



中信期貨國際有限公司

CITIC Futures International Company Limited

期貨及期權交易賬戶開戶表格

Futures and Options Trading Account Opening Form

(企業賬戶)

(Corporate Account)

賬戶號碼：

Account No.: _____



中信期貨國際有限公司，為一間核准從事證券及期貨條例(香港法例第五七一章)中第二類受規管活動(期貨合約交易)和第五類受規管活動(就期貨合約向專業投資者提供意見)之持牌法團(中央編號：BFL318)和香港期貨交易所註冊為期貨代理商，通訊位址位於香港中環添美道1號中信大廈23樓2312-2316室。

CITIC Futures International Company Limited, a licensed corporation to carry out Type 2 (dealing in futures contracts) and Type 5 (advising on futures contracts to Professional Investors Only) regulated activity for the purposes of the Securities and Futures Ordinance (Cap. 571)(CE No.:BFL318) and a participant of Futures Commission Merchant of Hong Kong Futures Exchange Limited, with corresponding address at 2312-2316, 23/F, CITIC Tower, 1 Tim Mei Avenue, Central, Hong Kong.

電話：(852)22863288，傳真：(852)22863232，網址：http://www.citicsf.com.hk

Tel：(852)22863288，Fax：(852)22863232，Website：http://www.citicsf.com.hk

本表格應與條款及細則、其附錄(特別是風險披露說明)和/或其它開戶文件一併閱覽。所有該等文件均包括其不時修改、補充和/或改變之版本。所有通過中信期貨國際進行之交易應受制於協議中之條款及細則。所用特定詞彙若無定義則採用和期貨及期權買賣條款中一樣的解釋。

This Form shall be read together with the Terms and Conditions and its schedules (especially the Risk Disclosure Statements), and/ or other account opening documents, in each case as amended, supplemented and/or modified from time to time. All transactions to be conducted through CFI shall be subject to the applicable terms and conditions of the Agreement. Unless otherwise specified, captioned terms used herein but not defined shall have the same meaning as assigned to them in the Terms and conditions for Futures and Options Trading.

如您為中信期貨國際之新客戶，請填寫本表中所要求的部分及勾選適用選項。

If you are CFI's new Customer(s), please complete the requested parts and tick the applicable option in this Form.

如您為中信期貨國際之現有客戶，可在勾選以下聲明後，在客戶經理全權指引下，選填本表所需部分而無需重新填寫本表所有部分。

If you are CFI's existing Customer(s), after ticking the announcement below, you may choose to fill the necessary parts of this Form under the sole direction of your manager, instead of refilling the whole Form.

吾等，客戶編號_____，通過勾選此聲明：(1) 在等先前填寫、選擇和/或作出的本表格中的內容、選項和/或聲明沒有被書面修改的程度內，特此在新加內容、選項和/或聲明之外重申此等先前內容、選項和/或聲明；(2) 陳述和保證此等重申之內容、選項和/或聲明現仍真實、準確、全面及有效；和(3) 吾等新加之內容、選項和/或聲明修改和/或增補了重申之內容、選項和/或聲明，它們一併構成協議的一部分並且持續有效及對吾等有約束力。

We, Customer No. _____, by choosing this announcement: (1) to the extent that the contents, options and/ or announcements that we previously filled, chose and/ or made in this Form are not modified in writing, hereby repeat the same apart from my/ our newly adopted contents, options and/ or announcements; (2) represent and warrant that such repeated contents, options and/ or announcements are still true, accurate, complete and valid; and (3) our newly adopted contents, options and/ or announcements amend and/ or supplement the repeated ones, and they together constitute parts of the Agreement, continue to take effect and are binding on us.

