賬戶號碼 A/C No.	
客戶名稱 A/C Name	
關聯賬戶 Related Account:	
經紀編號 AE code	

中粮期货国际
COFCO FUTURES INTL
自然之源 重塑你我

個人/聯名賬戶開戶申請表

INDIVIDUAL/JOINT A/C Account Opening Form

香港銅鑼灣告士打道262號中糧大廈1701室
Room 1701, COFCO Building, 262 Gloucester Road,, Causeway Bay, Hong Kong, Hong Kong
電話 Tel. :(852) 28330571
傳真 Fax.:(852) 28330558
電郵Email：cofcoservice@cofco.com
網址 Website: http://www.cofcofuturesintl.com/

(Version 202408)

中糧期貨(國際)有限公司(「中糧期貨(國際) 」)是根據《證券及期貨條例》（第571章）就第一類受規管活動（即證券交易）、第二類受規管活動（即期貨合約交易）、第四類受規管活動（即就證券提供意見）及第五類受規管活動（即就期貨合約提供意見）獲發牌的持牌法團，其中央編號為BNE728。COFCO Futures (International) Co., Limited ("COFCO") is a licensed corporation that is licensed for Type 1 Regulated Activity (i.e. Dealing in Securities), Type 2 Regulated Activity (i.e. Dealing in Futures Contracts), Type 4 Regulated Activity (i.e. Advising on Securities) and Type 5 Regulated Activity (i.e. Advising on Futures Contracts) under the Securities and Futures Ordinance (Cap. 571) with CE No. BNE728.

賬戶類別 Account Type

申請賬戶為 Application For:

☐ 個人賬戶 Individual Account (不用填寫B1-3 No need to fill in B1-3)

☐ 聯名賬戶 Joint Account* (請填寫A及B please complete Part A&B)

賬戶類別 Account Type:	
☐ 證券現金賬戶 Cash Securities Account ☐ 證券保證金賬戶 Margin Securities Account ☐ 香港及海外期貨賬戶 HK and Oversea Futures Account	☐ 美國證券交易 US Securities Trading
網上交易服務 Internet Trading Services:	☐ 需要Required ☐不需要Not Required

A. 客戶資料表 CLIENT INFORMATION STATEMENT

※ 請用正楷填寫, 在適用處剔 ，並於不適用處填上「不適用」
Please complete in Block Letter, tick where is appropriate and insert "N.A." if not applicable.

1. 個人/主要賬戶持有人資料 Individual / Primary Account Holder Information

客戶姓名 Client Name	☐ 先生 Mr.	☐女士Ms.	☐太太 Mrs.
	(中文 Chinese)	(英文 English)	
出生日期（日/月/年） Date of Birth (D / M / Y)		國籍 Nationality	
出生國家 Place of Birth		身份證/護照號碼 ID Card/Passport No.	
住宅電話 Home Telephone No.		微信賬號 Wechat ID	
手提電話 Mobile Phone No.		電郵地址 E-mail Address	
住宅地址 Home Address			
通訊地址* Correspondence Address* (*不接受郵件信箱 P.O. Box not accepted)	(如與上址不同 if different from above)		

2. 個人/主要賬戶持有人就業情況 Individual / Primary Account Holder Employment Status

☐ 受僱 Employed ☐ 自僱Self-employed ☐ 退休Retired ☐ 其他Other:_____

公司名稱 Company Name				現時職位 Position	
所屬行業 Business Nature		受僱年期 Year of Employed		公司電話 Office Phone	
公司地址 Office Address					

3. 個人/主要賬戶持有人財務及投資概況 Individual / Primary Account Holder Financial and Investment Information

3.1 財務狀況 Financial Profile:

每年收入（港元）Annual Income (HK$):

☐ ＜ 200,000 ☐ 200,001 - 500,000 ☐ 500,001- 1,000,000

☐ 1,000,001 –1,500,000 ☐ 1,500,001 –2,000,000 ☐ ＞ 2,000,000

估計資產淨值（港元）(總資產減總負債) Approximate Net Asset Value (HK$) (Total Assets less Total Liabilities) :

☐ < 1,000,000 ☐ 1,000,001－3,000,000 ☐ 3,000,001－5,000,000

☐ 5,000,001－7,000,000 ☐ 7,000,001－10,000,000 ☐ ＞ 10,000,000

財富來源(可選多項) Source of Source of Wealth (may select more than one):

☐ 工資和獎金 Salary & Bonus ☐ 營業收入Business Income

☐ 投資回報 Return on Investments ☐退休金 Pension

☐ 出售資產/物業 Sale of Assets/Property ☐ 其他 Others:_____

3.2 投資概況 Investment Profile:

教育程度 Education Level:

☐小學 Primary School ☐ 中學 Secondary Primary School ☐ 大學或以上 University or above

投資目標 Investment Objectives:

☐資本增值 Capital Appreciation ☐ 股息回報 Dividend Yield

☐ 對沖 Hedging ☐投機 Speculation

3.3 投資經驗及產品認識 Investment Experience & Product Knowledge:

投資產品 Investment Products	估計投資金額 (港幣) Estimated Investment (HK$)	投資經驗 Investment Experience	
股票 Stocks	_____	□ 少於1年Less than 1 Year □ 6 - 10 年 Years	□ 1-5 年 Years □ 超過10年 Over 10 Years
債券 Bonds	_____	□ 少於1年Less than 1 Year □ 6 - 10 年 Years	□ 1-5 年 Years □ 超過10年 Over 10 Years
基金 Funds	_____	□ 少於1年Less than 1 Year □ 6 - 10 年 Years	□ 1-5 年 Years □ 超過10年 Over 10 Years
期貨 Futures	_____	□ 少於1年Less than 1 Year □ 6 - 10 年 Years	□ 1-5 年 Years □ 超過10年 Over 10 Years
期權 Options	_____	□ 少於1年Less than 1 Year □ 6 - 10 年 Years	□ 1-5 年 Years □ 超過10年 Over 10 Years
其他衍生工具 Other Derivatives	_____	□ 少於1年Less than 1 Year □ 6 - 10 年 Years	□ 1-5 年 Years □ 超過10年 Over 10 Years

B. 客戶資料表(僅供聯名賬戶填寫) CLIENT INFORMATION STATEMENT(For Joint Account only)

※ 請用正楷填寫, 在適用處剔 ，並於不適用處填上「不適用」
Please complete in Block Letter, tick where is appropriate and insert "N.A." if not applicable.

1. 聯名賬戶持有人資料 Joint Account Holder Information

客戶姓名 Client Name	☐ 先生 Mr. ☐女士Ms. ☐太太 Mrs. (中文 Chinese)	(英文 English)	
出生日期（日/月/年） Date of Birth (D / M / Y)		國籍 Nationality	
出生國家 Place of Birth		身份證/護照號碼 ID Card/Passport No.	
住宅電話 Home Telephone No.		微信賬號 Wechat ID	
手提電話 Mobile Phone No.		電郵地址 E-mail Address	
住宅地址 Home Address			
通訊地址* Correspondence Address* (*不接受郵件信箱 P.O. Box not accepted)	(如與上址不同 if different from above)		

2. 聯名賬戶持有人就業情況 Joint Account Holder Employment Status

☐ 受僱 Employed ☐ 自僱Self-employed ☐ 退休Retired ☐ 其他Other:_____

公司名稱 Company Name				現時職位 Position	
所屬行業 Business Nature		受僱年期 Year of Employed		公司電話 Office Phone	
公司地址 Office Address					

3. 聯名賬戶持有人財務及投資概況 Joint Account Holder Financial and Investment Information

3.1 財務狀況 Financial Profile:

每年收入（港元）Annual Income (HK$):

☐ ＜ 200,000 ☐ 200,001 - 500,000 ☐ 500,001- 1,000,000

☐ 1,000,001 –1,500,000 ☐ 1,500,001 –2,000,000 ☐ ＞ 2,000,000

估計資產淨值（港元）(總資產減總負債) Approximate Net Asset Value (HK$) (Total Assets less Total Liabilities) :

☐ < 1,000,000 ☐ 1,000,001－3,000,000 ☐ 3,000,001－5,000,000

☐ 5,000,001－7,000,000 ☐ 7,000,001－10,000,000 ☐ ＞ 10,000,000

財富來源(可選多項) Source of Source of Wealth (may select more than one):

☐ 工資和獎金 Salary & Bonus ☐ 營業收入Business Income

☐ 投資回報 Return on Investments ☐退休金 Pension

☐ 出售資產/物業 Sale of Assets/Property ☐ 其他 Others:_____

3.2 投資概況 Investment Profile:

教育程度 Education Level:

☐小學 Primary School ☐ 中學 Secondary Primary School ☐ 大學或以上 University or above

投資目標 Investment Objectives:

☐資本增值 Capital Appreciation ☐ 股息回報 Dividend Yield

☐ 對沖 Hedging ☐投機 Speculation

3.3 投資經驗及產品認識 Investment Experience & Product Knowledge:

投資產品 Investment Products	估計投資金額 (港幣) Estimated Investment (HK$)	投資經驗 Investment Experience	
股票 Stocks	_____	□ 少於1年Less than 1 Year □ 6 - 10 年 Years	□ 1-5 年 Years □ 超過10年 Over 10 Years
債券 Bonds	_____	□ 少於1年Less than 1 Year □ 6 - 10 年 Years	□ 1-5 年 Years □ 超過10年 Over 10 Years
基金 Funds	_____	□ 少於1年Less than 1 Year □ 6 - 10 年 Years	□ 1-5 年 Years □ 超過10年 Over 10 Years
期貨 Futures	_____	□ 少於1年Less than 1 Year □ 6 - 10 年 Years	□ 1-5 年 Years □ 超過10年 Over 10 Years
期權 Options	_____	□ 少於1年Less than 1 Year □ 6 - 10 年 Years	□ 1-5 年 Years □ 超過10年 Over 10 Years
其他衍生工具 Other Derivatives	_____	□ 少於1年Less than 1 Year □ 6 - 10 年 Years	□ 1-5 年 Years □ 超過10年 Over 10 Years

C. 其他資料 Other Information

4. 結算賬戶資料 Settlement Account Information

本人／吾等謹此指定以下的銀行賬戶作為提取款項用途的銀行賬戶。本人／吾等謹此指示及授權中糧期貨(國際)將任何或所有應付予本人／吾等之款項存入以下銀行賬戶。本人／吾等同意中糧期貨(國際)一概不應對基於任何原因而廷遲存入款項令本人／吾等蒙受的任何損失、費用或賠償承擔任何責任。The following bank account(s) is(are) hereby designated by me/us as the bank account for the purpose of withdrawal of funds. I/We hereby instruct and authorize COFCO to deposit any or all funds payable to me/us into the following bank account(s). I/We agree that COFCO should not be held liable for any loss, expenses or damages suffered by me/us as a result of any delay in depositing such payments caused by any reasons whatsoever.

