



中糧期貨(國際)有限公司

COFCO Futures (International) Co., Limited

根據《證券及期貨條例》就第2類受規管活動獲發牌的持牌法團CE編號 BNE728

A corporation licensed for Type 2 regulated activities under the Securities and Futures Ordinance with CE No. BNE728

香港銅鑼灣告士打道262號中糧大廈17樓1701室

Room1701, COFCO Tower, 262 Gloucester Road, Causeway Bay, Hong Kong

電話 Tel : (852) 2833 0560 傳真 Fax : (852) 2833 0558

客戶資料表 - 個人/ 聯名帳戶

CLIENT INFORMATION FORM - INDIVIDUAL/ JOINT ACCOUNT

根據證券及期貨事務監察委員會之持牌人或註冊人操守準則, 請提供以下資料:

In accordance with the Code of Conduct for Persons Registered with The Securities and Futures Commission, please kindly provide the following information:

請於最適當的選擇旁加上“✓” Please “✓” on the most appropriate choice. * 刪除不適用 Delete if not applicable.

客戶姓名 Client Name		客戶號碼 Client Code	
負責客戶主任姓名 Responsible AE		開戶日期 Date	
帳戶形式 Account Nature	<input type="checkbox"/> 個人帳戶 Individual Account <input type="checkbox"/> 聯名帳戶 Joint Account		

(A) 客戶個人資料 - Client Personal Information

姓名: _____ Name: _____ Mr. / Ms.*

身份證或護照號碼
ID No. / Passport No.* _____ 簽發地點 Place of Issue _____

出生地點 _____ 出生日期 _____ 國籍/公民身份 _____
Country of Birth _____ Date of Birth _____ Nationality/Citizenship _____

住宅地址 Residential Address _____

住宅電話 Home No. _____ 流動電話 Mobile No. _____

電郵地址 E-mail address _____ 婚姻狀況 單身 已婚
Marital status Single Married

學歷程度 小學或以下 Primary School or below 中學 Secondary School
Education Level 大專 Non-Degree Tertiary 學位 Degree 研究生或以上 Postgraduate or above

行業及職位 Occupation&Position _____ 辦公室電話 Office No. _____

僱主名稱 Name of Employer _____ 受僱年期 Employment Period _____

辦公室地址 Office Address _____

指定銀行 銀行名稱 帳戶號碼
Designated Bank Name of Bank Account No _____

銀行名稱 帳戶號碼
Name of Bank Account No _____

1. 交易確認及帳單透過以下方式發送 (只選擇一項) Trading confirmations and statements will be sent by the following means (select one):

電郵方式By email (可豁免行政費Administrative Fee may be waived)

2. 所有郵遞信件將會發送到以下地址 (只選一項) All postal correspondence will be sent to the following address (select one):

住宅地址Residential address 辦公室地址Office address

其他地址Other address _____

投資經驗及衍生產品認識 Investment Experience & Derivative Products Knowledge

對衍生產品之認識 Derivative Products Knowledge

本人了解衍生產品的性質和風險: I understand the nature and risks of derivative products by:

1. 已接受有關的培訓或課程. Undergoing relevant training or attending course in.

監管機構 交易所 大專院校 進修學院 金融機構
Regulatory Authority Exchange Tertiary Institution Education Institution Financial Institution

2. 於經紀公司或銀行、基金或資產管理公司、監管機構或交易所等金融機構擁有有關的工作經驗.

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.

受監管持牌人士 管理層 與衍生工具相關後勤
Regulated Licensed Person Management Derivatives Related Back Office

3. 於過去三年內進行了五次或以上有關衍生產品之交易 (不論是否於交易所進行交易)

Executing five or more transactions in derivative products (whether traded on an exchange or not) within the past three years.

4. 其他 Other _____

本人並未有衍生產品之認識 I have NO knowledge of derivative products.

