

Date 日期:

(Client name and address) (客戶名稱和地址)

Dear Customer 尊敬的顧客,

**Account Opening Documentation and Notice of Treatment as a Professional Investor (Institutional) 開戶文件和作為專業投資者的通知 (機構)**

Your company has decided to open an account with us and has advised that it would like to be treated as a Professional Investor. For the avoidance of doubt, this letter and the related documentation only deal with the position of treating your company as a Professional Investor in relation to its dealing in futures with Huatai (Hong Kong) Futures Limited. 貴公司已決定在本公司開設賬戶，並建議將其視為專業投資者。為避免疑義，本函及相關文件僅涉及將貴公司視為與華泰（香港）期貨有限公司進行期貨交易的專業投資者的立場。

Under the *Securities and Futures Ordinance* (the “SFO”), your company may be categorised as a Professional Investor by reason of it being one of the categories of person falling under paragraphs (a) to (i) of the definition of “professional investor” in Part 1 of Schedule 1 to the SFO (see attached Appendix). Your company is a category of person falling under paragraph [ ] and we will therefore treat it as a Professional Investor under that category. 根據“證券及期貨條例”（“證券及期貨條例”），貴公司可被歸類為專業投資者，因為它屬於“專業投資者”“證券及期貨條例附表 1 第 1 部定義（a）至（i）段所屬類別之一（見附件）。貴公司屬於屬於[ ]段的類別，因此我們將其視為該類別下的專業投資者。

Since your company is so categorised as a Professional Investor, we would not in relation to it be required to fulfil certain regulatory requirements under the SFO and the *Code of Conduct for Persons Licensed by or Registered with the Securities and Future Commission* (the “Code”). Therefore, we would not perform the following in providing services to it, unless requested to do so in writing. Please note the consequences of being treated as a Professional Investor. 由於貴公司被歸類為專業投資者，因此我們不需要履行“證券及期貨條例”及“證券及期貨事務監察委員會所批准或註冊的人員行為守則”（“守則”）的某些監管規定。因此，除非有書面要求，否則我們不會在向其提供服務時執行以下操作。請注意被視為專業投資者的後果。

**(a) Client agreement 客戶協議**

We are not required to enter into a written client agreement with your company. Please refer to our company website for the Terms and Conditions for your account with us. 我們無需與貴公司簽訂書面客戶協議。關於貴公司的帳戶，請參閱本公司網站所載的條款及條件。

**(b) Risk disclosures 風險披露**

We are not required to provide your company with relevant risk disclosure statements or to bring any potential risks to its attention. (You can refer to the risk disclosures in our Terms and Conditions in our company website.) 我們無需向貴公司提供相關的風險披露聲明或引起其注意的任何潛在風險。（貴公司可以參閱本公司網站所載的條款及條件中的風險披露。）

(c) **Information for client 客戶信息**

We are not required to disclose to your company transaction related information as defined in paragraph 8.3A of the Code. We are not required to provide your company with information about our business and the identity and status of employees and others acting on our behalf. 我們無需向貴公司披露守則第 8.3A 段中定義的交易相關信息。我們無需向貴公司提供有關我們業務的信息以及員工和代表我們的人員的身份和職位。

(d) **NASDAQ—Amex Pilot Program 納斯達克 - 美國證券交易所試點計劃**

We are not required to provide documentation about the Program to your company even if your company wishes to deal in securities/futures which are admitted to trading under it. 即使貴公司希望交易允許在其下交易的證券/期貨，我們也不需要向貴公司提供有關該計劃的文件。

(e) **Information about clients 有關客戶的信息**

We are not required to establish your financial situation, investment experience or investment objectives. 我們無需確定您的財務狀況，投資經驗或投資目標。

(f) **Suitability 適用性**

We are not required to ensure the suitability and reasonableness of our recommendation or solicitation made to you. 我們無需確保我們對您的推薦或招攬的適用性和合理性。

(g) **Contract Notes and Monthly Statements 合約單據和月結單**

Under the *Securities and Futures (Contract Notes, Statements of Account and Receipts) Rules*, we are not required to provide your company with contract notes and/or monthly statements of its account unless it notifies us that it would like to receive them. 根據“證券及期貨（成交單據，戶口結單及收據）規則”，我們無須向貴公司提供成交單據及/或其帳戶的月結單，除非其通知我們希望收到該等單據。