A. 客戶資料聲明 Customer Information Statement

| 1. 公司資料 Corporate Information | | | | | |
|--|--|--|--|--|--|
| 客戶名稱 Name of Customer | | (中文/Chinese) (英文/English) | | | |
| 註冊成立地方 Place of Incorporation | | 註冊成立日期 Date of Incorporation | | 經營業務年數 Years in the Business | |
| 公司註冊號碼 Certificate of Incorporation Number | | 商業登記證號碼 Business Registration Number | | | |
| 業務性質 Nature of Business | | 法定股本 Authorized Share Capital | | 結單選擇語言 Selected Language for Statement <input type="checkbox"/> 中文 <input type="checkbox"/> English | |
| 註冊地址 Registered Address | | | | | |
| 通訊地址 Correspondence Address | | | | | |
| 聯絡電話 Contact Phone No. | | 1. () - 2. () - | | 傳真號碼 Facsimile No. 1. () - 2. () - | |
| 電郵地址 Email Address | | <input type="checkbox"/> 登記電子賬單服務：賬戶結單電郵至登記電郵地址 E-statement registration: statement of the account will be sent to the registered email address | | | |
| 電郵地址 (如和以上不同) Email Address (if different from the above) | | <input type="checkbox"/> 登記有關保證金通知之電子郵箱 Email registration in relation to Margin calls | | | |
| 指定銀行戶口 Designated Bank Account | | | | | |
| 銀行名稱 Bank name | | 賬戶名稱 Account Name | | 賬戶號碼 Account No. | |
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| 2. 董事 / 合夥人資料 Particulars of Directors / Partners | | | | | |
| 姓名 (中文及英文) Name (Chinese & English): | | 身份證/ 護照號碼/ 公司註冊號碼 ID No./ Passport No./Certificate of Incorporation No.: | | 國籍 Nationality: | |
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| 3. 賬戶最終權益擁有人的身份 Identity of the Ultimate beneficial owner(s) of the Account(s) | | | | | |
| # 若客戶為集合投資計劃、全權委託賬戶及/或全權委託信託，請於本欄提供有關計劃、賬戶及/或信託之名稱。 If the Customer is a collective investment scheme, discretionary account and/ or discretionary trust, please fill in the name of the scheme, account and/ or trust. | | | | | |
| <input type="checkbox"/> 本客戶 The Customer 請註明擁有百分之二十五或以上公司最終權益之持有人 (上市公司不用填寫) Please specify below any individual who holds 25% or more of the ultimate beneficial interest of the Customer (not applicable to public listed company) | | | | | |
| 姓名 Name: | 身份證/ 護照號碼 ID No./ Passport No. | 國籍 Nationality: | 出生地及日期 Place and Date of Birth: | 住宅地址 Home Address: | 電話號碼 Tel. No.: |
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| 4. 就此賬戶進行交易的最終負責發出指示人士 (若與賬戶最終權益擁有人相同則不用填寫本欄) Identity of the person(s) ultimately responsible for giving instructions in relation to transactions to be conducted through the Account (Not applicable if it is same as the ultimate beneficial owner(s)) | | | | | |
| # 若客戶為集合投資計劃、全權委託賬戶及/或全權委託信託，請於本欄填寫負責投資決定的投資經理之概要。 If the Customer is a collective investment scheme, discretionary account and/ or discretionary trust, please fill in particulars of the investment manager who is responsible for the investment decision. | | | | | |
| 姓名 Name: | 身份證/ 護照號碼 ID No./ Passport No. | 國籍 Nationality: | 出生地及日期 Place and Date of Birth: | 住宅地址 Home Address: | 電話號碼 Tel. No.: |
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| 5. 財務資料簡要、投資經驗及目的 Financial Background, Investment Experience and Objectives | | | | | |
| 持續財富來源 Ongoing Source of Wealth | <input type="checkbox"/> 業務收入 Business Income <input type="checkbox"/> 投資獲利 Investment Income <input type="checkbox"/> 其他 Others: | | | | |
| 持續資金來源 Ongoing Source of Fund | 資金轉移方式 Means of Fund Transfer(s) | <input type="checkbox"/> 電匯 Telegraphic Transfer <input type="checkbox"/> 支票/銀行本票 Cheque/ Bank Draft <input type="checkbox"/> 其他 Others: _____ | | | |
| | 資金來源地 Country(ies) of Origin(s) | <input type="checkbox"/> 香港 Hong Kong <input type="checkbox"/> 中國 Mainland China <input type="checkbox"/> 其他 Others: _____ | | | |
| 截至經核數師作實之稅後利潤估值 Estimated profit after tax of the Company based on the latest audited accounts as at | | | | | |
| <input type="checkbox"/> ≤HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001 - HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 - HK\$30,000,000 <input type="checkbox"/> >HK\$30,000,000 | | | | | |
| 截至經核數師作實之資產總值 Asset value of the Company based on the latest audited accounts as at | | | | | |
| <input type="checkbox"/> ≤HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 - HK\$10,000,000 <input type="checkbox"/> HK\$10,000,001 - HK\$50,000,000 <input type="checkbox"/> >HK\$50,000,000 | | | | | |
| 截至經核數師作實之資產淨值 Net Asset value of the Company based on the latest audited accounts as at | | | | | |
| <input type="checkbox"/> ≤HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 - HK\$10,000,000 <input type="checkbox"/> HK\$10,000,001 - HK\$50,000,000 <input type="checkbox"/> >HK\$50,000,000 | | | | | |
| 投資經驗 Investment Experience | <input type="checkbox"/> 沒有 No <input type="checkbox"/> 香港或海外上市證券 HK or Overseas listed securities _____年 years <input type="checkbox"/> 香港或海外期貨及期權 HK or Overseas futures and options _____年 years <input type="checkbox"/> 其他 Others _____年 years | | | | |
| 投資目的 Investment Objective | <input type="checkbox"/> 資本增長 Capital Appreciation <input type="checkbox"/> 投機 Speculation <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 賺取收入 Generating Income <input type="checkbox"/> 套戥 Arbitrage <input type="checkbox"/> 其他 Others _____ | | | | |
| 投資目標 Investment Target | <input type="checkbox"/> 短期 (少於 3 個月) Short Term (<3 months) <input type="checkbox"/> 中期 (3 - 12 個月) Medium Term (3 - 12 months) <input type="checkbox"/> 長期 (1 年以上) Long Term (>1 year) | | | | |