閣下是否擁有投資經驗? Do you have Investment Experience? 是 Yes 否 No

如是, 謹請填寫以下資料 If yes, please complete the following

產品 Products	年期 Year(s)	投資目的 Investment Objectives :
<input type="checkbox"/> 股票、認股權證 Stock, Warrants	<input type="checkbox"/> 1-3 年 year(s) <input type="checkbox"/> 3 年以上 Over 3 years	<input type="checkbox"/> 資本投資及收入 Capital Investment and Income
<input type="checkbox"/> 股票期權 Equity Options	<input type="checkbox"/> 1-3 年 year(s) <input type="checkbox"/> 3 年以上 Over 3 years	<input type="checkbox"/> 對沖 Hedging
<input type="checkbox"/> 期貨 Futures	<input type="checkbox"/> 1-3 年 year(s) <input type="checkbox"/> 3 年以上 Over 3 years	<input type="checkbox"/> 投機 Speculation
<input type="checkbox"/> 其他(請說明) Others(specify)	<input type="checkbox"/> 1-3 年 year(s) <input type="checkbox"/> 3 年以上 Over 3 years	<input type="checkbox"/> 其他(請說明) Others(specify)

財政狀況 Financial Situation

流動資產 Liquid Assets (HKD) <100,000 1,000,001 - 5,000,000 5,000,001 - HKD10,000,000 >10,000,001

資產淨值 Net Worth (HKD) <100,000 1,000,001 - 5,000,000 5,000,001 - HKD10,000,000 100,001 - 500,000 500,001 - 1,000,000

年薪 Annual Income (HKD) <100,000 1,000,001 - 5,000,000 5,000,001 - HKD10,000,000 >10,000,001

資金來源 Source of Funds 薪金儲蓄 Savings from Salary 家庭 Family 租金收入 Rental Income 500,001 - 1,000,000 >1,000,001 金融機構貸款 Loan from Financial Institution 營業溢利 Trading Profits 其他 Others: _____

住屋業權 Ownership of Residence 擁有 Owned : 已抵押 Mortgaged 沒有抵押 Not mortgaged 沒有 Not owned : 租住 Rented 與家人同住 Living with family

(B) 客戶聲明 Declaration by Client

閣下 (及/或聯名客戶) 是否此帳戶的最終實益擁有人? (即你是否為本身而非第三者運作此帳戶?) 如否, 帳戶的最終實益擁有人是: (如與最終權益擁有人相同不用填寫)

Are you (and /or Joint Client) the ultimate beneficial owner(s) in relation to the account? (i.e. Are you acting for

是 Yes 否 No 姓名 Name: _____ 身分證/護照號碼 ID/Passport No. _____

地址 Address : _____

閣下 (及/或聯名客戶) 或帳戶之最終權益擁有人是否香港證監會持牌人士或註冊機構/持牌法團的僱員; 或任何交易所或交易委員會或其交易所參與者公司的僱員?

Are you (and /or Joint Client) or any ultimate beneficial owner(s) of the Account a licensed person or an employee of any Registered Corporation under the Securities and Futures Commission of Hong Kong; or an employee of an Exchange Participant firm of any exchange or board of trade?

否 No 請註明關係 Please specify the relationship:

是 Yes _____

閣下 (及/或聯名客戶) 或任何帳戶之最終權益擁有人是否與 中糧期貨(國際)有限公司或其集團屬下成員公司之董事或僱員有親屬關係? Are you (and /or Joint Client) or any ultimate beneficial owner(s) of the Account related to any director(s) or employee(s) of COFCO Futures (International)Co., Limited or any of its member group companies?

否 No 董事或僱員之姓名 Name of the director(s) or employee(s):

是 Yes _____

關係 Relationship 雙親 Parent 配偶 Spouse 親屬 Relatives 孩子 Child 其他 Other _____

閣下 (及/或聯名客戶) 或帳戶之最終權益擁有人是否美國公民或就稅務目的而言的居民? (注意: 由於美國稅收申報要求, 美國人帳戶需要特別審批。)

Are you (and /or Joint Client) or any ultimate beneficial owner(s) of the Account 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

閣下 (及/或聯名客戶) 或帳戶之最終權益擁有人是否香港以外的就稅務目的而言的居民? 如是, 請列出該國家:

Are you (and /or Joint Client) or any ultimate beneficial owner(s) of the Account a resident for tax purposes in any place other than Hong Kong? If yes, please list the country(ies) :

否 No 中國 China 澳洲 Australia 日本 Japan 是 Yes 加拿大 Canada 泰國 Thailand 印尼 Indonesia 其他 Other _____



