中信期貨國際有限公司
CITIC Futures International Company Limited

期貨及期權交易賬戶開戶表格

Futures and Options Trading Account Opening Form

（個人/聯名賬戶）

（**Individual /Joint Account**）

賬戶號碼:

Account No.:___________

中信期貨國際有限公司，爲一間核准從事證券及期貨條例(香港法例第五七一章)中第二類受規管活動(期貨合約交易)和第五類受規管活動（就期貨合約向專業投資者提供意見）之持牌法團(中央編號：BFL318)和香港期貨交易所註冊爲期貨代理商，通訊位址位於香港中環添美道 1 號中信大廈 23 樓 2312-2316 室。
CITIC Futures International Company Limited, a licensed corporation to carry out Type 2 (dealing in futures contracts) and Type 5 (advising on futures contracts to Professional Investors Only) regulated activity for the purposes of the Securities and Futures Ordinance (Cap. 571)(CE No.:BFL318) and a participant of Futures Commission Merchant of Hong Kong Futures Exchange Limited, with corresponding address at 2312-2316, 23/F, CITIC Tower, 1 Tim Mei Avenue, Central, Hong Kong.
電話：(852)22863288，傳真：(852)22863232，網址：http://www.citicsf.com.hk

Tel：(852)22863288 , Fax：(852)22863232 , Website：http://www.citicsf.com.hk

□個人賬戶 Individual Account　　□聯名賬戶 Joint Account

每一聯名賬戶持有人須分別填寫一份客戶資料表格。除非另有指明，以下特定詞彙若無定義則採用和期貨及期權買賣條款中一樣的解釋。

For Joint Account, please use separate Customer Information Statement for each joint account holder. Unless otherwise specified, captioned terms used herein but not defined shall have the same meaning as assgined to them in the Terms and conditions for Futures and Options Trading.

本表格應與條款及細則、其附錄（特別是風險披露說明）和/或其它開戶文件一併閱覽。所有該等文件均包括其不時修改、補充和/或改變之版本。所有通過中信期貨國際進行之交易應受制於協議中之條款及細則。
This Form shall be read together with the Terms and Conditions and its schedules (especially the Risk Disclosure Statements), and/ or other account opening documents, in each case as amended, supplemented and/or modified from time to time. All transactions to be conducted through CFI shall be subject to the applicable terms and conditions of the Agreement.

如您爲中信期貨國際之新客戶，請填寫本表中所要求的部分及勾選適用選項。
If you are CFI's new Customer(s), please complete the requested parts and tick the applicable option in this Form.

如您爲中信期貨國際之現有客戶，可在勾選以下聲明後，在客戶經理全權指引下，選填本表中所需部分而無需重新填寫本表所有部分。
If you are CFI's existing Customer(s), after ticking the announcement below, you may choose to fill the nessary parts of this Form under the sole direction of your manager, instead of refilling the whole Form.
□ 本人/吾等，客戶編號______________，通過勾選此聲明：(1) 在本人/吾等先前填寫、選擇和/或作出的本表格中的內容、選項和/或聲明沒有被書面修改的程度內，特此在新加內容、選項和/或聲明之外重申此等先前內容、選項和/或聲明；(2) 陳述和保證此等重申之內容、選項和/或聲明現仍真實、準確、全面及有效；和(3) 本人/吾等新加之內容、選項和/或聲明修改和/或增補了重申之內容、選項和/或聲明，它們一併構成協議的一部分並且持續有效及對本人/吾等有約束力。
□ I/ We, Customer No. _______________, by choosing this announcement: (1) to the extent that the contents, options and/ or announcements that I/ we previously filled, chose and/ or made in this Form are not modified in writing, hereby repeat the same apart from my/ our newly adopted contents, options and/ or announcements; (2) represent and warrant that such repeated contents, options and/ or announcements are still true, accurate, complete and valid; and (3) my/ our newly adopted contents, options and/ or announcements amend and/ or supplement the repeated ones, and they together constitute parts of the Agreement, continue to take effect and are binding on me/us.