| 6. 資料披露 Disclosure of Information | | | |
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| 是否貴公司之股東、董事、合夥人、獲授權人、最終負責就此賬戶進行的交易發出指示之人士、或就此賬戶最終權益擁有人(「有關人士」)為香港證券及期貨事務監察委員會的持牌或註冊人士之董事或職員? Is the Customer, any of its shareholders, or directors, its partners, its Authorized Person(s), the person(s) ultimately responsible for giving instructions for the Account or the ultimate beneficial owners of the Account (“Relevant Person(s)”) a Licensed or Registered Person, or a director or an employee of any Licensed or Registered Person of the Securities and Futures Commission in Hong Kong? | | | |
| <input type="checkbox"/> 否 No | <input type="checkbox"/> 是 Yes | 持牌或註冊人士名稱及持牌或註冊編號 Name of the Licensed / Registered person(s) and the Licensed/ Registered No.: | |
| | | 交易所、交易委員會、結算所、銀行、信託公司、證券經紀、期貨經紀或持牌法團名稱： Name of the exchange, board of trade, clearing house, bank, trust company, securities broker, futures broker or licensed corporation | |
| *閣下同意中信期貨國際有限公司可於提供任何服務給予閣下前接觸上述人士並須得到該人士同意。 You agree that CFI may approach the above person to obtain its consent before providing any service to you | | | |
| 是否貴公司之股東、董事、合夥人、獲授權人、最終負責就此賬戶進行的交易發出指示之人士、或就此賬戶最終權益擁有人為中信期貨國際有限公司之董事或職員? Is any of the Customer's shareholders, or directors, its partners, its Authorized Person(s), the person(s) ultimately responsible for giving instructions for the Account or the ultimate beneficial owners of the Account a director or an employee of CITIC Futures International Company Limited? | | | |
| <input type="checkbox"/> 否 No | <input type="checkbox"/> 是 Yes | 董事或職員之名稱 Name of the director(s)/ employee(s): | |
| 是否貴公司之股東、董事、合夥人、獲授權人、最終負責就此賬戶進行的交易發出指示之人士、或就此賬戶最終權益擁有人與中信期貨國際有限公司之董事或職員有親屬關係? Do any of the Customer's shareholders, or directors, its partners, its Authorized Person(s), the person(s) ultimately responsible for giving instructions for the Account or the ultimate beneficial owners of the Account have any relationship with the director(s) or employee(s) of CITIC Futures International Company Limited? | | | |
| <input type="checkbox"/> 否 No | <input type="checkbox"/> 是(請詳述) Yes (please provide details) | 有關人士之名稱 Name of the Relevant Person(s): | |
| | | 董事或職員之名稱 Name of the director(s) / employee(s): | |
| | | 關係Relationship: | <input type="checkbox"/> 父親/母親/兒子/女兒 Father/ Mother/ Son/ Daughter <input type="checkbox"/> 丈夫/妻子 Husband/ Wife <input type="checkbox"/> 其他 Others _____ |
| 7. 美國稅務責任披露 Disclosure of U.S. Tax obligations | | | |
| 貴公司是否為美國註冊之實體? Is the Customer an entity incorporated in the U.S.? | | | |
| <input type="checkbox"/> 否 No | <input type="checkbox"/> 是 Yes | 請提供貴公司之稅項代碼 Please provide the Customer's Tax Reference Number/ Taxpayer Identification Number (TIN): | |
| 貴公司是否為美國稅局 (IRS) 註冊的「參與法案的外國金融機構 (PFFI)」或「註冊視同合規的外國金融機構 (RDCFFI)」? Is the Customer a Participating Foreign Financial Institution (PFFI) or a Registered deemed-compliant Foreign Financial Institution (RDCFFI) registered with the U.S. Internal Revenue Service (IRS)? | | | |
| <input type="checkbox"/> 否 No | <input type="checkbox"/> 是 Yes | 請提供貴公司之全球中介人編號 Please provide the Customer's Global Intermediary Identification Number (GIIN): | |