(C) 注意事項 Notes

- 請隨本表格附上全部帳戶持有人之身份證副本及最近三個月內之住宅及通訊地址證明文件(郵政信箱恕不接受)。
Please enclose an ID copy and residential and correspondence address(es) proof dated within the last 3 months (P.O. box is not accepted) for all account holders with this Form
- 任何有關個人資料的刪改必須由全部帳戶持有人簽署作實。
Any deletion or amendment of the personal information must be signed by all account holders
- 帳戶持有人的款項將會被存入本表格內所提供的指定銀行賬戶，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
- 中糧期貨國際恕不接受第三者存/取支款。任何例外情況都需要管理層的預先批准。
Third-party deposit / withdrawal will not be accepted. Any exception is subject to prior management approval.

(D) 客戶確認及簽署 Acknowledgement and Execution by Client

1. 風險披露聲明 Risk Disclosure Statements

客戶確認中糧期貨國際以客戶選擇的語言(英文或中文)提供期貨客戶協議書, 風險披露聲明及免責聲明。客戶進一步確認中糧期貨(國際)有限公司已經邀請客戶閱讀風險披露聲明, 提出問題及徵求獨立的意見(如客戶有此意願)。

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.

客戶應經常密切留意市況, 中糧期貨(國際)有限公司可能在強制平倉前無法與客戶聯絡或未能提供足夠時間讓客戶進行額外的存款。
The Client acknowledges that he/she should closely monitor positions, as COFCO Futures (International) Co., Limited may not be able to contact you or give you sufficient time to deposit additional funds, before forced liquidation of positions.

2. 提供準確的資料 Accuracy of information provided

載於本客戶資料表(「資料表」)中的資料是真實和準確的。客戶將會通知中糧期貨國際有關資料的任何重要改變。中糧期貨(國際)有限公司可聯絡任何人, 包括客戶的銀行、經紀或信用調查機構, 以核實資料表的內容。

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

3. 關於SEOCH基於證券組合的按金的確認 Acknowledgement in respect of SEOCH Margining on a portfolio basis

客戶確認在此授權中糧期貨(國際)有限公司向香港聯合交易所期權結算所(簡稱「期權結算所」)提交關於客戶之持倉由期權結算所以組合基礎計算及收取有關之按金。客戶進一步確認本公司已經邀請客戶閱讀列於聯交所規則、證券及期貨(合約限量及須申報的持倉量)規則及由證監會發出的有關指引內的申報規定及責任。

The Client acknowledges that he/she hereby authorize COFCO Futures (International) Co., Limited to submit a claim with The SEHK Options Clearing House Ltd. ("SEOCH") in respect of my/our open positions to the effect that SEOCH will calculate and collect margin in respect of such positions on a portfolio basis. The Client further acknowledges that it was invited to read the reporting requirements and the responsibilities of reporting set out in the Rules of the HKEx and in the Securities and Futures (Contracts Limits and Reportable Positions) Rules and related guidance

4. 轉介費或介紹費 Referral or introduction fees

客戶確認中糧期貨(國際)有限公司可向介紹人支付轉介費或介紹費, 而該介紹人並非中糧期貨(國際)有限公司的代理人。

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

5. 電子服務系統 Electronic Services System

客戶確認中糧期貨(國際)有限公司有可能提供第三方電子服務系統進行買賣。如果客戶透過電子服務進行買賣, 客戶便須承受該電子服務系統帶來的風險, 包括有關系統硬體和軟件可能會失靈的風險。中糧期貨國際聲明客戶/使用者透過電子服務系統進行買賣所產生之風險與盈虧, 一概不承擔責任。

The Client acknowledges that the trades in COFCO Futures (International) Co., Limited 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 Customer as a result of using Electronic Services System .

6. 持倉 Position Hold

客戶確認在中糧期貨(國際)有限公司的持倉有可能由第三方代理行托管。

The Client acknowledges that the position in COFCO Futures (International) Co., Limited might be hosted by third party brokerage.