A. 客戶資料聲明 Customer Information Statement

第一/獨立戶口持有人填寫 Completed by the Principal/Sole Account Holder

1．個人資料 Personal Data

客戶姓名 Name of Customer		出生日期 Date of Birth	性別 Gender
中文名 Chinese Name: 姓 Surname 名 Given Name	英文名 English Name: 姓 Surname 名 Given Name		□男 M □女 F

曾用英文姓名及英文別名（如適用）
Previous Name(s) and Alias in English (if applicable)

曾用中文姓名及中文別名（如適用）
Previous Name(s) and Alias in Chinese (if applicable)

□香港永久居民身份證號碼： Hong Kong Permanent Resident ID No.:	□非香港永久居民（請於以下提供護照或其它身份證明文件資料） Non-Permanent Resident (Please provide detials of passport or other identification document below)
□護照（如適用）Passport (if applicable) 簽發國家/地區 Issuing Country/ Region: 護照號碼 Passport No.:	□其它（如適用）Others (if applicable) 證明文件種類 Types of identification document: 簽發國家/地區 Issuing Country/ Region: 號碼 Number:
出生地 Place of Birth:	國籍 Nationality:
多重國籍 Multiple Nationalities: □否 No	□是 Yes 請說明 Please declare

住宅地址 Residential Address:

通訊地址 Correspondence Address:
□和住宅地址相同 Same as Residential Address
□否則，請提供 Otherwise, please provide

手提電話 Mobile Phone No.: 1.( )- 2.( )-	住宅電話 Home Phone No.: ( )-	傳真號碼 Facsimile No.: ( )-

教育程度 Education Level:	□小學 Primary □中學 Secondary □大學或以上 University or above	□專業資格 Professional Qualification: □其它 Others：

婚姻狀況 Matiral Status: □未婚 Single □已婚 Married □離婚 Divorced □鰥寡 Widowed

語言能力 Language Skills: □中文 Chinese □英文 English □中英文 Both

職業狀況 Employment Status: □自顧 Self-Employed □全職 Full-time Employed □兼職 Part-time Employed
□非在職 Not Currently Employed □家庭主婦 Housewife □學生 Student □退休 Retired
(如適用，請填寫以下工作信息 If applicable, please fill in the working information as below)

公司名稱 Name of Employer:		公司電話 Office Phone No.:( )-
公司地址 Office Address:		
行業 Occupation:	職位 Position:	從業年數 Years in Occupation:

□登記電子帳單服務：賬戶結單發送至登記電郵 E-statement registration: Statement of the account will be sent to the registered email address.	電郵地址 Email Address:

□登記有關保證金通知之電子郵箱 Email registration in relation to Margin calls	電郵地址(如和以上不同) Email Address (if different from the above):

指定銀行戶口 Designated Bank Account

銀行名稱 Bank name	賬戶名稱 Account name	貨幣 Currency	賬戶號碼 Account No.

2・財務資料簡要、投資經驗及目的 Financial Background, Investment Experience and Objectives

持續財富來源 Ongoing Source of Wealth	□ 薪金及/或花紅 Salary and/or Bonus □ 業務收入 Business Income □ 儲蓄 Saving □ 投資獲利 Investment Income □ 遺產繼承 Inheritance □ 退休金 Retierment Funds □ 其他 Others: ____________________
持續資金來源 Ongoing Source of Fund	資金轉移方式 Means of Fund Transfer(s)：□電匯 Telegraphic Transfer □支票/銀行本票 Cheque/Bank Draft □ 其他 Others: ____________________ 資金來源地 Country(ies) of Origin(s)：□ 香港 Hong Kong □ 中國 Mainland China □ 其他 Others: ____________________
每年總收入 Annual Income	□≤HK$300,000 □ HK$300,001 - HK$800,000 □ HK$800,001 - HK$1,200,000 □>HK$1,200,000
估計資產總值 Estimated Asset Value	□≤HK$1,000,000 □ HK$1,000,001 - HK$2,000,000 □ HK$2,000,001 - HK$3,000,000 □>HK$3,000,000
估計流動資產值 Estimated Net Asset Value	□≤HK$1,000,000 □ HK$1,000,001 - HK$2,000,000 □ HK$2,000,001 - HK$3,000,000 □>HK$3,000,000
投資經驗 Investment Experience	□沒有 No □上市證券 Listed securities__________年 years 地區 Regions__________ □期貨及期權 Futures and options________年 years 地區 Regions__________ □其他 Others____________________________ 年 years
投資目的 Investment Objective	□資本增長 Capital Appreciation □投機 Speculation □對沖 Hedging □賺取收入 Generating Income □套戥 Arbitrage □其他 Others__________________
投資目標 Investment Target	□短期 (少於 3 個月) Short Term (<3 months) □中期 (3 - 12 個月) Medium Term (3 - 12 months) □長期 (1 年以上) Long Term (>1 year)

3・資料披露 Disclosure of Information

a・最終受益於交易及承擔風險人士 Identity of the ultimate beneficial owner(s) and risk bearer(s) of the Account

□客戶本人 The Customer □其他（請詳述） Others (Please provide details)	名稱 Name: 地址 Address:	身份證/護照號碼 ID/Passport No.: 電話 Phone No.:

b. 最終負責發出指示的人士 Identity of the person(s) ultimately responsible for giving instructions in relation to transaction s to be conducted through the Account

□客戶本人 The Customer □其他（請詳述） Others (Please provide details)	名稱 Name: 地址 Address:	身份證/護照號碼 ID/Passport No.: 電話 Phone No.:

c・閣下是否任何交易所、交易委員會、結算所、銀行或信託公司代理人、高級人員、員工；或任何引薦經紀的聯屬人；或任何證券經紀、期貨經紀或持牌法團的高級人員、合夥人、董事或員工？
Are you an agent, officer or employee of any exchange, board of trade, clearing house, bank or trust company; or an affiliate of any introducing broker; or an officer, partner, director or employee of any securities broker, futures broker or licensed corporation?