貨幣 Currency	銀行名稱 Bank Name	賬戶號碼 Account Number	指定銀行所在國家／地區 Country / Area of Designated Bank
港幣 HKD			
人民幣 CNY			
美元 USD			

5. 通訊方法 Method of Communication

通告、成交單據、戶口結單及收據將以下列其中一項方式發送至本人／吾等:

Notices, contract notes, statements of accounts and receipts shall be sent to me/us by one of the following means:

☐ 電郵至 A1 部分的電郵地址 By E-mail to the E-mail address as mentioned in Part A1

☐ 郵寄* By post* (□住宅地址 Home Address/ □通訊地址 Correspondence Address)
如屬聯名賬戶，通告、成交單據、戶口結單及收據將寄往至主要賬戶持有人。
For Joint Account, notice, contract notes, statements of accounts and receipts will be sent to Primary Account Holder.

郵寄方式收取結單每月需收取港幣$30 郵遞服務費。
* A postage service fee of HKD 30 shall be charged for each month that statements are sent by postal mail. *

6. 對衍生產品的認識 Knowledge of Derivatives

☐	沒有認識 No.		
☐	有認識 Yes.	☐	曾接受有關介紹一般衍生產品之性質及風險培訓或課程（例如学术机构或金融机构提供的相关在线或课堂课程） By undergoing training or attending courses that provide general knowledge of the nature and risk of derivatives (e.g. relevant online or classroom course offered by academic institutions or financial institutions). 請註明 Please specify: _____
		☐	從本人/吾等相關之交易經驗,即本人/吾等於過去三年內已進行了五次或以上有關衍生產品之交易 From my/our relevant trading experience i.e. I/we have executed five or more transactions in derivative products within the past three years.
		☐	從本人/吾等現時或過去從事衍生產品有關的工作經驗，經驗年期 _____ From my/our current or previous work experience related to derivative products，_____years of experience.

客戶是否有意買賣交易所的衍生及結構性投資產品?
Would the Client wish to trade derivative and structured investment products on an exchange?

☐ 否 No.

☐ 有 Yes.

本人/吾等確認上述有關"衍生產品的認識"之資料完全真實及完整。本人/吾等確認已閱讀及明白衍生及結構性投資產品的風險披露聲明，而且瞭解進行有關產品買賣涉及高風險。本人/吾等已考慮到本人/吾等的財務狀況和投資目標，并確認本人/吾等之財政能承擔該等交易帶來之風險和承受其帶來之任何損失，亦自願確認衍生產品買賣是對本人/吾等是合適的。本人再進一步確認中糧期貨(國際)職員已完全向本人解釋衍生產品的性質和風險，本人明白中糧期貨(國際)將根據以上的資料以評估客戶是否對衍生工具有認識。

I/We hereby confirm that the above information provided in relation to "Knowledge of Derivatives" is true and complete. I/We hereby confirm that I/we have read and understood the Risk Disclosure Statements of the derivative and structured investment products and recognize that trading in the investment products involves a high degree of risk. I/We have considered my/our financial position and investment objective, I/we confirm that I/we am/are financially able to assume such risks and to sustain any losses resulting from such trading and voluntarily confirm that trading in derivative and structured investment products is suitable for me/us. I further confirmed that COFCO's representative has fully explained to me the nature and risks of Derivative Products, I understand that COFCO will use the above information to assess my knowledge of derivatives.

7. 身份聲明 Identity Declaration

I. 最終為此賬戶權益擁有人士 The ultimate beneficial owner(s) of the Account:

☐ 客戶本人 The Client

☐ 其他Others: *(我司未必接受此開戶申請 We may not accept this account opening application)*

姓名 Name	
身份證/護照號碼 ID Card/Passport No.	
國籍 Nationality	
住宅地址 Home Address:	

II. 最終為此賬戶發出交易指示的人士:
The person(s) ultimately responsible for giving instructions in relation to transactions to be conducted through the Account(s):

☐ 客戶本人 The Client

☐ 其他 Others: *(需提交「第三者操作戶口授權書」"Power of Attorney To Operate Trading Account" is required)*

III. 客戶本人及/或此賬戶最終受益人是否為「證券及期貨條例」之下持牌/註冊的中介人的董事、僱員或代表?
Is/Are the client(s)and/or the ultimate beneficial owner(s) of the Account(s), a director, an employee or a representative of an intermediary licensed/registered under the Securities and Futures Ordinance?

☐ 不是 No.

☐	是 Yes	"有關人士"姓名Name of the "Relevant Person"	
		持牌/註冊的中介人名稱 Name of the licensed/ registered intermediary	
		請提供僱主之同意書 Please provide the employer's approval letter	□提供 Provide □不提供Not provide

IV.	客戶本人及/或此賬戶最終受益人是否為已上市公司之高級職員、董事或大股東? Is/Are the client(s)and/or the ultimate beneficial owner(s) of the Account(s), a senior officer or director or in control of any company whose shares are traded on any exchange or market?

☐	不是 No.		
☐	是 Yes	"有關人士" 姓名 Name of the "Relevant Person"	
		公司名稱 Company Name	
		職位 Position	
		佔股份額 Share Holding (%)	

V.	客戶本人及/或此賬戶最終受益人是否為中糧期貨(國際)或其聯屬公司之董事或僱員/代理人有親屬或其他關係? Does/Do the client(s)and/or the ultimate beneficial owner(s) of the Account(s) has/have any relationship with the director or employee/agent of COFCO or its Affiliates?

☐	不是 No.		
☐	是 Yes	"有關人士" 姓名 Name of the "Relevant Person"	
		董事/僱員/代理人姓名 Name of the director/employee/agent	
		關係 Relationship	

VI.	客戶本人,此賬戶最終受益人及/或就賬戶進行交易的最終負責發出指示人士("有關人士") 或其配偶、伴侶、子女或父母, 或其子女的配偶或伴侶,或與其關係密切的人,是否擔任或曾擔任重要公職的為政治人物,包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員、重要政黨幹事及國際組織的高級管理層,即董事會的董事、副董事及成員或對等職位? Is/Are the client(s) and/or the ultimate beneficial owner(s) of the Account or the authorized person ultimately responsible for giving instructions in relation to transactions to be conducted through the Account ("Relevant Person(s)"), or his spouse, partner, child, parent, spouse or partner of his child, or a close associate with him a political exposed person, entrusted or has been entrusted with a prominent public function, which includes a head of state, head of government, judicial or military official, senior executive of a state-owned corporation, an important political party official and senior management of an international organization, i.e. directors, deputy directors and members of the board or equivalent functions?

☐	不是 No.		
☐	是 Yes	公職/國家機構/國際組織 Position/Authority/ International Organization	
		政界人士名稱 Name of PEP	
		關係 Relationship	

8. 額外披露 (開立證券保證金賬戶適用) Additional Disclosure (Applicable to Margin Securities Account)

I.	客戶是否單獨或與其配偶共同控制某公司的 35%或以上表決權,而該公司已在中糧期貨(國際)開立了公司證券保證金賬戶? Is the Client, either alone or together with his / her spouse, in control of 35% or more of the voting rights of a company which has opened a margin securities account in COFCO?

☐	不是 No.			
☐	是 Yes	賬戶名稱 Account Name:	賬戶號碼 Account No.:	關係 Relationship
	1.			
	2.			

II.	客戶的配偶是否在中糧期貨(國際)開立了證券保證金賬戶 (包括聯名帳戶)? Has the Client's spouse opened a margin securities account (including joint account) in COFCO?

☐	不是 No.			
☐	是 Yes.	賬戶名稱 Account Name:	賬戶號碼 Account No.:	關係 Relationship
	1.			
	2.			

III.	此賬戶的最終權益擁有人士是否同樣是中糧期貨(國際)其他證券保證金賬戶的最終權益擁有人士? Whether the beneficial owner of the Account(s) is/are also the beneficial owner of other margin securities account(s) of COFCO?			
☐	不是 No.			
☐	是 Yes	賬戶名稱 Account Name:	賬戶號碼 Account No.:	關係 Relationship
	1			
	2			
IV	客戶是否在任何擔保安排下為其他中糧期貨(國際)保證金客戶的財務負債作為擔保人? Is the Client a guarantor of other margin client(s) of COFCO for their financial liabilities under any guarantee arrangement(s)?			
☐	不是 No.			
☐	是 Yes	賬戶名稱 Account Name:	賬戶號碼 Account No.:	關係 Relationship
	1.			
	2.			