8. 獲授權人士簽署式樣 Specimen Signature of Authorized Person (s)

請注意：

本部分應隨附一份董事會決議正式核證副本。您應保證獲正式授權後方可在以下簽名處簽署。獲授權人士之權限以董事會決議為準。
Please Note:

This section should be accompanied by a duly certified board resolution. If you sign below, you warrant that you are duly authorized to do so. The authority of the Authorized Person(s) shall be subject to the board resolution.

| 獲授權人士姓名 Name of Authorized Person(s) | 身份證/護照號碼 ID/ Passport No. | 出生日期 Date of Birth | 國籍 Nationality | 聯絡電話 Telephone No. | 簽名樣式* Specimen Signature(s) |
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公司印章式樣 Specimen of Business Chop/ Seal:

以上每一位獲授權人士均有權：

- i) 不時發出口頭及/或書面指示及/或透過電子服務(如適用)發出指示，為賬戶買賣任何期貨及期權合約；及
- ii) 就賬戶的操作及發出口頭及/或書面指示，該等指示包括但不限於賬戶的提款指示。

*簽署樣式將被用作核證任何就賬戶運作之書面指示。

Each of the Authorized Person(s) specified is authorized:

- i) To give verbal and/or written instructions and/or instructions through the Electronic Services (where applicable) in relation to the purchase or sales of any Commodities and Futures and Options Contracts from time to time; and
- ii) To give verbal and/or written instructions and/or instructions relating to the operation of the Account(s), including but not limited to any withdrawal instructions.

*Specimen Signature(s) herein will be used to verify all written instructions given relating to the operation of the Account(s).

B. 服務選擇 Choice of Services

通過勾選如下相關選項，您申請按條款及細則接受所選服務。隨同此申請，您應完成合適性評估、了解你的客戶、反洗黑錢、盡職調查和中信期貨國際要求之其它適當程序且達到令中信期貨國際滿意的結果。儘管如此，中信期貨國際有絕對酌情權依據所適用之條款及細則向客戶提供客戶申請之服務。

By ticking the relevant box(s) below, you apply to receive the chosen services in according to the Terms and Conditions. Along with such applications, you shall complete the due process of customer suitability assessment, know-your-Customer, anti-money laundering, due diligence and others that CFI requests to the satisfaction of CFI. Despite all this, CFI has absolute discretions to provide such chosen services on the applicable Terms and Conditions to you.