個人/主要客戶簽署 Individual/ Primary Client Signature

聯名客戶簽署 Joint Client Signature

個人/主要客戶姓名 Individual/ Primary Client Name

聯名姓名 Joint Client Name

日期 Date

日期 Date

帳戶種類 Account Type	選擇服務 Select Service(s)
期貨戶口 Futures Account 請為我們開立期貨戶口。我們已經閱讀並明白期貨客戶協議的條款及風險披露聲明及免責聲明，並同意這些條款的約束。 Please open a Futures Account for us. We have read and understand the provisions of the Futures Client Agreement and Risk Disclosure Statements and Disclaimers and agree to be bound by same.	<input type="checkbox"/> 期貨戶口 Futures Account
網上交易服務 Online Trading Service 請為本人(等)提供網上交易服務。本人(等)已經閱讀並明白網上交易協議的條款,並同意這些條款的約束。 Please provide us with Online Trading Service. I/We have read and understand the provisions of the Online Trading Agreement as set out in the Futures Client Agreement and agree to be bound by same.	<input type="checkbox"/> 網上交易服務 Online Trading Service

本人 / 吾等茲聲明在客戶資料聲明內的資料屬真實、完整及正確，而附上的期貨客戶協議一切內容準確。除非中糧期貨(國際)有限公司接到更改有關聲明內容的書面通知，中糧期貨(國際)有限公司有權在任何用途上完全依賴這些資料及聲明。中糧期貨(國際)有限公司有權隨時聯絡任何人，包括本公司之銀行、經紀或任何信貸調查機構，以求證實本人資料聲明內所載之內容。

I / We represent that the information in the Client Information Statement is true, complete and correct and that the representations in the Futures Client Agreement are accurate. COFCO Futures (International)Co., Limited (“COFCO FUTURES Intl”) is entitled to rely fully on such information and representations for all purposes, unless the Company receives notice in writing of any changes. COFCO Futures (International)Co., Limited is authorised at any time to contact anyone (including our banks, brokers or any credit investigatory agency), for purposes of verifying the information provided in this Client Information Statement.

 個人/主要客戶簽署 Individual/ Primary Client Signature

 聯名客戶簽署 Joint Client Signature

 個人/主要客戶姓名 Individual/ Primary Client Name

 聯名姓名 Joint Client Name

 日期 Date

 日期 Date

見證簽署人姓名

Name of Witness: _____

牌照編號: (_____)

見證簽署人簽署

Signature of Witness: _____

日期 Date : _____

(E) 風險評估問卷 Risk Profiling Questionnaire

- I. 您有多少年投資經驗(包括:股票、單位信託基金、外幣、商品、結構投資產品、認股權證俗稱「窩輪」、期權、期貨等)?
 How many years of investment experience do you have (for example stocks, unit trusts, foreign currencies, commodities, structured investment products, warrants, options, futures.)?
1. 沒有經驗或少過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
- II. 現在您是否持有以下任何投資產品?(可選多個)
 Are you currently holding any of the below investment products? (you may select more than 1 option)
1. 現金、存款、存款証、保本產品 Cash, deposit, certificates of deposit, capital protected products
 2. 債券、債券基金 Bond, bond funds
 3. 外幣、非保本之貨幣、掛鈞結構投資產品 Foreign currencies, non capital protected currency linked
 4. 股票、開放式基金(不包括債券基金或貨幣市場基金)、非保本之股票掛鈞結構投資產品、具投資成
 5. 期權、期貨、認股權証(俗稱「窩輪」) Options, futures, warrants
- III. 在一般情況下, 您會願意投資於波動程度多大的投資產品?
 What level of fluctuation would you generally be comfortable with?
1. 波動少於 -5%至+5%之間 Fluctuates between -5% and +5%
 2. 波動於 -15%至+15%之間 Fluctuates between -15% and +15%
 3. 波動於 -30%至+30%之間 Fluctuates between -30% and +30%
 4. 波動多於 -30%至 +30%之間 Fluctuates under -30% and over +30%
- IV. 您撥作投資的資產總值佔個人投資總額的比率為多少?
 What portion of your net worth would you like to set aside for investments?
1. 0% – 20%
 2. 21% – 40%
 3. 41% – 60%
 4. > 60%
- V. 若您整體投資資產下跌超過15%, 對您的生活影響程度為何?
 If there is a fall of 15% or over in your overall investment portfolio, what level of your life be suffered?
1. Intolerable 無法承受
 2. Great impact 影響程度大
 3. Medium impact 中度影響
 4. Little impact 影響程度小
 5. No impact 不會有影響