□否 NO □是（請詳述） Yes (Please provide details)	交易所、交易委員會、結算所、銀行、信託公司、證券經紀、期貨經紀或持牌法團名稱： Name of the exchange,board of trade,clearing house,bank,trust company, securities broker,futures broker or licensed corporation ______________________________ *閣下同意中信期貨國際有限公司可於提供任何服務給予閣下前接觸上述人士並須得到該人士同意. You agree that CFI may approach the above person to obtain its consent before providing any service to you

d・閣下有沒有親屬於中信期貨國際工作？Do you have any relationship with the director(s) or employee(s) of CFI?

□否NO □是（請詳述） Yes (Please provide details)	名稱 Name:	關系 Relationship:

e・閣下的配偶是否持有中信期貨國際的期貨賬戶？Does your spouse have a margin account with CFI?		
□否 NO □是（請詳述） Yes (Please provide details)	配偶名稱 Name of spouse:	賬戶號碼 Account No.
f・閣下是否單獨或與配偶共同控制中信期貨國際其他期貨客戶百分之十或以上的投票權？ Do you control, either alone or with your spouse, 10% or more of the voting rights of another futures Customer of CFI?		
□否 NO □是（請詳述） Yes (Please provide details)	配偶名稱 Name of spouse:	有關公司名稱及賬戶號碼 Name of relevant company(ies) and Account No(s)：

B. 客戶資料聲明 Customer Information Statement

聯名賬戶持有人填寫 Completed by the Joint Account Holders

1・個人資料 Personal Data			
客戶姓名 Name of Customer		出生日期 Date of Birth	性別 Gender
中文名 Chinese Name: 姓 Surname 名 Given Name	英文名（如適用） English Name (if applicable): 姓 Surname 名 Given Name		□男 M □女 F
曾用英文姓名及英文別名（如適用） Previous Name(s) and Alias in English (if applicable)			
曾用中文姓名及中文別名（如適用） Previous Name(s) and Alias in Chinese (if applicable)			
□香港永久居民身份證號碼： Hong Kong Permanent Resident ID No.:	□非香港永久居民（請於以下提供護照或其它身份證明文件資料） Non-Permanent Resident (Please provide detials of passport or other identification document below)		
□護照（如適用）Passport (if applicable) 簽發國家/地區 Issuing Country/ Region: 護照號碼 Passport No.:	□其它（如適用）Others (if applicable) 證明文件種類 Types of identification document: 簽發國家/地區 Issuing Country/ Region: 號碼 Number:		
出生地 Place of Birth:	國籍 Nationality:		
多重國籍 Multiple Nationalities: □否 No	□是 Yes 請說明 Please declare		
住宅地址 Residential Address:			
通訊地址 Correspondence Address: □和住宅地址相同 Same as Residential Address □否則，請提供 Otherwise, please provide			
手提電話 Mobile Phone No.: 1.( )- 2.( )-	住宅電話 Home Phone No.: ( )-	傳真號碼 Facsimile No.: ( )-	
教育程度 Education Level:	□小學 Primary □中學 Secondary □大學或以上 University or above	□專業資格 Professional Qualification: □其它 Others：	
婚姻狀況 Matiral Status: □未婚 Single □已婚 Married □離婚 Divorced □鰥寡 Widowed			
語言能力 Language Skills: □中文 Chinese □英文 English □中英文 Both			
職業狀況 Employment Status: □自顧 Self-Employed □全職 Full-time Employed □兼職 Part-time Employed □非在職 Not Currently Employed □家庭主婦 Housewife □學生 Student □退休 Retired (如適用，請填寫以下工作信息 If applicable, please fill in the working information as below)			

公司名稱 Name of Employer:		公司電話 Office Phone No.:(　　)-
公司地址 Office Address:		
行業 Occupation:	職位 Position:	從業年數 Years in Occupation:

□登記電子帳單服務：賬戶結單發送至登記電郵 E-statement registration: Statement of the account will be sent to the registered email address.	電郵地址 Email Address:
□登記有關保證金通知之電子郵箱 Email registration in relation to Margin calls	電郵地址(如和以上不同) Email Address (if different from the above):

指定銀行戶口 Designated Bank Account

銀行名稱 Bank name	賬戶名稱 Account name	貨幣 Currency	賬戶號碼 Account No.

