

**ACCOUNT OPENING FORM 開戶表格 (CORPORATE ACCOUNT 公司帳戶)**

**Account Type(s) 帳戶類別 (Please tick appropriate box. 請在適當空格加√)**

- Securities Account (Cash) 證券帳戶(現金)  Securities Account (Margin) 證券帳戶 (保證金)  
 Stock Options Account 股票期權帳戶  Electronics Trading 電子交易服務  
 Futures Account 期貨帳戶

**CORPORATE INFORMATION: 公司資料:**

Company Name (English): 公司名稱(英文): \_\_\_\_\_

Company Name (Chinese): 公司名稱(中文): \_\_\_\_\_

Business Registration No.: 商業登記號碼: \_\_\_\_\_ Certificate of Incorporation No.: 公司註冊號碼: \_\_\_\_\_

Country of Incorporation: 註冊國家: \_\_\_\_\_ Date of Incorporation: 註冊日期: \_\_\_\_\_

Registered Address: 註冊地址: \_\_\_\_\_

Business Address:  Same As Registered address 與註冊地址相同  
商業地址: \_\_\_\_\_

Business Tel. No.: 商業電話: \_\_\_\_\_ Contact person Tel. No.: 聯絡人電話號碼: \_\_\_\_\_ Fax No.: 傳真號碼: \_\_\_\_\_

E-mail Address: 電子郵件地址: \_\_\_\_\_

CCASS Investor Account Name & No.: 中央結算投資者戶口名稱及號碼: \_\_\_\_\_

All Correspondence and Statements to be sent to: (please select either one) 所有書信及賬單請寄交本人: (只選一項):  
 Residential Address 住宅地址  Business Address 商業地址  
 Email 電子郵件  Others: 其他 \_\_\_\_\_

**FATCA INFORMATION: 外國帳戶稅收合規法案資料:**

Nature of Business: 業務性質:  
 Non-Financial Institution: 非金融機構: \_\_\_\_\_  Financial Institution: 金融機構: \_\_\_\_\_

U.S. Tax Obligation: 美國稅務責任:  
 No 沒有  Yes 有 (TIN 稅務身份號碼: \_\_\_\_\_) Global Intermediary Identification Number (GIIN): 全球中介人身份號碼: \_\_\_\_\_

**DIRECTOR INFORMATION 董事資料**

**SHAREHOLDER INFORMATION 股東資料**

Name(s) of All Director(s) 全部董事姓名	I.D. Card No./ Passport No. 身份證號碼/護照號碼	Shareholder(s) Name 股東姓名	I.D. Card No./ Passport No. 身份證號碼/護照號碼	Shareholding 所佔股權(%)
1.		1.		
2.		2.		
3.		3.		
4.		4.		
5.		5.		
6.		6.		
7.		7.		
8.		8.		
9.		9.		
10.		10.		

<b>Financial Profile 財務狀況 (HKD)</b>	
<b>Paid-up Capital: 發行股本:</b>	<b>Net Asset Value: 資產淨值:</b>
<b>Latest Annual Profit: 最近年度利潤:</b> <input type="checkbox"/> <HK\$500,000 <input type="checkbox"/> HK\$1,000,001-HK\$5,000,000 <input type="checkbox"/> HK\$500,001-HK\$1,000,000 <input type="checkbox"/> >HK\$5,000,000	<b>Liquid Assets: 流動資產:</b> <input type="checkbox"/> <HK\$1,000,000 <input type="checkbox"/> HK\$5,000,001 - HK\$10,000,000 <input type="checkbox"/> HK\$1,000,001 - HK\$5,000,000 <input type="checkbox"/> >HK\$10,000,000

<b>Client Investment Experience and Objective 客戶投資經驗及目標</b>	
<b>Investment Experience: 投資經驗:</b> <input type="checkbox"/> 少於 1 年 Less than a year <input type="checkbox"/> 6-10 年 years <input type="checkbox"/> 1-5 年 years <input type="checkbox"/> 10 年以上 More than 10 years	<b>Investment Experience: 投資經驗:</b> <input type="checkbox"/> 少於 1 年 Less than a year <input type="checkbox"/> 6-10 年 years <input type="checkbox"/> 1-5 年 years <input type="checkbox"/> 10 年以上 More than 10 years
<b>Investment Objective: 投資目的:</b> <input type="checkbox"/> Long Term 長線 <input type="checkbox"/> Capital Appreciation 資本增值 <input type="checkbox"/> Medium Term 中線 <input type="checkbox"/> Dividend Yield 股息回報 <input type="checkbox"/> Short Term 短線 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Speculation 投機	<b>Investment Objective: 投資目的:</b> <input type="checkbox"/> Long Term 長線 <input type="checkbox"/> Capital Appreciation 資本增值 <input type="checkbox"/> Medium Term 中線 <input type="checkbox"/> Dividend Yield 股息回報 <input type="checkbox"/> Short Term 短線 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Speculation 投機
<b>Investment Products and Experience 曾買賣產品及投資經驗</b> <input type="checkbox"/> Stocks 股票 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1-5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Options 期權 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1-5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Warrants 衍生權證(窩輪) <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1-5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Futures 期貨 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1-5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> CBBC 牛熊證 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1-5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Bonds 債券 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1-5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Funds 基金 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1-5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Others 其他: _____ <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1-5 年 <input type="checkbox"/> 5 年以上	<b>Investment Products and Experience 曾買賣產品及投資經驗</b> <input type="checkbox"/> Stocks 股票 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1-5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Options 期權 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1-5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Warrants 衍生權證(窩輪) <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1-5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Futures 期貨 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1-5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> CBBC 牛熊證 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1-5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Bonds 債券 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1-5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Funds 基金 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1-5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Others 其他: _____ <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1-5 年 <input type="checkbox"/> 5 年以上
<b>Risk Factor 風險因素</b> <input type="checkbox"/> Low 低風險 <input type="checkbox"/> Medium 中風險 <input type="checkbox"/> High 高風險  Low risk tolerance but willing to accept slight price fluctuations in order to obtain return better than expected from a capital preservation strategy only 風險承受度低，但願意接受輕微的價格波動以取得僅從保本策略中取得的預期回報為佳的回報  Modest Risk tolerance and willing to accept some investment risk for potentially higher returns. Seeking to achieve a balance moderate capital growth. 風險承受度中等，並願意為取得較高回報而接受一些投資風險。在資本增值、收入及保本之間尋求達到平衡。可以接受價格波動，在中等資本增值下取得穩健回報。  Seeking high growth for wealth accumulation and willing to accept substantial price volatility for investments. 為財富增值尋求高增長，並願意接受投資的大幅價格波動。	<b>Risk Factor 風險因素</b> <input type="checkbox"/> Low 低風險 <input type="checkbox"/> Medium 中風險 <input type="checkbox"/> High 高風險  Low risk tolerance but willing to accept slight price fluctuations in order to obtain return better than expected from a capital preservation strategy only 風險承受度低，但願意接受輕微的價格波動以取得僅從保本策略中取得的預期回報為佳的回報  Modest Risk tolerance and willing to accept some investment risk for potentially higher returns. Seeking to achieve a balance moderate capital growth. 風險承受度中等，並願意為取得較高回報而接受一些投資風險。在資本增值、收入及保本之間尋求達到平衡。可以接受價格波動，在中等資本增值下取得穩健回報。  Seeking high growth for wealth accumulation and willing to accept substantial price volatility for investments. 為財富增值尋求高增長，並願意接受投資的大幅價格波動。
<b>Estimated Investment Amount 估計投資金額:</b> <input type="checkbox"/> < HK\$100,000 <input type="checkbox"/> HK\$1,000,001 – 5,000,000 <input type="checkbox"/> HK\$100,000 – 500,000 <input type="checkbox"/> HK\$5,000,001 – 10,000,000 <input type="checkbox"/> HK\$500,001 – 1,000,000 <input type="checkbox"/> > HK\$10,000,000	<b>Estimated Investment Amount 估計投資金額:</b> <input type="checkbox"/> < HK\$100,000 <input type="checkbox"/> HK\$1,000,001 – 5,000,000 <input type="checkbox"/> HK\$100,000 – 500,000 <input type="checkbox"/> HK\$5,000,001 – 10,000,000 <input type="checkbox"/> HK\$500,001 – 1,000,000 <input type="checkbox"/> > HK\$10,000,000

**Client's Knowledge of Derivative Products 客戶對衍生產品的認識**

吾等知悉及明白弘業國際金融控股有限公司("弘業國際金融")將根據以下的資料以評估本人是否對衍生工具產品有認識。

We acknowledge and understand Holly International Financial Holdings Limited ("HIFHL") will assess whether I have adequate knowledge on derivative products according to the information that I provided.

- 1. 吾等已接受有關介紹一般衍生產品之性質及風險的培訓或課程 (例如學術機構或金融機構所提供之課程)。  
We underwent training or attended courses on derivative products that provide general knowledge of the nature and risks of derivatives (e.g. courses offered by academic or financial institutions).
- 2. 吾等現時或過去擁有與衍生產品有關的工作經驗。  
We have current or previous work experience related to derivative products.
- 3. 吾等於過去 3 年曾執行 5 次或以上有關衍生產品的交易。  
We have executed five or more transactions in derivative products within the past three years.
- 4. 吾等並未有衍生產品之認識。  
We do not have any knowledge of derivative products.

**Identity Declaration 身份聲明**

1. 客戶是帳戶的最終及唯一實益擁有人，並完全負責為該(等)帳戶運作所發出的一切指示? The Client is the ultimate and sole beneficial owner(s) of the Account(s) and is fully responsible for all instructions for the operation of the said Account(s)?

是 Yes  否 No 如不是, 請披露最終權益人。If not, please specify the ultimate beneficial owner(s)

姓名: Name: \_\_\_\_\_ 身份證/護照號碼: ID/Passport No.: \_\_\_\_\_ 電話號碼: Tel. No.: \_\_\_\_\_

2. 客戶之任何董事、主要股東、最終實益持有人、最終主要實益持有人或獲授權人士是否香港交易所之交易所參與者或證監會之持牌人或註冊人之董事、僱員或認可人士? Is any director, substantial shareholder, ultimate beneficiary, ultimate principal beneficial owner or Authorized Person of the Client a director or an employee or an accredited person of any exchange participant of the Hong Kong Exchange or any licensed or registered person of the Securities and Futures Commission?

否 No  是 Yes (If yes, please specify: 如果是, 請述明具體: 持牌法團/註冊機構名稱: \_\_\_\_\_)

職位: Position: \_\_\_\_\_ 中央編號 CE No.: \_\_\_\_\_ (Please provide employer's consent letter 請提供僱主之書面同意書)

3. 客戶之任何董事、主要股東、最終實益持有人、最終主要實益持有人或獲授權人士是否與弘業國際金融控股有限公司("弘業國際金融")或其各自之聯營公司之董事或僱員有任何親戚關係? Does any director, substantial shareholder, ultimate beneficiary, ultimate principal beneficial owner or Authorized Person of the Client have any relationship with the director(s) or employee(s) of Holly International Financial Holdings Limited("HIFHL") or their respective associated companies?

否 No  是 Yes, \_\_\_\_\_

(Name of Director or Employee 董事或僱員姓名/ Relationship 關係)

4. 客戶之任何董事、主要股東、最終實益持有人、最終主要實益持有人或獲授權人士是否弘業國際金融控股有限公司("弘業國際金融")的客戶? Is any director, substantial shareholder, ultimate beneficiary, ultimate principal beneficial owner or Authorized Person of the client a client of Holly International Financial Holdings Limited("HIFHL")?

否 No  是 Yes, 帳戶姓名: Name of the Account: \_\_\_\_\_ 帳戶號碼: Account No.: \_\_\_\_\_

**收款(香港)銀行戶口 Receiving (Hong Kong) Bank Account (只供入數之用 For Fund Deposit Only)**

Currency 貨幣	Name of Bank 銀行名稱	Account Name 賬戶名稱	A/C No. 賬戶號碼
HKD			
USD			
RMB			

**TRADING AUTHORISATION 交易授權**

The following individuals are authorized to execute trades on behalf of the Client. 下列人士均可對帳戶以書面或口頭形式發出交易命令或指示

Name of Authorized Person(s) 被授權人姓名	ID Card/Passport No. 身份證/護照號碼	Contact Tel. No. 聯絡電話號碼	Specimen Signature(s) 簽名式樣
1			
2			
3			
4			
5			

**SIGNING ARRANGEMENT 簽名安排**

以下授權人士簽署均可代表公司對帳戶進行資金/股票存儲/提取、發出清算指令和其他有關帳戶的指令。

The following individuals are authorized to deposit/withdraw fund/shares to/from the Account, give settlement instructions and any other instructions on behalf of the Client.

簽署指示 Signing Instruction : 單簽 Anyone can sign singly 任何兩人同簽 Any two must sign jointly 其他 Others : \_\_\_\_\_

Name of Authorized Person(s) 被授權人姓名	ID Card/Passport No. 身份證/護照號碼	Specimen Signature(s) 簽名式樣
1		
2		
3		
4		
Company Chop Specimen 公司印章式樣		

**Personal Data Declaration 個人資料聲明**

弘業國際金融控股有限公司 ("弘業國際金融")擬使用閣下的個人資料作直接促銷，為此須取得閣下的同意。通過簽署此開戶申請表格，你同意弘業國際金融向你發放關於財務、證券、投資的服務和產品的推廣資料。你亦同意弘業國際金融與其集團公司分享閣下的個人資料作行銷用途。Holly International Financial Holdings Limited("HIFHL") intends to use your personal data in direct marketing which requires your consent. By signing this account opening form, you agree to receive promotional and direct marketing information from HIFHL in respect of financial, insurance, securities, investment services and products HIFHL may offer. You further agree that HIFHL may share your personal data with its group companies for marketing purposes.