Risk Tolerance Analysis 風險承受能力分析

風險承受程度 Risk Tolerance Level	投資者的一般特徵 Investor General Characteristics
<input type="checkbox"/> 低風險 Low Risk (≤ 10)	Conservative 保守型 閣下願意承受低度的風險, 亦明白會接受比較保守回報。 You are willing to accept low risks. In return, you understand that you will receive low returns.
<input type="checkbox"/> 中風險 Medium Risk(11-17)	Balance 平衡型 閣下願意承受中度的風險, 於中長線換取潛在回報。 You are willing to accept medium risks in exchange for some potential returns over the medium to long
<input type="checkbox"/> 高風險 High Risk (≥ 18)	Aggressive 進取型 閣下願意承受高度的風險, 於長線換取最大的潛在回報。閣下亦明白到有可能招致損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.

個人/主要客戶簽署 Individual/ Primary Client Signature

聯名客戶簽署 Joint Client Signature

個人/主要客戶姓名 Individual/ Primary Client Name

聯名姓名 Joint Client Name

日期 Date _____

日期 Date _____

(F) 常設授權 Standard Authorization

有關： 帳戶名稱： _____
帳戶號碼： _____

根據《證券及期貨（客戶款項）規則》第5(1)(c)節及第8條，本人／吾等謹授權閣下在無須向本人／吾等作出任何事先通知或獲得本人／吾等事先確認及／或指示的情況下，由閣下以下一種或多於一種指明方式處理：

- (a) 組合或合併(個別地或與其他帳戶聯合進行) 中糧期貨(國際)有限公司及/或其任何聯繫人士 所維持的任何或全部獨立賬戶, 爾等可將該等獨立賬戶 內任何數額之款項作出轉移, 以符合本人 / 吾等對中糧期貨(國際)有限公司任何成員確實、或然、原有、附帶、有抵押、無抵押、共同或分別的的義務或法律責任(如適合)；
- (b) 從中糧期貨(國際)有限公司的關聯公司於任何時候維持的任何獨立賬戶之間來回調動任何數額之款項(如適合)；
- (c) 支付／轉帳款項至本人／吾等與閣下所維持的期貨交易帳戶，以應付交易用途、交收、保證金要求或對閣下的負債（如適用）；
- (d) 支付／轉帳款項至位於香港或境外的第三方期貨經紀之客戶帳戶，以應付交收或本人／吾等經該經紀所要履行的財務責任；及
- (e) 將本人／吾等的款項兌換至任何貨幣。

常設授權自本授權書簽署日期起生效，直至本授權書簽署日期后的12月31日屆滿，本人／吾等謹此同意賠償閣下及使閣下因根據本常設授權進行任何交易而可能蒙受及／或招致的一切損失、賠償、利息、費用、開支、法律行動、付款要求、申索或訴訟獲得賠償。

本人／吾等可以向閣下發出書面通知致閣下的註冊地址，撤回本授權書。該通知之生效日期為閣下真正收到該等通知後之14日起計。

本人／吾等明白爾等若在本授權書的有效期屆滿前14日之前，向本人／吾等發出書面通知，提醒本人／吾等本授權書即將屆滿，而本人／吾等沒有 在此授權屆滿前反對此授權續期，本授權書應當作在不需要本人／吾等的書面同意下按持續的基準已被續期。

客戶簽署 Client Signature:

日期

Form **W-8BEN**

Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)

(Rev. February 2014)

Department of the Treasury
Internal Revenue Service

► For use by individuals. Entities must use Form W-8BEN-E.
► Information about Form W-8BEN and its separate instructions is at www.irs.gov/formw8ben.
► Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

Do NOT use this form if:

- You are NOT an individual W-8BEN-E
- You are a U.S. citizen or other U.S. person, including a resident alien individual W-9
- You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the U.S. (other than personal services) W-8ECI
- You are a beneficial owner who is receiving compensation for personal services performed in the United States 8233 or W-4
- A person acting as an intermediary W-8IMY

Instead, use Form:

Part I Identification of Beneficial Owner (see instructions)

1 Name of individual who is the beneficial owner	2 Country of citizenship
3 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address.	
City or town, state or province. Include postal code where appropriate.	Country
4 Mailing address (if different from above)	
City or town, state or province. Include postal code where appropriate.	Country
5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)	6 Foreign tax identifying number (see instructions)
7 Reference number(s) (see instructions)	8 Date of birth (MM-DD-YYYY) (see instructions)

Part II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions)

9 I certify that the beneficial owner is a resident of _____ within the meaning of the income tax treaty between the United States and that country.