2・財務資料簡要、投資經驗及目的 Financial Background, Investment Experience and Objectives

持續財富來源 Ongoing Source of Wealth	□ 薪金及/或花紅 Salary and/or Bonus □ 業務收入 Business Income □ 儲蓄 Saving □ 投資獲利 Investment Income □ 遺產繼承 Inheritance □ 退休金 Retierment Funds □ 其他 Others: ____________________
持續資金來源 Ongoing Source of Fund	資金轉移方式 Means of Fund Transfer(s)：□電匯 Telegraphic Transfer □支票/銀行本票 Cheque/Bank Draft □ 其他 Others: ____________________
	資金來源地 Country(ies) of Origin(s)：□ 香港 Hong Kong □ 中國 Mainland China □ 其他 Others: ____________________
每年總收入 Annual Income	☐≤HK$300,000 ☐ HK$300,001 - HK$800,000 ☐ HK$800,001 - HK$1,200,000 ☐>HK$1,200,000
估計資產總值 Estimated Asset Value	☐≤HK$1,000,000 ☐ HK$1,000,001 - HK$2,000,000 ☐ HK$2,000,001 - HK$3,000,000 ☐>HK$3,000,000
估計流動資產值 Estimated Net Asset Value	☐≤HK$1,000,000 ☐ HK$1,000,001 - HK$2,000,000 ☐ HK$2,000,001 - HK$3,000,000 ☐>HK$3,000,000
投資經驗 Investment Experience	☐沒有 No ☐上市證券 Listed securities__________年 years 地區 Regions__________ ☐期貨及期權 Futures and options________年 years 地區 Regions__________ ☐其他 Others__________________________ 年 years
投資目的 Investment Objective	☐資本增長 Capital Appreciation ☐投機 Speculation ☐對沖 Hedging ☐賺取收入 Generating Income ☐套戥 Arbitrage ☐其他 Others__________________
投資目標 Investment Target	☐短期 (少於 3 個月) Short Term (<3 months) ☐中期 (3 - 12 個月) Medium Term (3 - 12 months) ☐長期 (1 年以上) Long Term (>1 year)

3・資料披露 Disclosure of Information

a・最終受益於交易及承擔風險人士 Identity of the ultimate beneficial owner(s) and risk bearer(s) of the Account

□客戶本人 The Customer □其他（請詳述） Others (Please provide details)	名稱 Name:	身份證/護照號碼 ID/Passport No.:
	地址 Address:	電話 Phone No.:

b・最終負責發出指示的人士 Identity of the person(s) ultimately responsible for giving instructions in relation to transaction s to be conducted through the Account

□客戶本人 The Customer □其他（請詳述） Others (Please provide details)	名稱 Name:	身份證/護照號碼 ID/Passport No.:
	地址 Address:	電話 Phone No.:

c・閣下是否任何交易所、交易委員會、結算所、銀行或信託公司代理人、高級人員、員工；或任何引薦經紀的聯屬人；或任何證券經紀、期貨經紀或持牌法團的高級人員、合夥人、董事或員工？
Are you an agent, officer or employee of any exchange, board of trade, clearing house, bank or trust company; or an affiliate of any introducing broker; or an officer, partner, director or employee of any securities broker, futures broker or licensed corporation?

□否 NO □是（請詳述） Yes (Please provide details)	交易所、交易委員會、結算所、銀行、信託公司、證券經紀、期貨經紀或持牌法團名稱： Name of the exchange,board of trade,clearing house,bank,trust company, securities broker,futures broker or licensed corporation ____ *閣下同意中信期貨國際有限公司可於提供任何服務給予閣下前接觸上述人士並須得到該人士同意. You agree that CFI may approach the above person to obtain its consent before providing any service to

	you

d・閣下有沒有親屬於中信期貨國際工作？Do you have any relationship with the director(s) or employee(s) of CFI?		
□否NO □是（請詳述） Yes (Please provide details)	名稱 Name:	關系 Relationship:
e・閣下的配偶是否持有中信期貨國際的期貨賬戶？Does your spouse have a margin account with CFI?		
□否 NO □是（請詳述） Yes (Please provide details)	配偶名稱 Name of spouse:	賬戶號碼 Account No.
f・閣下是否單獨或與配偶共同控制中信期貨國際其他期貨客戶百分之十或以上的投票權？ Do you control, either alone or with your spouse, 10% or more of the voting rights of another futures Customer of CFI?		
□否 NO □是（請詳述） Yes (Please provide details)	配偶名稱 Name of spouse:	有關公司名稱及賬戶號碼 Name of relevant company(ies) and Account No(s)：