9. 風險承擔能力問卷 Risk Profile Questionnaire

理解風險取向 - 投資者的風險取向是就投資者對於風險承受程度的估計。不同的投資者會有不同的風險取向 。一個投資者的風險取向是由兩個部份組成: 風險承擔能力和風險態度。風險承擔能力是基於一些客觀因素如資產淨值、可動用收入、年齡、投資年期、現金需要以及投資戶口規模等等，而確定你對投資組合風險的可接受程度。 風險態度是考慮到在個人情況層面上，閣下願意接受的投資組合風險的程度。這是一個主觀量度，並可以隨著時間及閣下的財務情況而轉變。風險承擔能力問卷的設計是為量度你對投資的不確定性的接受能力(風險面對能力)及願意接受程度(風險態度)。問卷所計算出的總分數將從五類的投資者類別中判斷出最接近您所屬的類別。請回答以下問卷，這將有助您去了解自己屬於那種風險類別的投資者。

An understanding of risk profiling - Investor risk profiling is the estimation of an investor's risk tolerance level. Different investors have different risk profiles. An investor's risk profile comprises 2 components: risk capacity and risk attitude. Risk capacity is the degree of portfolio risk that you can tolerate based on objective factors like net worth, disposable income, age, investment horizon, cash needs, and the size of your investment accounts. Risk attitude is the degree of portfolio risk that you are willing to tolerate on an emotional level, and is thus a subjective measure which may change with time and financial circumstances. The risk profile questionnaire is designed to measure your ability (risk capacity) and willingness (risk attitude) to accept uncertainties in your investments. The total score determines which of the five risk profiles is most appropriate for you. Please answer the following questions. They will help you understand your own risk profile.

風險承擔能力的量度: Measuring Risk Capacity:

1)	**淨資產值 Net Asset** **請問閣下/貴公司的淨資產值 (即是總資產扣除總負債) 為多少? Approximately what is the net worth (total asset values minus total liabilities) of your family / company?**	
☐	超過HK$8,000,000	Over HK$8,000,000
☐	HK$4,000,000 至 HK$8,000,000	HK$4,000,000 to HK$8,000,000
☐	HK$ 500,000至HK$3,999,999	HK$ 500,000 to HK$3,999,999
☐	少於 HK$500,000	Less than HK$500,000
2)	**每月收入 Monthly Income** **請問閣下/貴公司每月的收入是多少? What is your/your company monthly income?**	
☐	超過 HK$100,000	Over HK$100,000
☐	HK$50,000 至 HK$99,999	HK$50,000 to HK$99,999
☐	HK$10,000 至 HK$49,999	HK$10,000 to HK$49,999
☐	少於HK$10,000	Less than HK$10,000
3)	**投資年期 Investment Period** **預期投資年期? Expected Investment period?**	
☐	長期(五年以上)	Long Term (more than five years)
☐	中長期(三至五年)	Medium to Long Term (between 3 and 5 years)
☐	中期(半年至三年)	Medium Term (between 6 months and 3 years)
☐	短期(半年內)	Short Term (less than 6 months)
4)	**投資金額及淨資產比例 Weighting between Investment and Net Asset** **閣下/貴公司預計投資金額佔淨資產的百分比為? : What is the percentage of your estimated investment amount of your net assets?**	

☐	超過75% Greater than 75%
☐	介乎51-75%之間 Between 51-75%
☐	介乎25-50%之間 Between 25-50%
☐	少於25% Less than 25%
5)	**備用錢 Emergency Savings** **閣下/貴公司有預留足額的現金以應付未來急需用錢的情況嗎? Do you/your company have the amount set aside to settle any immediate needs in the coming period?**
☐	有，金額多過六個月收入 Yes, more than 6 months' income
☐	有，金額介乎三個月至六個收入 Yes, more than 3 months' but less than 6 months' income
☐	有，金額低過三個月收入 Yes, less than 3 months' income
☐	沒有 No
6)	**投資目標 Investment Objective** **閣下/貴公司的投資目標是甚麼? What is your / your company investment objective?**
☐	對沖/投機 Hedging / Speculation
☐	增長及收入 Capital Growth and Income
☐	固定收入 Income
☐	資本保值，能承受小幅的價格波動* Capital Preservation, can bear little price fluctuation* ***If this option is selected, the maximum total score of this questionnaire will be limited to 50.** ***如選擇此項，此份問卷的總分上限將被限制為50分。**
7)	**投資經驗 Investment Experience** **閣下/貴公司的投資經驗可以被概括為？ What is your / your company investment experience?**
☐	非常豐富: 對市場了解，曾參與衍生產品，期貨期權或場外衍生品等交易 Very Experienced：Understand the market and have participated in derivatives, futures/options or OTC derivatives transactions.
☐	豐富: 亦參與股票買賣，中等風險的基金產品交易，並傾向於自己做出投資決定 Experienced: I/We have participated in the stock market and fund with medium risk level, and prefer to make own investment decisions
☐	一般: 除銀行存款外，亦曾購買低風險基金，保險等理財產品，但還需要進一步指導 Normal: Expect deposit in bank, I/We have invested fund with low risk level or insurance product, and need detailed guidance
☐	有限: 只有銀行存款 Limited: Only have deposit in bank
8)	**投資配置 Investment Holding** **閣下/貴公司目前是否持有以下任何投資產品? (閣下可選擇多項，但分計只會計算所選取最高的分數) *** **Are you / Is your company currently holding any of the following financial products? (You may choose more than one, but it will only calculate the highest score among all choices selected) ***
☐	非上市(場外)衍生產品 Non-Exchange traded (i.e. OTC) Derivatives
☐	非上市(場外)結構性產品 Non-Exchange traded (i.e. OTC) Structured Products
☐	杠杆式外匯買賣合約 Leveraged Forex Trading Contract
☐	期權 Options
☐	期貨 Futures
☐	上市衍生產品 Listed Derivatives
☐	證券 Equities
☐	債券/債券基金 Bonds / Bond Funds
☐	單位信託基金/互惠基金 Unit Trusts / Mutual Funds
☐	定期/貨幣市場基金 Fix Deposit/ Money Market Fund
☐	其他，請注明： Others (Please specify):
9)	**對於投資虧損的反應 Reaction to Investment Loss** **若大市或所投資的產品/在三天內跌10%以上，閣下/貴公司會如何反應? If the market or invested product dropped 10% in three days, how would you/your company react?**
☐	我/我們會捉緊這個投資機會，進行產品及市場調研，以決定是否趁低加大投資 I/We will take this as an opportunity, conduct product and market research to decide whether we should invest more
☐	我/我們不會有任何行動，我會密切留意市場走勢 I/We will do nothing and closely monitor the markets
☐	我/我們會賣掉一半投資，等待大市回穩 I/We will sell at least half of the investments and wait for the market to stabilize
☐	我/我們會馬上賣掉所有投資離場 I/We would immediately sell or redeem all my investments

10) 投資價值波動的感受和態度 Feelings and Attitude Towards Investment Value Fluctuations
以下哪一句最能準確描述閣下/貴公司對投資價值波動的感受和態度 Which of the following can best describe your feelings and attitude towards investment value fluctuations?

☐	我/我們主要的目標實現長期資金增值,雖然我/我們會擔心投資價值劇烈波動和損失風險提高,但是我/我們接受相當程度的投資波動。(30%以上) My/Our main goal is long-term capital appreciation; and though I/We would be concerned about major fluctuations and increased risk of loss, I/We can accept considerable investment volatility. (above 30%)
☐	我/我們對投資的態度比較溫和,並接受高回報意味著必須接受我/我們的投資價值出現波動以及可能損失本金。(在15%-30%間) I/We have a moderate investment attitude and accept that the potential for higher returns means accepting fluctuations in my/our investment's value and possible loss of principal. (between 15% - 30%)
☐	我/我們比較謹慎,但是能接受我/我們的投資價值出現輕微波動以及可能損失部分本金,比起最大限度地實現資本增值(15%以下), 我/我們更關心保本和賺取收益。I/We am/are conservative, but can accept some minor fluctuations in my/our investment's value and some potential loss of principal. I/We am/are more concerned with preserving my principal and earning income than maximizing capital appreciation. (below 15%)
☐	我/我們不希望看到投資價值出現波動. 我/我們無法接受任何資金損失。I/We am/are not comfortable with fluctuations in the value of my/our investment. I/We cannot accept any capital loss.

11) 達到預期投資回報的時間 Time for Expected Investment Return
閣下/貴公司認為需要多長時間才能達到預期投資回報率(例如,30%以上)? How quickly do you/your company expect to attain your expected return of investment (for example, over 30%)?

