

中信期貨國際有限公司 ("中信期貨國際")
 CITIC Futures International Company Limited ("CFI")
 C.E. 編號: BFL318

 期貨帳戶號碼
 Futures Account Number

 經紀號碼
 A.E.Code

與中信期貨國際的期貨及期權交易戶口		Account (s) for Futures and Options trading with CFI	
客戶種類	<input type="checkbox"/> 個人	<input type="checkbox"/> 聯名	
Customer Type:	Individual	Joint	

(註: 聯名戶口每戶口持有人需分別填寫一份客戶資料表格)
 (Note: For Joint Account, each account holder should complete a separate Customer Information Statement)

2. 個人資料 Personal Data

(英文 English)

 客戶名稱
 Name of Client:

(中文 Chinese)	出生日期 Date of Birth:	日 dd / 月 mm / 年 yy	性別 Gender	男 / 女 M / F
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身份證 / 護照號碼 ID / Passport No.:	<input type="text"/>	國籍 Nationality:	<input type="text"/>
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住宅地址 Home Address:	<input type="text"/>	(郵編 Postal Code)
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郵寄地址 (若與以上地址不同) Mailing Address (If different from the above address):	<input type="text"/>	(郵編 Postal Code)
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住宅電話 Home Phone No.:	<input type="text"/>	<input type="checkbox"/> 登記電子帳單服務: 戶口結單將會發送至以下電郵地址 Home Phone No.: By electronic statement: statement of account will be sent to the below email address.
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手提電話 Mobile Phone No.:	<input type="text"/>	電郵地址: (適用於網上交易及 / 或電子帳單服務) Email Address: (For internet trading and / or electronic statement)
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傳真號碼 Fax No.:	<input type="text"/>	<input type="text"/>
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公司名稱 / 地址 Company Name / Address:	<input type="text"/>	(郵編 Postal Code)
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公司電話 Office Phone:	<input type="text"/>	行業 Occupation:	<input type="text"/>	職位 Position:	<input type="text"/>	從業年數 Years in Occupation:	<input type="text"/>
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3. 客戶常設交收銀行戶口指示 Bank Account Standing Instruction for Futures Account Settlement

 銀行名稱 匯豐 HSBC 恆生 Hang Seng 信銀(國際) CNCBI 中銀 BOC 其他 Other

 帳戶號碼
 Account No.:

* 除非客戶於提款指示中指定另外之付款方式, 由客戶期貨戶口提取之款項將會存入以上之銀行戶口。
 Unless the undersigned specifies other payment method in the funds withdrawal instruction, funds withdrawn from the undersigned's Futures Account(s) shall be paid into the above bank account of the undersigned.

* 請提供存摺副本或銀行結單副本以便證明。若副本上之戶口持有人姓名與客戶名稱不同, 亦須填寫「每年常設指示 (付款予第三者)」。

Please provide copy of the passbook or copy of bank account statement as proof. If the Account Holder Name of the provided copy is different from the Client Name, please also complete the "Annual Standing Instruction (Payment to Third Party)".

4. 財務及投資資料摘要 Financial and Investment Summary

每年總收入 Annual Income :	<input type="checkbox"/> ≤HK\$300,000 <input type="checkbox"/> HK\$300,001 - HK\$800,000 <input type="checkbox"/> HK\$800,001 - HK\$1,200,000 <input type="checkbox"/> >HK\$1,200,000 <input type="checkbox"/> HK\$0 原因 Reason: _____
估計淨資產值 Estimated Net Worth :	<input type="checkbox"/> ≤HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001 - HK\$2,000,000 <input type="checkbox"/> HK\$2,000,001 - HK\$3,000,000 <input type="checkbox"/> >HK\$3,000,000
資金來源 Source of Fund :	<input type="checkbox"/> 薪金 Salary <input type="checkbox"/> 投資獲利 Investment Income <input type="checkbox"/> 儲蓄 Savings <input type="checkbox"/> 遺產繼承 Inheritance <input type="checkbox"/> 其他 Others: _____
投資經驗 Investment Experiences :	<input type="checkbox"/> 香港上市證券 HK listed securities _____ 年 years <input type="checkbox"/> 沒有 No <input type="checkbox"/> 海外上市證券 Overseas listed securities _____ 年 years 香港 <input type="checkbox"/> 期貨及期權 HK futures and options _____ 年 years 海外期貨 <input type="checkbox"/> 及期權 Overseas futures and options _____ 年 years 其他 <input type="checkbox"/> 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"/> 套戩 Arbitrage
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)

5. 資料披露 Disclosure of Information

5.1 相關身份披露 Disclosure of identity

i. 閣下是否任何交易所、交易委員會、結算所、銀行或信託公司代理人、高級人員、員工；或任何引薦經紀的聯屬人；或任何證券經紀、期貨經紀或持牌法團的高級人員、合夥人、董事或員工？

Are you an agent, officer or employee of any exchange, board of trade, clearing house, bank or trust company; or an affiliate of any introducing broker; or an officer, partner, director or employee of any securities broker, futures broker or licensed corporation?

<input type="checkbox"/> 否 NO	<input type="checkbox"/> 是(請詳述) Yes(Please Provide details):	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		

ii. 下 有沒有親屬於中信期貨國際工作 Relative(s) working in CFI:

<input type="checkbox"/> 否 NO	<input type="checkbox"/> 是(請詳述) Yes(Please Provide details):	親屬名稱 Name:	關係 Relationship:
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5.2 最終受益於交易及承擔風險人士 Person ultimately benefiting from the transactions and bearing the risks:

<input type="checkbox"/> 客戶本人 The Client	<input type="checkbox"/> 其他(請詳述) Others (Please Provide details):	名稱 Name	身份證/護照號碼 ID/Passport No.:
		地址 Address:	電話 Phone No.:()-
		(郵編 Postal Code)	

5.3 最終負責發出指示的人士 Person ultimately responsible for originating instructions:

<input type="checkbox"/> 客戶本人 The Client	<input type="checkbox"/> 其他(請詳述) Others (Please Provide details):	名稱 Name	身份證/護照號碼 ID/Passport No.:
		地址 Address:	電話 Phone No.:()-
		(郵編 Postal Code)	

5.4 其他 Other

適用條款的管轄語文版本 Prevailing language version of the applicable Terms and Conditions

中文

英文

6. 客戶聲明 Customer's Declaration

本人 / 吾等保證上述資料為真實及正確，並授權中信期貨國際(視屬何情況而定) 通過任何人士進行核實。本人 / 吾等承諾在客戶資料表格提供的資料如有任何變更，會立即通知中信期貨國際(視屬何情況而定)。

此客戶資料表格受中信期貨國際的期貨及期權買賣條款(視屬何情況而定)及附錄(如適用)約束。本人 / 吾等已閱讀並已明白中信期貨國際期貨及期權買賣條款(視屬何情況而定)及附錄(如適用)以及提供予本人 / 吾等的有關香港人個人資料(私隱)條例之通告，並且同意受不時經修改及/或補充的該等條款及該通告所約束。本人 / 吾等確認已按照本人 / 吾等選擇的語言提供包含於上述中信期貨國際的期貨及期權買賣條款(視屬何情況而定)內的風險披露聲明，並已獲邀閱讀該風險披露聲明、提出問題及徵求獨立意見(如本人/吾等有此意願)。

I / We warrant that the above information is true and correct, and authorize CFI (as the case may be) to verify it with any source. I / We undertake to promptly notify CFI (as the case may be) if there is any change in the information provided by me/us in this Customer Information Statement. This Customer Information Statement is subject to the Terms and Conditions for Futures and Options Trading of CFI (as the case may be) and any Addendum (if applicable) from time to time. I / We confirm that I / we have read and understood the Terms and Conditions for Futures and Options Trading of CFI (as the case may be) and any Addendum (if applicable) from time to time and Circular relating to the Personal Data (Privacy) Ordinance provided to me / us, and agree to be bound by each of the above as amended and / or supplemented from time to time. I / We confirm that the Risk Disclosure Statement contained in the aforesaid Terms and Conditions for Futures and Options Trading of CFI (as the case may be) have been provided to me / us in the language of my / our choice and that I / we have been invited to read the same, to ask questions and to take independent advice (if I / we wish).

此賬戶可根據以下指示方式操作(請在適當空格加√):

The Account can be operated under the instruction of (please tick the appropriate box):

- 客戶本人 The client 任何一位賬戶持有人的指示 Either one of the account holder 兩位賬戶持有人的指示 Both account holders 多於兩位賬戶持有人的指示 More than 2 account holders

*(簽署式樣將被用作核證任何就戶口運作只畫面指示。)

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

客戶簽署/簽署式樣 *Client Signature /Specimen Signature*	(個人) (Individual)
	日期 Date_____

客戶簽署/簽署式樣 *Client Signature /Specimen Signature*	(聯名客戶) (Joint)
姓名 Name(聯名 Joint):	日期 Date_____

由持牌代表填寫 To be completed by Licensed Representative

本人_____ (姓名以正楷書寫) 持有 C.E. 編號_____ 確認本人已按上述客戶選擇的語言版本, 為其提供中信期貨國際的期貨及期權買賣條款(視屬何情況而定), 本人並已邀請該客戶閱讀該等條款、提出問題及徵求獨立意見(如客戶有此意願)。

I _____ (name in block letters) with C.E. number _____ confirm that I have provided the Risk Disclosure Statements contained in the Terms and Conditions for Futures and Options Trading of CFI (as the case may be) 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).

持牌代表簽名 Licensed Representative Signature:	日期 Date:
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-----內部專用 For Internal Use-----

- 香港恒指期貨及期權交易
HK Index Futures and Options Trading 國際期貨交易
Global Futures Trading

開戶備忘 Account Opening Checklist

- | | |
|--|--|
| <input type="checkbox"/> 客戶及最終受益人身份證明文件副本(附見證人簽署)
香港身份證/護照/當地居民身份證
Copy of Identity Documents of Client and Ultimate Beneficial Owner(s) with Witness Signature
Hong Kong Identity Card / Passport / Local Resident Identity Card | <input type="checkbox"/> 期貨及期權買賣條款之附錄
Addendum to Terms and Conditions for Futures and Options Trading |
| <input type="checkbox"/> 客戶及最終受益人近三個月之地址證明
Proof of Address of Client and Ultimate Beneficial Owner(s) within 3 Months | <input type="checkbox"/> 第三者授權書(附被授權人之身份證副本)
Third Party Authorization with ID Copy of Authorized Person(s) |
| <input type="checkbox"/> 「免責聲明」確認書
Acknowledgement of Disclaimer | <input type="checkbox"/> 銀行月結單副本
Bank Statement Copy |
| | <input type="checkbox"/> W-8BEN 表格
W-8BEN Form |
| | <input type="checkbox"/> 其他文件
Other Documents _____ |

佣金/交易限額/ Commission Rate/Trading Limit

		標準收費 Standard Rate	新建議 Proposed		標準收費 Standard Rate	新建議 Proposed
香港期貨和 期權 HK Futures and Options	HSI Contracts	HKD 80	HKD	HFI Contracts	HKD 60	HKD
	MHI Contracts	HKD 40	HKD	MCH Contracts	HKD 30	HKD
	CUS Contracts	RMB 40	RMB	London Mini Metal Contracts	RMB 20	RMB
國際期貨和期 權 Global Futures and Options	美國品種 U.S. Contracts	USD 15	USD	美國迷你品種 U.S. Mini Contracts	USD 10	USD
	日本品種 Japan Contracts	JPY 1500	JPY	新加坡品種 Singapore Contracts	USD 10	USD
	LME 銅錫鎳 Copper, Tin, Nickel	USD 40	USD	LME 鋁鉛鋅 Aluminium, Lead, Zinc	USD 30	USD
	歐洲品種 Europe Contracts	USD 15	USD	馬來西亞品種 Malaysia Contracts	USD 15	USD

• 在中信期貨國際有限公司的關連戶口 Related account(s) with CFI

配偶 (Spouse)	客戶名稱: Client name:	賬戶號碼 a/c.no.
18歲以下的子女 (Children under 18 years old)	客戶名稱: Client name:	賬戶號碼 a/c.no.
客戶為另一賬戶之擔保人/股東/受益人 (Client is a guarantor / shareholder / beneficiary of another account)	客戶名稱: Client name:	賬戶號碼 a/c.no.
客戶開立另一聯名賬戶 (Client maintains another joint name account)	客戶名稱: Client name:	賬戶號碼 a/c.no.

	新建議 Proposed	其他關連戶口 Other Related a/c(s)		總數 Total
		賬戶號碼: a/c.no.:	賬戶號碼: a/c.no.:	
交易限額 Trading Limit	百萬元 USD Mil	百萬元 USD Mil	百萬元 USD Mil	百萬元 USD Mil

申請原因/說明 Reasons/Explanation

- 1. 認識客戶年期 I have known the Client for: <1 yr 1 to 5 yrs >5 yrs
- 2. 介紹模式 Mode of Introduction: 自薦 Walk-in 引薦 Referral: _____ 其他 Others: _____
- 3. 客戶全年收入 資產淨值
Client's annual income (HK\$ _____) net worth (HK\$ _____)
- 4. 客戶與中信期貨國際其他相關機構維持良好交易紀錄 Client's satisfactory settlement history with CFI or other related company
- 5. 客戶在中信期貨國際之存倉值 Client's current portfolio value maintained with CFI
- 6. 獲其他投資機構授予相約交易 / 信貸限額 Comparable trading / credit limit granted by other investment companies.
- 7. 其他 Others: _____

一同附上之有關文件 Document(s) Attached For The Application

- 1. 收入 / 資產淨值之證明 (如銀行月結單、稅單等) Income / Net worth proof (e.g. bank statement, tax demand note, etc.)
- 2. 投資交易紀錄 (如其他經紀或銀行月結單等) Trading / investment history / record (e.g. other brokers, bank statements, etc.)
- 3. 信貸 / 交易限額協議 / 文件 (如其他經紀 / 銀行月結單或戶口開立協議等) Trading / Credit Limit Agreement / Letter (e.g. other brokers / bank statements or account opening agreement, etc.)
- 4. 其他 Others: _____

Sign off By:	
核查及同意: Reviewed & Concurred By: _____ (Date: _____) 經紀/銷售員 AE/Salesperson (Name: C.E.No.: _____)	核對: Checked By: _____ (Date: _____) 客戶服務主任 CSO (Name: _____)
批核: Approved By: _____ (Date: _____) 負責人員 Responsible Officer (Name: C.E.No.: _____)	