C. 服務選擇 Choice of Services

第一/獨立及所有聯名賬戶持有人共同填寫 Jointly Completed by Principal/ Sole and all Joint Account Holders

通過勾選如下相關選項，您申請按條款及細則接受所選服務。隨同此申請，您應完成合適性評估、了解你的客戶、反洗黑錢、盡職調查和中信期貨國際要求之其它適當程序且達到令中信期貨國際滿意的結果。儘管如此，中信期貨國際有絕對酌情權依據所適用之條款及細則向客戶提供客戶申請之服務。

By ticking the relevant box(s) below, you apply to receive the chosen services in according to the Terns and Conditions. Along with such applications, you shall complete the due process of customer suitability assessment, know-your-client, anti-money laundering, due diligence and others that CFI requests to the satisfaction of CFI. Despite all this, CFI has absolute discretions to provide such chosen services on the applicable Terms and Conditions to you.

1・服務 Services	
a. 開設戶口服務 Account Opening Service	您是否希望爲與商品買賣、交易或其它處置方式有關的使用和/或持有資金而在中信期貨國際開設戶口？ Do you wish to open an account with CFI for use and/or holding funds in connection with your trading, dealing in or other disposal of commodittiies? □是 Yes □否 No
b. 期貨期權經紀服務 Futures & Options Broker Service	您是否希望爲委任及授權中信期貨國際作爲代理，在指示下爲您買入、賣出期貨及期權、將之平倉或以其他方式處置以及提供其它受規管活動第二類項下之相關服務？ Do you wish to appoint and authorize CFI as agent to buy, sell, close out and/or otherwise dispose of Futures and Options for you on the instructions and to provide other related services under Type 2 regulated activity? □是 Yes □否 No
c. 投資顧問服務 Investment Advisory Service	*（僅適用於專業投資者並受限於通過合適性評估及中信期貨國際的提前同意）* *(Applicable only to Professional Investors and subject to the customer suitability assessment and CFI's prior consent)* 您是否希望不時收到在受規管活動第五類範圍內之有關期貨期權投資建議及研究報告？ Do you wish to receive investment advise and research reports on Futures and/or Options from CFI from time to time within the scope of Type 5 regulated activity? □是 Yes □否 No

d.	電子交易服務 Electronic Trading Services	您是否希望使用電子服務和系統（包括獲得登錄用戶名和密碼）？ Do you wish to use the Electronic Services and Systems (including obtaining Login ID and Password)? 是，具體爲： Yes, particularly: □電腦終端 Computer terminal　□手機軟件 Mobile APP　□應用程序接入 API □否 No

D. 客戶簽名及聲明

以下特定聲明及條款僅當客戶勾選後方適用。

1. □ 確認及承認 （必選項）

(1) 本人/吾等確認收妥構成協議之所有文件，包括但不限於(i) 此期貨及期權交易賬戶開戶表格；(ii) 期貨及期權買賣條款（包括風險披露聲明）；(iii) 收費表；及(iv)其它中信期貨國際要求及提供之所適用文件。
(2) 本人/吾等承認並確認本人/吾等已獲得按照本人/吾等選擇的語言版本，包括中信期貨國際之期貨及期權買賣條款中的風險披露聲明，並已獲邀請閱讀該等條款及聲明、提出問題及徵求獨立意見(如本人/吾等有此意願)。
(3) 本人/吾等確認此期貨及期權交易賬戶開戶表格構成客戶和中信期貨國際間之協議，且本人/吾等已經閱讀、理解和接受協議中包括的所有條款及細則並且通過簽署本表格即受協議中所有條款之約束。
(4) **本人/吾等承認並確定本人/吾等已根據期貨及期權買賣條款第 12 條授權貴公司處置期貨及期權買賣條款內所定義之款項，並已獲解釋並且明白該條款之內容。**
(5) 本人/吾等陳述及保證本表格中所有資料及陳述均爲真實、正確和完整的，並授權中信期貨國際通過任何方式進行核實。本人/吾等承諾若客戶資料表格中的資料或陳述如有任何變更，會立即通知中信期貨國際。

2. □ 簽署指示（只適用於聯名賬戶）

(1) 以上每一位聯名賬戶持有人均各自有權不時以口頭及/或透過電子服務（如適用）發出指示爲賬戶買賣任何期貨產品。
(2) □ 其中一位聯名賬戶持有人單獨簽署 □ 所有聯名賬戶持有人共同簽署，
任何就賬戶運作及賬戶款項之書面指示，方爲有效。