| 1 · 服務 Services | |
|---|---|
| a. 開設戶口服務 Account Opening Service | <p>您是否希望為與商品買賣、交易或其它處置方式有關的使用和/或持有資金而在中信期貨國際開設戶口？ Do you wish to open an account with CFI for use and/or holding funds in connection with your trading, dealing in or other disposal of commodities?</p> <p><input type="checkbox"/>是 Yes</p> <p><input type="checkbox"/>否 No</p> |
| b. 期貨期權經紀服務 Futures & Options Broker Service | <p>您是否希望為委任及授權中信期貨國際作為代理，在指示下為您買入、賣出期貨及期權、將之平倉或以其他方式處置以及提供其它受規管活動第二類項下之相關服務？ Do you wish to appoint and authorize CFI as agent to buy, sell, close out and/or otherwise dispose of Futures and Options for you on the instructions and to provide other related services under Type 2 regulated activity?</p> <p><input type="checkbox"/>是 Yes</p> <p><input type="checkbox"/>否 No</p> |
| c. 投資顧問服務 Investment Advisory Service | <p><u>(僅適用於專業投資者並受限於通過合適性評估及中信期貨國際的提前同意)</u> <u>(Applicable only to Professional Investors and subject to the customer suitability assessment and CFI's prior consent)</u></p> <p>您是否希望不時收到在受規管活動第五類範圍內之有關期貨期權投資建議及研究報告？ Do you wish to receive investment advise and research reports on Futures and/or Options from CFI from time to time within the scope of Type 5 regulated activity?</p> <p><input type="checkbox"/>是 Yes</p> <p><input type="checkbox"/>否 No</p> |
| d. 電子交易服務 Electronic Trading Services | <p>您是否希望使用電子服務和系統（包括獲得登錄用戶名和密碼）？ Do you wish to use the Electronic Services and Systems (including obtaining Login ID and Password)?</p> <p>是，具體為： Yes, particularly:</p> <p><input type="checkbox"/>電腦終端 <input type="checkbox"/>手機軟件 <input type="checkbox"/>應用程序接入 Computer terminal Mobile APP API/FIX</p> <p><input type="checkbox"/>否 No</p> |