(h) **Prompt Confirmation 執行交易確認**

We are not required to confirm promptly with your company the essential features of an executed transaction. 我們無需即時向貴公司確認已執行交易的主要細節。

(i) **Investor Characterization 投資者特徵**

We are not required to, as part of the “know your client” procedures, assess your company’s knowledge of derivatives and characterize it based on its knowledge of derivatives. 作為“了解您的客戶”程序的一部分，我們不需要評估貴公司的衍生品知識，並根據其衍生品知識對其進行表徵。

In order to treat you as a Professional Investor, we are required to obtain written confirmation that you wish to be treated as such. Please sign and return the attached confirmation to us. 為了將貴公司視為專業投資者，我們需要獲得貴公司希望被視為同等對待的書面確認。請在附上的確認函上簽署並回覆我們。

Your company has the right to withdraw from being treated as a Professional Investor at any time in respect of all investment products or markets or any part thereof on giving written notice to us. Please inform us immediately, if your company no longer wishes to be treated as a Professional Investor or finds itself no longer falling into one of the categories of persons described in paragraphs (a) to (i) of the definition of “professional investor” in Part 1 of Schedule 1 to the SFO. 貴公司有權在向我們發出書面通知後，隨時撤回對所有投資產品或市場或其任何部分的專業投資者的待遇。如果貴公司不再希望被視為專業投資者或知悉其已經不再屬於“證券及期貨條例”附表 1 第 1 部“專業投資者”定義 (a) 至 (i) 段所述類別之一，請立即通知我們。 “

Should you have any queries on this notice or require any guidance in completing these documents, please do not hesitate to contact our Customer Services Department at (852) 3916-1616. 如果您對本通知有任何疑問或需要任何指導以填寫這些文件，請隨時聯繫我們的客戶服務部，電話：(852) 3916-1616。

Yours faithfully,

Huatai (Hong Kong) Futures Limited

華泰 (香港) 期貨有限公司

## Appendix 附錄

The following persons could be treated as Professional Investors under paragraph (a) to (j) of the definition of “professional investor” in Part 1 of Schedule 1 to the SFO:

根據“證券及期貨條例”附表 1 第 1 部，“專業投資者”的定義 (a) 至 (j) 段，以下人士可視為專業投資者：

- (a) any recognized exchange company, recognized clearing house, recognized exchange controller or recognized investor compensation company, or any person authorized to provide automated trading services under section 95(2) of this Ordinance; 認可交易所、認可結算所、認可控制人或認可投資者賠償公司，或根據本條例第 95(2) 條獲認可提供自動化交易服務的人；
- (b) any intermediary<sup>†</sup>, or any other person carrying on the business of the provision of investment services and regulated under the law of any place outside Hong Kong; 中介人，或經營提供投資服務的業務並受香港以外地方的法律規管的其他人；
- (c) any authorized financial institution, or any bank which is not an authorized financial institution but is regulated under the law of any place outside Hong Kong; 認可財務機構，或並非認可財務機構但受香港以外地方的法律規管的銀行；
- (d) any insurer authorized under the Insurance Companies Ordinance (Cap. 41), or any other person carrying on insurance business and regulated under the law of any place outside Hong Kong;  
根據《保險業條例》(第 41 章)獲授權的保險人，或經營保險業務並受香港以外地方的法律規管的其他人；
- (e) any scheme which— 符合以下說明的計劃 —
  - (i) is a collective investment scheme authorized under section 104 of this Ordinance; or  
屬根據本條例第 104 條獲認可的集體投資計劃；或
  - (ii) is similarly constituted under the law of any place outside Hong Kong, and if it is regulated under the law of such place, is permitted to be operated under the law of such place,or any person by whom such scheme is operated;  
以相似的方式根據香港以外地方的法律成立，並(如受該地方的法律規管)根據該地方的法律獲准許營辦，  
或營辦任何該等計劃的人；
- (f) any registered scheme as defined in section 2(1) of the Mandatory Provident Fund Schemes Ordinance (Cap. 485), or its constituent fund as defined in section 2 of the Mandatory Provident Fund Schemes (General) Regulation (Cap. 485 sub. leg. A), or any person who, in relation to any such registered scheme, is an approved trustee or service provider as defined in section 2 (1) of that Ordinance or who is an investment manager of any such registered scheme or constituent fund;  
《強制性公積金計劃條例》(第 485 章)第 2(1)條界定的註冊計劃，或《強制性公積金計劃(一般)規例》(第 485 章，附屬法例 A)第 2 條界定的該等計劃的成分基金，或就任何該等計劃而言屬該條例第 2(1)條界定的核准受託人或服務提供者或屬任何該等計劃或基金的投資經理的人；
- (g) any scheme which— 符合以下說明的計劃 —
  - (i) is a registered scheme as defined in section 2(1) of the Occupational Retirement Schemes Ordinance (Cap. 426); or 屬《職業退休計劃條例》(第 426 章)第 2(1)條界定的註冊計劃；或
  - (ii) is an offshore scheme as defined in section 2(1) of that Ordinance and, if it is regulated under the law of the place in which it is domiciled, is permitted to be operated under the law of such place, 屬該條例第

