



五礦金融服務有限公司
MINMETALS FINANCIAL SERVICES LIMITED

香港上环干诺道中168-200号信德中心招商局大厦17楼01及18B室
Room1701 & 1718B, 17/F, Shun Tak Centre (China Merchants Tower)
No.168-200 Connaught Road Central, Sheung Wan, Hong Kong
电话Tel (852) 2856 1900 传真Fax (852) 2856 3011

根据《证券及期货条例》就第2、5类受规管活动获发牌的持牌法团CE编号BMV692

A corporation licensed for Type 2 and 5 regulated activities under the Securities and Futures Ordinance with CE no. BMV692

开户表格 ACCOUNT OPENING INFORMATION FORM
企业帐户 CORPORATION ACCOUNT

客户名称 Client Name				
客户号码 Client Number		帐户开通日期 Account Opening Date		DD-MM-YYYY
根据证券及期货事务监察委员会之持牌人或注册人操守准则，请提供以下资料： In accordance with the Code of Conduct for Persons Registered with The Securities and Futures Commission, please kindly provide the following information: 请于适当的选择旁加上“√”Please “√” on the appropriate choice. * 删除不适用 Delete if not applicable.				
帐户资料 - Account Information				
中文名称:				
Name in English:				
注册/成立地点 Country of incorporation / Establishment		业务性质 Type of Business		
香港商业登记编号 Business Registration No.		在注册地的注册编号 Registered no. in country of Incorporation/establishment		
注册办事处地址 Registered office address				
营业地址(如有异于上述): Business address (if different):				
办事处联络电话 Office Contact Tel. No.		办事处电邮地址 Office E-mail address		
1. 帐单透过以下方式发送(只选择一项) Statements will be sent by the following means (select one): <input type="checkbox"/> 电邮方式 By email (可豁免行政费 Administrative Fee may be waived) <input type="checkbox"/> 邮递方式 By post (请参阅收费表 Please refer to the fee leaflet)				
2. 所有邮递信件将会发送到以下地址(只选一项) All postal correspondence will be sent to the following address (select one): <input type="checkbox"/> 注册办事处地址 Registered office address <input type="checkbox"/> 营业地址 Business address <input type="checkbox"/> 其他地址 Other address _____				
指定银行 Designated Bank				
银行名称 Name of Bank		账户号码 Account No.		币种 Currency
1. _____		_____		多币种 / 港元 / 美元 / 其他 _____
2. _____		_____		多币种 / 港元 / 美元 / 其他 _____
3. _____		_____		多币种 / 港元 / 美元 / 其他 _____
海外银行请提供地址及 Swift Code Bank address and Swift Code for overseas bank				
董事资料 Director(s) Information		股东资料 Shareholder(s) Information (≥10%)		
全部董事姓名 Name(s) of All Director(s)	身份证号码/护照号码 I.D. Card No./ Passport No.	主要股东 Major Shareholders	身份证明文件号码 Identification Number	持股比例 Shareholding
请董事在其身份证/护照证明文件副本签字 Please have the director sign on his/her identification document copy				

财务状况 Financial Situation

资产净值 Net Worth (HKD) 根据最新年度账目 Based on latest accounts

- ☐ 0 - 1,000,000 ☐ 1,000,001 - 3,000,000 ☐ 3,000,001 - 8,000,000 ☐ 8,000,001 - 30,000,000
- ☐ ≥ 30,000,001 ☐ ≥ 30,000,001

投资经验及衍生产品认识 Investment Experience & Derivative Products Knowledge

投资目的 Investment Objectives :

- ☐ 资本投资及收入 Capital Investment and Income ☐ 对冲 Hedging ☐ 投机 Speculation ☐ 其他(请说明) Others(specify) _____

产品了解 Product Understanding :

- ☐ 本公司了解衍生产品的性质和风险: We understand the nature and risks of derivative products by:
- 已接受有关的培训或课程 Undergoing relevant training or attending course in