C. 客戶簽名及聲明

以下特定聲明及條款僅當客戶勾選後方適用。

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|---|
| <p>1. <input type="checkbox"/> 確認及承認 (必選項)</p> <p>(1) 吾等確認收妥構成協議之所有文件，包括但不限於(i) 此期貨及期權交易賬戶開戶表格；(ii) 期貨及期權買賣條款 (包括風險披露聲明)；(iii) 收費表；及(iv)其它中期期貨國際要求及提供之所適用文件。</p> <p>(2) 吾等承認並確認吾等已獲得按照吾等選擇的語言版本，包括中期期貨國際之期貨及期權買賣條款中的風險披露聲明，並已獲邀請閱讀該等條款及聲明、提出問題及徵求獨立意見(如吾等有此意願)。</p> <p>(3) 吾等確認此期貨及期權交易賬戶開戶表格構成客戶和中期期貨國際間之協議，且吾等已經閱讀、理解和接受協議中包括的所有條款及細則並且通過簽署本表格即受協議中所有條款之約束。</p> <p>(4) 吾等承認並確定吾等已根據期貨及期權買賣條款第 12 條授權貴公司處置期貨及期權買賣條款內所定義之款項，並已獲解釋並且明白該條款之內容。</p> <p>(5) 吾等陳述及保證本表格中所有資料及陳述均為真實、正確和完整的，並授權中期期貨國際通過任何方式進行核實。吾等承諾若客戶資料表格中的資料或陳述如有任何變更，會立即通知中期期貨國際。</p> |
| <p>2. <input type="checkbox"/> 收集個人資料聲明</p> <p>吾等已細閱、完全理解並同意接受及遵守中期期貨國際之有關個人資料 (私隱) 政策。吾等在此提供的個人資料由中期期貨國際收集，並將會用作直接促銷及/或符合監管機構之命令或要求之用途。該等資料包括吾等在本開戶表格中向中期期貨國際不時獲得的姓名、聯絡詳情及財務背景的个人資料。吾等明白吾等可以隨時通過中期期貨國際指定的渠道要求中期期貨國際停止在直接促銷中使用吾等的個人資料。</p> <p><input type="checkbox"/> 吾等同意中期期貨國際如上述情況使用吾等之個人資料</p> <p><input type="checkbox"/> 吾等反對中期期貨國際如上述情況使用吾等之個人資料用作直接促銷之用途</p> <p>為提供吾等於本表格 B 部分所選之產品和/或服務之目的，中期期貨國際可能會把吾等的個人資料轉移至香港境外之相關主體。該處可能沒有與《個人資料 (私隱) 條例》大體上相似或達致與此條例的目的相同的法律，亦即是說，吾等的個人資料未必可以獲得與在香港相同或類似程度的保障。</p> <p><input type="checkbox"/> 吾等同意把吾等的個人資料轉移至香港境外</p> <p><input type="checkbox"/> 吾等反對把吾等的個人資料轉移至香港境外</p> |
| <p>3. <input type="checkbox"/> 專業投資者確認</p> <p>《證券及期貨事務監察委員會持牌人或註冊人操守準則》(“準則”) 允許持牌人在特定情形下將客戶視為企業專業投資者，即為《證券及期貨條例》(第 571 章) 附表 1 第 1 部分第 (j) 款界定的“專業投資者”及《證券及期貨 (專業投資者) 規則》(第 571D 章) 第 3(a)、3(c) 和 3(d) 條列明的人士。</p> <p>(1) 吾等確認，吾等是企業專業投資者定義範圍內的人士並同意被如此認定。</p> <p>(2) 吾等確認，一旦吾等不再符合上述有關企業專業投資者的定義，吾等將立即通知中期期貨國際。</p> <p>(3) 吾等確認準則第 15.3A 和 15.3B 段中所列之要求已獲滿足和遵守，因此，吾等瞭解並同意中期期貨國際有權就準則第 15.4 和 15.5 段中所列條款豁免。</p> <p>(4) 吾等注意到且同意，中期期貨國際出於提供吾等於期貨/期權賬戶開立表格所選擇服務之目的，而將吾等視為企業專業投資者。</p> <p>(5) 通過簽署和交回此份聲明及所有必要的證明文件 (如有)，吾等確認：被視為企業專業投資者的風險和後果已完全向吾等說明。</p> <p>(6) 吾等同意被視為企業專業投資者，且吾等同意，在吾等聲明的前述任何資訊不再真實準確時，立即通知中期期貨國際。</p> <p>(7) 吾等知曉，吾等有權通過生效日前至少 30 個工作日事先書面通知中期期貨國際，就所有產品或市場、或其中任一部分，反對或撤回被視為企業專業投資者。若吾等不願意被視為企業專業投資者，吾等將隨時通知中期期貨國際。</p> <p>(8) 吾等被歸類為企業專業投資者後，中期期貨國際無須遵守、且吾等在此同意中期期貨國際不遵守《證券及期貨 (成交單據、戶口結單及收據) 規則》中的監管要求，但中期期貨國際有絕對酌情權選擇自己或通過代理根據協議向客戶發送成交單據、結單及收據。吾等應知曉該等歸類的風險。</p> <p>(9) 吾等知曉中期期貨國際將進行年度確認，以確保吾等持續符合專業投資者規則中的要求。吾等亦知曉被視為企業專業投資者的歸類將持續有效，直到吾等不時撤回或中期期貨國際隨時拒絕為止。在不影響中期期貨國際權利及利益之前提下，在此等客戶被終止認定為企業專業投資者時，那些僅適用於專業投資者的相關服務、豁免和條款及細則將被立即終止。而如客戶繼續使用提供給非專業投資者的服務 (如有)，協議中所有適用於非專業投資者的條款和細則將作為替代條款而直接及全面地對客戶適用，客戶無需重新簽署本表格。</p> <p>(10) 吾等承諾，在中期期貨國際要求時，吾等會完成和企業專業投資者有關的任何評估、表格聲明以及提供任何令中期期貨國際滿意的有關證明、證據和文件。即便如此，吾等理解中期期貨國際可隨時無理由拒絕將吾等視為企業專業投資者。</p> |