☐	不足1年	Less than 1 year
☐	1 - 3年	1 - 3 years
☐	3年至5年	3 - 5 years
☐	超過5年	More than 5 years

總分數 Total Score: _____ ,
經過評估,閣下/貴公司的風險為 Your risk tolerance level is assessed as :

Client Risk Tolerance		Score	Name	Description(中)	Description(英)
☐	1	30 or below	Conservative 保守	保守型投資者 此類型的投資者旨在實現略高於存款利率的回報並保護資本免受通貨膨脹的影響。投資者願意在短期至中期接受低水平的投資風險。投資者準備承受最低限度的資本損失，投資者可以接受最低或非常低的回報。投資傾向於波動很小的投資產品。	**Conservative Investor** **An investor of this risk profile aims to achieve slightly above deposit rate returns and protect capital against inflation. Investor is willing to accept low level of investment risk over the short to medium term. The investor is prepared to bear minimal level of capital loss and fine with minimal or low return. The investments are likely to be very low volatility.**
☐	2	31 - 50	Moderately Conservative 中度保守	中度保守型投資者 此類型的投資者追求高於通脹的投資回報(保存購買能力)及願意用 1 至 5 年作中線投資。相對於投資價值投資者接受細小的波幅。投資者已經準備面對部份資本的虧損，但希望有關虧損減少至最低程度。他們的投資較為多元化，及傾重於入息和有分派的產品。	**Moderately Conservative Investor** **An investor of this risk profile seeks investment returns above inflation rates (to preserve purchasing power) and is willing to invest for a medium horizon of 1-5 years. The investor accepts small volatilities in the value of investments. The investor is prepared to bear some capital loss, but would like to keep such capital loss to a minimum. The investments are likely to be diversified, and overweigh on income and yield-generating products.**
☐	3	51 - 65	Moderate 平穩	平穩型投資者 此類型的投資者追求資本增值及願意作出長線投資。此類投資者擁有普通程度的產品知識及能接受中等投資風險作為長線投資的回報。投資者已經準備面對一些資本上虧損。投資傾向綜合低至高風險產品的投資者組合。	**Moderate Investor** **An investor of this risk profile seeks capital appreciation, and is willing to invest for a long horizon. The investor has fair knowledge of investment products, and accepts moderate investment risk for medium to long-term investment returns. The investor is prepared to take some capital loss on investments. The investments tend to portfolio mixed with products ranging from low to high risk.**
☐	4	66 –80	Moderately Aggressive 中度進取	中度進取型投資者 此類型的投資者旨在實現中至高的資本增長水平，投資者並且願意接受中期至長期的中高級投資風險和波動性。他們已經對資本虧損作出準備。投資偏好於增長主導的產品（當中可能包括複雜產品）或類似風險程度的產品。	**Moderately Aggressive Investor** **An Investor of this risk profile aims to achieve a moderate to high level of capital growth on investments and investor is willing to accept moderate to high level of investment risk and volatility over medium to long term. The investor is prepared to take capital loss on investments. The investments tend to growth-oriented products (which may be complex or sophisticated products) or products of similar risk level**
☐	5	80 above	Very Aggressive 最常進取	非常進取型投資者 此類型投資者追求進取的資本增值及願意接受高投資風險，而此類投資者通常擁有良好的產品知識，投資經驗，以及能面對市場環境轉壞時而作出對資本虧損的準備。當市場轉差時，這類投資者可能會投入額外的資金以捕捉短期而帶投機性的獲利機會。投資偏好於較複雜、高度複雜的產品或類似風險程度的產品。	**Very Aggressive Investor** **An investor of this risk profile seeks aggressive capital appreciation, and is willing to take a high level of investment risk. The investor typically possesses good knowledge of investment products, has investment experience, and is prepared to take capital loss should market situations turn adverse. Such an investor may invest additional monies in a market downturn to capture speculative short term profiteering opportunities. The investments tend to more complex or highly sophisticated products, or products of similar risk level.**

10. 共同匯報標準 - 自我證明 Self-Certification of Common Reporting Standard

重要提示 Important Notes:

• 這是由賬戶申請人向中糧期貨(國際)提供的自我證明，以作自動交換財務賬戶資料用途。中糧期貨(國際)可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。This is a self-certification provided by account applicant to COFCO for the purpose of automatic exchange of financial account information. The information collected by COFCO may be transmitted by COFCO to the Inland Revenue Department for transfer to the tax authority of another jurisdiction(s).

• 如賬戶申請人的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。An account holder should report all changes in his/her tax residency status to the reporting financial institution.

• 金融機構均不允許給予客戶稅務諮詢。 如果您對此表格或您的稅務居民身份定義有任何疑問，請聯繫您的稅務顧問或相關稅務機關。您可以從經濟合作與發展組織(OECD)自動訊息交換網站，獲取更多詳情，包括已簽署自動交換信息協議的司法管轄區的名單及被請求交換的有關信息。 (http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/) Financial institutions are not allowed to provide tax advice. If you have any questions regarding this form or defining your tax residency status, please speak to your tax adviser or relevant tax authority. Please find out more on the OECD website (http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/), including a list of jurisdictions that have signed agreements to exchange information automatically, along with details about the information being requested.

請注意:如果客戶為聯名賬戶，各聯名賬戶持有人必須各自填寫一份自我聲明書。Please note that where there are joint account holders, each account holder is required to complete a separate Self-Certification form.

居留司法管轄區及稅務編號或具有等同功能的辨識編號。Jurisdiction of Residence and Taxpayer identification Numbers ("TINs") or their functional equivalents ("TIN equivalents").

請提供以下資料，列明 (a) 賬戶持有人的居留司法管轄區，亦即賬戶持有人的稅務管轄區（香港包括在內）及 (b)該居留司法管轄區發給賬戶持有人的稅務編號。請列出所有（不限於 2 個）居留司法管轄區。

Please complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's TIN for each jurisdiction indicated. Indicate all (not restricted to two) jurisdictions of residence.

如賬戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

如沒有提供稅務編號，必須填寫合適的理由 If a TIN is unavailable, provide the appropriate reason A, B or C:

理由 A – 賬戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

Reason A – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

理由 B – 賬戶持有人不能取得稅務編號。如選取這一理由，請解釋賬戶持有人不能取得稅務編號的原因。

Reason B – The account holder is unable to obtain a TIN. Please explain why the account holder is unable to obtain a TIN if you have selected this reason.

理由 C – 賬戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要賬戶持有人披露稅務編號。

Reason C – TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

個人/主要賬戶持有人資料 Individual / Primary Account Holder Information			
居留司法管轄區 Jurisdiction of Residence	稅務編號 TIN	如沒有提供稅務編號，填寫理由 A、B 或 C Enter Reason A, B or C if no TIN is available	如選取理由 B，請解釋賬戶持有人不能取得稅務編號的原因 Please explain why you are unable to obtain a TIN if you have selected Reason B

聯名賬戶持有人資料(僅供聯名賬戶填寫) Joint Account Holder Information (For Joint Account only)			
居留司法管轄區 Jurisdiction of Residence	稅務編號 TIN	如沒有提供稅務編號，填寫理由 A、B 或 C Enter Reason A, B or C if no TIN is available	如選取理由 B，請解釋賬戶持有人不能取得稅務編號的原因 Please explain why you are unable to obtain a TIN if you have selected Reason B

11. 美國居民/公民自我證明 Self-Certification of U.S. Resident / Citizen

I.	客戶是否美國稅務居民? Is the Client a U.S. tax resident? ☐ 不是 No ☐ 是，請提供稅務身份號碼 Yes, please specify TIN: _____
II.	客戶是否美國公民 (如您持有多重國籍身份而其一是美國國籍, 請回答"**是**") Is the Client a U.S. citizen? (If the Client holds multiple citizenships, tick "**Yes**" if one of them is U.S.) ☐ 不是 No ☐ 是，請提供稅務身份號碼 Yes, please specify TIN: _____
III	客戶是否持有"美國永久居民身份證(綠卡)"？Do you hold a "U.S. Permanent Resident Card (Green Card)" ☐ 不是 No ☐ 是，請提供稅務身份號碼 Yes, please specify TIN: _____

12. 同意使用個人資料作直接促銷 Consent on Use of Personal Data in Direct Marketing

中糧期貨(國際)擬使用本人/吾等的個人資料作直接促銷。該等個人資料包括本人/吾等在開戶文件中向中糧期貨(國際)提供的及中糧期貨(國際)不時獲得的姓名、聯絡詳情、財務背景、人口及統計資料等。本人／吾等明確同意，中糧期貨(國際)及/或任何中糧期貨(國際)附屬公司可使用或轉移本人／吾等的個人資料，作直接促銷用途。本人／吾等進一步同意收取中糧期貨(國際)及/或任何其中糧期貨(國際)附屬公司該等直接促銷資料，除非本人／吾等在下方表示反對：

COFCO intends to use your personal data for direct marketing. Personal data includes name, contact details, financial backgrounds, as well as demographic and statistical data which are provided to COFCO under the account opening documents or obtained by COFCO from time to time. I/We explicitly agree that my/our personal data may be used by or transferred to COFCO and/or any COFCO's affiliates for direct marketing purpose. I/We further agree to receive such direct marketing materials from COFCO and/or any COFCO's affiliates, unless I/We indicate an objection herein below:

☐本人確認個人資料（私隱）條例通知但不同意「中糧期貨(國際)」及其控股集團使用或提供本人的個人資料予其他人士用作直接促銷用途。

I / We have read and understand the <Personal Information Collection Statements> but NOT agreed the personal data to be used by the COFCO and/or to be provided to other Group members for direct marketing purpose.

如本人/吾等將來不希望中糧期貨(國際)使用或提供本人/吾等的資料給他人作直接促銷，將會以電郵通知客戶服務部取消(電郵地址: cofcoservice@cofco.com)。

In the future, if I/we do not wish COFCO to use or provide my/our data to other persons for the use in direct marketing, I/we may exercise my/our opt-out right by notifying our Customer Service Department by email (Email Address: cofcoservice@cofco.com).