☐ 监管机构 Regulatory Authority ☐ 交易所 Exchange ☐ 大专院校 Tertiary Institution ☐ 进修学院 Education Institution ☐ 金融机构 Financial Institution
 - 于过去三年内进行了五次或以上有关衍生产品之交易 (不论是否于交易所进行交易) Executing five or more transactions in derivative products (whether traded on an exchange or not) within the past three years
 - 于经纪公司或银行、基金或资产管理公司、监管机构或交易所等金融机构拥有有关的工作经验 By gaining prior relevant work experience in financial institutions such as a brokerage firm or bank, fund house or asset management firm, regulatory authority or exchange

☐ 受监管持牌人士 Regulated Licensed Person ☐ 管理层 Management ☐ 与衍生工具相关后勤 Derivatives Related Back Office
- ☐ 本公司并未有衍生产品之认识 We have NO knowledge of derivative products

投资经验 Investment Experience

年期 Year(s)

- 期货 Futures ☐ 没有 Nil ☐ 1年以下 below 1 year ☐ 1-3 年 year(s) ☐ 3 年以上 Over 3 years
- 期权 Options ☐ 没有 Nil ☐ 1年以下 below 1 year ☐ 1-3 年 year(s) ☐ 3 年以上 Over 3 years
- 其他衍生产品 (如认股权证) ☐ 没有 Nil ☐ 1年以下 below 1 year ☐ 1-3 年 year(s) ☐ 3 年以上 Over 3 years

Others derivatives (e.g. Warrants)

预期每月交易手数 Expected trading lots per month: ☐ ≤ 1000 手 lots ☐ 1001-5000 手 lots ☐ 5001-10000 手 lots ☐ > 10000 手 lots

最终实益拥有人及利益关系申报 Beneficiary Ownership and Interest Declaration

- 贵公司是否此帐户的最终实益拥有人? (即贵公司是否为本身而非第三者运作此帐户?) 如否, 帐户的最终实益拥有人是: Is the company the ultimate beneficial owner(s) in relation to the account? (i.e. Is the company acting for the own account and not for a third party?) If no, details of the ultimate beneficial owner(s) is/ are:

☐ 是 Yes ☐ 否 No 姓名 Name: _____ 身分证/护照号码 ID/Passport No. _____

地址 Address: _____
- 贵公司或贵公司之任何股东或董事、合伙人、授权人、最终负责为帐户发出指令之人士或帐户之最终权益拥有人 (下称「关连人士」) 是否香港证监会持牌人士或注册机构/持牌法团的雇员; 或香港任何交易所的雇员? Is the company or any of its shareholders or directors, partners, authorized persons, the persons ultimately responsible for giving instructions for the Account or the ultimate beneficial owners of the Account ("Relevant Person(s)") a SFC licensed person or an employee of any Registered Institution / Licensed Corporation; or an employee of any Exchange in Hong Kong?

☐ 否 No ☐ 是 Yes 请注明关系 Please specify the relationship: _____
- 贵公司或贵公司之任何股东或董事、合伙人、获授权人、最终负责为帐户发出指令之人士或帐户之最终权益拥有人 (下称「关连人士」) 是否与五矿金融服务有限公司或其母公司五矿期货有限公司 (包括其属下公司) 之董事或雇员有下列亲属关系? Does the company or any of its shareholders or directors, partners, authorized persons, the persons ultimately responsible for giving instructions for the Account or the ultimate beneficial owners of the Account ("Relevant Person(s)") have kinship related to any director(s) or employee(s) of Minmetals Financial Services Limited or its parent company Minmetals Futures Co. Ltd (including its subsidiaries)?

☐ 否 No ☐ 是 Yes 董事或雇员之姓名 Name of the director(s) or employee(s): _____

关系 Relationship: ☐ 本人 in person ☐ 父母 Parent ☐ 配偶 Spouse ☐ 孩子 Child
- 贵公司或贵公司之任何股东或董事、合伙人、授权人、最终负责为帐户发出指令之人士或帐户之最终权益拥有人 (下称「关连人士」) 是否美国公民或就税务目的而言的居民? (注意: 由于美国税收申报要求, 美国人帐户需要特别审批。) Is the company or any of its shareholders or directors, partners, authorized persons, the persons ultimately responsible for giving instructions for the Account or the ultimate beneficial owners of the Account ("Relevant Person(s)") citizens or residents of the USA for tax purposes? (Note: Due to US tax reporting requirements, US persons' accounts require special approval.)

☐ 否 No ☐ 是 Yes
- 贵公司或贵公司之任何股东或董事、合伙人、授权人、最终负责为帐户发出指令之人士或帐户之最终权益拥有人 (下称「关连人士」) 就税务目的而言的居民是以下哪国家/地区(可多选): Is the company or any of its shareholders or directors, partners, authorized persons, the persons ultimately responsible for giving instructions for the Account or the ultimate beneficial owners of the Account ("Relevant Person(s)") a resident for tax purposes of which country(ies)/place(s) :

☐ 中国香港 Hong Kong, China ☐ 中国 China ☐ 其他 Other _____

授权第三方操作帐户 Authorization for Third Party to Operate Account

本公司现授权下列人士(下称「获授权人士」)代本公司于五矿金融服务有限公司(下称「五矿金服」)操作上述帐户, 包括签署文件、发出口头或书面交易指示、确认交易及调拨资金。 With reference to the above mentioned Account(s) opened and operated by us with Minmetals Financial Services Limited ("MJFINS"), we hereby authorize the following person(s) ("the authorized person(s)") to sign document(s), give oral or written trading instruction, to confirm the transaction(s) and transfer of funds for and on behalf of the company.

获授权人士 1 Authorized Person 1		获授权人士 2 Authorized Person 2	
姓名 Name		姓名 Name	
身份证/护照号码 Identity Card/ Passport Number		身份证/护照号码 Identity Card/ Passport Number	
联络电话号码 Contact Phone Number		联络电话号码 Contact Phone Number	
微信号 Wechat ID		微信号 Wechat ID	
电邮地址 Email Address		电邮地址 Email Address	
(收取帐单receiving statements <input type="checkbox"/> 是Yes <input type="checkbox"/> 否No)		(收取帐单receiving statements <input type="checkbox"/> 是Yes <input type="checkbox"/> 否No)	
帐户持有人与获授权人士之关系 Relationship between Authorized Person and the Account Holder	<input type="checkbox"/> 股东 Shareholder <input type="checkbox"/> 董事 Director <input type="checkbox"/> 员工 Employee <input type="checkbox"/> 其他 Other	帐户持有人与获授权人士之关系 Relationship between Authorized Person and the Account Holder	<input type="checkbox"/> 股东 Shareholder <input type="checkbox"/> 董事 Director <input type="checkbox"/> 员工 Employee <input type="checkbox"/> 其他 Other
权限 Capacity	<input type="checkbox"/> 签署 Signing <input type="checkbox"/> 交易 Trading <input type="checkbox"/> 调拨资金 Fund Transfer	权限 Capacity	<input type="checkbox"/> 签署 Signing <input type="checkbox"/> 交易 Trading <input type="checkbox"/> 调拨资金 Fund Transfer
获授权人士1签字 Signature of Authorized Person 1		获授权人士2签字 Signature of Authorized Person 2	
获授权人士 3 Authorized Person 3		获授权人士 4 Authorized Person 4	
姓名 Name		姓名 Name	
身份证/护照号码 Identity Card/ Passport Number		身份证/护照号码 Identity Card/ Passport Number	
联络电话号码 Contact Phone Number		联络电话号码 Contact Phone Number	
微信号 Wechat ID		微信号 Wechat ID	
电邮地址 Email Address		电邮地址 Email Address	
(收取帐单receiving statements <input type="checkbox"/> 是Yes <input type="checkbox"/> 否No)		(收取帐单receiving statements <input type="checkbox"/> 是Yes <input type="checkbox"/> 否No)	
帐户持有人与获授权人士之关系 Relationship between Authorized Person and the Account Holder	<input type="checkbox"/> 股东 Shareholder <input type="checkbox"/> 董事 Director <input type="checkbox"/> 员工 Employee <input type="checkbox"/> 其他 Other	帐户持有人与获授权人士之关系 Relationship between Authorized Person and the Account Holder	<input type="checkbox"/> 股东 Shareholder <input type="checkbox"/> 董事 Director <input type="checkbox"/> 员工 Employee <input type="checkbox"/> 其他 Other
权限 Capacity	<input type="checkbox"/> 签署 Signing <input type="checkbox"/> 交易 Trading <input type="checkbox"/> 调拨资金 Fund Transfer	权限 Capacity	<input type="checkbox"/> 签署 Signing <input type="checkbox"/> 交易 Trading <input type="checkbox"/> 调拨资金 Fund Transfer
获授权人士3签字 Signature of Authorized Person 3		获授权人士4签字 Signature of Authorized Person 4	

兹附上获授权人士的身份证或护照副本 Copy of ID card or passport of Authorized Person has been attached

注意事项 Notes

- 任何资料的删改必须由客户签署或其他指定方式作实。
Any deletion or amendment of the information must be signed by client or other specified method.
- 帐户持有人的款项将会被存入本表格内所提供的指定银行账户, 除非另行通知。
All monies payable to the account holder will be credited to the designated bank account nominated on this Form, unless otherwise instructed.
- 五矿金服恕不接受第三者存款。任何例外情况都需要管理层的预先批准。
Third-party deposit will not be accepted by MJFINS. Any exception is subject to prior management approval.
- 根据《税务条例》第 80(2E)条, 如任何人在作出自我证明时, 在明知一项陈述在要项上属具误导性、虚假或不正确, 或罔顾一项陈述是否在要项上属具误导性、虚假或不正确, 作出该项陈述, 即属犯罪。一经定罪, 可处第 3 级 (即\$10,000) 罚款。
It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).

客户款项常设授权 Client Money Standing Authority

本授权根据 (证券及期货(客户款项)规则) 涵盖尔等为客户在香港持有或收取并存放于一个或多个独立账户内的款项(包括因持有并非属于尔等的款项而产生之任何利息)(下称「款项」)。

This authority is given pursuant to the Securities and Futures (Client Money) Rules, which covers money held or received by you in Hong Kong (including any interest derived from holding the money which does not belong to you) in one or more segregated account(s) on the Client's

behalf ("Monies").

本授权授权五矿金服及/或其任何联系人士酌情动用款项的全部或部份作下列用途，而无须事先给予客户任何通知或取得客户的确认及/或指示：

This authority authorizes MJFINS and/or any of its Associates, in its discretion and without prior notice to or consent from the Client, to transfer all or any portion of the monies for the purposes as set out below:

1. 组合或合并 (个别地或与其他账户联合进行) 五矿金服及/或其任何联系人士所维持的任何或全部独立账户，尔等可将该等独立账户内任何数额之款项作出转移，以符合我/我们对五矿金服任何成员确实、或然、原有、附带、有抵押、无抵押、共同或分别的义务或法律责任；及

combine or consolidate any or all segregated accounts of any name whatsoever and either individually or jointly with others, maintained by MJFINS and/or any of its Associates from time to time and you may transfer any sum of Monies to and between such segregated account(s) to satisfy my/our obligations or liabilities to any member of the MJFINS, whether such obligations and liabilities are actual or contingent, primary or collateral, secured or unsecured, or joint or several; and

2. 从五矿金服的成员于任何时候维持的任何独立账户之间来回调动任何数额之款项。

transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by members of MJFINS.

3. 将款项兑换至任何货币，目的包括但不限于满足结算或保证金要求。

convert monies into any currencies, for the purpose including but not limited to fulfilling settlement or margin requirement.

本授权自本授权书签署日期起生效，有效期为十二个月。

This authority is valid for a period of 12 months from the date of signing this authority.

客户谨此同意就五矿金服因执行上述授权而可能产生、蒙受及/或承受一切亏损、损失、利息、费用、开支、法律诉讼、付款要求索偿等等向五矿金服及/或香港及/或海外经纪人及/或结算公司作出赔偿，并保障五矿金服免受损害。

The Client hereby agrees to indemnify MJFINS and/or Hong Kong and/or overseas broker and/or clearing house against any and all losses, damages, interests, costs, expenses, litigations, claims etc. that may arise from, suffer and/or entail for conducting this authorization by MJFINS, and indemnify and hold harmless MJFINS against arising therefrom.