客戶

*獲授權人代表企業客戶簽署或/及企業客戶蓋章

客戶名稱：

獲授權人姓名：

獲授權人身份證/護照號碼：

簽署日期：

見證人

見證人姓名：
見證人身份證/護照號碼：

見證人簽署

簽署日期：

持牌人聲明

本人，_____（姓名以印刷體書寫），持牌人編號：_____，
確認已按上述客戶選擇的語言版本，為其提供中信期貨國際之期貨及期權買賣條款（特別是其中的**風險披露聲明**），並已邀請客戶閱讀該等條款及聲明、提出問題及徵求獨立意見（如客戶有此意願）。

（如適用，持牌人需勾選此聲明）本人也已經 (i) 取得客戶關於將其視為專業投資者的簽署聲明；(ii) 向客戶充分說明將其視為專業投資者的後果；以及 (iii) 指明在特定的產品和市場中將客戶視為專業投資者，且告知客戶其有權撤回被視為專業投資者。

持牌人簽署

簽署日期：

中信期貨國際承認

中信期貨國際承認和同意以上各項。

授權代表簽署

獲正式授權並代表
中信期貨國際有限公司

C. Customer Signatory(ies) and Declarations

The specific declarations and terms below apply only upon choice of the Customer(s) by ticking the box :

| |
|---|
| <p>1. <input type="checkbox"/> Confirmations and Acknowledgements (Mandatory choice)</p> <p>(1) We acknowledge my/our receipt of all documents that constitute the Agreement, including but not limited to (i) this Futures and Options Trading Account Opening Form; (ii) Terms and Conditions for Futures and Options Trading (including Risk Disclosure Statement) ; (iii) Fee Schedule; and (iv) all other applicable documents that CFI requests and provides.</p> <p>(2) We acknowledge and confirm that the Agreement, including but not limited to the Risk Disclosure Statement scheduled in the Terms and Conditions for Futures and Options Trading, was provided to us in a language of my/our choice and we were invited to read the same, to ask questions and to take independent advice if we wish.</p> <p>(3) We confirm that this Futures and Options Trading Account Opening Form constitutes parts of the Agreement between the Customer and CFI and we have read, understood and accepted all the terms and conditions set out in the Agreement and shall be bound by the Agreement by signing this Form.</p> <p>(4) We acknowledge and confirm that we have authorized CFI to deal with Monies in accordance with Clause 12 of the Terms and Conditions for Futures and Options Trading, and the contents of that Clause have been explained to us and we understand the contents of that Clause.</p> <p>(5) We represent and warrant that all the information given and statement made in this Form is true, correct and complete, and authorize CFI (as the case may be) to verify it with any source. We undertake to promptly notify CFI if there is any change in the information given and statement made by us in this Form.</p> |
| <p>2. <input type="checkbox"/> Personal Information Collection Statement</p> <p>We have carefully read, fully understood and agreed to accept and be bound by the Personal Data Privacy Policy set out by CFI. My/ Our personal information provided herein will be collected by CFI, and will be used for direct marketing and/or orders or lawful requests may be required by relevant regulators. Such personal data includes, but not limited to our name, contact details and financial background which are provided to CFI under this Form or obtained by CFI from time to time. We understand that we may, at any time, require CFI to cease to use my/our personal data for direct marketing through such channel prescribed by CFI.</p> <p><input type="checkbox"/> We agree to the aforesaid use of my/our personal data in CFI</p> <p><input type="checkbox"/> We object to the use of my/our personal data by CFI in direct marketing</p> <p>For the purposes of providing products and/ or services that we have chosen in Part B of this Form, CFI may transfer our personal data to related entities situated outside Hong Kong, where there may not be in place data protection laws which are substantially similar to, or serve the same purposes as, the Personal Data (Privacy) Ordinance. That means our personal data may not be protected to the same or similar level in Hong Kong.</p> <p><input type="checkbox"/> We consent to such transfer of our personal data outside Hong Kong</p> <p><input type="checkbox"/> We object to such transfer of our personal data outside Hong Kong</p> |
| <p>3. <input type="checkbox"/> Professional Investor Confirmation</p> <p>The Code of Conduct for Persons Licenced by or Registered with the Securities and Futures Commission (“Code”) permits CFI in certain circumstances to treat Customers as Corporate Professional Investors, as defined in paragraph (j) of Part 1 of Schedule 1 to the Securities and Futures Ordinance (Cap 571) and persons specified in Section 3(a) 、3(c) 和 3(d) of the Securities and Futures (Professional Investor) Rules (Cap 571D).</p> <p>(1) We confirm that I am/ we are a person/ persons within the meaning of Corporate Professional Investor and consent to be treated as such.</p> <p>(2) We confirm that we will notify CFI immediately if we cease to fall within the meaning of Corporate Professional Investor.</p> <p>(3) We confirm that the requirements set out in paragraph 15.3A and 15.3B of the Code have been fulfilled and complied with and as such, we understand and consent that CFI is entitled to be exempt from the provisions set out in paragraph 15.4 and 15.5 of the Code.</p> <p>(4) We note that CFI is treating us as an Corporate Professional Investor for the purposes of providing the services that we chose in the above Futures & Options Account Opening Form.</p> <p>(5) By signing and returning this declaration with all the required supporting documents (if any), we acknowledge that the risks and consequences of being treated as an Corporate Professional Investor have been fully explained to us.</p> <p>(6) We agree to inform CFI promptly in the event that any information we have set out above ceases to be true and accurate.</p> <p>(7) We understand that we have the right to object and withdraw from being treated as an Corporate Professional Investor whether in respect of all products or markets or any part thereof by giving written notice to CFI at least 30 business days before the effective date. We will inform CFI at any time if we do not wish to be treated as an Corporate Professional Investor.</p> <p>(8) As a consequence of this classification, CFI shall not be required to comply and we hereby give consent to CFI not complying with the regulatory requirements set out in the Securities and Futures (Contract Notes, Statements of Accounts and Receipts) Rules, however CFI may at its sole discretion choose to dispatch or appoint agents to dispatch contract notes, statements and receipts to the Customer according to the Agreement. we have been aware of the risk of such classification.</p> <p>(9) We understand that CFI will carry out a confirmation exercise annually to ensure that we continue to fulfill the requisite requirements under the Professional Investor Rules and the treatment of classification as an Corporate Professional Investor will continue to take effect until withdraw from me/us or objection by CFI from time to time. Without prejudice to all rights and interests that CFI has, upon such cessation of being an Corporate Professional Investor, those relevant services, exemptions and terms and conditions applicable to Professional Investors only, are immediately terminated and all similar terms and conditions applicable to persons other than Professional Investors in the Agreement as substitute will then directly and entirely apply to the Customer if the Customer continues to use the services that are available to the non-Professional Investors (if any) without resigning this Form.</p> <p>(10) We undertake, at the request of CFI, to complete whatever assessments, forms or statements in relation to Corporate Professional Investors and provide whatever related proofs, evidences and documents to its satisfaction. Despite all this, we understand CFI may at any time refuse to treat us as Corporate Professional Investor(s) without giving any reasons.</p> |

