者提供的各项信息。前述审核行为并不表明对投资者所提供的业务申请材料作出真实性判断或者保证。

5、投资者办理证券账户开立时,统一账户平台将根据开户代理机构的申报建立新开证券账户与一码通账户之间的关联关系。

6、投资者应当使用以本人名义开立的账户,不得使用他人证券账户或使用以虚假身份开立的证券账户,不得将本人证券账户提供给他人使用。中国结算及其委托交易的证券公司有权通过调查、回访等方式了解投资者账户使用情况,投资者应积极配合,提供核实账户使用情况的必要资料。为确保账户安全,对于发现或有合理怀疑存在投资者非实名使用账户并涉及违法违规行为的,中国结算及其委托交易证券公司有权暂停为其提供相关账户服务,直至核查完成。投资者因不配合调查回访、违规使用证券账户导致的相应经济损失和法律责任由其本人承担。

7、中国结算及其委托的开户代理机构有权依据《证券账户管理规则》等有关规定认定为不合格账户;对满足休眠条件的证券账户进行休眠处理。

8、发生以下情形时,中国结算及其委托的开户代理机构可以对投资者相关证券账户采取限制新开户、限制证券买入或卖出、限制转托管或转指定、不予办理新业务等限制使用措施,由此产生的相应经济损失和法律责任由投资者本人承担:(1)投资者未按要求进行关联关系确认;(2)投资者未及时按照有关规定变更或补充证券账户信息;(3)因投资者身份由境内居民变更为境外居民等情形而不再符合有关开户条件;(4)投资者相关证券账户被认定为不合格账户;(5)投资者存在出借或借用证券账户行为的;(6)法律法规、行政规章、中国证监会及中国结算规定的其他情形。

9、投资者申请注销证券账户时,应当确保满足注销条件,并不得使用注销账户申报交易。证券账户注销后不可恢复使用。对投资者违反注销规定而因此产生的相应经济损失和法律责任由投资者本人承担。

10、发生以下情形时,投资者、证券资产合法继承人或承继人等相关当事人应当按要求及时注销证券账户,未按要求注销的,中国结算及其委托的开户代理机构可以对投资者相关证券账户予以注销,由此产生的相应经济损失和法律责任由投资者、证券资产合法继承人或承继人等承担:(1)自然人投资者死亡、机构投资者主体资格丧失、产品

到期或被终止的;(2)不合格账户无法规范为合格账户的;(3)因投资者身份由境内居民变更为境外居民等情形而不再符合开户条件的;(4)连续 10 年(含)以上未使用的;(5)法律法规、行政规章、中国证监会及中国结算规定的其他情形。

11、中国结算及其委托的开户代理机构对投资者开户及实名制核查材料负有保密责任,不得违规对外提供。

12、因不可抗力而引起的业务办理错误,中国结算及其委托的开户代理机构不承担任何责任。

13、中国结算修订账户业务规则及本须知时,应当公告提示,无须知会申请人和证券账户持有人。申请人和证券账户持有人应当按照修订后的业务规则及须知执行。



Securities Account Business Process Notice

1. China Securities Depository and Clearing Corporation Limited (“CSDC”) and its delegated account opening agency are responsible for opening securities accounts with purpose of recording investors’ holding of and changes to securities (including securities derivatives), and providing securities account inquiry, amendment, cancellation, association relationship confirmation and other account related services.
2. Investors, who open and use securities accounts, shall comply with the applicable laws and regulations of PRC, administrative regulations, *The Securities Account Management Rules* promulgated by CSDC and other relevant rules. Before investors apply for opening securities accounts, they should carefully read this Notice and the application forms. Signing the application form indicates that investors have carefully read and agreed to be bound by the terms and conditions of this Notice. CSDC and its delegated account opening agency will refuse to open securities accounts for the investors who refuse to sign the application form.
3. **Investors shall open securities accounts with their own names; shall not use others’ names or fake IDs to open securities accounts.** When opening accounts, investors shall provide authentic, accurate, complete and valid account opening information and application materials, and be responsible for the authenticity, accuracy, completeness and validity of their application materials. Investors shall confirm the information recorded by CSDC and its delegated agency of account opening and be responsible for the results confirmed by the investors themselves. **Any corresponding financial losses or arising liabilities due to opening securities accounts by investors in violation of relevant rules shall be borne by the investors.**
4. CSDC and its delegated account opening agency check the investors’ application materials regarding account opening, through ID card reader, Ministry of Public Security ID card verification system, institutional information verification system, telecom operators etc., to verify any information provided by investors. This aforementioned checking process does not mean making judgment or guarantee for authenticity of the application materials provided by investors themselves.
5. When investors apply for opening the securities accounts, the unified account platform will establish a new linkage between the newly-opened securities accounts and the YI MA TONG account according to the application submitted by the account opening agency.
6. **Investors shall open securities accounts with their own name; shall not use others’ securities accounts or use accounts opened by using fake IDs; and shall not lend personal accounts for others’ using. CSDC and its delegated securities brokers have the right to**