3. □ 收集個人資料聲明

本人/吾等已細閱、完全理解並同意接受及遵守中信期貨國際之有關**個人資料（私隱）政策**。本人/吾等在此提供的個人資料由中信期貨國際收集，並將會用作直接促銷及/或符合監管機構之命令或要求之用途。該等資料包括本人/吾等在本開戶表格中向中信期貨國際不時獲得的姓名、聯絡詳情及財務背景的個人資料。本人/吾等明白本人/吾等可以隨時通過中信期貨國際指定的渠道要求中信期貨國際停止在直接促銷中使用本人/吾等的個人資料。
□ 本人/吾等同意中信期貨國際如上述情況使用本人/吾等之個人資料
□ 本人/吾等反對中信期貨國際如上述情況使用本人/吾等之個人資料用作直接促銷之用途

爲提供本人/吾等於本表格 C 部分所選之產品和/或服務之目的，中信期貨國際可能會把本人/吾等的個人資料轉移至香港境外之相關主體。該處可能沒有與《個人資料（私隱）條例》大體上相似或達致與此條例的目的相同的目的之法律，亦即是說，本人/吾等的個人資料未必可以獲得與在香港相同或類似程度的保障。
□ 本人/吾等同意把本人/吾等的個人資料轉移至香港境外
□ 本人/吾等反對把本人/吾等的個人資料轉移至香港境外

4. □ 專業投資者確認

《證券及期貨事務監察委員會持牌人或註冊人操守準則》（“**準則**”）允許持牌人在特定情形下將客戶視爲個人專業投資者，即爲《證券及期貨條例》（第 571 章）附表 1 第 1 部分第（j）款界定的“專業投資者”及《證券及期貨（專業投資者）規則》（第 571D 章）第 3（b） 條列明的人士。
(1) 本人/吾等確認，本人/吾等是個人專業投資者定義範圍內的人士並同意被如此認定。
(2) 本人/吾等確認，一旦本人/吾等不再符合上述有關個人專業投資者的定義，本人/吾等將立即通知中信期貨國際。
(3) 吾等確認準則第 15.3B 段中所列之要求已獲滿足和遵守，因此，本人/吾等瞭解並同意中信期貨國際不遵守《準則》的下列要求：

向客戶提供資訊

(4) 向本人/吾等告知持牌人資訊，及其雇員或代理人的身份和狀態資訊的要求；
(5) 在爲本人完成一項交易後，立即向本人確認該交易的基本情況的要求；以及
(6) 須向客戶提供關於納斯達克－美國證券交易所試驗計劃的資料文件（如適用）。
(7) 本人/吾等注意到且同意，中信期貨國際出於提供本人/吾等於期貨/期權賬戶開立表格（個人/聯名戶口）所選擇服務之目的，而將本人/吾等視爲個人專業投資者。
(8) 通過簽署和交回此份聲明及所有必要的證明文件（如有），本人/吾等確認：被視爲個人專業投資者的風險和後果已完全向本人/吾等說明。
(9) 本人/吾等同意被視爲個人專業投資者，且本人/吾等同意，在本人/吾等聲明的前述任何資訊不再真實準確時，立即通知

中信期貨國際。

(10) 本人/吾等知曉，本人/吾等有權通過生效日前至少 30 個工作日事先書面通知中信期貨國際，就所有產品或市場、或其中任一部分，反對或撤回被視爲個人專業投資者。若本人/吾等不願意被視爲個人專業投資者，本人/吾等將隨時通知中信期貨國際。

(11) 本人/吾等被歸類爲個人專業投資者後，中信期貨國際無須遵守、且本人/吾等在此同意中信期貨國際不遵守《證券及期貨（成交單據、戶口結單及收據）規則》中的監管要求，但中信期貨國際有絕對酌情權選擇自己或通過代理根據協議向客戶發送成交單據、結單及收據。本人/吾等應知曉該等歸類的風險。

(12) 本人/吾等知曉中信期貨國際將進行年度確認，以確保本人/吾等持續符合專業投資者規則中的要求。本人/吾等亦知曉被視爲個人專業投資者的歸類將持續有效，直到本人或吾等不時撤回或中信期貨國際隨時拒絕爲止。在不影響中信期貨國際權利及利益之前提下，在此等客戶被終止認定爲個人專業投資者時，那些僅適用於專業投資者的相關服務、豁免和條款及細則將被立即終止。而如客戶繼續使用提供給非專業投資者的服務（如有），協議中所有適用於非專業投資者的條款和細則將作爲替代條款而直接及全面地對客戶適用，客戶無需重新簽署本表格。