• <sup>†</sup> The term “intermediary” means any licensed corporation or registered institution licensed by the Hong Kong Securities and Futures Commission: see definition of “intermediary” in Part 1 of Schedule 1 to the Securities and Futures Ordinance.

2(1)條界定的離岸計劃，並(如以某地方為本籍而受該地方的法律規管)根據該地方的法律獲准許營辦，

or any person who, in relation to any such scheme, is an administrator as defined in section 2(1) of that Ordinance; 或就任何該等計劃而言屬該條例第 2(1)條界定的管理人的人；

(h) any government (other than a municipal government authority), any institution which performs the functions of a central bank, or any multilateral agency; 任何政府(市政府當局除外)、執行中央銀行職能的任何機構，或任何多邊機構；

(i) except for the purposes of Schedule 5 to this Ordinance, any corporation which is—  
(除為施行本條例附表 5 外)符合以下說明的法團 —

(i) a wholly owned subsidiary of— 屬下述者的全資附屬公司 —

(A) an intermediary, or any other person carrying on the business of the provision of investment services and regulated under the law of any place outside Hong Kong; or  
中介人，或經營提供投資服務的業務並受香港以外地方的法律規管的其他人；或

(B) an authorized financial institution, or any bank which is not an authorized financial institution but is regulated under the law of any place outside Hong Kong;  
認可財務機構，或並非認可財務機構但受香港以外地方的法律規管的銀行；

(ii) a holding company which holds all the issued share capital of— 屬持有下述者的所有已發行股本的控權公司 —

(A) an intermediary, or any other person carrying on the business of the provision of investment services and regulated under the law of any place outside Hong Kong; or  
中介人，或經營提供投資服務的業務並受香港以外地方的法律規管的其他人；或

(B) an authorized financial institution, or any bank which is not an authorized financial institution but is regulated under the law of any place outside Hong Kong;  
認可財務機構，或並非認可財務機構但受香港以外地方的法律規管的銀行；或

(iii) any other wholly owned subsidiary of a holding company referred to in subparagraph (ii); or  
屬第(ii)節提述的控權公司的任何其他全資附屬公司；或

(j) any person of a class which is prescribed by rules made under section 397 of this Ordinance for the purposes of this paragraph as within the meaning of this definition for the purposes of the provisions of this Ordinance, or to the extent that it is prescribed by rules so made as within the meaning of this definition for the purposes of any provision of this Ordinance;” 屬於為施行本段而藉根據本條例第 397 條訂立的規則訂明為就本條例條文屬本定義所指的類別的人，或(如為施行本段而藉如此訂立的規則訂明某類別為就本條例任何條文屬本定義所指的類別)在該範圍內屬於該類別的人；



(Extract of the *Securities and Futures (Professional Investor) Rules*—currencies are quoted in HKD.)  
(證券及期貨(專業投資者)規則摘錄 - 貨幣以港幣表示。)

**3. Persons prescribed as professional investors 訂明為專業投資者的人士**

For the purposes of paragraph (j) of the definition of “professional investor” in section 1 of Part 1 of Schedule 1 to the Ordinance, the following persons are prescribed as within the meaning of that definition for the purposes of any provision of the Ordinance other than Schedule 5—