客户确认并同意，五矿金服若在本授权的有效期届满前 14 日之前向客户发出通知，提醒本公司本授权即将届满，而客户没有在授权届满前反对此授权续期，本授权应当作为不需要客户以书面同意下按持续的基准已被续期。

The Client hereby acknowledges and agrees that, MJFINS gives a written notice to the Client at least 14 days prior to the expiry of such authorization, and the authorization shall be deemed to be renewed on a continuing basis if the Client does not object to the renewal before the expiry of such authorization.

客户声明 Declaration by Client

1. 风险披露声明 Risk Disclosure Statements

客户确认五矿金服以客户选择的语言（英文或中文）提供期货客户协议的风险披露声明及免责声明。客户进一步确认五矿金服已经邀请客户阅读风险披露声明，提出问题及征求独立的意见（如客户有此意愿）。

The Client acknowledges that the Futures Client Agreement including the Risk Disclosure Statements and Disclaimers attached were provided in a language (English or Chinese) of the Client's choice. The Client further acknowledges that he/she was invited to read the risk disclosure statements, ask questions and take independent advice, if the Client wished.

客户应经常密切留意市况，五矿金服可能在强制平仓前无法与客户联络或未能提供足够时间让客户进行额外的存款。

The Client acknowledges that he/she should closely monitor positions, as MJFINS may not be able to contact you or give you sufficient time to deposit additional funds, before forced liquidation of positions.

2. 提供准确的资料 Accuracy of information provided

载于本开户表格(「开户表格」)中的资料是真实和准确的。客户将会通知五矿金服有关资料的任何重要改变。五矿金服可联络任何人，包括客户的银行、经纪或信用调查机构，以核实资料表的内容。

The information contained in this Account Opening Information Form (the "Form") is true and accurate. The Client will notify MJFINS of any material change of that information. MJFINS is authorized to contact anyone, including Client's banks, brokers or any credit agency, for verifying the information provided on this Form.

3. 转介费或介绍费 Referral or introduction fees

客户确认五矿金服可向介绍人支付转介费或介绍费，而该介绍人并非五矿金服的代理人。

The Client acknowledges that MJFINS may pay fees to any person(s) who referred or introduced the Client to MJFINS (the "Introducer"), and that the Introducer is not an agent of MJFINS.

4. 电子服务系统 Electronic Services System

客户确认五矿金服有可能提供第三方电子服务系统进行买卖。如果客户透过电子服务进行买卖，客户便须承受该电子服务系统带来的风险，包括有关系统硬体和软件可能会失灵的风险。五矿金服声明客户/使用者透过电子服务系统进行买卖所产生之风险与盈亏，一概不承担责任。

The Client acknowledges that the trades in MJFINS might be executed by third party Electronic Services System. If the client undertake Transactions via Electronic Services, the client will be exposed to risks associated with the Electronic Services system including the failure of hardware and software. The Company accepts no responsibility for any loss which may be incurred by the Client as a result of using Electronic Services System.

5. 持仓 Position Hold

客户确认在五矿金服的持仓有可能由第三方代理行托管。客户确认已被邀请阅读有关申报、限量及平仓合约的规则。

The Client acknowledges that the position in MJFINS might be hosted by third party brokerage. The Client acknowledges that it was invited to read the Rules in relation to reporting, limiting and closing out of positions.

风险评估问卷 Risk Profiling Questionnaire

- 贵公司有多少年投资经验(包括:股票、单位信托基金、外币、商品、结构投资产品、认股权证、期权、期货等)?
How many years of investment experience do your company have (for example stocks, unit trusts, foreign currencies, commodities, structured investment products, warrants, options, futures.)?
 1 ☐ 没有经验或少过1年 No experience or Less than 1 year
 2 ☐ 1-3 年 years
 3 ☐ 4-6 年 years
 4 ☐ 7-9 年 years
 5 ☐ 10 年或以上 years or above
- 现在贵公司是否持有以下任何投资产品?(可选多个)
Are your company currently holding any of the below investment products? (your company may select more than 1 option)
 1 ☐ 现金、存款、存款证、保本产品 Cash, deposit, certificates of deposit, capital protected products
 2 ☐ 债券、债券基金 Bond, bond funds
 3 ☐ 外币、非保本之货币挂钩投资 Foreign currencies, non-capital protected Currency-linked Investments
 4 ☐ 股票、开放式基金(不包括债券基金或货币市场基金)、非保本之股票挂钩投资、具投资成分的保险计划、商品 Stocks, open-end funds excluding bond funds and money market funds, non-capital protected Equity-linked Investments, Investment-linked insurance plans, commodities
 5 ☐ 期权、期货、认股权证 Options, futures, warrants
- 贵公司愿意拨出贵公司资产净值多少百分比作投资于投资产品的用途?
How much of your net worth would your company like to set aside for investment products?
 1 ☐ 0% - 10%
 2 ☐ 11% - 20%
 3 ☐ 21% - 40%
 4 ☐ > 40%
- 以投资回报的波幅来看, 以下哪一项最适合用来形容贵公司愿意接受的潜在收益和损失?
In terms of investment return fluctuations, which of the following best describes the potential gain and loss that is acceptable to your company?
 1 ☐ 波动少于 -5%至+5%之间 Fluctuates between -5% and +5%
 2 ☐ 波动于 -15%至+15%之间 Fluctuates between -15% and +15%
 3 ☐ 波动于 -30%至+30%之间 Fluctuates between -30% and +30%
 4 ☐ 波动于 -50%至+50%之间 Fluctuates between -50% and +50%
 5 ☐ 波动多于 -50%至 +50%之间 Fluctuates under -50% and over +50%
- 若贵公司整体投资资产下跌超过15%, 对贵公司的影响程度如何?
If there is a fall of 15% or over in your overall investment portfolio, what level of your company will be suffered?
 1 ☐ Intolerable 无法承受
 2 ☐ Great impact 影响程度大
 3 ☐ Medium impact 中度影响
 4 ☐ Little impact 影响程度小
 5 ☐ No impact 不会有影响

风险承受能力分析 Risk Tolerance Analysis (只供本公司使用 For Official Use Only)

风险承受程度 Risk Tolerance Level		投资者的一般特征 Investor General Characteristics
<input type="checkbox"/>	低风险 Low Risk (≤ 10)	<u>Conservative 保守型</u> 贵公司愿意承受低度的风险, 亦明白会接受比较保守回报。 You are willing to accept low risks. In return, you understand that you will receive low returns.
<input type="checkbox"/>	中风险 Medium Risk (11-17)	<u>Balance 平衡型</u> 贵公司愿意承受中度的风险, 于中长线换取潜在回报。 You are willing to accept medium risks in exchange for some potential returns over the medium to long term.
<input type="checkbox"/>	高风险 High Risk (≥ 18)	<u>Aggressive 进取型</u> 贵公司愿意承受高度的风险, 于长线换取最大的潜在回报。贵公司亦明白到有可能招致损失大部份或全部本金。 You are willing to accept very high risks to maximize your potential return over the long term. You understand that you may lose a significant part or all of your capital.

客户确认及签署 Acknowledgement and Execution by Client	
选择服务 SelectService(s)	帐户种类 Account Type
<input checked="" type="checkbox"/> 期货户口 Futures Account	请为我们开立期货户口。我们已经阅读并明白期货客户协议的条款及风险披露声明及免责声明，并同意这些条款的约束。 Please open a Futures Account for us. We have read and understood the provisions of the Futures Client Agreement and Risk Disclosure Statements and Disclaimers and agree to be bound by same.
<input checked="" type="checkbox"/> 网上交易服务 On-Line Trading Service	请为我们提供网上交易服务。我们已经阅读并明白网上交易协议的条款，并同意这些条款的约束。 Please provide us with On-Line Trading Service. We have read and understood the provisions of the On-Line Trading Agreement as set out in the Futures Client Agreement and agree to be bound by same.
<p>我们已阅读、明白及同意客户款项常设授权、风险评估问卷、客户声明及本表格的内容。 We have read, understood and accepted the contents of Client Money Standing Authority, Risk Profiling Questionnaire, Declaration by Client and this Account Opening Information Form.</p> <p>签署及公司印章 Signature & Company Chop _____</p> <p>获授权签署人姓名 Authorized Signatory's Name _____</p> <p>日期 Date _____ DD-MM-YYYY</p>	