understand the usage of the investors' accounts through investigation or re-visits, and investors shall actively cooperate and provide the necessary materials to verify the accounts' usage. In order to ensure the security of accounts, if there is discovery or reasonable suspicion that any investor uses account with unreal name and/or is involved in activities breaching the laws or regulations, CSDC and its delegated securities brokers have the authority to suspend providing account-related services to the violating investor until the verification is completed. Any corresponding financial losses or arising liabilities due to not cooperating with investigation and re-visits or using of securities accounts in violation of relevant rules shall be borne by the investors themselves.

7. CSDC and its delegated account opening agency are entitled to hibernate securities accounts, which are considered as unqualified or satisfy the conditions of dormancy according to *The Securities Account Management Rules* and other relevant rules.
8. Upon occurring the following circumstances, CSDC and its delegated account opening agency are entitled to suspend the opening of new account; restrict securities purchase and sale; limit transferring custodian bank or designated broker; refuse to process new business and take other measures to restrict the usage, the corresponding financial losses or legal liabilities arising from which are borne by the investors themselves, where: (1) investors do not confirm the association relationship according to requirements; (2) investors do not promptly amend or make supplement to securities account information according to relevant rules; (3) no longer satisfying the conditions of account opening due to the investor's citizenship changes from domestic to foreign; (4) investors' relevant securities accounts are considered as disqualified accounts; (5) investors have behaviors of lending or borrowing securities accounts; and (6) any other circumstances as specified in laws and regulations, administrative regulations or described by China Securities Regulatory Commission and CSDC.
9. When investors apply for cancellation of the securities accounts, they shall guarantee the satisfaction of the cancellation conditions, and shall not conduct any transactions by using accounts which have already been cancelled. The securities accounts which have already been cancelled shall not be reinstated. Any corresponding financial losses or legal liabilities due to investors' violations of cancellation rules shall be borne by the investors themselves.
10. Upon occurring the following circumstances, investors, legitimate inheritor or successor of securities asset or other relevant parties shall comply with the requirements to promptly cancel their securities accounts in time. CSDC and its delegated account opening agency are entitled to cancel relevant securities accounts if such accounts are not properly cancelled per the requirements, the corresponding financial losses or legal liabilities arising from which are borne by the investors, legitimate inheritor or successor of securities asset themselves, where: (1) natural persons investors die; institutional investors are disqualified; products reach their expiration dates or are terminated; (2) disqualified accounts failed to be adjusted to qualified accounts; (3) no longer satisfying the conditions of account opening due to the investor's citizenship changes from domestic to foreign; (4) continually not using for and over 10 years;

and (5) any other circumstances as specified in laws and regulations, administrative regulations or described by China Securities Regulatory Commission and CSDC.

11. CSDC and its delegated account opening agency owe the duty of confidentiality to investors in respect of the application and real name verification materials; and shall not illegally disclose such materials to any third party.
12. CSDC and its account opening delegated agency are not responsible for the processing mistakes caused by the force majeure.
13. When CSDC amends the Securities Business Rules and this Notice, an announcement shall be made for notification; but it is not required to notify any applicants or securities account holders. Applicants and securities holders shall perform according to the amended Securities Business Rules and Notice.