為施行本條例附表 1 第 1 部第 1 條專業投資者的定義的(j)段，現就本條例的任何條文(附表 5 除外)訂明以下人士屬該定義所指的人—

- (a) a trust corporation specified in section 4; 第4條指明的信託法團；
- (b) an individual specified in section 5(1); 第5(1)條指明的個人；
- (c) a corporation (other than a trust corporation referred to in paragraph (a)) specified in section 6; 第6條指明的法團((a)段提述的信託法團除外)；
- (d) a partnership specified in section 7. 第7條指明的合夥。

**4. Trust corporations 信託法團**

A trust corporation specified for the purposes of section 3(a) is a trust corporation having been entrusted under one or more trusts of which it acts as a trustee with total assets of not less than \$40 million at the relevant date or as ascertained in accordance with section 8. 為施行第 3(a)條而指明的信託法團，是符合以下說明的信託法團：擔任一項或多於一項信託的信託人，而在該項或該等信託下獲託付的總資產在有關日期或按照第 8 條獲確定，不少於\$40,000,000。

**5. Individuals 個人**

- (1) An individual specified for the purposes of section 3(b) is an individual having a portfolio of not less than \$8 million at the relevant date or as ascertained in accordance with section 8, when any one or more of the following are taken into account— 為施行第 3(b)條而指明的個人，是符合以下說明的個人：在考慮以下任何一項或多於一項時，擁有的投資組合在有關日期或按照第 8 條而獲確定，不少於\$8,000,000—

- (a) a portfolio on the individual’s own account ; 該個人本人的帳戶內的投資組合；
- (b) a portfolio on a joint account with the individual’s associate; 該個人聯同其有聯繫者於某聯權共有帳戶內的投資組合；
- (c) the individual’s share of a portfolio on a joint account with one or more persons other than the individual’s associate; 該個人在聯同一名或多於一名其有聯繫者以外的人士於某聯權共有帳戶內的投資組合中所佔部分；
- (d) a portfolio of a corporation which, at the relevant date, has as its principal business the holding of investments and is wholly owned by the individual. 在有關日期的主要業務是持有投資項目並在有關日期由該個人全資擁有的法團的投資組合。

- (2) For the purposes of subsection (1)(c), an individual’s share of a portfolio on a joint account with one or more persons other than the individual’s associate is— 就第(1)(c)款而言，某名個人在聯同一名或多於一名其有聯繫者以外的人士於某聯權共有帳戶內的投資組合中所佔部分—

- (a) the individual's share of the portfolio as specified in a written agreement among the account holders; or 為帳戶持有人之間訂立的書面協議中指明，該個人於該投資組合中所佔部分；或
- (b) in the absence of an agreement referred to in paragraph (a), an equal share of the portfolio. (如沒有訂立(a)段所述的協議)為該投資組合中平均所佔部分。

## 6. Corporations 法團

A corporation specified for the purposes of section 3(c) is—

為施行第 3(c)條而指明的法團，是 —

- (a) a corporation having—符合以下說明的法團 —
  - (i) a portfolio of not less than \$8 million; or 擁有的投資組合在有關日期或按照第 8 條而獲確定不少於\$8,000,000；或
  - (ii) total assets of not less than \$40 million, at the relevant date or as ascertained in accordance with section 8; 擁有的總資產在有關日期或按照第 8 條而獲確定不少於\$40,000,000；
- (b) a corporation which, at the relevant date, has as its principal business the holding of investments and is wholly owned by any one or more of the following persons—  
在有關日期的主要業務是持有投資項目並在有關日期由以下任何一名或多於一名人士全資擁有的法團—
  - (i) a trust corporation specified in section 4; 第 4 條指明的信託法團；
  - (ii) an individual specified in section 5(1); 第 5(1)條指明的個人；
  - (iii) a corporation specified in this paragraph or paragraph (a); 本段或(a)段指明的法團；
  - (iv) a partnership specified in section 7; 第 7 條指明的合夥；
  - (v) a professional investor within the meaning of paragraph (a), (d), (e), (f), (g) or (h) of the definition of professional investor in section 1 of Part 1 of Schedule 1 to the Ordinance; or 屬本條例附表 1 第 1 部第 1 條專業投資者的定義的(a)、(d)、(e)、(f)、(g)或(h)段所指的專業投資者；或
- (c) a corporation which, at the relevant date, wholly owns a corporation referred to in paragraph (a). 在有關日期全資擁有(a)段提述的法團的法團。