13. 香港投資者識別碼制度及場外證券交易匯報制度個人資料收集聲明 PERSONAL INFORMATION COLLECTION STATEMENT UNDER THE HONG KONG INVESTOR IDENTIFICATION REGIME (HKIDR) AND THE OVER-THE COUNTER SECURITIES TRANSACTIONS REPORTING REGIME (OTCR)

本人/吾等明白並同意，中糧期貨(國際)有限公司(「本公司」)為了向客戶提供與在香港聯合交易所（「聯交所」）上市或買賣的證券相關的服務，以及為了遵守 不時生效的聯交所與證券及期貨事務監察委員會（「證監會」）的規則和規定，本公司可收集、儲存、處理、使用、披露及轉移與客戶有關的個人資料（包括客戶的客戶識別信息及券商客戶編碼）。在不限制以上的內容的前提下，當中包括：

I/We acknowledges and agrees that COFCO Futures (International) Co., Limited (the "Company") may collect, store, process, use, disclose and transfer personal data relating to the Client (including the Client's CID and BCAN(s)) as required for us to provide services to the Client in relation to securities listed or traded on the Stock Exchange of Hong Kong (the "SEHK") and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (the "SFC") in effect from time to time. Without limiting the foregoing, this includes:

(a) 根據不時生效的聯交所及證監會規則和規定，向聯交所及/或證監會披露及轉移個人資料（包括客戶識別信息及券商客戶編碼; disclosing and transferring the Personal Data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time;

(b) 允許聯交所：(i)收集、儲存、處理及使用本公司的個人資料（包括客戶識別信息及券商客戶編碼），以便監察和監管市場及執行《聯交所規則》；(ii)向香港相關監管機構和執法機構（包括但不限於證監會）披露及轉移有關資料，以便他們就香港金融市場履行 其法定職能；及(iii)為監察市場目的而使用有關資料進行分析；及
allowing SEHK to: (i) collect, store, process and use the Personal Data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; and (ii) disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and (iii) use such information for conducting analysis for the purposes of market oversight; and

(c) 允許證監會：(i)收集、儲存、處理及使用個人資料（包括客戶識別信息及券商客戶編碼），以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及 (ii)根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料。
allowing the SFC to: (i) collect, store, process and use the Personal Data (including CID and BCAN(s)) for the performance of its statutory functions including monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets; and (ii) disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements.

本人/吾等亦同意，即使本人/吾等其後宣稱撤回同意，中糧期貨(國際)在本人/吾等宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移客戶的個人資料以作上述用途。本人/吾等如未能向中糧期貨(國際)提供個人資料或上述同意，可能意味著我們不會或不能夠再（視情況而定）執行閣下的交易指示或向閣下提供證券相關服務，惟出售、轉出或提取閣下現有的證券持倉（如有）除外。

I / We also agrees that despite any subsequent purported withdrawal of consent by me/us, my/our personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent. Failure to provide COFCO with the Personal Data or consent as described above may mean that COFCO will not, or will no longer be able to, as the case may be carried out my/our trading instructions or provide me/us with securities related services (other than to sell, transfer out or withdraw COFCO existing holdings of securities, if any).

備註：本條文所述的"券商客戶編碼"及"客戶識別信息"具有《證券及期貨事務監察委員會 持牌人或註冊人操守準則》第 5.6 段所界定的含義。
Note: The terms "BCAN" and "CID" used in this clause shall bear the meanings as defined in paragraph 5.6 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission."

☐ 本人/吾等，確認本人/吾等已閱讀並理解上述內容。本人/吾等表示同意中糧期貨(國際)有限公司根據上述條款及目的使用本人/吾等的個人資料。 I/We, the undersigned, acknowledge I/We have read and understand the above content. I/We signify agree my/our consent for COFCO Futures (International) Co., Limited to use the Personal Data on the terms of and for the purposes set out in the above.

14. 常設授權書（客戶款項）(適用於所有賬戶)
Standing Authority (Client Money) (For All Types of Accounts)

本常設授權（本「授權」）涵蓋中糧期貨(國際)在香港持有或收到的款項，包括從持有該等並非屬於中糧期貨(國際)但由中糧期貨(國際)代表本人/吾等在一個或多個獨立賬戶持有的款項（「款項」）所取得的任何利息。
This "Standing Authority (Client Money)" (this "Authority") covers money held or received by COFCO in Hong Kong (including the any interest derived from the holding of the money which does not belong to COFCO in one or more segregated account(s) on my/our behalf ("Monies").

本人/吾等，藉提供中糧期貨(國際)此授權，授權中糧期貨(國際)全權酌情決定按以下形式處理款項的任何金額，而無須給予本人/吾等任何事先通知或取本人/吾等的事先指示/確認：
I/We, by providing COFCO with this Authority, authorizes COFCO to handle any sum of the Monies in the following manner in its sole discretion without having to provide me/us with any prior notice or to obtain my/our prior instruction/confirmation:

將任何數額之客戶款項支付／轉賬予任何本地及／或海外的經紀商及／或結算公司及其繼承人及受讓人，以作為本人/吾等買賣本地及／或海外證券及／或期貨等金融產品交易之用，或履行交收或保證金的要求（如適用）；及／或
to pay/transfer any sum of the Monies to any agent broker(s) and/or clearing firm(s) in Hong Kong or overseas and their successors and assigns for the purpose of trading or meeting the settlement or margin requirement (if applicable) of my/our local and my/our overseas securities and/or futures or other financial products transactions; and/or

從中糧期貨(國際)於任何時間維持的任何獨立賬戶之間來回調動任何數額之客戶款項，以作為本人/吾等買賣本地及／或海外證券及／或期貨等金融產品交易之用，或履行交收或保證金的要求（如適用）；及／或
to transfer any sum of the Monies interchangeably between any of the segregated accounts maintained at anytime by COFCO, for the purpose of trading or meeting the settlement or margin requirement (if applicable) of my/our local and/or overseas securities and/or futures or other financial products transactions; and/or

將款項按中糧期貨(國際)絕對酌情權釐定為當時通行的貨幣市場匯率的匯率轉換至任何貨幣
convert any sum of Monies into any currency at such rate of exchange as COFCO shall in its sole discretion determine as being the then prevailing money market rate.

抵消或將資金轉入客戶的任何一個或多個帳戶，以償付客戶對中糧期貨(國際)及/或其聯屬人有關的欠款債務、義務或責任，不論這些欠款、債務、義務或責任為現存的還是將來的、主要的還是次要的、各別的還是共同的、有抵押的還是無抵押的或/是否有任何其他人對該等資金享有權益。
To set off or transfer funds into any one or more accounts of the Client, to meet the relevant outstanding amounts, debts, obligation or responsibility owed by the Client to COFCO and/or its Affiliate(s), whether such outstanding amounts, debts, obligations or responsibility is current or future, primary or secondary, several or joint, secured or unsecured and/or subject to the rights of other persons

將客戶交易帳戶中存放的款項轉帳至其不時訂明或指定的並以其名義開立的銀行帳戶中。
To transfer any sum of monies held in the Client's trading account(s) to the bank account(s) in the Client's name which is/are specified or designated by the Client from time to time.

本授權乃提供予中糧期貨(國際)作為中糧期貨(國際)同意開立及繼續維持本人/吾等的證券現金/證券保證金賬戶及期貨賬戶的代價。
This Authority is provided to COFCO in consideration of its agreeing to open and continue to maintain Securities Cash/Margin Securities Account for me/us and also Futures Account(s) with COFCO for me/us.

本人/吾等明白本人/吾等的證券可能受制於第三者之權利，中糧期貨(國際)可於全數抵償該等權利後，方可將本人/吾等的證券退回給本人/吾等。
I/We understand this Standing Authority is given without prejudice to other authorities or rights which COFCO may have in relation to dealing in Monies in the segregated accounts.

本人/吾等謹此同意就中糧期貨(國際)及其代理經紀（或彼等任何一人）因為了本授權進行任何交易而可能招致、蒙受及/或遭受的任何性質的一切損失、損害、利益、費用、支出、法律行動、索求、申索或法律程序，向中糧期貨(國際)及其代理經紀作出彌償及維持獲得彌償。
I/We hereby agree to indemnify and to keep indemnified, COFCO and its agent broker(s) from and against all losses, damages, interests, costs,

expenses, actions, demands, claims or proceedings of whatsoever nature which they (or any of them) may incur, suffer and/or sustain as a consequence of any transaction undertaken in pursuance of this Authority.

本授權在並不損害中糧期貨(國際)就處理本人/吾等的獨立賬戶中的款項而擁有的其他授權或權利的情況下提供。This Authority is provided without prejudice to other authorities or rights which COFCO may have in relation to dealing in the Monies in my/our segregated accounts.

本人/吾等確認，中糧期貨(國際)在香港以外地方收取或持有的本人/吾等的資產，是受到有關海外司法管轄區的適用法律及規例所監管的。這些法律及規例與《證券及期貨條例》（第 571 條）及根據該條例制訂的規則可能有所不同。因此，有關資產有可能不會享有賦予本人/等在香港收取或持有的資產的相同保障。I/We acknowledge and confirm that my/our assets (including the Monies) received or held by COFCO overseas are subject to applicable laws and regulations of the relevant overseas jurisdiction which may be different from the Securities and Futures Ordinance (Cap.571) and the rules made thereunder. Consequently, such assets may not enjoy the same protection as that conferred on my/our assets received or held in Hong Kong.

(本段只適用於證券保證金賬戶) 當客戶在中糧期貨(國際)的個人及/或聯名賬戶沒有現金結餘時，若透過客戶的個人及/或聯名賬戶進行股票孖展貸款，提取資金以滿足其他戶口的按金或交收要求，客戶將面對額外的風險與成本，包括市場風險、保證金交易風險等和需要承擔額外的利息成本。
(This paragraph is only applicable to Margin Securities Account) When a customer does not have any cash balance in his/her personal and/or joint account at COFCO, and he/she, through his/her personal account and/or joint account, trades on margin and withdraw funds to meet the deposit and/or settlement requirements of other accounts, he/she may face additional risks and costs, including market risk, margin trading risk and any additional interest costs.

本授權以本文件日期或當本賬戶成功於中糧期貨(國際)開啟之日期（以較遲者為準）起計十二(12)個月內有效，除非中糧期貨(國際)另行予以終止或本人/吾等藉給予 30 日事先書面通知而撤銷則作別論；如由本人/吾等藉給予 30 日事先書面通知而撤銷，有關撤銷將於中糧期貨(國際)實際收到有關通知的日期後十(10)個營業日生效，除非中糧期貨(國際)另行決定則作別論。本授權將被視作連續再續期不多於十二(12)個月，惟必須在本授權的屆滿日期前最少十四(14)日向本人/吾等發出續期書面通知，而本人/吾等於屆滿日期前並無反對有關續期。
This Authority is valid for a period of up to twelve (12) months from the date hereof or such other date when this account being successfully opened at COFCO (whichever the later) unless otherwise terminated by COFCO or revoked by me/us by giving a 30-day prior written notice; in the event of the latter, revocation shall take effect ten (10) business days after the date of actual receipt of the notice by COFCO unless otherwise determined by COFCO. This Authority shall be deemed to be renewed on a continuing basis for a further period of not more than twelve (12) months provided that a written notification of renewal is issued to me/us at least fourteen (14) days before the expiry date of this Authority, I/we you do not object to such renewal before the expiry date.

本人/吾等明白，倘若中文版本與英文版本在解釋或意義方面有任何歧義，應以英文版本為準。
I/We understand that, in the event of any discrepancy between the English and Chinese version, the English version shall prevail.

本人/吾等確認，本人/吾等已獲解釋明白本授權，而本人/吾等完全明白本授權的內容，並已尋求或已有機會尋求有關本授權的內容及後果的獨立意見。
I/We confirm that this Authority has been explained to me/us and I/we fully understand the contents of this Authority and have sought, or have had the opportunity to seek independent advice concerning its contents and effects.

15. 常設授權 (客戶證券)（只適用於證券保證金賬戶）
Standing Authority (Client Securities) (For Margin Securities Account Only)

本常設授權（本「授權」）涵蓋所有由中糧期貨(國際) 代表本人/吾等購買或持有之證券。
This Standing Authority (this "Authority") covers all securities purchased or held by COFCO on my/our behalf

本授權授權中糧期貨(國際)：
This Authority authorizes COFCO:

(1) 依據證券借貸協議運用本人/吾等任何證券或證券抵押品；
apply any of my/our securities or securities collateral in accordance with a securities borrowing and lending agreement;

(2) 將本人/吾等任何證券抵押品存放於認可財務機構，作為向本人/吾等提供財務通融的抵押品；及/或
deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provided to me/us; and/or

(3) 將本人/吾等任何證券抵押品存放於認可結算所或另一獲發牌或獲註冊進行證券交易的中介人，作為解除及履行中糧期貨(國際)在交收上的義務和法律責任的抵押品。
deposit any of my/our securities collateral with a recognized clearing house or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of COFCO's settlement obligations and liabilities.

若中糧期貨(國際)在證券交易過程中以及任何其它已經獲發牌或已獲注冊的受規管活動過程中，向本人/吾等提供財務通融，可根據上述第(1)、(2)和/或(3)段所述調動或存放本人/吾等的任何證券抵押品。
If COFCO provides financial accommodation to me/us during the course of the securities transaction and any other approved or registered regulated activities, COFCO may conduct actions stated in (1), (2), and/or (3) above to transfer or store any of my/our securities collateral as described in the paragraph.

本人/吾等明白認可結算所或其他獲發牌或獲註冊進行證券交易的中介人，將因應中糧期貨(國際)在交收上的責任及法律責任而對本人/吾等的證券抵押品設定第一固定抵押。

I/We understand that the recognized clearing house or the intermediary licensed or registered for dealing in securities will have a first fixed charge over my/our securities collateral to the extent of COFCO's settlement obligations and liabilities.

本授權並不涵蓋本人/吾等就本人/吾等任何證券的借取、貸出或存放而必須支付或收取的任何代價。任何代價均須由中糧期貨(國際)與本人/吾等 另行簽署協議訂明。
This Authority does not cover any consideration I/we must pay or be paid for my/our borrowing, lending, or depositing any of my/our securities. Any consideration must be set in a separate agreement between COFCO and me/us.

中糧期貨(國際)須向本人/吾等負責退還根據本授權而借入、貸出或存放之任何證券。
COFCO is accountable to me/us for the return of any securities borrowed, lent, or deposited under this Authority.

本人/吾等明白，第三方可能對本人/吾等的證券擁有權利，中糧期貨(國際)必須在本人/吾等的證券可退回本人/吾等之前達成該等權利。
I/We understand that a third party may have rights to my/our securities, which COFCO must satisfy before my/our securities can be returned to me/us.

本授權以本文件日期或當本賬戶成功於中糧期貨(國際)開啟之日期（以較遲者為準）起計十二(12)個月內有效，除非中糧期貨(國際)另行予以終止或本人/吾等藉給予 30 日事先書面通知而撤銷則作別論；如由本人/吾等藉給予 30 日事先書面通知而撤銷，有關撤銷將於中糧期貨(國際)實際收到有關通知的日期後十(10)個營業日生效，除非中糧期貨(國際)另行決定則作別論。本授權將被視作連續再續期不多於十二(12)個月，惟必須在本授權的屆滿日期前最少十四(14)日向本人/吾等發出續期書面通知，而本人/吾等於屆滿日期前並無反對有關續期。
This Authority is valid for a period of up to twelve (12) months from the date hereof or such other date when this account being successfully opened at COFCO (whichever the later) unless otherwise terminated by COFCO or revoked by me/us by giving a 30-day prior written notice; in the event of the latter, revocation shall take effect ten (10) business days after the date of actual receipt of the notice by COFCO unless otherwise determined by COFCO. This Authority shall be deemed to be renewed on a continuing basis for a further period of not more than twelve (12) months provided that a written notification of renewal is issued to me/us at least fourteen (14) days before the expiry date of this Authority, I/we you do not object to such renewal before the expiry date.

本人／吾等明白，倘若中文版本與英文版本在解釋或意義方面有任何歧義，應以英文版本為準。
I/We understand that, in the event of any discrepancy between the English and Chinese version, the English version shall prevail.

本人/吾等確認，本人/吾等已獲解釋明白本授權，而本人/吾等完全明白本授權的內容，並已尋求或已有機會尋求有關本授權的內容及後果的獨立意見。
I/We confirm that this Authority has been explained to me/us and I/we fully understand the contents of this Authority and have sought, or have had the opportunity to seek independent advice concerning its contents and effects.

16. 客戶聲明 DECLARATION BY CLIENT

本人/吾等聲明、承認、確認并同意：I/We declare, acknowledge, confirm and agree that:

1	本人/吾等謹此聲明在此賬戶申請表所提供的資料均屬真實及完整無誤。除非中糧期貨(國際)接獲我們發出關於任何變更的書面通知，中糧期貨(國際) 將有權在任何用途上完全依靠此資料及聲明。中糧期貨(國際)獲授權隨時聯絡任何人士或實體，包括銀行或任何信用調查機構，以查核此開戶申請表所提供之資料； I/We hereby declare that the information contained in this Account Application Form is true, complete and accurate. COFCO is entitled to rely fully on such information and representations for all purposes, unless and until COFCO receives notice in writing from us of any change. COFCO is authorised at any time to contact anyone or entities, including banks, or any credit agency, for purposes of verifying the information provided in this Account Opening Form;
2	本人/吾等已閱讀、明白，和確認及同意本開戶申請表、風險披露聲明書、免責聲明、關於個人資料(私隱)條例通告及客戶協議之條款及條件(包括所有附表並可隨時作出修改)內，有關與本公司申請開立的有關類別賬戶之一切有關條款，並同意接受其約束； I/We have read, understood and confirmed, and agreed to be bound by all provisions of this Account Opening Application, Risk Disclosure Statements, Disclaimers, the Circular to Clients relating to Personal Data (Privacy) Ordinance, and Terms and Conditions of the Client Agreement (with all Schedules and as amended from time to time) applicable to the type of Account(s) that the Client applies to open with the Company;
3	本人/吾等確認中糧期貨(國際)已按照本人/吾等選擇的語言 (英文或中文) 提供風險披露聲明書及已獲邀閱讀該風險披露聲明書，並按本人/吾等所意願提出問題及諮詢獨立意見； I/We acknowledge and confirm that I/we have been provided with the Risk Disclosure Statement in a language of my/our choice (English or Chinese) and I/we have been invited to read the Risk Disclosure Statement, and to ask questions and take independent advice if I/we wish;
4	本人/吾等確認上述有關"衍生產品的認識"之資料完全真實及完整，並明白中糧期貨(國際)將根據上述資料界定本人/吾等是否擁有對衍生產品之認識，以符合證券及期貨事務監察委員會持牌人或註冊人操守準則之有關要求。本人／吾等已仔細考慮風險披露聲明，而且瞭解進行投資產品買賣所涉及之高風險。本人／吾等已考慮到本人／吾等的財務狀況和投資目標，并確認本人／吾等之財政能承擔該交易帶來之風險和承受其帶來之任何損失， 亦自願確認證券交易及/或期貨/期權買賣是一項對本人／我們合適的買賣方式。 I/We hereby confirm that the above information provided in relation to "Knowledge of Derivatives" is true and complete. I/we also understand that COFCO will rely on the above information provided to assess whether I/we have acquired knowledge of derivative products in order to comply with relevant requirements of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission. I/We have carefully considered the Risk Disclosure Statements and recognize that trading in investment products involves a high degree of risk. I have considered my/our financial position and investment objective, I/we confirm that I/we am/are financially able to assume such risks and to sustain any losses resulting from such trading and voluntarily confirm that trading in Securities and/or Futures/Options is a suitable trading vehicle for me/us.

5	中糧期貨(國際)獲授權（但無義務）接受本人/吾等或獲授權人不論是親身、以書面、電話、傳真、互聯網或任何其它電信方式或電子通訊方式按照客戶協定中的規定不時作出的指示並根據該等指示行事。倘若本人／ 吾等希望撤回根據客戶協定中作出的授權，本人／吾等應以書面方式通知中糧期貨(國際)，在收到該項書面變更通知之前，中糧期貨(國際)可依賴任何以傳真、電話、口頭或電子方式作出的指示。另鑒於中糧期貨(國際)同意通過電話、傳真或其它電子方式接受本人／吾等的指示，作為對價，對於中糧期貨(國際)及其董事、高級職員、僱員及代理人按照協議書項下的任何指示行事或沒有行事而招致或遭受的任何損失或責任，本人／吾等同意彌償他們，但由於中糧期貨(國際)的疏忽或違約而導致的損失或責任則除外。 COFCO shall be authorized (but not obliged) to accept and act in accordance with any Instructions given by me/us or the Authorized Person(s) either in person, in writing, by telephone, fax, the internet or any other form of telecommunications or electronic mode of communication made from time to time in accordance with the Client Agreement. In the event that I/we wish to withdraw the authorization under the Agreement, I/we shall notify COFCO in writing and until receipt of such notice of change in writing, COFCO may rely on any fax, telephone, oral and electronic Instructions given. And in consideration of COFCO agreeing to accept Instructions from me/us by telephone, fax transmission or other electronic means, I/we agree to indemnify COFCO and its directors, officers, employees and agents against any loss or liability that any of them may incur or suffer as a result of any of them acting or failing to act upon any Instruction given under the Agreement, save where due to the negligence or default of COFCO.
6	本人/吾等同意根據香港《稅務條例》(第 112 章)，中糧期貨(國際)作為《稅務條例》定義下的財務機構是被要求及授權收集及/或匯報若干關於賬戶持有人的納稅居住地和賬戶資料作自動交換財務賬戶資料之用。此表格要求及收集的資料旨在與香港法例要求的一致。本人/吾等承諾若本人/吾等的共同匯報標準自我證明的狀況資料如有變更，會於三十(30) 日內主動通知中糧期貨(國際) ； I/we agree that according to the Inland Revenue Ordinance (Cap. 112) ("IRO") of Hong Kong, ESFL as a financial institution defined under the IRO is required and authorized to collect and/or report certain information about the Account Holder's tax residence and the account information for the purpose of automatic exchange of financial account information. The information requested and collected in this form is intended to be consistent with the law requirements in Hong Kong. I/We further agree to inform COFCO within 30 days upon any changes in the information of the Self-Certification of Common Reporting Standard status; 中糧期貨(國際)須本人／吾等提供自我證明或其他文件以揭示本人／吾等納稅所在地，以作自動交換財務帳戶資料用途。如本人／吾等因任何情況而影響本人／吾等的納稅所在地，或令中糧期貨(國際)有理由相信本人／吾等之自我證明有不正確或不可靠時，中糧期貨(國際)保留權利可要求本人／吾等遞交新的自我證明及／或額外文件。作為中糧期貨(國際)的帳戶持有人，本人／吾等承諾及同意向中糧期貨(國際)提供進一步的資料。中糧期貨(國際)為遵守香港《稅務條例》（第 112 章） 有關交換財務帳戶資料的法律條文及／或指引，可能導致收集，儲存，使用及處理本人／吾等的資料。本人／吾等的資料亦可向香港特別行政區政府稅務局披露，從而把資料轉交到本人／吾等的居留司法管轄區的稅務當局。如果本人／吾等未能提供任何所要求的資料，中糧期貨(國際)保留採取任何補救措施的權利，包括 (但不限於) 限制及終止帳戶的運作； COFCO will request a self-certification and/or other relevant documentation in order to establish our tax residence for automatic exchange of financial account information purposes. If there is any change in circumstances that would affect my / our tax residence or there is reason for COFCO to know that the self-certification is incorrect or unreliable COFCO reserves the right to request and I / we have the obligation to provide a new self-certification and/or additional documentation. As account holder(s) of COFCO, I / we shall be deemed to acknowledge that further information may need to be provided to COFCO. COFCO's compliance with the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112) and/or guidance may result in gathering, storing, using, and processing my / our information. My / Our information may also be disclosed to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region, which is further exchanged with tax authorities of another jurisdiction or jurisdictions in which I / we may be resident for tax purposes. Where I / we fail to provide any requested information (regardless of the consequences), COFCO reserves the right to take any action and/or pursue all remedies at its disposal including, without limitation to restrict or terminate the operation of the account; 本人／吾等明白根據《稅務條例》第 80 (2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。 I / We understand that 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.
7	本人/吾等同意根據「海外賬戶稅收遵從法」("FATCA") ，中糧期貨(國際)必須識別出美國賬戶持有人及由美國控制的實體(即持有實體重大擁有權權益的美國人士)，然後向稅務局(IRS)提供其於該財政年度內的資產、收入款項及交易流資料。本人/吾等知道及確認，倘若所載於美國公民/居民自我聲明之資料是或被證明是不正確、虛假或具誤導性，中糧期貨(國際)可能因此蒙受損失或招致刑罰及/或損害。本人/吾等就所有該等損失、刑罰及/或損害對中糧期貨(國際)作出補償。本人/吾等同意，倘若本人/吾等的美國稅務狀況有任何改變，會於三十(30) 日內主動通知中糧期貨(國際) ； I/we agree that according to the FATCA ("Foreign Account Tax Compliance Act"), COFCO must identify U.S. account holders as well as entities under U.S. control (i.e. U.S. persons having a substantial ownership interest in the entity) and provide the Internal Revenue Service ("IRS") with information on their assets, income payments and trade flows during the fiscal year. I/We understand and acknowledge that COFCO may suffer loss or incur penalty and/or damage if the information provided in "Self-Certification of U.S. Citizen/Resident" is or proves to be incorrect, false or misleading when made. I/We agree to indemnify COFCO on demand for such loss, penalty and/or damage. I/We further agree to inform COFCO within 30 days upon any of change of my/our U.S. tax status;
8	本人/吾等已參閱中糧期貨(國際)給予客戶有關《個人資料（私隱）條例》的通知（載於協議書內），並明白且同意其條款。 I/We have read the COFCO Data Privacy Policy circular relating to Personal Data (Privacy) Ordinance (as contained in the Agreement), understand and agree to its term stated therein.
9	本人/吾等確保本人/吾等對存入的款項、從本人/吾等銀行賬戶發出的支票、證券及/或抵押品擁有其擁有權。中糧期貨(國際)有絕對酌情權決定是否接納該等吾等存入的款項、支票、證券及/或抵押品，並毋須承擔任何蒙受及/招致的罰款、債項、損害、賠償、費用、損失及開支。 I/We assure that funds, cheques issued from my/our bank account(s), securities and/or collateral(s) is/are solely held by myself/ourselves. COFCO shall have the absolute discretion on whether to accept the deposit of such funds, cheques, securities and/or collateral(s) and shall not be liable for any penalty, debt, damages, costs, loss and expenses suffered and/or incurred;

10	本人／吾等知悉及確認本人／吾等必須 (i) 遵守因本人／吾等簽訂協議書及根據該協議書進行的任何交易而可能產生的任何稅務後果；及 (ii) 遵從不時有效的所有適用法律和規例，包括根據本人／吾等居住的或居籍所在的或身為其公民的司法管轄區的法律之下與購買、持有及沽售證券或有關合約的資產相關的任何法律規定及外匯限制或管制規定。 I/We acknowledge and confirm that I/we must (i) observe any possible tax consequences arising from my/our entering into the Agreement and any transactions entered pursuant thereto; and (ii) comply with all applicable laws and regulations in force from time to time including any legal requirements and foreign exchange restrictions or exchange control requirements which are relevant to the purchase, holding or disposal of Securities or assets underlying the contract under the laws of the jurisdiction in which I/we reside, am/are domiciled or am/are a citizen.
11	本人/吾等確認及接受透過電子通訊接收該等通訊的風險，並同意及承諾免除中糧期貨(國際)因透過電子服務提供該等通訊而令本人/吾等產生、蒙受及/或承受的一切虧損、損失、利息、費用、開支、法律訴訟、付款要求、索償程式等等的責任。本人/吾等明白本人/吾等只可從郵寄賬單或電子通訊選擇其一，一經選用電子通訊， 本人/吾等將不會收到郵件形式寄發之成交單據及月結單。本人/吾等選用電子通訊期間，如電郵地址有所變更，將第一時間通知中糧期貨(國際)。假若中糧期貨(國際)寄發電子賬單後連續三次收到錯誤資訊，中糧期貨(國際)可選擇以郵寄形式取代電子通訊。 I/We, acknowledge and accept the risks of receiving the Communications via electronic communications, and agree and undertake to hold the COFCO harmless from and against all losses, damages, interests, costs, expenses, actions, demands, claims or proceedings of whatsoever nature which I/we may incur, suffer and/ or sustain as a result of the COFCO 's provision of the Communications via electronic communication. I/We understand I/We only can choose either receiving the account statement via physical mail or via electronic communication. Once choosing electronic communication service, I/We will not receive any physical account statement by mail. I/We undertake to notify the COFCO of any change in my/our email address. If the COFCO got three successive messages in relation to failure of sending the statement to my/our email address electronically, the COFCO has the right to send the statement to me/us via physical mail instead.
12	持倉限量和須申報的大額未平倉合約（只適用於香港及海外期貨賬戶） Position Limits and Reportable Large Open Position (For HK and Oversea Futures Account only) 本人/吾等明白香港期貨交易所(「期交所」)中關於大額未平倉合約申報和持倉限額的要求及已經閱讀大額未平倉合約申報和持倉限額的相關義務: I/We understood the requirements of the Hong Kong Futures Exchange ("HKFE") regarding reporting of large open positions and position limits, and have read the obligations in relation to large open position reporting and position limits: 由根據《證券及期貨條例》第 35(1)條制定之《證券及期貨(合約限量及須申報的持倉量)規則》(「該規則」)設設定的持倉限額及申報水準將會直接影響你的賬戶。 閣下應注意，未能遵守該等限額或做出申報可能會構成該條例之下的刑事罪行。 Certain prescribed limits and reporting level set by the Securities and Futures Commission ("SFC") under the Securities and Futures (Contracts Limits and Reportable Positions) Rules ("the Rules") made pursuant to Section 35 (1) of the Securities and Futures Ordinance (the "Ordinance") will directly affect your Account(s). The Client should note that failure to comply with such limits or to report may constitute a criminal offence under the Ordinance and the Rules. 本人/吾等有義務對所持大額未平倉合約進行申報，包括本人/吾等之大額未平倉合約集中於一家交易所參與者（即期貨經紀商），或在多家交易所參與者開立賬戶之持倉總和達到大額未平倉合約申報水準的情況。 I/We have an obligation to report my/our large open positions, including situations where my/our large open positions are concentrated with a single Exchange Participant (i.e. futures broker), or where the combined positions held in accounts opened with multiple Exchange Participants reach the reporting level for large open positions. 如閣下在多家期貨經紀商開立賬戶並持有或控制須申報的持倉量，閣下可委托其中任一期貨經紀商為代理人向期交所統一申報，或授權經紀商分別向期交所申報持倉。如閣下要求中糧期貨(國際)在未必超逾須申報的水平向期交所進行申報，閣下可必須向中糧期貨(國際)出具授權書並提供相關資料。 If you hold or control a reportable position in accounts at more than one futures broker, you can appoint any one of the futures brokers as your agent to report your positions as a whole to the exchange, or authorize the futures broker so appointed to report your positions with each brokerage separately to the exchange. If you ask COFCO to report positions on your behalf to the Exchange even though positions in the account may not exceed the reportable level, you must provide COFCO with a letter of authorization and relevant information.
13	本公司應經常密切留意市況，中糧期貨國際可能在強制平倉前無法與本公司聯絡或未能提供足夠時間讓本公司進行額外的存款。 We acknowledge that we should closely monitor positions, as COFCO may not be able to contact us or give us sufficient time to deposit additional funds, before forced liquidation of positions.
14	本人/吾等已閱讀和填寫"第9部份 - 風險承擔能力問卷", 明白本人/吾等所屬風險承受能力的級別, 並同意中糧期貨(國際)有限公司將此次風險承受能力的結果存檔。 I /We have read and filled in the "Risk Profile Questionnaire" and understand which risk tolerance level I/we belong to and consent to the results of the assigned risk tolerance level being documented by COFCO Futures (International) Co., Limited. 本人/吾等明白本問卷和評估結果不應被視為投資建議、邀約出售、或徵求購買任何金融產品。 I /We understand that this questionnaire and its result should not be regarded as an investment advice, an offer to sell, or a solicitation to buy any financial products. 本人/吾等承認, 本人/吾等在投資固定收益證券、衍生/結構性產品、投資基金和/或其他金融產品之前, 已考慮本人/吾等的財務狀況, 投資經驗, 投資目標及風險承受能力。本人/吾等完全明白和接受與本人/吾等所投資的金融產品有關的風險和回報。本人/吾等聲明, 本人/吾等已根據本人/吾等的判斷作出投資決策。 I/We acknowledge that I/we have considered my financial situation, investment experience, investment objectives and risk tolerance level before investing in fixed income securities, derivatives/structured products, investment funds and/or other financial products. I/We fully understand and accept the risk and return associated with the financial product(s) invested by me/us. I/We declare that I/we have made the investment decision based on my/our judgment.

	本人/吾等同意會就任何固定收益證券、衍生/結構性產品、投資基金和/或其他金融產品作出獨立調查及評估。本人/吾等承認, 在決定認購任何固定收益證券、衍生/結構性產品, 投資基金和/或其他金融產品之前, 本人/吾等已獲中糧期貨(國際)有限公司建議, 在必要時獲取合適的專業意見。 I/We agree that I/we shall make my/our own independent investigation, appraisal of any fixed income securities, derivatives/ structured products, investment funds and/or other financial products. I/We acknowledge that I/we have been advised by COFCO Futures (International) Co., Limited to obtain appropriate professional advice where necessary before deciding to subscribe for fixed income securities, derivatives/ structured products, investment funds and/or other financial products.

本開戶文件及協議書擬定中英文版本，兩種語言版本均具同等效力，但應以英文版本解釋並視為確實及具最終效力。
This document and the Agreement are drawing in English and Chinese Languages, all two versions being equally authenticated. However, the English Language version shall deem to be conclusive and prevail.

17. 客戶簽署 Client Signature

茲見證本人/吾等簽署本開戶文件於：_____年_____月_____日。

IN WITNESS WHEREOF I/We have set my/our hands this_____day of_____.

Primary Client Signature 客戶簽名	**Joint Client Signature 聯名客戶簽名**
姓名（正楷）： Name （Block Letter）：_____	姓名（正楷）： Name （Block Letter）：_____

18. 簽署安排（只適用於聯名賬戶）Signing Arrangement（For Joint Account Only）

賬戶簽署安排和操作指示方式： Account is to be signed and operated on instruction by：

☐	任可一位賬戶持有人 Either one of the account holders	☐	所有賬戶持有人 All account holders

19. 見證人簽署 SIGNED by Witness

本人已見證及驗證上述客戶之簽署及有關其身分證明文件之正本。
I, the undersigned, have witnessed the signature and inspected the original identity documents of the above-named client(s).

見證人簽署 SIGNED by Witness	_____	職位: Title:	_____
見證人姓名 Name of Witness	_____	日期 Date	_____

見證人身份
Capacity of Witness

☐ 證監會持牌人士, 中央編號 Licensed person with SFC, CE No.: _____

☐ 專業人士(例如銀行分行經理、執業會計師、律師、公證人或特許秘書) Professional person (such as a branch manager of a bank, certified public accountant, lawyer, notary public or chartered secretary)
需提供執業證明 Please provide the certificate

*如欲豁免上述核證需要，申請人可遞交 10,000 港元或以上由其名下香港持牌銀行戶口發出的個人支票。個人支票抬頭為"中糧期貨(國際)有限公司"。個人支票的簽名必須與開戶表上的簽名相同。賬戶將在支票兌現後生效。
*To waive the certification required please send in a personal cheque payable to "COFCO Futures (International) Co., Limited" of at least HK$10,000 drawn upon an account in the name of the applicant with a licensed bank in Hong Kong. The signature on the personal cheque must match the signature on the account opening form. The account will be activated only after the cheque is cleared.

20. 持牌人士聲明 Declaration By Licensed Representative

本人 / 吾等為中糧期貨(國際)持牌代表，並謹此聲明及確認本人 / 吾等已按照上述客戶所選擇的語言(中文或英文)向客戶提供風險披露聲明(載於協議書內)及邀請客戶閱讀該等聲明、提出問題及徵求獨立的意見(如客戶有此意願)。I/We, COFCO's licensed representative(s), hereby declare and confirm that I / we have provided the Risk Disclosure Statements (as contained in the Agreement) in a language of the Client's choice (Chinese or English) and invited the Client to read the same, ask questions and take independent advice if the Client wishes.

持牌代表簽署 SIGNED by Licensed Representative：	姓名（正楷）： Name （Block Letter）：
中央編號 CE Number：	日期及時間 Date & Time：

----------內部專用 For Internal Use----------

DOCUMENT CHECKLIST FOR ACCOUNT OPENING

重要事項：所有提交的文件如非正本，必須經認可人士或中糧期貨(國際)的持牌人士認證後，方為有效。

Important note: All documents submitted must either be an original or a copy certified by a recognized person or licensed person of COFCO.

	個人/聯名賬戶 Individual / Joint Account	Remarks	Check Box
1	個人 / 聯名戶口持有人身份證 / 護照 Identity Card(s) / Passport(s) of the Individual/Joint account holder		
2	地址證明 (如：水、電費單 / 銀行結單等, 只接受最近三個月)Proof of Residential Address (e.g. Utilities / Bank Statement, etc. not later than 3 months)		
3	通訊地址證明 (如適用)Proof of Correspondence Address (If applicable)		
4	W- 8BEN FORM		
5	期貨客戶協議Futures Client Agreement		
6	證券交易客戶協議 CLIENT AGREEMENT (SECURITIES TRADING)		
7	證券保證金交易協議書 -額外加簽(適用於保證金賬戶) Extra - AGREEMENT FOR SECURITIES MARGIN TRADING (applicable to margin account)		
8	第三者操作戶口授權書((如適用)) Power of Attorney To Operate Trading Account (If applicable)		

資料審核 checked by：

簽署 Signed By：	姓名（正楷）： Name （Block Letter）：_____ 日期 Date：_____

負責人員開戶審批 Approval of Account Opening

吾等確認及接納 We acknowledged and accepted.

獲授權代表中糧期貨(國際)有限公司Duly authorized for and behalf of COFCO Futures (International) Co..LTD.	姓名（正楷）： Name （Block Letter）：_____ 日期 Date：_____

資料輸入 Inputted By：	資料核對 Checked By：
簽署 Signed By：	簽署 Signed By：
姓名Name：	姓名Name：
日期 Date：	日期 Date：