见证人签署 Signed By Witness			
由五矿金服职员、持牌代表或联系人士或专业人士(其他证监会持牌人或注册人、太平绅士、银行经理、执业会计师、律师或公证人)填写。 To be completed by staff, representative or affiliate of MJFINS or Professional (any other licensed or registered person with the SFC, a JP, branch manager of a bank, certified public accountant, lawyer or notary public).			
见证人姓名: Name of Witness:		见证人签署: Signature of Witness:	
持牌人士声明 Declaration By Licensed Person			
我确认已经以客户选择的语言(英文或中文)提供了载于期货客户协议内的风险披露声明,并且我已经邀请客户阅读风险披露声明,提出有关问题及寻求独立意见(如客户有此意愿)。 I confirm that I have provided the Risk Disclosure Statements as set out in the Futures Client Agreement in a language (English or Chinese) of the Client's choice. I have also invited the Client to read the Risk Disclosure Statements, ask questions and take independent advice if the Client wishes.			
持牌人姓名: Name of Licensed Person:		持牌人签署: Signature of Licensed Person:	中央编号: CE No.:
日期: Date:			
AML风险级别 AML Risk category		(参考AML政策) (refer to AML policy)	
<input type="checkbox"/> 低 Low		<input type="checkbox"/> 中 Medium	
<input type="checkbox"/> 高 High			
只供本公司使用 For Official Use Only			
文件查核列表 Document check list			
<input type="checkbox"/> W-8BEN-E 表格 <input type="checkbox"/> 自我证明表格-实体 <input type="checkbox"/> 自我证明表格-控权人(份数) (只适用于被动非财务实体) <input type="checkbox"/> 通过开立帐户的董事会决议案 <input type="checkbox"/> 如属香港注册的企业 <input type="checkbox"/> 已核证有效的公司注册证书 <input type="checkbox"/> 已核证有效的商业登记证 <input type="checkbox"/> 已核证的公司注册表格 NNC1(公司成立少于一年)或最新的 NAR1 <input type="checkbox"/> 如属海外注册的企业 <input type="checkbox"/> 已核证有效的公司注册证书 <input type="checkbox"/> 已核证公司各项证明书(包括但不限于Certificate of Good Standing存续证明及Certificate of Incumbency董事在职证明等) <input type="checkbox"/> 地址证明副本(<input type="checkbox"/> 公司 <input type="checkbox"/> 股东(持股比例≥10%者)) <input type="checkbox"/> 银行证明副本 <input type="checkbox"/> 公司的拥有权架构图 <input type="checkbox"/> 已核证的身份证或护照副本 <input type="checkbox"/> 公司股东(持股比例≥10%者) <input type="checkbox"/> 个人 <input type="checkbox"/> 企业:公司注册证书 <input type="checkbox"/> 公司董事 <input type="checkbox"/> 获授权人(<input type="checkbox"/> 签署人 <input type="checkbox"/> 资金调拨人 <input type="checkbox"/> 指令下单人) <input type="checkbox"/> 已核证的公司章程大纲和细则 <input type="checkbox"/> 已核证的最近期经审核的年度财务报表(适用于公司成立超过 18 个月)			
客户资料核对 Client information checked by			
职员姓名: Name of Staff:		职员签署: Signature of Staff:	日期: Date:
客户资料输入 Client information Inputted by			
职员姓名: Name of Staff:		职员签署: Signature of Staff:	日期: Date:
基本佣金 Basic Commission (RO)			
单一持仓限额:			
职员姓名: Name of Staff:		职员签署: Signature of Staff:	中央编号: CE No.:
日期: Date:			
开户批核 Account opening approved by (RO)			
职员姓名: Name of Staff:		职员签署: Signature of Staff:	中央编号: CE No.:
日期: Date:			