## 7. Partnerships 合夥

A partnership specified for the purposes of section 3(d) is a partnership having—

為施行第 3(d)條而指明的合夥，是符合以下說明的合夥 —

- (a) a portfolio of not less than \$8 million; or 擁有的投資組合在有關日期或按照第 8 條而獲確定不少於\$8,000,000；或
- (b) total assets of not less than \$40 million, at the relevant date or as ascertained in accordance with section 8. 擁有的總資產在有關日期或按照第 8 條而獲確定不少於\$40,000,000



**8. Ascertaining total assets or portfolio 確定總資產或投資組合**

For the purposes of section 4, 5(1), 6(a) or 7, the total assets entrusted to a trust corporation, the portfolio of an individual, or the portfolio or total assets of a corporation or partnership, are to be ascertained by referring to any one or more of the following—

為施行第 4、5(1)、6(a)或 7 條，託付予某信託法團的總資產、某名個人的投資組合、或某法團或合夥的投資組合或總資產，將通過參閱以下任何一份或多於一份文件而獲確定 —

- (a) for a trust corporation, corporation or partnership, the most recent audited financial statement prepared within 16 months before the relevant date in respect of the trust corporation (or a trust of which it acts as a trustee), corporation or partnership;

就信託法團、法團或合夥而言，該信託法團(或其擔任信託人的任何信託)、法團或合夥在有關日期前 16 個月內擬備的最近期的經審計的財務報表；

- (b) for a trust corporation, individual, corporation or partnership, any one or more of the following documents issued or submitted within 12 months before the relevant date—

就信託法團、個人、法團或合夥而言，在有關日期前 12 個月內發出或呈交的任何一份或多於一份以下文件 —

- (i) a statement of account or a certificate issued by a custodian;

由保管人發出的帳戶結單或證明書；

- (ii) a certificate issued by an auditor or a certified public accountant;

由核數師或會計師發出的證明書；

- (iii) a public filing submitted by or on behalf of the trust corporation (whether on its own behalf or in respect of a trust of which it acts as a trustee), individual, corporation or partnership.”

由或代表該信託法團(不論是代表其本身或就其擔任信託人的任何信託)、個人、法團或合夥呈交的公開檔案。



To: **Huatai (Hong Kong) Futures Limited** (the “Company”)

致：華泰（香港）期貨有限公司（以下簡稱“公司”）

### **CLIENT INFORMATION STATEMENT 客戶資料表格**

The following information is being provided by the undersigned (the “Client”) for the purpose of opening a futures trading account for transactions in futures (as defined in the Securities and Futures Ordinance (“Futures”). The Client represents that the information is true, complete and correct and the Company is entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any change.

以下資料由簽名人（“客戶”）提供，目的是為期貨交易開立期貨交易賬戶（定義見證券及期貨條例（“期貨”）。客戶表示資料是真實，完整和正確。除非收到任何有關變更的書面通知，就所有目的而言本公司有權完全依賴此類信息和陳述。

|  |  |
|--|--|
| Name of Client<br>客戶名稱                     |  |
| Type of Entity<br>實體類型                     | <input type="checkbox"/> Limited liability company 有限責任公司<br><input type="checkbox"/> Limited liability partnership 有限責任合夥<br><input type="checkbox"/> Others: 其他：<br><input type="checkbox"/> Listed company 上市公司 (Place of listing 上市地點: _____)  |
| Nature of Business<br>業務性質                 | <input type="checkbox"/> Discretionary managed private funds 全權委託管理私人基金<br><input type="checkbox"/> Investment for collective investment schemes (public, regulated) 集體投資計劃（公眾，受監管）<br><input type="checkbox"/> Investment / trading services for customers 為客戶提供投資/交易服務<br><input type="checkbox"/> Proprietary investment / trading 自營投資/交易<br><input type="checkbox"/> Others, please describe: 其他，請描述： |
| Is Client a Regulated Entity<br>客戶是否受監管的實體 | <input type="checkbox"/> No 否<br><input type="checkbox"/> Yes, name of the regulator and registration no. (if any): 是，監管機構的名稱和註冊號（如有的話）：<br>_____  |
| Incorporation<br>法團成立                      | Country of incorporation 註冊成立國家<br>_____<br>Registration Number 註冊號碼<br>_____<br>Date of incorporation 註冊成立日期<br>_____   |
| Registered Address<br>註冊地址                 |  |

