

关于落实《中国证券登记结算有限责任公司 证券账户管理规则》中有关 B 股账户业务的补充通知

各 B 股开户代理机构：

根据《中国证券登记结算有限责任公司证券账户管理规则》（以下简称《规则》），现就境外投资者开立 B 股证券账户业务的有关问题通知如下：

一、《规则》第 1.7 条规定境外法人的有效身份证明文件是指有效商业注册登记证明文件等。对于无商业注册登记证明文件的境外机构，其有效身份证明文件是指与商业注册登记证明文件具有相同法律效力的可证明其机构设立的文件，如基金注册文件、基金设立公告、基金与其托管机构签订的托管协议、托管机构对开户申请人身份的确认文件、或境外开户代理机构对开户申请人身份的确认文件等。

境外非法人机构在申请办理 B 股证券账户业务时，比照法人办理。

二、《规则》第 3.11 条规定，本公司实行实时配号开户方式。在一些开户代理机构尚未开通实时开户系统之前，或因系统故障等原因导致实时开户系统暂时无法使用时，可以通过邮寄、传真或人手传递等形式办理证券账户开户业务。

三、《规则》所称“经办人”指前往开户代理机构办理证券账户业务的自然人。

四、《规则》中规定境外机构申请办理证券账户业务时，还需提供的“授权委托书”指前往开户代理机构办理证券账户业务的具体经办人合法得到的该机构董事会或董事、主要股东及其他有权人士出具的认可其办理有关 B 股证券账户业务的授权委托书。

五、《规则》所称“授权人的有效身份证明文件”指能够证明该授权人有权授权的文件。

六、《证券账户注册说明书》英文稿和证券账户业务申请表的英文格式（见附件）及 B 股证券账户卡适用于境外投资者。

七、境外投资者可以名义持有人的名义开立证券账户。

八、一般情况下，境外开户代理机构应要求投资者提供其有效身份证明文件及其他申请文件。境外开户代理机构若遇多重代理情况无法直接审核申请人相关文件时，可在确保相关资料已被前几级代理机构严格审核的前提下，代为填写有关证券账户业务申请表，并确保证券账户业务申请文件的准确性和完整性。

二 二 年五月三十日

附件



Securities Account Opening Notice

- I.** The China Securities Depository and Clearing Corporation Limited (CSDCC) and its designated agencies offer services of securities account opening, taking care of account card loss report and re-issuance, account cancellation and consolidation, account opening information inquiry and updating. The securities account keeps a record of the holder's securities holding balance and change.
- II.** An applicant should read this notice and the account opening application form carefully before opening an account. The applicant should agree to the terms and conditions set forth in the notice by signing the form.
- III.** CSDCC and its agencies have the right to turn down the application if the applicant fails to sign the form.
- IV.** All the applicants will be obliged to comply with all the relevant laws, regulations and CSDCC rules.
- V.** Applicants should provide authentic, accurate and complete documents and information required for account opening and be responsible for the authenticity, accuracy and completeness of them.
- VI.** The applicant should verify the information input by CSDCC or its agencies and be responsible for his final verification.
- VII.** An account holder should update CSDCC or its agencies with any important changes concerning the holder's information. Otherwise, any economic loss or legal liabilities arising from such an omission should be borne by the account holder himself.
- VIII.** Account holders should make sure of proper use of the account. Any economic loss or legal liabilities caused by holder's account abuse should be borne by the account holder himself.
- IX.** CSDCC and its agencies should keep the information regarding the holder's account confidential and should not expose it to third parties except when it is required by laws or regulations. Otherwise, any economic loss or legal liabilities caused by improper information disclosure should be borne by CSDCC and its agencies.
- X.** CSDCC and its agencies only check the validity of the ID and ensure the consistency between the information filled in the application form and that shown in the required documentation. They do not guarantee nor assume the responsibility to make any judgment of the authenticity of the documentation provided by applicants. CSDCC and its agencies should not be responsible for

any legal disputes arising from the following circumstances when:

1. Applicants open securities accounts with false information.
2. Applicants open securities accounts by using other people's legal documents.
3. Applicants who are prohibited from selling and buying securities by law open securities accounts.
4. Applicants open accounts against account opening regulations.