10 Special rates and conditions (if applicable—see instructions): The beneficial owner is claiming the provisions of Article _____ of the treaty identified on line 9 above to claim a _____ % rate of withholding on (specify type of income): _____

Explain the reasons the beneficial owner meets the terms of the treaty article: _____

Part III Certification

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself as an individual that is an owner or account holder of a foreign financial institution,
- The person named on line 1 of this form is not a U.S. person,
- The income to which this form relates is:
 - (a) not effectively connected with the conduct of a trade or business in the United States,
 - (b) effectively connected but is not subject to tax under an applicable income tax treaty, or
 - (c) the partner's share of a partnership's effectively connected income,
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country, and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. **I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.**

Sign Here ►

Signature of beneficial owner (or individual authorized to sign for beneficial owner) _____ Date (MM-DD-YYYY) _____

Print name of signer _____ Capacity in which acting (if form is not signed by beneficial owner) _____

For Paperwork Reduction Act Notice, see separate instructions.

Cat. No. 25047Z

Form **W-8BEN** (Rev. 2-2014)

(G) 職員/經紀聲明 Declaration by Staff / Account Executive

我確認已經以客戶選擇的語言（英文或中文）提供了載於期貨客戶協議內的風險披露聲明，並且我已經邀請客戶閱讀風險披露聲明，提出有關問題及尋求獨立意見（如客戶有此意願）。

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 Customer's choice. I have also invited the Customer to read the Risk Disclosure Statements, ask questions and take independent advice if the Customer wishes.

持第2類（期貨買賣）Licensed for Type 2 (Licensed Representative)

職員/經紀姓名: Name of Staff/AE:	職員/經紀簽署: Signature of Staff/AE:
C. E. 編號: CE No.:	日期: Date:
備注: Remark:	
AML風險級別 AML Risk category	(參考AML政策) (refer to AML policy)
<input type="checkbox"/> 低 Low	<input type="checkbox"/> 中 Medium
<input type="checkbox"/> 高 High	

(H) 只供本行使用 For Official Use Only
文件查核列表 Document check list

客戶 Primary Client	聯名客戶 Joint Client
<input type="checkbox"/> 已核實的身份證或護照副本 Certified I.D Card/Passport Copy	<input type="checkbox"/> 已核實的身份證或護照副本 Certified I.D Card/Passport Copy
<input type="checkbox"/> 地址證明副本 Address proof	<input type="checkbox"/> 地址證明副本 Address proof
<input type="checkbox"/> 銀行證明副本 Bank Account proof	<input type="checkbox"/> 銀行證明副本 Bank Account proof
銀行及信貸參考(如適用) Bank and Credit Ref. (if applicable) (例如: 銀行結單、屋契等) (eg. Bank statement, title deeds) <input type="checkbox"/> 是 Yes <input type="checkbox"/> 不適合 N/A	銀行及信貸參考(如適用) Bank and Credit Ref. (if applicable) (例如: 銀行結單、屋契等) (eg. Bank statement, title deeds) <input type="checkbox"/> 是 Yes <input type="checkbox"/> 不適合 N/A

客戶資料核對 Customer information checked by

職員姓名: Name of Staff:	職員簽署: Signature of Staff:
C. E. 編號: CE No.:	日期: Date:

客戶資料輸入 Customer information Inputted by

職員姓名: Name of Staff:	職員簽署: Signature of Staff:	日期: Date:
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佣金率 Commission Rate

全部			
LME			
美盤			
其他			
經辦			
批准			
輸入			
覆核			
日期			

開戶批核 Account opening approved by

職員姓名: Name of Staff:	職員簽署: Signature of Staff:
C. E. 編號: CE No.:	日期: Date: