

**QUESTIONNAIRE REGARDING  
THE FOREIGN ACCOUNT TAX COMPLIANCE ACT (“FATCA”) OF UNITED STATES  
AND SELF-CERTIFICATION  
FOR INDIVIDUAL CLIENTS**

1. What is your country (region) of birth?	Ans: _____	
2. What is the country (region) of the home address provided in section 2 your customer information statement?	Ans: _____	
3. What is the country (region) of the mailing address, if any, provided in section 2 your customer information statement?	Ans: _____	
4. Which country (region) in which the bank account, if any, provided in section 3 of your customer information statement is maintained?	Ans: _____	
5. Which country (region) do the contact number(s) provided in section 2 of your customer information statement belong to? Please state the country (region) name(s),	Country (Region) (Home): _____ Country (Region) (Mobile): _____ Country (Region) (Office) _____	
6. Do any power of attorney or authorized person of your account, if any, have U.S. address?	Yes: _____	No: _____
7. Do you have any US tax obligation? Please provide your Tax Identification Number (“TIN”) if you have.	Yes: TIN: _____	No: _____
8. Are you designated as U.S. citizen or resident?	Yes: _____	No: _____
9. Are you a U.S. person?	Yes: _____	No: _____

I, \_\_\_\_\_, declare and certify that the above information provided is true, accurate and correct and agree that I will advise you of any changes to the above information within 30 days of any such change.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Account Number: \_\_\_\_\_ (to be completed by CITIC Futures International Company Limited)

**ADDENDUM TO  
TERMS AND CONDITIONS FOR FUTURES AND OPTIONS TRADING (PROFESSIONAL INVESTOR –  
INSTITUTIONAL)**

**"Account Information"** means any information relating to the Futures Account including without limitation the account number, account balance or value, gross receipts, withdrawals and payments from the account.

**"Applicable Laws and Regulations"** means obligations of CFI to comply with: (i) any applicable local or foreign law, ordinance, regulation, demand, guidance, guidelines, rules, codes of practice, whether or not relating to an intergovernmental agreement between the governments or regulatory authorities of two or more jurisdictions; and (ii) any agreement between CFI (or CFI Group Companies, as the case may be) and any government or taxation authority in any jurisdiction; and including but not limited to FATCA and any agreement entered into by any or CFI Group Companies and any applicable intergovernmental agreement entered into pursuant to FATCA.

**"Authority"** means any national, state, or local government, any political subdivision thereof, any agency, authority, instrumentality, whether judicial or administrative, regulatory or self-regulatory organization, law enforcement body, court, central bank or tax or revenue authority in any jurisdiction whether within or outside of Hong Kong.

**"Consenting Person"** means the Customer and any Person other than the Customer who is beneficially interested or financially interested in the payments with respect to the Futures Account.

**"CFI"** means CITIC Futures International Company Limited.

**"CFI Group Companies"** means any affiliated entity of CFI deemed under FATCA and CFI affiliates means any one of them.

**"FATCA"** means Section 1471 to 1474 of the United States Internal Revenue Code of 1986, as amended and any associated similar or analogous legislation, treaty, intergovernmental agreement, regulation, instruction, or other official guidance of any Authority in any jurisdiction whether within or outside of Hong Kong.

**"Person"** means an individual, corporation, company, partnership, joint venture, trust, estate, limited, liability company, unincorporated organization or other entity.

**"Personal Information"** in respect of the Customer and any Consenting Person, means: (i) where the Customer and any Consenting Person is an individual, his/her full name, date and place of birth, residential address, mailing address, contact information (including telephone number), and any taxpayer identification number, social security number, citizenship(s), residency(ies) and tax residency(ies) or (if applicable) such information as CFI may reasonably require regarding the Customer and any Consenting Person; (ii) where the Customer and any Consenting Person is a corporate/entity, its date and place of incorporation or formation, registered address, address of place of business, tax identification number, tax status, tax residency, registered address, address of place of business or (if applicable) such information as CFI may reasonably require regarding each of its substantial shareholders and controlling persons.

**"Tax Information"** in respect of the Customer and any Consenting Person, means: (i) any documentation or information (and accompanying statements, waivers and consents as CFI may from time to time require or as the Customer and any Consenting Person from time to time give) relating, directly or indirectly, to the tax status of the Customer and any Consenting Person; (ii) Personal Information of the Customer and any Consenting Person; and (iii) Account Information.

1 The Customer must provide CFI with its Personal Information, and where reasonably required by CFI, of any Consenting Person, in such form and within such time, as CFI may from time to time require.

2 When there is a change or addition to its Personal Information, and, where applicable, any Consenting Person, the Customer must update CFI promptly (and in any event no later than 14 days from the date of the change or addition) of the change or addition.

3 The Customer must, and, where applicable, procure such other Consenting Person to, complete and sign such documents and do such things as CFI may reasonably require from time to time for purposes of compliance with any Applicable Laws and Regulations.

4 The Customer agrees that CFI may directly require any other Consenting Person to provide or confirm accuracy of their Personal Information without involving the Customer if CFI reasonably considers it to be appropriate.

5 The Customer agrees that CFI Group Companies may disclose Tax Information relating to himself and any other Consenting Person to any Authority in any jurisdiction for the purpose of ensuring compliance with Applicable Laws and Regulations on the part of CFI or on the part of any CFI Group Companies.

6 The Customer waives, and, where reasonably required by CFI, agrees to procure any other Consenting Person to waive, any applicable restrictions which would otherwise hinder CFI's or any CFI Group Companies' ability to disclose Tax Information in the manner described in paragraph 5.

7 The Customer agrees that CFI may directly require any other Consenting Person to agree to the disclosure described in paragraph 5 and/or waive any otherwise applicable restrictions on such disclosure, if CFI reasonably considers it to be appropriate.

8 The Customer agrees that CFI may take one or more of the following actions at any time if it considers necessary or desirable to comply with all Applicable Laws and Regulations:

- (a) deduct from or withhold part of any amounts payable to the Customer under the Futures Account;
- (b) terminate the Futures Account and discontinue entirely or in part CFI's relationship with the Customer;
- (c) provide (whether before or after the termination of the Futures Account ) the Tax Information relating to the Customer and/or any of the Consenting Persons to such Authority in any jurisdiction, as may be required for CFI to ensure compliance with any Applicable Laws and Regulations.

9 The Customer confirms and agrees that, without prejudice to any other provisions of the Terms and Conditions:

- (a) he has read this Addendum, has received adequate explanation from CFI (or the Customer's broker, lawyer, or tax advisor, as applicable), and understands the implications of this Addendum by which he irrevocably agrees to be bound;
- (b) any agreement, waiver, confirmations given in, or to be given pursuant to, this Addendum are irrevocable;
- (c) no CFI Group Companies, including CFI, shall be liable for any costs or loss that the Customer (or any other Consenting Persons) may incur because of a CFI Group Companies taking any actions permitted by or exercising any powers under this Addendum;
- (d) the amount (if any) payable by CFI where CFI exercises its right to terminate the Futures Account under this Addendum may differ from the amount payable where the Customer surrenders or terminates the Futures Account pursuant to other provisions of the Terms and Conditions;
- (e) the Customer must obtain or, as the case may be, have obtained the requisite consent from each Consenting Person for the provision of his/her Tax Information to CFI and the disclosure of any of such Tax Information by CFI and/or CFI Group Companies under this Addendum;
- (f) the Customer must inform each Consenting Person of CFI's powers under this Addendum; and
- (g) CFI may disclose any and all information related to the Futures Account to any government or tax authority (whether within or outside Hong Kong) and whether before or after the exercise of a termination right under this Futures Account by CFI.

10 Unless otherwise defined herein, all capitalized terms shall have the same meaning as set forth in the Terms and

Conditions. .

11 This Addendum shall become an integral part of all contracts, agreement and other binding arrangements which you enter into with CFI. We agree and acknowledge that we have read and understood the above terms and conditions and that these terms and conditions will form an integral part of all contracts, agreement and other binding arrangements which we enter into with CFI.

Authorized Signatory: \_\_\_\_\_

Client Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

Account number: \_\_\_\_\_ (to be completed by CITIC Futures International Company Limited)