**Acknowledgement and Execution by Client 客戶確認及簽署**

- 吾等確認弘業國際金融控股有限公司(下稱“弘業國際金融”)已按吾等選擇的語言(英文或中文)提供了客戶協議書及電子交易服務條款(如適用)及風險披露聲明之副本。
- 吾等謹此聲明在本開戶表格所提供之資料全部為真實、完整及正確，除非弘業國際金融接到更改有關本開戶表格內容之書面通知，否則弘業國際金融有權完全依賴此等資料及聲明作一切用途。弘業國際金融或其代理獲授權可隨時就核對本開戶表格資料事宜，與任何人包括吾等之銀行、經紀或任何信用機構進行諮詢。
- 吾等現申請開立吾等在本開戶表格頁首選擇之帳戶及服務類別。吾等確認已閱讀並明白附上之弘業國際金融有限公司客戶協議書(該協議書)的所有有關條款並且接受及同意受可不時被修改的該協議書之條款所約束，吾等在此以書面通知、及確認並授權弘業國際金融行使在該協議書內的全部常設授權。
- 吾等向閣下申請開立證券買賣帳戶並同意遵守香港交易所及其他監管機構不時修訂以監管於香港交易所或其他交易所進行證券買賣之條例及規則。
- 吾等進一步確認弘業國際金融已經邀請吾等閱讀風險披露聲明及電子交易服務條款(如適用)、提出問題及徵求獨立的意見(如吾等有此意願)。
- 吾等已仔細閱讀、完全理解並同意接受及遵守客戶協議書內之個人資料收集聲明。
- 吾等欲使用互聯網證券交易服務，吾等已經閱讀並明白在弘業國際金融控股有限公司標準章則中，所載之互聯網交易協議的條款，並接受這些條款 的約束。(如適用)
- 假如我們[弘業國際金融控股有限公司]向閣下招攬銷售或建議任何金融產品，該金融產品必須是我們經考慮閣下的財政狀況、投資經驗及投資目標後而認為合理地適合閣下的。本協議的其他條文或任何其他我們可能要求閣下簽署的文件及我們可能要求閣下作出的聲明概不會減損本條款的效力。
- 本人/吾等向弘業國際金融申請開立衍生工具買賣帳戶並同意遵守香港證監會、香港期貨交易所及其他監督管機構不時修訂以對衍生工具買賣進行監管之條例及規則。本人/吾等已仔細審閱並理解衍生工具交易客戶協議書的全部內容。本人/吾等的以下簽名表明本人/吾等完全同意和接受衍生工具交易客戶協議書的全部條款和細節。本人/吾等在此聲明，本人/吾等已接受弘業國際金融的提醒，詢問有關從事衍生工具買賣的相關法律法規、備金費用和有關風險披露聲明等問題。本人/吾等充分理解弘業國際金融對相關問題的解釋和說明，本人/吾等有能力和願意履行承擔衍生工具交易客戶協議書規定的權利和義務。

1. We, the undersigned client(s) hereby confirm that We have been provided the Client Agreement (“the Agreement”) of Holly International Financial Holdings Limited (“HIFHL”) and the terms of Electronic Trading Service (if applicable) and the Risk Disclosure Statement in a language of our choice (receipt of a copy whereof is hereby acknowledged by us).

2. We, the undersigned client(s) hereby confirm and represent that the information on this Account Opening Form is true, complete and correct. HIFHL is entitled to rely fully on such information and representations for all purposes, unless HIFHL receives notice in writing of any change. HIFHL or any of its agents is hereby authorized at any time to contact anyone, including our banks or any credit agency, for the purpose of verifying the information provided on this Account Opening Form.

3. We, the undersigned client(s) hereby apply to open the types of account(s) and service(s) which We choose on the front page of this Account Opening Form

and confirm that We have read and understand the relevant provisions of the attached Client Agreement and accept and agree to be bound by the Agreement as the same may be amended from time to time, and We hereby give you notice in writing that we confirm and authorize HIFHL to exercise all the powers of the Standing Authorities under the Client Agreement.

4. We request you to open a Securities Trading Account ("the Account") and agree to abide by the rules and regulations of The Stock Exchange of Hong Kong Limited ("SEHK") or any other regulatory body(ies) as amended from time to time governing the purchase and sale of securities quoted on the SEHK or any other stock exchanges.

5. We, the undersigned client(s) further acknowledge and confirm that We have been invited by HIFHL to read the Risk Disclosure Statement and the terms of Electronic Trading Service (if applicable), ask questions and take independent advice, if We wish.

6. We, the undersigned client(s) have carefully read, fully understood and agreed to accept and be bound by the Personal Information Collection Statement of the Agreement.

7. We want to use the internet Securities Trading Service. We have read and understood the provisions of the Internet Trading Agreement as set out in the Standard Terms and Conditions of HOLLY INTERNATIONAL FINANCIAL HOLDINGS LIMITED and We accept to be bound by the same. (if applicable)

8. If we [HOLLY INTERNATIONAL FINANCIAL HOLDINGS LIMITED] solicit the sale of or recommend any financial product to you (the client), the financial product must be reasonably suitable for you having regard to your financial situation, investment experience and investment objectives. No other provision of this agreement or any other document we may ask you to sign and no statement we may ask you to make derogates from this clause.

9. I/We request you to open a Derivatives trading account and agree to abide by the Rules and Regulations of the Securities and Futures Commission ("SFC"), the Hong Kong Futures Exchange Limited ("HKFE") or any other regulatory bodies as amended from time to time governing the purchase and sale of Derivative products. I/We have carefully read and understood the contents of the Client Agreement For Derivatives Trading. I/We expressly agree and consent, as evidenced by my/our signature(s) below, to each and all the terms and provisions contained in the Client Agreement For Derivatives Trading. I/We also acknowledge that I/we have been invited to ask questions about the relevant laws and regulations, commission and fees schedules as well as the Risk Disclosure Statement. I/we have been satisfied with the explanations and clarifications provided to me/us. I/We hereby declare that I/we am/are willing and capable of fulfilling the duties and obligations as specified in the Client Agreement For Derivatives Trading.

Authorized Signature(s) with company chop  
公司印章及授權簽名

Date 日期: \_\_\_\_\_

Name of Authorized signatory(ies):  
被授權簽署人姓名:

Position:  
職位:

Signature of Witness:  
見證人簽署:

Name of Witness:  
見證人姓名:

**Declaration by Licensed Staff 持牌職員聲明 :**

本人，以持牌人士身份，確認本人已按照上述客戶所選擇的語言提供風險披露聲明之副本及邀請客戶閱讀該風險披露聲明、提出問題及徵求獨立意見 (如客戶有此意願)。I, a registered person, declare that I have provided the above client with a copy of the Risk Disclosure Statement in a language of the Client's choice and invited the client to read the Risk Disclosure Statement, ask questions and take independent advice if the client so wishes.

Signature of Licensed Person:  
持牌人士簽署:

CE No.:  
中央編號:

Name of Licensed Person:  
持牌人士姓名:

Date:  
日期:

**注意 Notes:**

如此開戶文件不是在弘業國際金融控股有限公司持牌的職員或經紀前開立，客戶必須遵從以下其中一個程序要求:

If this document is not executed by the Client in front the licensed Staff or Account Executive of Holly International Financial Holdings Limited Client should comply with either one of the following procedure:

- a) 客戶必須交給弘業國際金融控股有限公司由客戶在香港的持牌銀行開立的帳戶所簽發的個人支票，支票上要有客戶的身份證明文件上所顯示的姓名以及簽名必須與此開戶表格上的客戶簽名相符，抬頭人為“弘業國際金融控股有限公司”而支票數額不少於港幣 10,000 元。待支票兌現以及所有相關文件驗證後，此帳戶才可使用。

Client should send Holly International Financial Holdings Limited a personal cheque bearing his/ her name shown in his/her identity document and drawn on his/ her account with a licensed bank in Hong Kong with his/ her same signature(s) as shown on this Form in favor of "Holly International Financial Holdings Limited" for not less than HK\$10,000. This account will be activated after the cheque is cleared and all related documents are verified.

- b) 此開戶表格及相關身份證明文件的見證，必須由其他持牌人士、弘業國際金融控股有限公司的聯繫人士、太平紳士、專業人士如銀行分行經理、執業會計師、律師或公證人加以驗證。

The signing of this form and sighting of related identity documents should be certificated by other licensed person, an affiliated of Holly International Financial Holdings Limited a Justice of Peace (JP) or a professional person such as a branch manager of a bank, certified public accountant, lawyer or notary public.

**公司專用 For Official Use Only**

## 核對資料 Checklist:

1) 客戶的公司註冊證書的核證副本(或商業登記書或其它顯示妥當註冊的任何證據)、組織章程大綱及章程細則(或其他憲章文件)。

Certified True copy of the Certificate of Incorporation (or Business Registration Certificate or other evidence of due incorporation), Memorandum and Articles of Association (or other constitutional documents) of the Client.

2) 客戶過去兩年的經審計帳目的核證副本及不超過本開戶表日期前兩個月的資產負債表或其他不時同意的財務資料。

Certified True copy of audited accounts of the Client of the last two years and a balance sheet at a date not more than two months before the date of this form, or such other financial information as Holly International Financial Holdings Limited may from time to time agree.

3) 客戶有關開戶及運作此公司帳戶的董事局決議的核證副本。

Certified True copy of the board resolution of directors with respect to opening and operating the account.

4) 所有獲授權代理人、董事及本帳戶的最終權益擁有人的香港身份證或護照副本。

Copies of the Hong Kong ID Card(s) or Passport(s) of all Authorized Person(s), Director(s) and beneficial owner(s).

5) 客戶的董事名冊核證副本。

Certified True copy of the Register of Directors of the Client.

6) 客戶的股東名冊核證副本。

Certified True copy of the Register of Members of the Client.

7) 授權人表格。(如需要)

Authorized Person Form.

8) HKMA, SFC Licensing & AML checking

Checked By: 查核:

職員姓名 Name of the Staff:

簽署 Signature:

帳戶介紹人:

Account introduced by:

經紀姓名及編號:

Name and Code of AE:

資料輸入:

Inputted by :

職員姓名 Name of the Staff:

簽署 Signature:

日期 Date:

帳戶批核:

Approved by:

職員姓名 Name of the Staff:

簽署 Signature:

日期 Date:

客戶佣金:

Client Commission rate:

交易限額/信貸限額:

Trading Limit / Credit Limit:

其他資料(例如:已獲得銀行及信貸參考):

Other information (e.g. bank and credit reference obtained):

## Corporate Resolution of Client

RESOLUTIONS OF THE BOARD OF DIRECTORS OF \_\_\_\_\_ (the "Company") duly and effectively passed in accordance with the laws of the Company's place of incorporation and the Company's constitution on \_\_\_\_\_ (Date)

### RESOLVED THAT:

1. the Company does open and maintain the (\*Cash / Margin) account with Holly International Financial Holdings Limited ("HIFHL") for dealing in securities/futures, the Terms of Conditions of Client Agreement and Client information Statement which have been produced by HIFHL to the Company are hereby approved;
2. Authorized to sign the Client Information Statement, Client Agreement and any agreement relating to the opening and maintaining the account with HIFHL for trading in securities/futures for and on behalf of the Company;
3. Authorized to giving dealing instructions on behalf of Company to trade as aforementioned in accordance with the Client Agreement, the company will notify any change from time to time;
4. Authorized to giving settlement instructions on behalf of Company as aforementioned in accordance with the Client Agreement;

\_\_\_\_\_  
Director of Meeting

Name:

\*Delete as appropriate

\_\_\_\_\_  
Chairman of Meeting

Name:

### 董事局決議案

\_\_\_\_\_(公司名稱) ("公司") 於\_\_\_\_\_(日期) 召開董事局會議，期間具備會議所需的合法人數，並且正式通過以下決議案：

- 一. 決議通過以公司的名義，在弘業國際金融控股有限公司 ("弘業國際金融") 開立一個 (\*現金 / 保證金) 證券/ 期貨買賣戶口，並按照弘業國際金融的客戶協議書及開戶表格 (統稱 "開戶協議") 內之條文所約束及運作。
- 二. 決議通過現時在本會議出示及填妥的開戶協議及授權公司任何董事代表公司簽署該開戶協議 (並在有需要時加蓋公司的印章)。
- 三. 決議通過開戶協議所詳述之 "獲授權人士" 獲公司授權運作公司的證券/期貨買賣戶口，公司並需將不時有關的更改通知弘業國際金融。
- 四. 決議通過開戶協議所詳述之 "獲授權人士" 獲公司授權給與交收指示。下述簽署人茲證明上述各項乃董事局會議記錄中摘錄之正式決議案。

\_\_\_\_\_  
董事

姓名:

\_\_\_\_\_  
主席

姓名:



### 證券買賣風險披露聲明

投資涉及風險，證券價格有時可能會非常波動。證券價格可升可跌，甚至變成毫無價值。買賣證券未必一定能夠賺取利潤，反而可能會招致損失。投資者應就本身投資經驗、投資目標、財務狀況及承擔風險程度等因素，衡量任何投資產品的適合性。投資者作出任何投資決定前，應詳細閱讀有關投資產品之銷售文件及宣傳單張。

使用互聯網進行證券交易時，由於互聯網通訊有可能中斷、延誤或被未經授權各方取得，故投資者亦須留意相關風險。

槓桿式外匯交易的虧損風險可以十分重大。客戶所蒙受的虧損可能超過客戶的最初保證金款額。即使客戶定下備用交易指示，亦未必可以將虧損局限於客戶原先設想的數額。因此，客戶必需仔細考慮，鑑於自己的財務狀況及投資目標，這種買賣是否適合客戶。

創業板股份涉及很高的投資風險。尤其是該等公司可在無需具備盈利往績及無需預測未來盈利的情況下在創業板上市。創業板股份可能非常波動及流通性很低。客戶應在審慎及仔細考慮後，才作出有關的投資決定。

假如對本風險披露聲明的內容或創業板市場的性質及在創業板買賣的股份所涉風險有不明白之處，應尋求獨立的專業意見。

詳細風險披露聲明請查閱弘業國際金融官方網站上載之「客戶協議書 - 風險披露聲明」部分。

### 客戶聲明

本人確認已獲弘業國際金融確保不支付客戶的資金予任何第三者。本人確認清楚了解佣金及交易收費。並且，本人確認本人沒有在中華人民共和國內外地方擔任或曾擔任重要公職，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及重要政黨幹事。本人亦確認本人與中華人民共和國以內外地方的公共機關的重要公職人員其配偶、伴侶、子女或父母，或該公職人員的子女的配偶或伴侶，或該公職人員其關係密切的人；均沒有關連。

本人已細閱及明白以上內容並簽署確認。

客戶簽署：

\_\_\_\_\_

客戶姓名：

\_\_\_\_\_

日期：

\_\_\_\_\_



## 手机软件委托风险揭示书

弘业国际金融控股有限公司（以下简称“我司”）敬请投资者仔细阅读以下内容，以便正确、全面地了解手机委托交易的风险。如果投资者申请或使用我司提供的手机委托交易系统，我司将认为投资者已完全了解手机委托交易的风险，并愿承受手机委托交易风险，即投资者能承担由此带来的一切可能的损失。我司在互联网上仅提供网址 <http://mob.ftol.com.hk/>，作为我司手机交易软件的合法下载地址的入口点。我司根据国家相关法律法规的规定，已对网上委托系统尽力采取了有效措施保护投资者资料和委托过程的安全。尽管如此，本着对投资者负责的态度，我司在此郑重提醒投资者，手机交易委托仍然存在且不限于以下风险：手机交易委托方式除具有其他委托方式所共有的风险外，投资者还应充分了解和认识到其存在且不限于以下风险：

第一条 由于互联网和移动通讯网络数据传输等原因，交易指令可能会出现中断、停顿、延迟、数据错误等情况；

第二条 投资者账号及密码信息泄露或客户身份可能被仿冒；

第三条 由于互联网和移动通讯网络上存在黑客恶意攻击的可能性，网络服务器可能会出现故障及其他不可预测的因素，行情信息及其他证券信息可能会出现错误或延迟；

第四条 投资者的手机终端及软件系统可能会受到非法攻击或病毒感染，导致无法下达委托或委托失败；

第五条 投资者的手机终端设备及软件系统与我司所提供的手机交易系统不兼容，无法下达委托或委托失败；

第六条 如投资者缺乏手机委托经验，可能因操作不当造成委托失败或委托失误；

第七条 由于网络或通讯服务商导致的故障，投资者通过手机交易系统进行期货交易时，投资者手机终端设备已显示委托成功，而我司服务器未接到其委托指令，从而存在投资者不能交易的风险；投资者手机终端设备对其委托未显示成功，于是投资者再次发出委托指令，而我司服务器已收到投资者两次委托指令，并按其指令进行了交易，使投资者由此产生重复买卖的风险。上述风险可能会导致投资者发生损失。

防范策略：投资者利用手机委托系统进行交易，应积极采取安全措施，加强账户、密码的保护，如：不使用简单密码、定期修改密码、输入密码时防止他人偷看、不对他人泄露密码、定期维护手机及相关设备、采用防病毒及防黑客产品、妥善保管个人资料、及时分析各种信息、准备备用委托交易手段等，以防范手机委托可能发生的各种风险。我司在此郑重提醒，期货手机委托交易有风险。如果投资者不了解或不能承受期货手机委托交易的风险，我司建议投资者不要使用期货手机委托交易系统进行交易。如果投资者申请或已申请使用期货手机委托交易，我司将认为投资者已经完全了解手机期货委托的风险，准备承受手机期货委托风险，并愿意承担由此带来的损失。

账号：

签署：

日期：



## 手机软件下载免责声明

尊敬的客户：

为了有效的保护客户的个人隐私不受侵犯，客户所使用的从弘业国际金融控股有限公司（以下简称“我司”）官方网站下载的手机交易软件（以下简称“下载软件”），对涉及到客户个人资料的所有数据在互联网传输过程中都采用了先进的安全加固技术处理措施，以保证数据的安全传输。我司和我司的信息服务提供商致力于不断提高我们的网上交易服务质量。与此同时，如果客户确认下载和/或使用下载软件，则视为客户已经充分认知并承诺，完全接受我司和我司的信息服务提供商对于下列事项的免责：

1 我司软件所提供的信息数据以及观点、投资建议、投资分析等资料仅供参考，客户据此操作而造成所有损失，我司和我司的信息服务提供商均不承担任何责任。

2 我司下载软件的帮助信息仅供客户操作参考，据此操作而引起的纷争，我司和我司的信息服务提供商概不负责。

3 我司和我司的信息服务提供商不保证下载软件提供的信息与数据等资料的及时性、条理性、准确性、充分性、完整性，不对上述信息与数据可能出现的错误或误导承担任何责任。

4 我司和我司的信息服务提供商对网上交易信息在互联网传输过程中可能出现的系统中断、停顿、延迟、数据错误等情况不承担任何责任。

5 客户使用下载软件进行投资而产生的账户盈亏，由客户自行承担，我司和我司的信息服务提供商概不负责。

6 非因我司和/或我司的信息服务提供商的原因或者由于不可抗力、不可预见等因素导致客户不能正常使用下载软件和/或及时地获得下载软件提供的服务和信息所造成的损失，我司和我司的信息服务提供商不承担任何责任。

7 在未经我司书面同意的情况下，不得把我司下载软件所提供的任何信息以任何方式有偿或无偿地提供给任何无关的第三方，我司和我司的信息服务提供商不对由此造成的任何损失承担责任，并将追究其法律责任。

账号：

签署：

日期：

## Controlling Person Tax Residency Self-Certification Form

### 控權人稅務居民自我證明表格

### Important Notes 重要提示

- This is a self-certification form provided by a controlling person to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.**

這是由控權人向申報金融 / 財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報金融 / 財務機構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。

- A controlling person should report all changes in his/her tax residency status to the reporting financial institution.**

如控權人的稅務居民身分有所改變，應盡快將所有變更通知申報金融 / 財務機構。

- All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (\*) are required to be reported by the reporting financial institution to the Inland Revenue Department.**

除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄 / 部標有星號 ( \* ) 的項目為申報金融 / 財務機構須向稅務局申報的資料。

### Part 1: Identification of Controlling Person 第1部：控權人的身分識別資料

**Note 注意：** Please tick where applicable. 請在適當的地方加上“√”號。

<p>*Name of Controlling Person 控權人的姓名</p>	<p>Title 稱謂：<input type="checkbox"/> Mr 先生 <input type="checkbox"/> Mrs 太太 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Ms 女士 <input type="checkbox"/> Other 其他 _____</p> <p>*Name of Controlling Person 姓名</p>
<p>HK / China Identity Card / Passport Number 香港/中國身份證/護照號碼</p>	
<p>*Current Residence Address 現時住址</p>	<p>* (e.g. Suite, Floor, Building, Street, District, City, Province, State, Country, Post Code/ZIP Code) (例如：室、樓層、大廈、街道、地區、城市、省、州、國家、郵政編碼 / 郵遞區號碼)</p>
<p>Mailing Address 通訊地址 <i>(Complete if different to the above current residence address 如通訊地址與上述現時住址不同，填寫此欄)</i></p>	<p>(e.g. Suite, Floor, Building, Street, District, City, Province, State, Country, Post Code/ZIP Code) (例如：室、樓層、大廈、街道、地區、城市、省、州、國家、郵政編碼 / 郵遞區號碼)</p>
<p>*Date of Birth 出生日期</p>	<p>(dd/mm/yyyy 日 / 月 / 年)</p>

**Part 2: The Entity Account Holder(s) of which you are a controlling person****第 2 部：您作為控權人的實體帳戶持有人**

Enter the name of the entity account holder of which you are a controlling person 填寫您作為控權人的實體帳戶持有人的名稱：

Entity 實體	Name of the Entity Account Holder 實體帳戶持有人的名稱
(1)	
(2)	
(3)	

**Part 3 第 3 部：****\*Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")****\* 居留司法管轄區及稅務編號或具有等同功能的識辨編號（以下簡稱「稅務編號」）**

Please complete the following table indicating 提供以下資料，列明：

- (a) each jurisdiction of residence (including Hong Kong) where the controlling person is a **resident for tax purposes**; and  
控權人的居留司法管轄區，亦即控權人的稅務管轄區（香港包括在內）；及
- (b) the controlling person's TIN for each jurisdiction indicated.  
該居留司法管轄區發給控權人的稅務編號。

Indicate **all** (not restricted to five) jurisdictions of residence.

列出所有（不限於 5 個）居留司法管轄區。

If the controlling person is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number (HKID).

如控權人是香港稅務居民，稅務編號是帳戶持有人的香港身份證號碼。

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

# Reason A - The jurisdiction where the controlling person is a resident for tax purposes does not issue TINs to its residents.

理由 A - 控權人的居留司法管轄區並沒有向其居民發出稅務編號。

# Reason B - The controlling person is unable to obtain a TIN. Explain why the controlling person is unable to obtain a TIN if you have selected this reason.

理由 B - 控權人不能取得稅務編號。如選取這一理由，解釋控權人不能取得稅務編號的原因。

# 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.

理由 C - 控權人毋須提供稅務編號。居留司法管轄區的主管機關不需要控權人披露稅務編號。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	#Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號， 填寫理由 A、B 或 C	Explain why the controlling person is unable to obtain a TIN if you have selected Reason B 如選取理由 B，解釋控權人不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

**Part 4: Type of Controlling Person 第 4 部：控權人類別**

Tick the appropriate box to indicate the type of controlling person for each entity stated in Part 2:

就第 2 部所載的每個實體，在適當方格內加上“√” 剔號，指出控權人就每個實體所屬的類別：

Type of Entity 實體類別	Type of Controlling Person 控權人類別	Entity (1) 實體 (1)	Entity (2) 實體 (2)	Entity (3) 實體 (3)
Legal Person 法人	Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital) 擁有控制股權的個人（即擁有不少於百分之二十五的已發行股本）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights) 以其他途徑行使控制權或有權行使控制權的個人（即擁有不少於百分之二十五的表決權）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who holds the position of senior managing official/ exercises ultimate control over the management of the entity 擔任該實體的高級管理人員/ 對該實體的管理行使最終控制權的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trust 信託	Settlor 財產授予人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Trustee 受託人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Protector 保護人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Beneficiary or member of the class of beneficiaries 受益人或某類別受益人的成員	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary) 其他 (例如: 如財產授予人/受託人/保護人/受益人為另一實體, 對該實體行使控制權的個人)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Legal Arrangement other than Trust 除信託以外的法律安排	Individual in a position equivalent/similar to settlor 處於相等/相類於財產授予人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to trustee 處於相等/相類於受託人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to protector 處於相等/相類於保護人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries 處於相等/相類於受益人或某類別受益人的成員位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/protector/beneficiary) 其他 (例如: 如處於相等/相類於財產授予人/受託人/保護人/受益人位置的人為另一實體, 對該實體行使控制權的個人)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## Part 5: Declarations and Signature 第 5部: 聲明及簽署

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by Holly International Financial Holdings Limited ("HIFHL") for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the controlling person and any reportable account(s) may be reported by Holly International Financial Holdings Limited ("HIFHL") to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the controlling person may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

本人知悉及同意, 弘業國際金融控股有限公司「弘業國際金融」可根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文, (a) 收集本表格所載資料並可備存作自動交換財務帳戶資料用途及 (b) 把該等資料和關於控權人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報, 從而把資料轉交到控權人的居留司法管轄區的稅務當局。

I certify that I am the controlling person (or I am authorised to sign for the controlling person) of all the account(s) currently held Holly International Financial Holdings Limited by the entity account holder(s).

本人證明, 就實體帳戶持有人現於「弘業國際金融」持有的所有帳戶, 本人是控權人 (或本人獲控權人授權代其簽署)。

I undertake to advise Holly International Financial Holdings Limited ("HIFHL") of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide Holly International Financial Holdings Limited ("HIFHL") with a suitably updated self-certification form within 30 days of such change in circumstances. 本人承諾, 如情況有所改變, 以致影響本表格第 1 部所述的個人的稅務居民身分, 或引致本表格所載的資料不正確, 本人會通知「弘業國際金融」, 並會在情況發生改變後 30 日內, 向「弘業國際金融」提交一份已適當更新的自我證明表格。

**I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.**

本人聲明就本人所知所信, 本表格內所填報的所有資料和聲明均屬真實、正確和完備。

Signature 簽署:  X	Note: Indicate the capacity if you are not the individual identified in Part 1. If signing under a power of attorney, attach a certified copy of the power of attorney. 如您不是第 1 部所述的個人, 說明您的身分。如果您是以受權人身分簽署這份表格, 須夾附該+授權書的核證副本。  Capacity/ Relationship 身分/ 關係:
Name 姓名: _____	_____

**WARNING: It is a serious offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).**

**警告: 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。一經定罪, 可處第 3 級 (即\$10,000) 罰款。**

## Entity Tax Residency Self-Certification Form

### 實體稅務居民自我證明表格

### Important Notes 重要提示

- This is a self-certification form provided by an account holder to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.**  
這是由帳戶持有人向申報金融 / 財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報金融 / 財務機構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。
- An account holder should report all changes in its tax residency status to the reporting financial institution.**  
如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知申報金融 / 財務機構。
- All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (\*) are required to be reported by the reporting financial institution to the Inland Revenue Department.**  
除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄 / 部標有星號（\*）的項目為申報金融 / 財務機構須向稅務局申報的資料。

### Part 1: Identification of Entity Account Holder 第1部：實體帳戶持有人的身分識辨資料

*(For multiple account holders, complete a separate form for each entity account holder.*

*對於聯名帳戶或多人聯名帳戶，每名實體帳戶持有人須分別填寫一份表格。)*

<p>* Legal Name of Entity or Branch 實體或分支機構的法定名稱</p>	
<p>Jurisdiction of Incorporation or Organisation 實體成立為法團或設立所在的稅務管轄區</p>	
<p>Certificate of Incorporation or Business Registration Number 公司註冊或商業登記號碼</p>	
<p>* Current Business Address 現時營業地址</p>	<p>* (e.g. Suite, Floor, Building, Street, District, City, Province, State, Country, Post Code/ ZIP Code 例如：室、樓層、大廈、街道、地區、城市、省、州、國家、郵政編碼 / 郵遞區號碼)</p>
<p>Mailing Address <i>(Complete if different to the above current business Address)</i> 通訊地址 如通訊地址與上述現時營業不同，填寫此欄</p>	<p>(e.g. Suite, Floor, Building, Street, District, City, Province, State, Country, Post Code/ ZIP Code 例如：室、樓層、大廈、街道、地區、城市、省、州、國家、郵政編碼 / 郵遞區號碼)</p>

## Part 2: Entity Type

### 第 2 部：實體類別

Tick one of the appropriate boxes and provide the relevant information.

在其中一個適當的方格內加上“√”剔號，並提供有關資料。

<p>Financial Institution 金融／財務機構</p>	<p><input type="checkbox"/> Custodial Institution, Depository Institution or Specified Insurance Company 託管機構、存款機構或指明保險公司</p> <p><input type="checkbox"/> Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction 投資實體，但不包括由另一金融／財務機構管理（例如：擁有酌情權管理投資實體的資產）並位於非參與稅務管轄區的投資實體</p>
<p>Active NFE 主動非財務實體</p>	<p><input type="checkbox"/> NFE the stock of which is regularly traded on _____, which is an established securities market 該非財務實體的股票經常在 _____（一個具規模證券市場）進行買賣</p> <p><input type="checkbox"/> Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market 的有關連實體，該有關連實體的股票經常在 _____（一個具規模證券市場）進行買賣</p> <p><input type="checkbox"/> NFE is a governmental entity, an international organisation (for example the United Nations or North Atlantic Treaty Organisation ("NATO")), a central bank, or an entity wholly owned by one or more of the foregoing entities 政府實體、國際組織（例如聯合國或北大西洋公約組織（「NATO」））、中央銀行或由前述的實體全權擁有的其他實體</p> <p><input type="checkbox"/> Active NFE other than the above (for example a start-up NFE or a non-profit NFE) (Please specify _____) 除上述以外的主動非財務實體（例如新成立的非財務實體或非牟利的非財務實體） (請說明 _____)</p>
<p>Passive NFE 被動非財務實體</p>	<p><input type="checkbox"/> Investment entity that is managed by another financial institution and located in a non-participating jurisdiction 位於非參與稅務管轄區並由另一金融／財務機構管理的投資實體</p> <p><input type="checkbox"/> NFE that is not an active NFE 不屬主動非財務實體的非財務實體</p>

## Part 3: Controlling Persons (Complete this part if the entity account holder is a passive NFE)

第 3 部：控權人 (如實體帳戶持有人是被動非財務實體，填寫此部)

Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official. Complete Controlling Person Tax Residency Self-Certification Form for each controlling person.

就帳戶持有人，填寫所有控權人的姓名在列表內。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。每名控權人須分別填寫一份控權人稅務居民自我證明表格。

(1)	(5)
(2)	(6)
(3)	(7)
(4)	(8)

## Part 4 第 4 部：

### \*Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")

\* 居留司法管轄區及稅務編號或具有等同功能的識辨編號（以下簡稱「稅務編號」）

Complete the following table indicating 提供以下資料，列明：

- (a) each jurisdiction of residence (including Hong Kong) where the account holder is a **resident for tax purposes**; and  
帳戶持有人的**居留司法管轄區**，亦即帳戶持有人的稅務管轄區（香港包括在內）；及
- (b) the account holder's TIN for each jurisdiction indicated. 該居留司法管轄區發給帳戶持有人的稅務編號。

Indicate **all** (not restricted to five) jurisdictions of residence.

列出所有（不限於 5 個）居留司法管轄區。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.

如帳戶持有人是香港稅務居民，稅務編號是其香港商業登記號碼。



If the account holder is not a tax resident in any jurisdiction (e.g. fiscally transparent), indicate the jurisdiction in which its place of effective management is situated.

如果帳戶持有人並非任何稅務管轄區的稅務居民（例如：它是財政透明實體），填寫實際管理機構所在的稅務管轄區。

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

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

理由 A - 帳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 B - The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.

理由 B - 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。

# 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.

理由 C - 帳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帳戶持有人披露稅務編號。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	#Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號， 填寫理由 A、B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選取理由 B，解釋帳戶持有人不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

## Part 5: Declarations and Signature 第 5 部：聲明及簽署

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by Holly International Financial Holdings Limited ("HIFHL") for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by Holly International Financial Holdings Limited ("HIFHL") to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

本人知悉及同意，弘業國際金融控股有限公司「弘業國際金融」可根據《稅務條例》（第 112 章）有關交換財務帳戶資料的法律條文，（a）收集本表格所載資料並可備存作自動交換財務帳戶資料用途及（b）把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

I certify that I am authorised to sign for the account holder of all the account(s) currently held with Holly International Financial Holdings Limited ("HIFHL") by the account holder identified in Part 1 of this form. 本人證明，就有關本表格第 1 部所指的實體帳戶持有人現於「弘業國際金融」持有的所有帳戶，本人獲帳戶持有人授權代其簽署。

I undertake to advise Holly International Financial Holdings Limited ("HIFHL") of any change in circumstances which affects the tax residency status of the account holder identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide Holly International Financial Holdings Limited ("HIFHL") with a suitably updated self-certification form within 30 days of such change in circumstances. 本人承諾，如情況有所改變，以致影響本表格第 1 部所述的實體的稅務居民身分，或引致本表格所載的資料不正確，本人會通知

「弘業國際金融」，並會在情況發生改變後 30 日內，向「弘業國際金融」提交一份已適當更新的自我證明表格。

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

Signature 簽署:  x	Note: Indicate the capacity in which you are signing the form e.g. director or officer of a company, partner of a partnership, trustee of a trust, Authorised Officer, etc. (說明您簽署這份表格的身分。例如：公司的董事或高級人員、合夥的合夥人，信託的受託人或獲授權人員等。)  Capacity/ Relationship 身分/ 關係:
Name 姓名: _____	_____

**WARNING: It is a serious offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).**

**警告：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。一經定罪，可處第 3 級（即\$10,000）罰款。**

致： 弘業國際金融控股有限公司  
香港灣仔告士打道 42-46號  
捷利中心 20 樓03-05 室  
Tel: 852-22493411 Fax:852-25298203

**證券及期貨 ( 客戶款項 ) 規則**  
**( 第 571 I 章 ) 常設授權**

有關： 帳戶名稱: \_\_\_\_\_  
帳戶號碼: \_\_\_\_\_

以下簽署的客戶(“客戶”)謹此授權弘業國際金融控股有限公司(簡稱“弘業國際金融”)處理有關在香港及/或外地收取及持有的客戶款項。除本授權於到期日前被駁回外，本授權有效期內，本授權涵蓋弘業國際金融收取或持有並存放於任何帳戶內有關香港及/或外地交易的款項(包括因持有並非屬於弘業國際金融的款項而產生的利息)(“款項”)。

除文義另有所指外，於本授權內的任何名詞，與《證券及期貨條例》及《證券及期貨(客戶款項)規則》不時修訂之定義具有相同意思。

本授權授權弘業國際金融酌情動用款項的全部或部份作下列用途，而無須事先給予客戶任何通知或取得客戶的確認及/或指示：

- 1) 將任何數額之款項存入弘業國際金融或任何弘業國際金融所屬的集團公司(根據《公司條例》所作之定義)(「弘業期貨」)內的成員公司所開設及持有的任何獨立帳戶及從任何上述的帳戶之間來回調動，以解除客戶對弘業期貨內任何成員的義務或法律責任，不論此等義務和法律責任是確實或突然的，原有或附帶的、有抵押或無抵押的、共同或分別的；及/或
- 2) 將任何數額之款項支付/轉往客戶於弘業國際金融的期貨帳戶及/或證券帳戶及/或任何香港及/或海外經紀人及/或結算公司的期貨帳戶及/或證券帳戶及其繼承人及受讓人，以作客戶買賣期貨及/或證券之用或符合交收或按金的要求(如適用)；及/或
- 3) 將任何數額之款項支付/轉往弘業國際金融在香港設立的獨立帳戶及在香港及/或海外經紀人及/或結算公司開設的獨立帳戶，以及從任何上述的獨立帳戶之間來回調動；及/或
- 4) 將款項兌換至任何貨幣。

客戶謹此同意就弘業國際金融及/或弘業期貨因執行上述授權而可能產生、蒙受及/或承受一切虧損、損失、利息、費用、開支、法律訴訟、付款要求索償等等向弘業國際金融及/或香港及/或海外經紀人及/或結算公司作出賠償，並保障弘業國際金融及/或弘業期貨免受損害。本授權並不損害弘業國際金融享有有關處理該等獨立帳戶內款項的其他授權或權利。

本授權的有效期為十二個月，自本授權之日起計有效。本授權可於任何時候被客戶以書面通知弘業國際金融提出撤銷，該等通知之生效期為弘業國際金融真正收到該等通知後之 10 個營業日起生效。然而在弘業國際金融收到撤銷的書面通知生效之前，任何弘業國際金融按本授權所達成的任何交易均不受該項撤銷所影響。

客戶確認並同意，弘業國際金融若在本授權的有效期屆滿前 14 日之前向客戶發出通知，提醒客戶本授權即將屆滿，而客戶沒有在授權屆滿前反對此授權續期，本授權應當作在不需要客戶以書面同意下按持續的基準已被續期。

本人已經詳細閱讀常設授權(客戶款項)所列內容，及同意授權弘業國際金融控股有限公司處理有關在香港及/或外地收取及持有的客戶款項。

\_\_\_\_\_  
客戶帳號：

\_\_\_\_\_  
客戶簽署/蓋章：

\_\_\_\_\_  
客戶名稱：

\_\_\_\_\_  
日期(日/月/年)

### 第三者操作授權書

致: 弘業國際金融控股有限公司(下稱‘弘業國際金融’)

本人/吾等(以下簽署之客戶)特此授權列於下列獲授權人資料表內的人士(下稱‘獲授權人’)代表本人/吾等操作以下(以‘’選擇)以本人/吾等名義於弘業國際金融控股有限公司開立之帳戶:

證券帳戶(現金)       證券帳戶(保證金)       股票期權帳戶       期貨帳戶

獲授權人可全權代本人/吾等就以上選擇之帳戶,以口頭(透過電話)、書面、電子交易平台、傳真或其他方式發出指示,並簽署任何文件(包括但不限於任何股票或股票期權交易、保管、交收、存款或提款(貴公司只可接受指示提款至本人/吾等名下之銀行帳戶)、企業行動指示及其他任何指示)。

#### 獲授權人的個人資料

(獲授權人不得為弘業國際金融或其聯系公司之僱員或代理人士)

中文姓名:	(先生/女士)	身份證/護照號碼:	國籍:
英文姓名:	(Mr/Ms)	出生日期:	
住宅電話:		手提電話:	辦公室電話:
電郵地址:			
住宅地址:			
職業:	受僱機構名稱:		
職位:			
與帳戶持有人之關係:	獲授權原因:		
獲授權人是否根據香港證券及期貨條例註冊之人士或受僱於任何根據香港證券及期貨條例註冊之持牌法團/註冊機構?			
<input type="checkbox"/> 否 <input type="checkbox"/> 是,中央編號為: _____ (必須出示僱主發出之同意信正本)			

備註: 附上(1)獲授權人之有效身份證/護照之副本;(2)獲授權人之最近3個月內有效住宅地址證明文件之副本

- 本人/吾等同意,貴公司有絕對酌情權,依賴及依從獲授權人發出的或看似由獲授權人發出的任何口頭(透過電話)、書面、電子交易平台、傳真或其他方式發出的指示進行交易。本人/吾等亦同意,所有此等指示,均須視作等同本人/吾等之指示,並對本人/吾等具有約束效力。
- 本人/吾等進一步同意對獲授權人之作為或不作為負全責,並就貴公司可能因此蒙受或承擔之損失或損害,作出全數彌償。
- 貴公司有權拒絕本授權申請或終止授權運作,並如有任何爭議,本人/吾等明白及確認貴公司擁有最終決定權。
- 獲授權人確認以上所提供的資料均為真實、完整和正確;上述資料如有更改,獲授權人答允以書面方式通知貴公司更新上述資料。
- 本人/吾等聲明,本授權書生效日期為下述之客戶簽署日期,並直至每年12月31日屆滿或貴公司收到本人/吾等撤銷本授權書之書面通知為止,以較早發生者為準,本授權書將繼續具有全面法律效力和作用。本人/吾等特此承諾,應貴公司在此段時間不時及在任何時候提出之要求,追認及確認獲授權人代本人/吾等發出或看似由獲授權人代本人/吾等發出之任何指示。
- 在本授權書有效期屆滿前14天,貴公司可向本人/吾等以書面方式發出續期通知,除非本人/吾等提出書面反對,本授權在屆滿時將自動按相同條款及條件予以續期12個月。

本授權書的任何修改或撤銷,在貴公司收到本人以書面通知貴公司且確認貴公司收到後的兩個工作天後方屬有效。本授權書受制於香港特別行政區法律,並按香港特別行政區法律詮釋。

客戶簽署:	獲授權人簽署:
客戶姓名: _____	獲授權人姓名: _____
客戶號碼:	
簽署日期:	

由以下本公司之職員見證雙方簽署	風險披露聲明
職員簽署: _____	當客戶授權他人操作客戶之帳戶,客戶應該清楚明白及承擔此授權行為所引致的若干風險和法律後果。倘若客戶未能完全明白簽署本授權書之法律責任及後果,請勿簽署本授權書。如有任何疑問,客戶應該諮詢其法律顧問。
職員姓名: _____	

公司專用 Office Use Only			
財務部 Accountant	結算部 Settlement:	風控部 Risk Management:	負責人員(如適用) Responsible Officers

### Certificate of Status of Beneficial Owner for United States Tax Withholding and Reporting (Entities)

► For use by entities. Individuals must use Form W-8BEN. ► Section references are to the Internal Revenue Code.  
► Go to [www.irs.gov/FormW8BENE](http://www.irs.gov/FormW8BENE) for instructions and the latest information.  
► Give this form to the withholding agent or payer. Do not send to the IRS.

**Do NOT use this form for:**

**Instead use Form:**

- U.S. entity or U.S. citizen or resident . . . . . W-9
- A foreign individual . . . . . W-8BEN (Individual) or Form 8233
- A foreign individual or entity claiming that income is effectively connected with the conduct of trade or business within the United States (unless claiming treaty benefits) . . . . . W-8ECI
- A foreign partnership, a foreign simple trust, or a foreign grantor trust (unless claiming treaty benefits) (see instructions for exceptions) . . . W-8IMY
- A foreign government, international organization, foreign central bank of issue, foreign tax-exempt organization, foreign private foundation, or government of a U.S. possession claiming that income is effectively connected U.S. income or that is claiming the applicability of section(s) 115(2), 501(c), 892, 895, or 1443(b) (unless claiming treaty benefits) (see instructions for other exceptions) . . . . . W-8ECI or W-8EXP
- Any person acting as an intermediary (including a qualified intermediary acting as a qualified derivatives dealer) . . . . . W-8IMY

#### Part I Identification of Beneficial Owner

<b>1</b> Name of organization that is the beneficial owner	<b>2</b> Country of incorporation or organization
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<b>3</b> Name of disregarded entity receiving the payment (if applicable, see instructions)
---

<b>4</b> Chapter 3 Status (entity type) (Must check one box only):	<input type="checkbox"/> Corporation	<input type="checkbox"/> Partnership
<input type="checkbox"/> Simple trust	<input type="checkbox"/> Tax-exempt organization	<input type="checkbox"/> Foreign Government - Controlled Entity
<input type="checkbox"/> Central Bank of Issue	<input type="checkbox"/> Private foundation	<input type="checkbox"/> Foreign Government - Integral Part
<input type="checkbox"/> Grantor trust	<input type="checkbox"/> Disregarded entity	<input type="checkbox"/> International organization

If you entered disregarded entity, partnership, simple trust, or grantor trust above, is the entity a hybrid making a treaty claim? If "Yes," complete Part III.  Yes  No

<b>5</b> Chapter 4 Status (FATCA status) (See instructions for details and complete the certification below for the entity's applicable status.)	
<input type="checkbox"/> Nonparticipating FFI (including an FFI related to a Reporting IGA FFI other than a deemed-compliant FFI, participating FFI, or exempt beneficial owner).	<input type="checkbox"/> Nonreporting IGA FFI. Complete Part XII. <input type="checkbox"/> Foreign government, government of a U.S. possession, or foreign central bank of issue. Complete Part XIII.
<input type="checkbox"/> Participating FFI. <input type="checkbox"/> Reporting Model 1 FFI. <input type="checkbox"/> Reporting Model 2 FFI. <input type="checkbox"/> Registered deemed-compliant FFI (other than a reporting Model 1 FFI, sponsored FFI, or nonreporting IGA FFI covered in Part XII). See instructions.	<input type="checkbox"/> International organization. Complete Part XIV. <input type="checkbox"/> Exempt retirement plans. Complete Part XV. <input type="checkbox"/> Entity wholly owned by exempt beneficial owners. Complete Part XVI. <input type="checkbox"/> Territory financial institution. Complete Part XVII. <input type="checkbox"/> Excepted nonfinancial group entity. Complete Part XVIII. <input type="checkbox"/> Excepted nonfinancial start-up company. Complete Part XIX. <input type="checkbox"/> Excepted nonfinancial entity in liquidation or bankruptcy. Complete Part XX.
<input type="checkbox"/> Sponsored FFI. Complete Part IV. <input type="checkbox"/> Certified deemed-compliant nonregistering local bank. Complete Part V. <input type="checkbox"/> Certified deemed-compliant FFI with only low-value accounts. Complete Part VI. <input type="checkbox"/> Certified deemed-compliant sponsored, closely held investment vehicle. Complete Part VII. <input type="checkbox"/> Certified deemed-compliant limited life debt investment entity. Complete Part VIII. <input type="checkbox"/> Certain investment entities that do not maintain financial accounts. Complete Part IX. <input type="checkbox"/> Owner-documented FFI. Complete Part X. <input type="checkbox"/> Restricted distributor. Complete Part XI.	<input type="checkbox"/> 501(c) organization. Complete Part XXI. <input type="checkbox"/> Nonprofit organization. Complete Part XXII. <input type="checkbox"/> Publicly traded NFFE or NFFE affiliate of a publicly traded corporation. Complete Part XXIII. <input type="checkbox"/> Excepted territory NFFE. Complete Part XXIV. <input type="checkbox"/> Active NFFE. Complete Part XXV. <input type="checkbox"/> Passive NFFE. Complete Part XXVI. <input type="checkbox"/> Excepted inter-affiliate FFI. Complete Part XXVII. <input type="checkbox"/> Direct reporting NFFE. <input type="checkbox"/> Sponsored direct reporting NFFE. Complete Part XXVIII. <input type="checkbox"/> Account that is not a financial account.

<b>6</b> Permanent residence address (street, apt. or suite no., or rural route). <b>Do not use a P.O. box or in-care-of address</b> (other than a registered address).	
City or town, state or province. Include postal code where appropriate.	Country

<b>7</b> Mailing address (if different from above)	
City or town, state or province. Include postal code where appropriate.	Country

**Part I Identification of Beneficial Owner** (continued)

**8** U.S. taxpayer identification number (TIN), if required \_\_\_\_\_

<b>9a</b> GIIN _____	<b>b</b> Foreign TIN _____	<b>c</b> Check if FTIN not legally required. <input type="checkbox"/>
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**10** Reference number(s) (see instructions) \_\_\_\_\_

**Note:** Please complete remainder of the form including signing the form in Part XXX.

**Part II Disregarded Entity or Branch Receiving Payment.** (Complete only if a disregarded entity with a GIIN or a branch of an FFI in a country other than the FFI's country of residence. See instructions.)

**11** Chapter 4 Status (FATCA status) of disregarded entity or branch receiving payment

Branch treated as nonparticipating FFI.       Reporting Model 1 FFI.       U.S. Branch.

Participating FFI.       Reporting Model 2 FFI.

**12** Address of disregarded entity or branch (street, apt. or suite no., or rural route). **Do not use a P.O. box or in-care-of address** (other than a registered address). \_\_\_\_\_

City or town, state or province. Include postal code where appropriate. \_\_\_\_\_

Country \_\_\_\_\_

**13** GIIN (if any) \_\_\_\_\_

**Part III Claim of Tax Treaty Benefits** (if applicable). (For chapter 3 purposes only.)

**14** I certify that (check all that apply):

**a**  The beneficial owner is a resident of \_\_\_\_\_ within the meaning of the income tax treaty between the United States and that country.

**b**  The beneficial owner derives the item (or items) of income for which the treaty benefits are claimed, and, if applicable, meets the requirements of the treaty provision dealing with limitation on benefits. The following are types of limitation on benefits provisions that may be included in an applicable tax treaty (check only one; see instructions):

<input type="checkbox"/> Government	<input type="checkbox"/> Company that meets the ownership and base erosion test
<input type="checkbox"/> Tax-exempt pension trust or pension fund	<input type="checkbox"/> Company that meets the derivative benefits test
<input type="checkbox"/> Other tax-exempt organization	<input type="checkbox"/> Company with an item of income that meets active trade or business test
<input type="checkbox"/> Publicly traded corporation	<input type="checkbox"/> Favorable discretionary determination by the U.S. competent authority received
<input type="checkbox"/> Subsidiary of a publicly traded corporation	<input type="checkbox"/> No LOB article in treaty
	<input type="checkbox"/> Other (specify Article and paragraph): _____

**c**  The beneficial owner is claiming treaty benefits for U.S. source dividends received from a foreign corporation or interest from a U.S. trade or business of a foreign corporation and meets qualified resident status (see instructions).

**15** **Special rates and conditions** (if applicable—see instructions):  
 The beneficial owner is claiming the provisions of Article and paragraph \_\_\_\_\_ of the treaty identified on line 14a above to claim a \_\_\_\_\_ % rate of withholding on (specify type of income): \_\_\_\_\_  
 Explain the additional conditions in the Article the beneficial owner meets to be eligible for the rate of withholding: \_\_\_\_\_

**Part IV Sponsored FFI**

**16** Name of sponsoring entity: \_\_\_\_\_

**17** **Check whichever box applies.**

I certify that the entity identified in Part I:

- Is an investment entity;
- Is not a QI, WP (except to the extent permitted in the withholding foreign partnership agreement), or WT; **and**
- Has agreed with the entity identified above (that is not a nonparticipating FFI) to act as the sponsoring entity for this entity.

I certify that the entity identified in Part I:

- Is a controlled foreign corporation as defined in section 957(a);
- Is not a QI, WP, or WT;
- Is wholly owned, directly or indirectly, by the U.S. financial institution identified above that agrees to act as the sponsoring entity for this entity; **and**
- Shares a common electronic account system with the sponsoring entity (identified above) that enables the sponsoring entity to identify all account holders and payees of the entity and to access all account and customer information maintained by the entity including, but not limited to, customer identification information, customer documentation, account balance, and all payments made to account holders or payees.

**Part V Certified Deemed-Compliant Nonregistering Local Bank**18  I certify that the FFI identified in Part I:

- Operates and is licensed solely as a bank or credit union (or similar cooperative credit organization operated without profit) in its country of incorporation or organization;
- Engages primarily in the business of receiving deposits from and making loans to, with respect to a bank, retail customers unrelated to such bank and, with respect to a credit union or similar cooperative credit organization, members, provided that no member has a greater than 5% interest in such credit union or cooperative credit organization;
- Does not solicit account holders outside its country of organization;
- Has no fixed place of business outside such country (for this purpose, a fixed place of business does not include a location that is not advertised to the public and from which the FFI performs solely administrative support functions);
- Has no more than \$175 million in assets on its balance sheet and, if it is a member of an expanded affiliated group, the group has no more than \$500 million in total assets on its consolidated or combined balance sheets; **and**
- Does not have any member of its expanded affiliated group that is a foreign financial institution, other than a foreign financial institution that is incorporated or organized in the same country as the FFI identified in Part I and that meets the requirements set forth in this part.

**Part VI Certified Deemed-Compliant FFI with Only Low-Value Accounts**19  I certify that the FFI identified in Part I:

- Is not engaged primarily in the business of investing, reinvesting, or trading in securities, partnership interests, commodities, notional principal contracts, insurance or annuity contracts, or any interest (including a futures or forward contract or option) in such security, partnership interest, commodity, notional principal contract, insurance contract or annuity contract;
- No financial account maintained by the FFI or any member of its expanded affiliated group, if any, has a balance or value in excess of \$50,000 (as determined after applying applicable account aggregation rules); **and**
- Neither the FFI nor the entire expanded affiliated group, if any, of the FFI, have more than \$50 million in assets on its consolidated or combined balance sheet as of the end of its most recent accounting year.

**Part VII Certified Deemed-Compliant Sponsored, Closely Held Investment Vehicle**

20 Name of sponsoring entity: \_\_\_\_\_

21  I certify that the entity identified in Part I:

- Is an FFI solely because it is an investment entity described in Regulations section 1.1471-5(e)(4);
- Is not a QI, WP, or WT;
- Will have all of its due diligence, withholding, and reporting responsibilities (determined as if the FFI were a participating FFI) fulfilled by the sponsoring entity identified on line 20; **and**
- 20 or fewer individuals own all of the debt and equity interests in the entity (disregarding debt interests owned by U.S. financial institutions, participating FFIs, registered deemed-compliant FFIs, and certified deemed-compliant FFIs and equity interests owned by an entity if that entity owns 100% of the equity interests in the FFI and is itself a sponsored FFI).

**Part VIII Certified Deemed-Compliant Limited Life Debt Investment Entity**22  I certify that the entity identified in Part I:

- Was in existence as of January 17, 2013;
- Issued all classes of its debt or equity interests to investors on or before January 17, 2013, pursuant to a trust indenture or similar agreement; **and**
- Is certified deemed-compliant because it satisfies the requirements to be treated as a limited life debt investment entity (such as the restrictions with respect to its assets and other requirements under Regulations section 1.1471-5(f)(2)(iv)).

**Part IX Certain Investment Entities that Do Not Maintain Financial Accounts**23  I certify that the entity identified in Part I:

- Is a financial institution solely because it is an investment entity described in Regulations section 1.1471-5(e)(4)(i)(A), **and**
- Does not maintain financial accounts.

**Part X Owner-Documented FFI**

**Note:** This status only applies if the U.S. financial institution, participating FFI, or reporting Model 1 FFI to which this form is given has agreed that it will treat the FFI as an owner-documented FFI (see instructions for eligibility requirements). In addition, the FFI must make the certifications below.

24a  (All owner-documented FFIs check here) I certify that the FFI identified in Part I:

- Does not act as an intermediary;
- Does not accept deposits in the ordinary course of a banking or similar business;
- Does not hold, as a substantial portion of its business, financial assets for the account of others;
- Is not an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account;
- Is not owned by or in an expanded affiliated group with an entity that accepts deposits in the ordinary course of a banking or similar business, holds, as a substantial portion of its business, financial assets for the account of others, or is an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account;
- Does not maintain a financial account for any nonparticipating FFI; **and**
- Does not have any specified U.S. persons that own an equity interest or debt interest (other than a debt interest that is not a financial account or that has a balance or value not exceeding \$50,000) in the FFI other than those identified on the FFI owner reporting statement.

**Part X Owner-Documented FFI (continued)****Check box 24b or 24c, whichever applies.**

- b**  I certify that the FFI identified in Part I:
- Has provided, or will provide, an FFI owner reporting statement that contains:
    - (i) The name, address, TIN (if any), chapter 4 status, and type of documentation provided (if required) of every individual and specified U.S. person that owns a direct or indirect equity interest in the owner-documented FFI (looking through all entities other than specified U.S. persons);
    - (ii) The name, address, TIN (if any), and chapter 4 status of every individual and specified U.S. person that owns a debt interest in the owner-documented FFI (including any indirect debt interest, which includes debt interests in any entity that directly or indirectly owns the payee or any direct or indirect equity interest in a debt holder of the payee) that constitutes a financial account in excess of \$50,000 (disregarding all such debt interests owned by participating FFIs, registered deemed-compliant FFIs, certified deemed-compliant FFIs, excepted NFFEs, exempt beneficial owners, or U.S. persons other than specified U.S. persons); **and**
    - (iii) Any additional information the withholding agent requests in order to fulfill its obligations with respect to the entity.
  - Has provided, or will provide, valid documentation meeting the requirements of Regulations section 1.1471-3(d)(6)(iii) for each person identified in the FFI owner reporting statement.
- c**  I certify that the FFI identified in Part I has provided, or will provide, an auditor's letter, signed within 4 years of the date of payment, from an independent accounting firm or legal representative with a location in the United States stating that the firm or representative has reviewed the FFI's documentation with respect to all of its owners and debt holders identified in Regulations section 1.1471-3(d)(6)(iv)(A)(2), and that the FFI meets all the requirements to be an owner-documented FFI. The FFI identified in Part I has also provided, or will provide, an FFI owner reporting statement of its owners that are specified U.S. persons and Form(s) W-9, with applicable waivers.

**Check box 24d if applicable** (optional, see instructions).

- d**  I certify that the entity identified on line 1 is a trust that does not have any contingent beneficiaries or designated classes with unidentified beneficiaries.

**Part XI Restricted Distributor**

- 25a**  (All restricted distributors check here) I certify that the entity identified in Part I:
- Operates as a distributor with respect to debt or equity interests of the restricted fund with respect to which this form is furnished;
  - Provides investment services to at least 30 customers unrelated to each other and less than half of its customers are related to each other;
  - Is required to perform AML due diligence procedures under the anti-money laundering laws of its country of organization (which is an FATF-compliant jurisdiction);
  - Operates solely in its country of incorporation or organization, has no fixed place of business outside of that country, and has the same country of incorporation or organization as all members of its affiliated group, if any;
  - Does not solicit customers outside its country of incorporation or organization;
  - Has no more than \$175 million in total assets under management and no more than \$7 million in gross revenue on its income statement for the most recent accounting year;
  - Is not a member of an expanded affiliated group that has more than \$500 million in total assets under management or more than \$20 million in gross revenue for its most recent accounting year on a combined or consolidated income statement; **and**
  - Does not distribute any debt or securities of the restricted fund to specified U.S. persons, passive NFFEs with one or more substantial U.S. owners, or nonparticipating FFIs.

**Check box 25b or 25c, whichever applies.**

I further certify that with respect to all sales of debt or equity interests in the restricted fund with respect to which this form is furnished that are made after December 31, 2011, the entity identified in Part I:

- b**  Has been bound by a distribution agreement that contained a general prohibition on the sale of debt or securities to U.S. entities and U.S. resident individuals and is currently bound by a distribution agreement that contains a prohibition of the sale of debt or securities to any specified U.S. person, passive NFFE with one or more substantial U.S. owners, or nonparticipating FFI.
- c**  Is currently bound by a distribution agreement that contains a prohibition on the sale of debt or securities to any specified U.S. person, passive NFFE with one or more substantial U.S. owners, or nonparticipating FFI and, for all sales made prior to the time that such a restriction was included in its distribution agreement, has reviewed all accounts related to such sales in accordance with the procedures identified in Regulations section 1.1471-4(c) applicable to preexisting accounts and has redeemed or retired any, or caused the restricted fund to transfer the securities to a distributor that is a participating FFI or reporting Model 1 FFI securities which were sold to specified U.S. persons, passive NFFEs with one or more substantial U.S. owners, or nonparticipating FFIs.

**Part XII Nonreporting IGA FFI**

- 26**  I certify that the entity identified in Part I:
- Meets the requirements to be considered a nonreporting financial institution pursuant to an applicable IGA between the United States and \_\_\_\_\_ . The applicable IGA is a  Model 1 IGA or a  Model 2 IGA; and is treated as a \_\_\_\_\_ under the provisions of the applicable IGA or Treasury regulations (if applicable, see instructions);
  - If you are a trustee documented trust or a sponsored entity, provide the name of the trustee or sponsor \_\_\_\_\_ .  
The trustee is:  U.S.  Foreign

**Part XIII Foreign Government, Government of a U.S. Possession, or Foreign Central Bank of Issue**

- 27**  I certify that the entity identified in Part I is the beneficial owner of the payment, and is not engaged in commercial financial activities of a type engaged in by an insurance company, custodial institution, or depository institution with respect to the payments, accounts, or obligations for which this form is submitted (except as permitted in Regulations section 1.1471-6(h)(2)).

**Part XIV International Organization**

**Check box 28a or 28b, whichever applies.**

- 28a**  I certify that the entity identified in Part I is an international organization described in section 7701(a)(18).
- b**  I certify that the entity identified in Part I:
- Is comprised primarily of foreign governments;
  - Is recognized as an intergovernmental or supranational organization under a foreign law similar to the International Organizations Immunities Act or that has in effect a headquarters agreement with a foreign government;
  - The benefit of the entity's income does not inure to any private person; **and**
  - Is the beneficial owner of the payment and is not engaged in commercial financial activities of a type engaged in by an insurance company, custodial institution, or depository institution with respect to the payments, accounts, or obligations for which this form is submitted (except as permitted in Regulations section 1.1471-6(h)(2)).

**Part XV Exempt Retirement Plans**

**Check box 29a, b, c, d, e, or f, whichever applies.**

- 29a**  I certify that the entity identified in Part I:
- Is established in a country with which the United States has an income tax treaty in force (see Part III if claiming treaty benefits);
  - Is operated principally to administer or provide pension or retirement benefits; **and**
  - Is entitled to treaty benefits on income that the fund derives from U.S. sources (or would be entitled to benefits if it derived any such income) as a resident of the other country which satisfies any applicable limitation on benefits requirement.
- b**  I certify that the entity identified in Part I:
- Is organized for the provision of retirement, disability, or death benefits (or any combination thereof) to beneficiaries that are former employees of one or more employers in consideration for services rendered;
  - No single beneficiary has a right to more than 5% of the FFI's assets;
  - Is subject to government regulation and provides annual information reporting about its beneficiaries to the relevant tax authorities in the country in which the fund is established or operated; **and**
    - (i) Is generally exempt from tax on investment income under the laws of the country in which it is established or operates due to its status as a retirement or pension plan;
    - (ii) Receives at least 50% of its total contributions from sponsoring employers (disregarding transfers of assets from other plans described in this part, retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, other retirement funds described in an applicable Model 1 or Model 2 IGA, or accounts described in Regulations section 1.1471-5(b)(2)(i)(A));
    - (iii) Either does not permit or penalizes distributions or withdrawals made before the occurrence of specified events related to retirement, disability, or death (except rollover distributions to accounts described in Regulations section 1.1471-5(b)(2)(i)(A) (referring to retirement and pension accounts), to retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, or to other retirement funds described in this part or in an applicable Model 1 or Model 2 IGA); **or**
    - (iv) Limits contributions by employees to the fund by reference to earned income of the employee or may not exceed \$50,000 annually.
- c**  I certify that the entity identified in Part I:
- Is organized for the provision of retirement, disability, or death benefits (or any combination thereof) to beneficiaries that are former employees of one or more employers in consideration for services rendered;
  - Has fewer than 50 participants;
  - Is sponsored by one or more employers each of which is not an investment entity or passive NFFE;
  - Employee and employer contributions to the fund (disregarding transfers of assets from other plans described in this part, retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, or accounts described in Regulations section 1.1471-5(b)(2)(i)(A)) are limited by reference to earned income and compensation of the employee, respectively;
  - Participants that are not residents of the country in which the fund is established or operated are not entitled to more than 20% of the fund's assets; **and**
  - Is subject to government regulation and provides annual information reporting about its beneficiaries to the relevant tax authorities in the country in which the fund is established or operates.



**Part XV Exempt Retirement Plans (continued)**

- d  I certify that the entity identified in Part I is formed pursuant to a pension plan that would meet the requirements of section 401(a), other than the requirement that the plan be funded by a trust created or organized in the United States.
- e  I certify that the entity identified in Part I is established exclusively to earn income for the benefit of one or more retirement funds described in this part or in an applicable Model 1 or Model 2 IGA, or accounts described in Regulations section 1.1471-5(b)(2)(i)(A) (referring to retirement and pension accounts), or retirement and pension accounts described in an applicable Model 1 or Model 2 IGA.
- f  I certify that the entity identified in Part I:
- Is established and sponsored by a foreign government, international organization, central bank of issue, or government of a U.S. possession (each as defined in Regulations section 1.1471-6) or an exempt beneficial owner described in an applicable Model 1 or Model 2 IGA to provide retirement, disability, or death benefits to beneficiaries or participants that are current or former employees of the sponsor (or persons designated by such employees); **or**
  - Is established and sponsored by a foreign government, international organization, central bank of issue, or government of a U.S. possession (each as defined in Regulations section 1.1471-6) or an exempt beneficial owner described in an applicable Model 1 or Model 2 IGA to provide retirement, disability, or death benefits to beneficiaries or participants that are not current or former employees of such sponsor, but are in consideration of personal services performed for the sponsor.

**Part XVI Entity Wholly Owned by Exempt Beneficial Owners**

- 30  I certify that the entity identified in Part I:
- Is an FFI solely because it is an investment entity;
  - Each direct holder of an equity interest in the investment entity is an exempt beneficial owner described in Regulations section 1.1471-6 or in an applicable Model 1 or Model 2 IGA;
  - Each direct holder of a debt interest in the investment entity is either a depository institution (with respect to a loan made to such entity) or an exempt beneficial owner described in Regulations section 1.1471-6 or an applicable Model 1 or Model 2 IGA.
  - Has provided an owner reporting statement that contains the name, address, TIN (if any), chapter 4 status, and a description of the type of documentation provided to the withholding agent for every person that owns a debt interest constituting a financial account or direct equity interest in the entity; **and**
  - Has provided documentation establishing that every owner of the entity is an entity described in Regulations section 1.1471-6(b), (c), (d), (e), (f) and/or (g) without regard to whether such owners are beneficial owners.

**Part XVII Territory Financial Institution**

- 31  I certify that the entity identified in Part I is a financial institution (other than an investment entity) that is incorporated or organized under the laws of a possession of the United States.

**Part XVIII Excepted Nonfinancial Group Entity**

- 32  I certify that the entity identified in Part I:
- Is a holding company, treasury center, or captive finance company and substantially all of the entity's activities are functions described in Regulations section 1.1471-5(e)(5)(i)(C) through (E);
  - Is a member of a nonfinancial group described in Regulations section 1.1471-5(e)(5)(i)(B);
  - Is not a depository or custodial institution (other than for members of the entity's expanded affiliated group); **and**
  - Does not function (or hold itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle with an investment strategy to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes.

**Part XIX Excepted Nonfinancial Start-Up Company**

- 33  I certify that the entity identified in Part I:
- Was formed on (or, in the case of a new line of business, the date of board resolution approving the new line of business) \_\_\_\_\_ (date must be less than 24 months prior to date of payment);
  - Is not yet operating a business and has no prior operating history or is investing capital in assets with the intent to operate a new line of business other than that of a financial institution or passive NFFE;
  - Is investing capital into assets with the intent to operate a business other than that of a financial institution; **and**
  - Does not function (or hold itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes.

**Part XX Excepted Nonfinancial Entity in Liquidation or Bankruptcy**

- 34  I certify that the entity identified in Part I:
- Filed a plan of liquidation, filed a plan of reorganization, or filed for bankruptcy on \_\_\_\_\_;
  - During the past 5 years has not been engaged in business as a financial institution or acted as a passive NFFE;
  - Is either liquidating or emerging from a reorganization or bankruptcy with the intent to continue or recommence operations as a nonfinancial entity; **and**
  - Has, or will provide, documentary evidence such as a bankruptcy filing or other public documentation that supports its claim if it remains in bankruptcy or liquidation for more than 3 years.

**Part XXI 501(c) Organization**

35  I certify that the entity identified in Part I is a 501(c) organization that:

- Has been issued a determination letter from the IRS that is currently in effect concluding that the payee is a section 501(c) organization that is dated \_\_\_\_\_; **or**
- Has provided a copy of an opinion from U.S. counsel certifying that the payee is a section 501(c) organization (without regard to whether the payee is a foreign private foundation).

**Part XXII Nonprofit Organization**

36  I certify that the entity identified in Part I is a nonprofit organization that meets the following requirements.

- The entity is established and maintained in its country of residence exclusively for religious, charitable, scientific, artistic, cultural or educational purposes;
- The entity is exempt from income tax in its country of residence;
- The entity has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
- Neither the applicable laws of the entity's country of residence nor the entity's formation documents permit any income or assets of the entity to be distributed to, or applied for the benefit of, a private person or noncharitable entity other than pursuant to the conduct of the entity's charitable activities or as payment of reasonable compensation for services rendered or payment representing the fair market value of property which the entity has purchased; **and**
- The applicable laws of the entity's country of residence or the entity's formation documents require that, upon the entity's liquidation or dissolution, all of its assets be distributed to an entity that is a foreign government, an integral part of a foreign government, a controlled entity of a foreign government, or another organization that is described in this part or escheats to the government of the entity's country of residence or any political subdivision thereof.

**Part XXIII Publicly Traded NFFE or NFFE Affiliate of a Publicly Traded Corporation**

Check box 37a or 37b, whichever applies.

37a  I certify that:

- The entity identified in Part I is a foreign corporation that is not a financial institution; **and**
- The stock of such corporation is regularly traded on one or more established securities markets, including \_\_\_\_\_ (name one securities exchange upon which the stock is regularly traded).

b  I certify that:

- The entity identified in Part I is a foreign corporation that is not a financial institution;
- The entity identified in Part I is a member of the same expanded affiliated group as an entity the stock of which is regularly traded on an established securities market;
- The name of the entity, the stock of which is regularly traded on an established securities market, is \_\_\_\_\_; **and**
- The name of the securities market on which the stock is regularly traded is \_\_\_\_\_.

**Part XXIV Excepted Territory NFFE**

38  I certify that:

- The entity identified in Part I is an entity that is organized in a possession of the United States;
- The entity identified in Part I:
  - (i) Does not accept deposits in the ordinary course of a banking or similar business;
  - (ii) Does not hold, as a substantial portion of its business, financial assets for the account of others; **or**
  - (iii) Is not an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account; **and**
- All of the owners of the entity identified in Part I are bona fide residents of the possession in which the NFFE is organized or incorporated.

**Part XXV Active NFFE**

39  I certify that:

- The entity identified in Part I is a foreign entity that is not a financial institution;
- Less than 50% of such entity's gross income for the preceding calendar year is passive income; **and**
- Less than 50% of the assets held by such entity are assets that produce or are held for the production of passive income (calculated as a weighted average of the percentage of passive assets measured quarterly) (see instructions for the definition of passive income).

**Part XXVI Passive NFFE**

40a  I certify that the entity identified in Part I is a foreign entity that is not a financial institution (other than an investment entity organized in a possession of the United States) and is not certifying its status as a publicly traded NFFE (or affiliate), excepted territory NFFE, active NFFE, direct reporting NFFE, or sponsored direct reporting NFFE.

Check box 40b or 40c, whichever applies.

b  I further certify that the entity identified in Part I has no substantial U.S. owners (or, if applicable, no controlling U.S. persons); **or**

c  I further certify that the entity identified in Part I has provided the name, address, and TIN of each substantial U.S. owner (or, if applicable, controlling U.S. person) of the NFFE in Part XXIX.

**Part XXVII Excepted Inter-Affiliate FFI**

**41**  I certify that the entity identified in Part I:

- Is a member of an expanded affiliated group;
- Does not maintain financial accounts (other than accounts maintained for members of its expanded affiliated group);
- Does not make withholdable payments to any person other than to members of its expanded affiliated group;
- Does not hold an account (other than depository accounts in the country in which the entity is operating to pay for expenses) with or receive payments from any withholding agent other than a member of its expanded affiliated group; **and**
- Has not agreed to report under Regulations section 1.1471-4(d)(2)(ii)(C) or otherwise act as an agent for chapter 4 purposes on behalf of any financial institution, including a member of its expanded affiliated group.

**Part XXVIII Sponsored Direct Reporting NFFE (see instructions for when this is permitted)**

**42** Name of sponsoring entity: \_\_\_\_\_

**43**  I certify that the entity identified in Part I is a direct reporting NFFE that is sponsored by the entity identified on line 42.

**Part XXIX Substantial U.S. Owners of Passive NFFE**

As required by Part XXVI, provide the name, address, and TIN of each substantial U.S. owner of the NFFE. Please see the instructions for a definition of substantial U.S. owner. If providing the form to an FFI treated as a reporting Model 1 FFI or reporting Model 2 FFI, an NFFE may also use this part for reporting its controlling U.S. persons under an applicable IGA.

Name	Address	TIN

**Part XXX Certification**

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

- The entity identified on line 1 of this form is the beneficial owner of all the income or proceeds to which this form relates, is using this form to certify its status for chapter 4 purposes, or is submitting this form for purposes of section 6050W or 6050Y;
- The entity identified on line 1 of this form is not a U.S. person;
- This form relates to: (a) income not effectively connected with the conduct of a trade or business in the United States, (b) income effectively connected with the conduct of a trade or business in the United States but is not subject to tax under an income tax treaty, (c) the partner's share of a partnership's effectively connected taxable income, or (d) the partner's amount realized from the transfer of a partnership interest subject to withholding under section 1446(f); **and**
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which the entity on line 1 is the beneficial owner or any withholding agent that can disburse or make payments of the income of which the entity on line 1 is the beneficial owner.

I agree that I will submit a new form within 30 days if any certification on this form becomes incorrect.

I certify that I have the capacity to sign for the entity identified on line 1 of this form.

**Sign Here**



\_\_\_\_\_  
Signature of individual authorized to sign for beneficial owner

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Date (MM-DD-YYYY)



(只適用於開立期貨戶口)

親愛的客戶,

### 關於：期貨現貨交收

客戶有責任清楚瞭解期貨合約內訂明的平倉到期日，避免因保留長倉或短倉過期而變為現貨交收。倘

若客戶于平倉到期日前未能平倉或轉倉，弘業國際金融控股有限公司有權在第一通知日或最後交易日前的第一個工作日（以兩者中較早日為先），採取以下行動：

- 1，平倉並通知客戶已平倉之交易細節；或
- 2，轉倉到下一個有效月份，並通知客戶有關交易細節。

上述程式僅為協助客戶之用，弘業國際金融或其聯繫者不應因此而負上任何責

任。客戶簽署此文件以確認並同意如下：

- 1，客戶對其期貨持倉及其任何相關行動，須完全負責，並遵守與本公司所簽署的“客戶協議書”內的條文。
- 2，客戶同意就弘業國際金融因採取上述行動而承受之損失向弘業國際金融賠償。
- 3，客戶須完全負責因未能履行或接受相關商品的交收而導致的任何費用。

\_\_\_\_\_  
客戶帳號：

\_\_\_\_\_  
客戶簽署： 客戶

\_\_\_\_\_  
名稱：

\_\_\_\_\_  
日期（日/月/年）

(只適用於開立期貨戶口)

親愛的客戶，

## 關於：倫敦金屬類期貨（LME）注意事項

### 一、到期說明

LME 電子盤交易的是三月連續標準合約（*3M Contract*），即到期日是開倉日往後推三個月。例如開倉日為一月一日，則到期日為四月一日。若三個月後的當天恰逢非交易日，則以最近交易日原則提前或者順延到期日。請注意。具體的到期日期以我司結算單為準。

### 二、對沖平倉的處理

- 1.若客戶買賣相同數量的到期日相同的 LME 合約，則倉位將會被自動對沖平倉處理。
- 2.若客戶買賣的相同品種 LME 合約到期日不同，則相關倉位將不會被對沖，而是以對鎖的形式存在。客戶如果希望對沖倉位進行平倉，須電話至我公司交易盤房做出調期指示，告知制定調期的期貨合約的具體到期日、數量、價格及調期費用的特別指示（例如鎖定平倉、調期價格等）。
- 3.對沖不同到期日合約進行調期的過程中會產生一筆調期費用，該費用完全由市場決定，主要取決於升貼水的差價，可能對客戶有利也可能對客戶不利，須由客戶自行承擔。

### 三、調期手續費的說明

- 1.如當天成交后直接調期，不收取調期手續費。
- 2.如未在成交當天調期，但需調期的一組合約的到期日之間相差在 14 天（包括 14 天）以下，無論何時調期，均不收取手續費。
- 3.如未在成交當日調期，且需調期的一組合約的到期日之間相差在 14 天以上，將收取單邊手續費（成交價格以遠月合約計）。

### 四、LME 的結算特點

LME 實行的是合約到期結算，客戶帳戶內已平倉而未到期的盈利部份，可以用於沖抵客戶保證金進行開倉，但直到合約到期日當天結算過後方可提取該盈利部份。

### 五、LME 合約交割

LME 所有合約均可交割，但是客戶需提前至少一周告知，若客戶無需交割則必須合約到期日前兩個工作日進行對沖平倉，否則我司有權對客戶帳戶進行處理，以免進入交割流程，由此產生的風險及費用由客戶自行承擔。

### 六、電子交易風險披露

如果客戶通過電子服務進行買賣，客戶便須承擔電子服務系統帶來的風險。請仔細閱讀《衍生工具交易客戶協議書》中有《電子服務說明》的內容，並接受該協議書約束。若客戶在交易時段中遇到緊急問題，請及時撥打弘業國際金融的交易熱線 852-22493408 或服務熱線 852-22493411

### 七、免責聲明

客戶須詳細瞭解 LME 的交易規則和可能產生的風險和費用，如因以上材料中有不準確或遺漏導致客戶損失或損害，弘業國際金融不承擔任何責任。

\_\_\_\_\_  
客戶帳號：

\_\_\_\_\_  
客戶簽署：

\_\_\_\_\_  
客戶名稱：

\_\_\_\_\_  
日期（日/月/年）

## 打擊洗錢及恐怖分子資金籌集風險問卷（公司）

客戶姓名：\_\_\_\_\_公司註冊證號碼：\_\_\_\_\_

商業登記證號碼：\_\_\_\_\_ 經辦人姓名：\_\_\_\_\_ 日期：\_\_\_\_\_

請選擇問題的適當答案

1. 申請人及關聯公司是否常駐於洗錢相關的高危國家？（請參閱說明一）  
（ ）否（ ）是，請說明：
2. 申請人的管理者/擁有者是否國內或國外的政治人物？（請參閱說明二）  
（ ）否（ ）是，請說明：
3. 申請人的管理者/擁有者是否認識國內或國外的政治人物並有密切往來？（請參閱說明表二）  
（ ）否（ ）是，請說明：
4. 申請人的管理者/擁有者是否在國內或其他國家擔任或曾經擔任重要公職？  
（ ）否（ ）是，請說明：
5. 是否曾在多間金融機構之間進行頻密交易？（請參閱說明三）  
（ ）否（ ）是，請說明：
6. 是否曾經替有可疑身份的人士下達過交易指令？（請參閱說明四）  
（ ）否（ ）是，請說明：
7. 是否曾與無關連或難以核實的第三者有頻密的資金調撥或財產轉移？（請參閱說明五）  
（ ）否（ ）是，請說明：
8. 是否參與過早已安排或者其他非競價的交易買賣？（請參閱說明六）  
（ ）否（ ）是，請說明：
9. 是否曾在高危國家進行交易或者進行頻密的資金調撥？（請參閱說明一）  
（ ）否（ ）是，請說明：
10. 申請人的經營範圍是否與現金密集型的業務有關連（例如：賭場、貨幣兌換）？  
（ ）否（ ）是，請說明：

聲明：

本公司聲明知悉以上問題含義及附表所註釋之內容，並已就本公司真實情況進行作答。

客戶名稱：

客戶簽署：

日期：

風險評估結果：

高風險：如果上述問題有 7-10 條“是”的答案，風險評估將為“高”。

中風險：如果上述問題有 4-6 條“是”的答案，風險評估將為“中”。

低風險：如果上述問題有 0-3 條“是”的答案，風險評估將為“低”。

風險級別：高風險/中風險/低風險（請選擇）

內部評估適用（請刪除不適用者）

由負責人員審核上述資料

本公司經已審核開戶人所填報的風險問卷並做出風險評估，確定風險程度為高/中/低，需要/無須進一步調查。

負責人員姓名：

負責人員簽署：

日期：

<說明一>

安地卡及巴布達、亞塞拜疆、玻利維亞、希臘、印尼、肯亞、緬甸、摩洛哥、尼泊爾、奈及利亞、巴拉圭、斯裡蘭卡、蘇丹、敘利亞、特立尼達和多巴哥、泰國、土耳其、烏克蘭、葉門、朝鮮、烏茲別克斯坦、土庫曼斯坦、巴基斯坦、古巴、衣索比亞、加納、巴基斯坦、聖多美與普林西比、坦桑尼亞。

<說明二>

打擊洗錢條例將政治人物界定為：

- (a) 在中華人民共和國地方單人或曾擔任重要公職的個人
  - (i) 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及重要政黨幹事；
  - (ii) 但不包括第 (i) 節所述的任何類別的中級或更低級別官員
- (b) 上文 (a) 段所指的個人配偶、伴侶、子女或父母、或該名個人的子女的配偶或伴侶；或
- (c) 與 (a) 段所指的個人關係密切的人，包括屬法人或信託的受益擁有人的個人，而 (a) 段所述的人亦是該法人或信託的實益擁有人，或該人是屬法人或信託的實益擁有人的個人，而該法人或信託是為 (a) 段所述某人的利益而成立的。

<說明三>

每日交易次數超過 300 次。

<說明四>

恐怖組織、嫌疑犯、通緝犯。

<說明五>

每日資金調動超過 10 次或以上或者平均每月資金調動超過 100 次或以上。

<說明六>

通過在場外交易對手協商買賣價格達成的交易。

## 附件 4 之附錄 A：非專業人員自我證明書

(只適用於開立期貨戶口)

您（“訂閱人”）從 CME（芝加哥商品交易所）授予的許可下的經銷商（“經銷商”）處獲得 CME 和其他協力廠商的市場資料（“市場資料”）。根據訂閱人的資格條件，可能會降低就 CME 和其他協力廠商的市場資料向訂閱人收取市場資料費的標準。為了符合降低收費標準的資格條件，訂閱人必須被視為“非專業人員”。

**非專業人員**是指並包括獲得和使用市場資料（不包括任何場內交易資料）並受到下列限制的(i)自然人訂閱人，或(ii) 某些小型商業實體（有限責任公司、合夥、信託或法人）：

### 非專業訂閱人

- (a) 訂閱人必須擁有一個活躍的期貨交易帳戶；
- (b) 訂閱人不得是任何交易所的會員（亦不得擁有或租用任何交易所的任何一類會員資格）；
- (c) 訂閱人的主要業務經營目的並不涉及交易；
- (d) 訂閱人不得是在任何證券交易所、商品交易所、期貨交易所、合約市場或者任何監管機構、專業協會或經認可的專業機構登記或獲得資格認證的專業交易員或投資顧問；並且
- (e) 訂閱人不得隸屬於任何屬於或被視為屬於專業使用者的實體；以及

### 非專業訂閱人對市場資料的使用

- (f) 訂閱人僅可將市場資料用於訂閱人的個人非商業用途；
- (g) 訂閱人使用市場資料的目的必須以管理訂閱人的自有財產為限，而且，為避免疑義，其不得以任何身份將市場資料用於管理任何協力廠商的任何財產，而不論是以本人的身份、任何企業的高級職員、合夥人、雇員或代理人的身份還是作為任何其他個人之代表的身份行事，亦不論是否為此收取任何報酬；並且
- (h) 訂閱人不得代表從事經紀、銀行、投資或金融活動的機構行事；以及

### 非專業訂閱人對市場資料的獲取

- (i) 訂閱人從每一經銷商處獲取市場資料的管道不得超過兩（2）條；並且
- (j) 訂閱人只能在能將訂單傳送到 CME Globex 平臺的設備（“訂單傳送設備”）上流覽市場資料。

不符合非專業人員的資格條件或者屬於下述類型的任何訂閱人，均應被視為專業人



員。不管本檔中有何其他規定，專業人員包括但不限於：

- 向任何協力廠商提供金融或類似服務的任何人或實體。
- 在任何證券交易所、商品交易所、期貨交易所、合約市場或者任何監管機構、專業協會或經認可的專業機構登記或獲得資格認證為專業交易員或投資顧問的任何人。
- 代表從事經紀、銀行、投資或金融活動的機構行事的任何人或實體。
- 在 CME 集團的任何指定合約市場（“DCM”）或任何其他交易所擁有任何形式的會員資格的任何人，或者擁有此等會員資格的某一實體的任何雇員。

不管本檔中有何規定，在各種情況下，CME 均保留對某一訂閱人是否專業人員還是專業人員作出最終認定的權利。CME 保留隨時修訂本政策或者終止對非專業人員降低收費標準的做法的權利。

符合非專業人員的資格條件的訂閱人應在下方簽字，然後將本自我證明書交還給經銷商。請注意，本證明書可能要由經銷商審批。如果訂閱人不再符合非專業人員的資格條件，則其必須在合理可行的範圍內儘快通知經銷商。

本人特此證明，按照本檔中所作的界定，本人符合非專業人員的資格條件。

### 訂閱人

簽名：\_\_\_\_\_

姓名：\_\_\_\_\_

日期：\_\_\_\_\_

## 附件 7：市場資料訂閱協定

(只適用於開立期貨戶口)

本市場資料訂閱協定由\_\_\_\_\_ (“經銷商”) 和 \_\_\_\_\_ (“貴方”或“訂閱者”) 於\_\_\_\_\_ (“生效日期”) 簽訂。本市場資料訂閱協定允許貴方按照本市場資料訂閱協定 (“本協定”) 的下列條款和條件存取、接收和使用某些市場資料 (定義見下文)。本協定管轄貴方為接收和使用市場資料而進行的存取，並構成經銷商與訂閱者 (經銷商和訂閱者各自稱為“一方”，合稱為“雙方”) 之間具有法律約束力的協議。

### 1. 定義

“設備”指以可視、可聽或者其他可理解的形式接收、存取或顯示市場資料的任何一台設備，而不論是固定的還是可攜式的。

“不可抗力事件”指任何水災、反常的天氣狀況、地震或其他天災、火災、戰爭、恐怖主義行動、暴動、暴亂、勞資糾紛、意外事故、政府行為、通訊或電力中斷、設備或軟體故障。

“人”指任何自然人、獨資企業、公司、合夥、有限責任公司或其他組織。

“市場資料”指與上市和場外衍生品合約 (包括但不限於掉期和期貨)、期權合約或者類似衍生工具有關的資訊和資料以及指數資料和分析資料。市場資料可以包括但不限於開盤價和收市價、最高價和最低價、結算價、現時買入價和賣出價、未平倉合約資訊、最後出售價格、價格限制、報價要求、定盤價、資料曲線、預計和實際成交量資料、合約明細表以及快消息或慢消息。就訂閱者在本協議項下的義務而言，市場資料還包括向訂閱者傳遞與市場資料實質相當的資訊的資訊、資料和素材。

“場外市場資料”指與場外衍生品合約有關的市場資料。

### 2. 市場資料的專有權

2.1 訂閱者認知並同意，芝加哥商品交易所及其關聯方 (“CME”或“芝加哥交易所”) 對市場資料擁有排他性的寶貴產權 (或者，在第三方內容提供者通過 CME 作出資料使用許可的情況下，該第三方內容提供者對之擁有排他性的寶貴產權)，以至於該等市場資料構成芝加哥交易所的寶貴保密資訊、商業秘密和/或專有權利，而不處於公有領域，而且，該等市場資料將仍屬於芝加哥交易所的寶貴保密資訊、商業秘密和/或專有權利，若不是有本協議的存在，訂閱者不會對該等市場資料享有任何權利或存取機會。

2.2 訂閱者認知並同意，任何市場資料的披露，或者違反或威脅違反本協議中的任何其他契諾或同意的任何情形，均會給芝加哥交易所造成不可彌補的損害，對於此種損害，金錢賠償屬於不充分的救濟。因此，訂閱者進一步認知並同意，除了和不限於可能獲得的任何其他法定或衡平救濟，對於違反或威脅違反本協議的任何規定、要求或約定的情形 (包

括但不限於披露或威脅披露市場資料的任何情形），芝加哥交易所還有權獲得特定履行、禁制令救濟以及其他衡平救濟。

### 3. 訂閱者接收市場資料

3.1 本協議規定了訂閱者可以使用市場資料的條款和條件。訂閱者認知，不管有任何協議，CME 或經銷商均可自行酌情決定，停止傳播市場資料，或者改變或消除其自己的傳輸方法、速度或信號特徵。此外，訂閱者還認知並同意，經銷商或芝加哥交易所保留其不批准任何訂閱者以及因故或無故終止任何訂閱者對市場資料的接收的權利。

3.2 (i)除下文第 3.2(iii)條規定之外，訂閱者僅可將市場資料用於其自身的內部業務活動（內部業務活動應將子公司和關聯方排除在外），而且只在訂閱者不時以書面形式向經銷商和芝加哥交易所指定的辦公場所、地點和設備上使用。（在前句中使用時，“其自身的內部業務活動”一詞是指認購者(a)是為其自身或其客戶的利益而進行交易，(b)為了其自身的內部業務決策而進行評估，或(c)就衍生工具市場的動態或趨勢向其客戶提供諮詢意見，但上述活動均受本條下文中對用電話向客戶披露必要和微不足道的細分市場資料所規定的所有限制的約束。）

(ii)訂閱者同意，其不會且不允許他人以任何格式向任何其他方或者上述指定辦公場所或地點以外的任何辦公場所或地點傳遞或以其他方式提供市場資料，亦不得允許任何其他方直接或間接從該等辦公場所或地點拿走任何市場資料，並且將採用和強制執行對防止市場資料被從中拿走的目的而言屬於合理的任何政策。訂閱者特別同意，在不限或變更其在第 7 條或本協議其他條款項下的義務的同時，訂閱者自己不得亦不得允許他人將任何市場資料用於下列任何目的：(a)創制基於或者源於市場資料的衍生資料產品，(b)確定或得出在芝加哥交易所以外的任何其他交易所交易的衍生品合約、衍生品合約期權或者類似的衍生工具的任何價格（包括任何結算價），及(c)用於將在外傳播、公佈或以其他方式使用的任何衍生作品。訂閱者將遵守芝加哥交易所不時對該等使用規定的任何其他限制。訂閱者將盡最大努力，確保其合夥人、高級職員、董事、雇員和代理人保持對通過訂閱者所持有的設備而收到的市場資料的獨自控制、獨自實際佔有和獨自存取。

(iii)儘管有上文第 3.2 條第(i)款和第(ii)款的規定，訂閱者可以在其正常經營業務的過程中，偶爾向其每一客戶和分支機構提供微不足道的細分市場資料，其數量應以為使訂閱者能夠進行其業務所需的為限，而且前提條件是該等市場資料不含任何場外市場資料。上述的再傳播必須嚴格限於不涉及使用電腦語音合成或任何其他技術的電話通訊，並且必須完全與訂閱者或任何該等接收方的交易活動相關。訂閱者應告知任何該等接收方，上述細分市場資料乃是不得向其他人或實體披露或傳播的專有和保密資訊。訂閱者同意盡一切合理的努力，確保該等接收方遵守本協議的規定。

(iv)訂閱者將盡最大努力，確保不允許市場資料有任何未經授權的傳播。

## 4.報告

訂閱者同意及時向經銷商、CME 及其各自的關聯方或代理人提交經銷商或 CME 不時要求提交的與訂閱者接收市場資料合理有關的任何資訊或報告。

## 5.檢查和審計的權利

5.1 在正常營業時間內，經銷商或芝加哥交易所指定的任何人可以進入訂閱者的辦公場所或地點，以觀察市場資料的使用情況，審查、檢查任何設備、附件或裝置以及訂閱者在第 3.2 條和第 4 條項下需就其接收和使用市場資料的情況而維持的任何帳簿和記錄。

5.2 如果在審計中發現，對訂閱者的市場資料用量存在少報的現象，訂閱者將作出及時的調整（包括按每月 1½% 的利率支付的利息），以對經銷商和芝加哥交易所作出補償。此外，依照交易所的選擇，訂閱者將有責任承擔其結果顯示與實際應付給芝加哥交易所的費用金額存在對芝加哥交易所利差的差異而且差異達到百分之五(5%)或以上的任何審計的合理費用。

5.3 對於作為其報告依據的記錄和帳簿，訂閱者應在該等記錄和帳簿所涉及的期間之後將其保存三(3)年。如果訂閱者未按上述要求保存該等記錄和帳簿，則訂閱者同意向芝加哥交易所支付經過上述任何審計而發現的任何差異的合理估計額。

## 6.市場資料費

訂閱者將按照屆時實行的收費標準，就其接收市場資料的權利向經銷商支付費用。市場資料費可由經銷商隨時作出變更，而無需事先通知訂閱者。

## 7.訂閱者的契諾、陳述和保證

7.1 訂閱者作出契諾、陳述和保證，其不從事經銷市場資料的業務，而且，在經合理調查後據其所知，其是按照本協議項下的授權接收市場資料。

7.2 訂閱者同意，其不會將市場資料用於任何非法目的，而且也不會允許任何其他人將市場資料用於任何非法目的。

7.3 訂閱者同意，其不會以與經銷商或芝加哥交易所競爭的任何方式使用市場資料，亦不會以協助或允許第三方與經銷商或芝加哥交易所競爭的任何方式使用市場資料。

7.4 訂閱者同意，在本協定項下提供市場資料的前提條件是訂閱者嚴格遵守本協議的條款，而且，在經銷商或芝加哥交易所自行判斷訂閱者存在不履行或違反本協議規定的任何情形時，其可立即停止上述服務，而不論是否發出通知，亦不論是否有正當理由。

7.5 訂閱者進一步陳述和保證：(i)其擁有簽署和履行本協議的一切必要權力和授權；(ii)本協議對訂閱者是合法、有效、具有約束力並可強制執行的；(iii)訂閱者簽署或履行本協議，均不違反而且也將不會違反對經銷商或芝加哥交易所具有約束力或者對其適用的任何法律、規則、法規、命令或者任何協議、文件或文據；以及(iv)其對市場資料的存取和使用將符合一切適用的聯邦、州和地方法律、法規以及條約。

## 8. 免責聲明

市場資料是在不帶有任何種類的保證的情況下在“現有”的基礎上按“現狀”提供的，而且訂閱者亦同意市場資料是如此提供的。訂閱者同意，經銷商及其關聯方、芝加哥交易所及其關聯方、前述各方的任何成員、董事、高級職員、雇員或代理人以及芝加哥交易所的任何特許人均未就市場資料或其傳輸、及時性、準確性或完整性作出任何不論是明示還是默示的陳述或保證，包括但不限於任何默示保證或者對於適銷性、品質、對特定目的或用途的適用性或者不侵權的任何保證，以及在法令或其他法律項下產生的保證或者因任何交易過程或行業慣例而產生的保證。

## 9. 責任和損害賠償的限制

9.1 訂閱者同意，經銷商及其關聯方、芝加哥交易所及其關聯方、前述各方的任何成員、董事、高級職員、雇員或代理人以及芝加哥交易所的任何特許人：

- (i) 並不保證市場資料的順序、準確性或完整性，而且，其中任何人均不就市場資料或其傳輸的任何延遲、不準確、錯誤或遺漏或者因訂閱者接收或使用市場資料而產生的任何其他損害對訂閱者或任何其他他人承擔責任，而不論該損害是否由其本身的疏忽、不可抗力事件或者任何其他原因導致的。
- (ii) 不會就因本協定及其項下的市場資料而產生的或者與之有關的任何損失、責任或其他損害（不論是直接的、間接的還是後果性的）對訂閱者或者任何其他他人或實體承擔責任，包括但不限於：
  - (a) 市場資料的交付、位置或市場資料本身的任何不準確、不完整、延遲、中斷、錯誤或遺漏；或
  - (b) 訂閱者、其客戶或任何其他實體或者前述各方的任何關聯方、董事、高級職員、雇員或代理人作出的任何決定或者採取或沒有採取的任何行動。
  - (c) 營業收入的損失、利潤損失或者任何懲罰性的、間接的、後果性的、特定的或者任何類似的損害賠償，而不論是合同方面的、侵權方面的還是其他方面的，即使已被告知發生該等損害賠償的可能性。

9.2 訂閱者明確知悉，經銷商、芝加哥交易所及其關聯方未就本協定和市場資料對訂閱者或任何第三方作出任何明示或默示的保證，其中包括但不限於：(i)對於市場資料的及時性、順序、準確性、完整性、現時性、適銷性、品質或對特定目的之適用性的任何保證，或(ii)對於訂閱者或任何第三方使用市場資料所能獲得的結果的任何保證。

**9.3** 如果上述免責聲明及責任免除或者其中的任何部分被視為無效或無作用，則經銷商、芝加哥交易所及其各自的關聯方、董事、高級職員、成員、雇員和代理人的累積責任不得超過損失或損害的實際金額或者五十美元(\$50.00)的金額（以較少者為準）。

## **10.期限與終止**

10.1 本協議將於生效日期生效。在訂閱者嚴格遵守本協議規定的前提下，經銷商在本協定項下提供市場資料的有效期為生效日期起的一（1）個月（“初始期限”），在該初始期限結束時應自動續展一（1）個月，並在此後逐月自動續展（該等持續性的續展均稱為“續展期限”），但是，任何一方均可通過至少提前十（10）天發出其拒絕該等自動續展的電子或書面通知而終止本協議。

10.2 經銷商和芝加哥交易所可以不時修改或修訂本協議，而且，訂閱者同意受該等條款的約束。在作出該等修改或修訂後，訂閱者可提前十（10）天發出電子或書面通知而終止本協議。如果貴方在經銷商或芝加哥交易所向貴方發出修改通知後繼續存取或使用市場資料，則表示貴方同意受修改後的本協議約束。

10.3 本協議一旦終止，訂閱者即應停止對市場資料的任何使用，並刪除在本協議項下收到的一切市場資料，包括但不限於所儲存的任何既往市場資料。

## **11.繼續有效**

第1條（定義）、第2條（市場資料的專有權）、及根據其性質理應繼續有效的各個條款以及上述條款的任何修訂，將在本協議終止或期滿後繼續有效。

## **12.彌償**

對因本協定引起的或者與本協議有關的一切申索權，包括但不限於因訂閱者在本協議項下所需編制的任何報告或記錄中存在任何錯漏或者訂閱者未能或延遲提交或編制該等報告或記錄而導致的任何責任、損失或損害（包括但不限於律師費和其他費用），訂閱者將向經銷商、芝加哥交易所及其各自的關聯方、董事、高級職員、雇員和代理人作出彌償，為其辯護，並保障其不受損害。

## **13.其他規定**

13.1 由本協議引起的任何訴訟均受伊利諾州的州內法（而非衝突法）的管轄，並依其解釋。雙方接受位於伊利諾州庫克縣的州法院和聯邦法院的排他性管轄。

13.2 未經經銷商事先書面同意，訂閱者不得轉讓本協定的全部或任何部分。

13.3 訂閱者不得修改或修訂本協議的條款。

13.4 如果本協議的條款和條件與關於訂閱者接收和使用市場資料的任何其他協定的條款和條件存在任何衝突，則將以本協議的條款和條件為準。

13.5 如果由於任何原因，本協議的一個或多個條款或者其中的任何部分被判定為無效，則本協議的其他條款或其他部分仍保持完全有效。

13.6 經銷商和訂閱者明白並同意，CME 是本協議預定的第三者受益人，而其可強制執行本協議項下的所有條款。

本協議的每一方均已責成其正式授權的高級職員或代表以該方的名義並代表該方正式簽署本協議，以資證明。

經銷商

訂閱者

簽署

簽署

姓名

姓名

職務

職務

日期

日期

**New Account Opening Checklist**

Account Name: \_\_\_\_\_ Account No.: \_\_\_\_\_

<b>Performed by Frontline Staff (e.g. Account Executive, Dealing Officer, Customer Service Officer)</b>		
<b>A. Basic Information</b>		<b>Must Tick</b>
1. General	(a) Explain the operation and characteristics of the Account and investment product(s) (b) Perform Know-Your-Client and collect relevant documents (also verified true copy) (c) Give Client Agreement and explain Risk Disclosure to client (d) Remind client that 3rd party deposit / withdrawal of money and / or stock is not allowed (e) Inform client the fees and charges (f) Explain credit / margin limit, interest rate, margin call and force liquidation policy (If applicable)	<input type="checkbox"/> Yes
2. Derivatives Knowledge	(g) Ensure client suitable for derivative products and understand its risks before giving recommendation	<input type="checkbox"/> Yes
<b>B. AML Related</b>		
1. Politically Exposed Person (“PEP”) / PEP-related	(a) Inquire if the client is / has been entrusted with prominent public functions inside and outside PRC, e.g. Head of State / government, senior politician / government official, senior executive, or a family member or close associate of such parties. If “Yes”, please state:  Position: _____ Authority: _____ Name of PEP: _____ Relationship with client: _____ (b) Obtain client’s proof on source of funds (e.g. bank / income statement, tax receipt)	<input type="checkbox"/> Yes  <input type="checkbox"/> N/A
2. Account Risk Category	(c) Classify the Risk Category: <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High (Please refer to: Client Risk Category and Customer Due Diligence Checklist)	
3. ONLY FOR Medium / High Risk category	(d) Enquire client on source of funds: <input type="checkbox"/> Saving: previous salary / business / family / others: _____ <input type="checkbox"/> Rental: property / others: _____ <input type="checkbox"/> Investment: bank deposit / investment trading / others: _____ <input type="checkbox"/> Loan: financial institution / relatives / others: _____ <input type="checkbox"/> Others: _____ (e) Enquire / Expect client on expected investment size: <input type="checkbox"/> <HKD100,000 <input type="checkbox"/> HKD100,001-500,000 <input type="checkbox"/> HKD500,001-1,000,000 <input type="checkbox"/> HKD1,000,001-5,000,000 <input type="checkbox"/> HKD5,000,001-10,000,000 <input type="checkbox"/> >HKD10,000,000	<input type="checkbox"/> Yes  <input type="checkbox"/> N/A
AE/ Dealing Officer Signature: _____ AE/ Dealing Officer Code: _____		
AE / Dealing Officer Name: _____ Date: _____		
<b>Approved (Account Opening) by Designated Officer (e.g. Responsible Officer)</b>		
Date: Name: (Full name) Signature:	1. Check if the classification of the account risk category is appropriate  2. Check if proper Customer Due Diligence is carried out	<input type="checkbox"/> Yes

Note: This Checklist is required only when a new Client Account Open Form is completed. For client who opens both stock and futures accounts at the same time, this original shall be kept with stock account while a copy shall be kept with futures account.