(13) 本人/吾等承諾，在中信期貨國際要求時，本人/吾等會完成和個人專業投資者有關的任何評估、表格聲明以及提供任何令中信期貨國際滿意的有關證明、證據和文件。即便如此，本人/吾等理解中信期貨國際可隨時無理由拒絕將本人/吾等視爲個人專業投資者。

客戶 *客戶簽署/簽署樣式	*聯名客戶簽署/簽署樣式
客戶姓名：	聯名客戶姓名：
身份證/護照號碼：	身份證/護照號碼：
簽署日期：	簽署日期：

*簽署樣式將被用作核證任何就賬戶運作之書面指示。

見證人 見證人姓名： 見證人身份證/護照號碼：	見證人簽署 簽署日期：

持牌人聲明 本人，________**(姓名以印刷體書寫)，持牌人編號:________**，確認已按上述客戶選擇的語言版本，爲其提供中信期貨國際之期貨及期權買賣條款（特別是其中的**風險披露聲明**），並已邀請客戶閱讀該等條款及聲明、提出問題及徵求獨立意見(如客戶有此意願)。 □（如適用，持牌人需勾選此聲明）本人也已經 (i) 取得客戶關於將其視爲專業投資者的簽署聲明；(ii)向客戶充分說明將其視爲專業投資者的後果；以及 (iii) 指明在特定的產品和市場中將客戶視爲專業投資者，且告知客戶其有權撤回被視爲專業投資者。	持牌人簽署 簽署日期：

中信期貨國際承認 中信期貨國際承認和同意以上各項。	授權代表簽署 獲正式授權並代表 **中信期貨國際有限公司**

D. Customer Signatory(ies) and Declarations

The sepicific declarations and terms below apply only upon choice of the Customer(s) by ticking the box :

1. □ Confirmations and Acknowledgements (Mandatory choice)

(1) I/We acknowledge my/our receipt of all documents that constitute the Agreement, including but not limited to (i) this Futures and Options Trading Account Opening Form; (ii) Terms and Conditions for Futures and Options Trading (including Risk Disclosure Statement)；(iii) Fee Schedule; and (iv) all other applicable documents that CFI requests and provides.

(2) I/We acknowledge and confirm that the Agreement, including but not limited to the Risk Disclosure Statement scheduled in the Terms and Conditions for Futures and Options Trading, was provided to me/us in a language of my/our choice and I/we was/were invited to read the same, to ask questions and to take independent advice if I/we wish.

(3) I/We confirm that this Futures and Options Trading Account Opening Form constitutes parts of the Agreement between the Customer and CFI and I/we have read, understood and accepted all the terms and conditions set out in the Agreement and shall be bound by the Agreement by signing this Form.

(4) **I/We acknowledge and confirm that I/we have authorized CFI to deal with Monies in accordance with Clause 12 of the Terms and Conditions for Futures and Options Trading, and the contents of that Clause have been explained to me/us and I/we understand the contents of that Clause.**

(5) I/We represent and warrant that all the information given and statement made in this Form is true, correct and complete, and authorize CFI (as the case may be) to verify it with any source. I/We undertake to promptly notify CFI if there is any change in the information given and statement made by me/us in this Form.

2. □ Signing Instruction（for Joint Account only）

(1) Each of the joint account holders specified is authorized to give verbal instructions and/or instructions through the Electronic Services (if applicable) in relation to the purchase or sale of any futures product from time to time singly.

(2) □ Either one Joint Account Holder sign singly □ All Joint Account Holders sign jointly, validates any written instructions relating to the operation of the Account(s).

3. □ Personal Information Collection Statement

I/We have carefully read, fully understood and agreed to accept and be bound by the **Personal Data Privacy Policy** set out by CFI. My/ Our personal information provided herein will be collected by CFI, and will be used for direct marketing and/or orders or lawful requests may be required by relevant regulators. Such personal data includes, but not limited to my/our name, contact details and financial background which are provided to CFI under this Form or obtained by CFI from time to time. I/We understand that I/we may, at any time, require CFI to cease to use my/our personal data for direct marketing through such channel prescribed by CFI.

□ I/We agree to the aforesaid use of my/our personal data in CFI

□ I/We object to the use of my/our personal data by CFI in direct marketing

For the purposes of providing products and/ or services that I/we have chosen in Part C of this Form, CFI may transfer my/ our personal data to related entities situated outside Hong Kong, where there may not be in place data protection laws which are substantially similar to, or serve the same purposes as, the Personal Data (Privacy) Ordinance. That means my/ our personal data may not be protected to the same or similar level in Hong Kong.