Customer

Authorized signatory(ies) signed for and on behalf of the Customer and/ or common seal

Name of Customer :

Name of the Authorized Signatory(ies) :

ID/ Passport No. of the Authorized Signatory(ies) :

Signing Date:

Witness

In the present of :
ID/ Passport No. of witness :

Signature of Witness

Signing Date:

Declaration by Licensed Person

I, _____ (Name in block letters) with C.E. No.: _____, confirm that I have provided the Terms and Conditions for Futures and Options Trading, in particular **Risk Disclosure Statement** therein in the language of the above Customer's choice to the above Customer, and that I have invited the Customer to read the same, to ask questions and to take independent advice (if customer wishes).

(Licensed Person shall tick the box if applicable) I have also (i) obtained a signed declaration from the above Customer to be treated as a Professional Investor, (ii) fully explained to the Customer the consequences of being treated as a Professional Investor; and (iii) specified the Customer is treated as a Professional Investor in a particular product and market and inform the Customer that he/she has a right to withdraw from being treated as a Professional Investor.

Signature of Licensed Person

Signing Date:

Acknowledgement by CFI

CFI acknowledge and agrees to the above.

Signature of Authorised Person

Duly authorised for and on behalf of
CITIC Futures International Company Limited

FOR OFFICIAL USE ONLY

| | Handled by | Docs. Checked | Approved by |
|----------|------------|---------------|-------------|
| Initial: | | | |
| Date: | | | |