XI. CSDCC and its agencies should not be responsible for any mistakes in account opening caused by any force majeure.

XII. CSDCC should make public any revised business rules and notice in a timely manner. It does not have to notify each applicant and account holder individually. Applicants and the account holders should comply with the revised rules and notice.



Application Form for Securities Account Opening (B Shares)

A P P L I C A N T O N L Y	Applicant's Full Name					
	Mailing Address					
	E-mail Address		Postal Code		Phone No.	
	Nationality					
	Identification Document	ID Card	Passport	Certificate of Incorporation	Others	
	Identification Document Issued By					
	Identification Document No.					
	Account Category	Nominee If not, please tick	Individual	Fund	Securities Firm	Others
	If the above information is not filled by the applicant himself, the person on the applicant's behalf has to provide his own information.					
	Name					
	Address/Phone No.					
	Identification Document	ID Card	Passport	Others		
	Identification Document No.					
	<p>I certify that I have read and understood the laws, regulations and business rules related to the securities market and will comply with them. I understand and accept the terms and conditions set forth in the <i>Securities Account Opening Notice</i> and I declare that I have answered all the required questions in this application fully and truthfully.</p> <p>Signature: _____ Date: _____</p>					
A G E N C Y O N L Y	<p>We, as the securities account agency, certify that we have reviewed all of the documents provided by the applicant according to the Rule of Securities Account Management of China Securities Depository and Clearing Corporation Limited, and the above information is consistent with the documents provided.</p> <p>We will take all the legal liabilities caused by inconsistency between the above information and that of the documents provided.</p>					
	Authorized signatures :			Agency's seal :		
	Date :					

	Remarks:		
	A/C No. assigned:		

Note : Please print or type. All the information must be authentic and accurate.



**Application Form for Account Re-issuance, Information Inquiry,
Account Cancellation and Consolidation (B-Share)**

A P P L I C A N T O N L Y	Account Holder's Full Name			
	Account number			
	Application for Account:	Re-issuance	Information Inquiry	Cancellation
	Consolidation			
	Reasons for above application:			
	A/C Re-issued with (If applicable)	Original A/C No.	New A/C No.	
	Other Accounts To be consolidated (If applicable)			
	If the above information is not filled by the applicant himself, the person on the applicant's behalf has to provide his own information.			
	Name			
	Address/Phone No.			
	Identification Document	ID Card	Passport	Others
	Identification Document No.			
	<p>I certify that I have read and understood the laws, regulations and business rules related to the securities market and will comply with them. I understand and accept the terms and conditions set forth in the Securities Account Opening Notice and I declare that I have answered all the required questions in this application fully and truthfully.</p> <p>Signature: _____ Date: _____</p>			
A G E N C Y O N L Y	<p>We, as the securities account agency, certify that we have reviewed all of the documents provided by the applicant according to the Rule of Securities Account Management of China Securities Depository and Clearing Corporation Limited, and the above information is consistent with the documents provided.</p> <p>We will take all the legal liabilities caused by inconsistency between the above information and that of the documents provided.</p> <p>Authorized Signatures : _____ Agency's Seal: _____</p> <p>Date : _____</p>			
	Remarks:			

Note: Please print or type. All the information must be authentic and accurate.



Application Form for Account Information Update (B-Share)

A P P L I C A N T O N L Y	Account Holder's Full Name		
	Account Number		
	Information to be updated. : Name Identification Document No. Others		
	Renewed Information:		
	If the above information is not filled by the applicant himself, the person on the applicant's behalf has to provide his own information.		
	一、 Name		
	Address		
	/Phone No.		
	Identification Document		
	Identification Document No.		
<p>I certify that I have read and understood the laws, regulations and business rules related to the securities market and will comply with them. I understand and accept the terms and conditions set forth in the Securities Account Opening Notice and I declare that I have answered all the required questions in this application fully and truthfully.</p> <p>Signature: _____ Date: _____</p>			
A G E N C Y O N L Y	<p>We, as the securities account agency, certify that we have reviewed all of the documents provided by the applicant according to the Rule of Securities Account Management of China Securities Depository and Clearing Corporation Limited, and the above information is consistent with the documents provided.</p> <p>We will take all the legal liabilities caused by inconsistency between the above information and that of document provided.</p> <p>Authorized Signatures: _____ Agency's Seal: _____</p> <p style="text-align: center;">Date: _____</p>		
	Remarks:		

Note : Please print or type. All the information must be authentic and accurate.