□ I/We consent to such transfer of my/our personal data outside Hong Kong

□ I/We object to such transfer of my/our personal data outside Hong Kong

4. □ Professional Investor Confirmation

The Code of Conduct for Persons Licenced by or Registered with the Securities and Futures Commission ("**Code**") permits CFI in certain circumstances to treat clients as Individual Professional Investors, as defined in paragraph (j) of Part 1 of Schedule 1 to the Securities and Futures Ordinance (Cap 571) and persons specified in Section 3(b) of the Securities and Futures (Professional Investor) Rules (Cap 571D).

(1) I/We confirm that I am/ we are a person/ persons within the meaning of Individual Professional Investor and consent to be treated as such.

(2) I/ We confirm that I/ we will notify CFI immediately if I/ we cease to fall within the meaning of Individual Professional Investor.

(3) I/ We confirm that the requirements set out in paragraph 15.3B of the Code have been fulfilled and complied with and as such, I/ we understand and consent to CFI's waiving the following requirements of the Code:

Information for Customers

- the need to inform me/ us about the licensed person and the identity and status of its employees and others acting on its behalf;
- the need to confirm promptly with me the essential features of a transaction after effecting a transaction for me;
- the need to provide me with documentation on the Nasdaq-Amex Pilot Program (if applicable).

(4) I/ We note that CFI is treating me/ us as an Individual Professional Investor for the purposes of providing the services that I/ we chose in the above Futures & Options Account Opening Form (Individual /Joint Account).

(5) By signing and returning this declaration with all the required supporting documents (if any), I/We acknowledge that the risks and consequences of being treated as an Individual Professional Investor have been fully explained to me/us.

(6) I/ We agree to inform CFI promptly in the event that any information I/we have set out above ceases to be true and accurate.

(7) I/ We understand that I/we have the right to object and withdraw from being treated as an Individual Professional Investor whether in respect of all products or markets or any part thereof by giving written notice to CFI at least 30 business days before the effective date. I/We will inform CFI at any time if I/ we do not wish to be treated as an Individual Professional Investor.

(8) As a consequence of this classification, CFI shall not be required to comply and I/ we hereby give consent to CFI not complying with the regulatory requirements set out in the Securities and Futures (Contract Notes, Statements of Accounts and Receipts) Rules, however CFI may at its sole discretion choose to dispatch or appoint agents to dispatch contract notes, statements and receipts to the Customer according to the Agreement. I/ we have been aware of the risk of such classification.

(9) I/ We understand that CFI will carry out a confirmation exercise annually to ensure that I/we continue to fulfill the requisite requirements under the Professional Investor Rules and the treatment of classification as an Individual Professional Investor will continue to take effect until withdraw from me/us or objection by CFI from time to time. Without prejudice to all rights and interests that CFI has, upon such cessation of being an Individual Professional Investor, those relevant services, exemptions and terms and conditions applicable to Professional Investors only, are immediately terminated and all similar terms and conditions applicable to

persons other than Professional Investors in the Agreement as substitute will then directly and entirely apply to the Customer if the Customer continues to use the services that are available to the non-Professional Investors (if any) without resigning this Form.

(10) I/ We undertake, at the request of CFI, to complete whatever assessments, forms or statements in relation to Individual Professional Investors and provide whatever related proofs, evidences and documents to its satisfaction. Despite all this, I/ we understand CFI may at any time refuse to treat me/ us as Individual Professional Investor(s) without giving any reasons.

<u>*Customer*</u> *Customer Signature/Specimen Signature	* Joint Account Customer Signature/Specimen Signature
Customer's Name：	Joint Account Customer's Name：
ID/ Passport No.：	ID/ Passport No.：
Signing Date:	Signing Date:

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

<u>*Witness*</u> In the present of ： ID/ Passport No. of witness：	Signature of Witness Signing Date:

<u>*Declaration by Licensed Person*</u> I,__________**(Name in block letters)** with **C.E. No.:**_________, confirm that I have provided the Terms and Conditions for Futures and Options Trading, in particular **Risk Disclosure Statement** therein in the language of the above Customer's choice to the above Customer, and that I have invited the Customer to read the same, to ask questions and to take independent advice (if customer wishes). □ *(Licensed Person shall tick the box if applicable)* I have also (i) obtained a signed declaration from the above Customer to be treated as a Professional Investor, (ii) fully explained to the Customer the consequences of being treated as a Professional Investor; and (iii) specified the Customer is treated as a Professional Investor in a particular product and market and inform the Customer that he/she has a right to withdraw from being treated as a Professional Investor.	Signature of Licensed Person Signing Date:

<u>*Acknowledgement by CFI*</u> CFI acknowledge and agrees to the above.	Signature of Authorised Person Duly authorised for and on behalf of **CITIC Futures International Company Limited**

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	Handled by	Docs. Checked	Approved by
Initial:			
Date:			