|  |  |   |                           |                                |
|--|--|---|---------------------------|--------------------------------|
| Correspondence Address<br>(if different from above)<br>通訊地址(如與上述不同)  |  |   |                           |                                |
| Email & Fax no.<br>電郵和傳真號碼   |  |   |                           |                                |
| Particulars of all Directors<br>所有董事的資料  | <u>Name 姓名</u> <u>ID/Passport No. &amp; Place of Issue 身份證/護照號碼和簽發地點</u> |   |                           |                                |
| Main contact person<br>主要聯繫人   | Name 姓名 : _____<br>Title 職位 : _____<br>Tel 電話號碼 : _____                  |   |                           |                                |
| List of authorized traders<br>授權交易人員名單   | <u>Name 姓名</u>   | <u>ID/Passport No. &amp; Place of Issue 身份證/護照號碼和簽發地點</u> | <u>Tel Number(s) 電話號碼</u> | <u>Specimen Signature 簽字樣本</u> |
|  |  |   |                           |                                |
|  |  |   |                           |                                |
|  |  |   |                           |                                |
|  |  |   |                           |                                |
| Please attach Client's Authorized List if available and this section need not be completed 請附上客戶的授權清單如有，則無需完成此部分<br><input type="checkbox"/> Refer Authorized List attached 請參閱隨附的授權清單 |  |   |                           |                                |
| List of authorized persons to operate the account (e.g. delivery, transfer, change authorized traders, corporate actions, etc.)<br>授權操作賬戶的人員名單 (例如交付，轉讓，變更授權交易員，法人行為等)                 | <u>Name 姓名</u>   | <u>ID/Passport No. &amp; Place of Issue 身份證/護照號碼和簽發地點</u> | <u>Tel Number(s) 電話號碼</u> | <u>Specimen Signature 簽字樣本</u> |
|  |  |   |                           |                                |
|  |  |   |                           |                                |
|  |  |   |                           |                                |
| Please attach Client's Authorized List if available and this section need not be completed 請附上客戶的授權清單如有，則無需完成此部分<br><input type="checkbox"/> Refer Authorized List attached 請參閱隨附的授權清單 |  |   |                           |                                |

|   |   |
|---|---|
| <b>Settlement Details</b><br>結算詳情<br><br><br><br><br>Please attach Client's settlement instructions and this section need not be completed 請附上客戶的結算指示<br>如有，此部分無需填寫 | Bank name 銀行名稱 : _____<br>Bank account no. 銀行帳號 : _____<br>DCASS No (if applicable 如適用) : _____<br>Name of Settlement contact person : _____<br>結算聯繫人姓名 : _____<br>Tel 電話號碼 : _____<br>Email 電郵 : _____<br>Fax 傳真號碼 : _____<br><input type="checkbox"/> Refer Settlement Instructions attached 請參閱隨附的結算指示 |
| <b>Details of sub-accounts</b><br>子賬戶的詳細信息  | <input type="checkbox"/> None 沒有<br><input type="checkbox"/> List attached 附上清單<br><input type="checkbox"/> Name 名稱 _____   |
| <b>Is any director, shareholder or authorized person a politically exposed person (PEP)</b><br>是否有任何董事，股東或授權人是政治風險人士 (PEP)  | <input type="checkbox"/> None 沒有<br><input type="checkbox"/> Yes, Name (s) of the person(s) 有，請提供其姓名 _____  |

Choice of online trading 是否選舉在線交易  
 Choice of statement delivery 結單收取方式

☐ Yes 是  
☐ Email 電郵

☐ No 否  
☐ Post 郵寄

**To: Huatai (Hong Kong) Futures Limited 致：華泰（香港）期貨有限公司**

**CLIENT IDENTITY DISCLOSURE UNDERTAKING 客戶身份披露承諾**

Dear Sirs,

敬啟者，

We are opening a futures trading account with yourselves and agree that the following terms shall apply in respect of all transactions effected under the futures trading account:

我們正在開立一個期貨交易賬戶，並同意以下條款適用於在期貨交易賬戶下進行的所有交易：

If we effect transactions for the account of clients, whether on a discretionary or non-discretionary basis, and whether as agent or by entering into matching transactions as principal with our clients, we hereby agree that, in relation to a transaction where you have received an enquiry from The Stock Exchange of Hong Kong Limited and/or the Securities and Futures Commission of Hong Kong (the “Hong Kong regulators”), the following provisions shall apply: 如果我們是代表客戶進行交易，不論是否受全權委託，以代理人身份抑或以當事人身份與客戶進行對盤交易，我們同意就接獲香港交易所及／或證券及期貨事務監察委員會（「香港監管機構」）查詢交易而言，須遵守下列規定。

- (a) Subject as provided below, we shall, immediately upon request by you (which request shall include the relevant contact details of the Hong Kong regulators), inform the Hong Kong regulators of the identity, address, occupation and contact details of the client for whose account the transaction was effected and (so far as known to us) of the person with the ultimate beneficial interest in the transaction. We shall also inform the Hong Kong regulators of the identity, address, occupation and contact details of any third party (if different from the client/ultimate beneficiary) who originated the transaction. 根據以下條款，我們必須立刻按你的要求（此要求應包括香港監管機構的聯絡詳情），通知香港監管機構有關進行交易之帳戶的所屬客戶（據我們所知道的）及該宗交易的最終受益人的身份，地址，職業及聯絡資料。我們亦須通知香港監管機構任何發起有關交易的第三者（如與客戶／最終受益人不同）的身份，地址，職業及聯絡資料。
- (b) If we effected the transaction for a collective investment scheme, discretionary account or discretionary trust, we shall, immediately upon request by you (which request shall include the relevant contact details of the Hong Kong regulators), inform the Hong Kong regulators of the identity, address and contact details of the scheme, account or trust and, if applicable, the identity, address, occupation and contact details of the person who, on behalf of the scheme, account or trust, instructed us to effect the transaction. 如我們為集體投資計劃，全權委託帳戶或全權信託進行交易，我們須按你的要求（該要求應包括香港監管機構的聯絡詳情），立即通知香港監管機構有關該計劃，帳戶或信託的身份，地址及聯絡資料及（如適用）有關該名代表該計劃，帳戶或信託向客戶發出交易指示的人士的身份，地址，職業及聯絡資料。

- (c) If we effected the transaction for a collective investment scheme, discretionary account or discretionary trust, we shall, as soon as practicable, inform you when our discretion to invest on behalf of the scheme, account or trust has been overridden. In the case where our investment discretion has been overridden, we shall, immediately upon request by you (which request shall include the relevant contact details of the Hong Kong regulators), inform the Hong Kong regulators of the identity, address, occupation and contact details of the person(s) who has or have given the instruction in relation to the transaction.

如我們為集體投資計劃，全權委託帳戶或全權信託進行交易，於其代表計劃，帳戶或全權信託的投資全權委託失效時，我們應在可行的情況下盡快通知您。在失效的情況下，我們須按你的要求（該要求應包括香港監管機構的聯絡詳情），立即通知香港監管機構有關該發出交易指示的人士的身份，地址，職業及聯絡資料。

- (d) If we are aware that our client is acting as intermediary for its underlying clients, and we do not know the identity, address, occupation and contact details of the underlying client for whom the transaction was effected, we confirm that: 如我們知道我們的客戶為其相關客戶擔任中介人，而我們並不知道替其執行交易的相關客戶的身分、地址、職業和聯絡資料，我們確認：

(i) we have arrangements in place with our client which entitle us to obtain the information set out in paragraphs (b) and (c) above from our client immediately upon request or procure that it be so obtained; and 我們安排，讓我們有權在接到要求之後立刻向我們的客戶索取第 (b)段及 (c)段註明的資料，或促使獲得該些資料；及

(ii) we will, on request from you in relation to a transaction, promptly request the information set out in paragraphs (b) and (c) above from the client on whose instructions the transaction was effected, and provide the information to the Hong Kong regulators as soon as received from our client or procure that it be so provided. 我們將按照你的要求就有關交易向對其發出進行交易指示的客戶，須盡快向我們的客戶取得或促使取得上文第 (b)段及第 (c)段註明有關執行交易指示的資料，以便盡快將該些資料提交予香港監管機構。

- (e) We confirm that, where necessary, we have obtained all relevant consents or waivers from clients, collective investment schemes, discretionary accounts or discretionary trusts for whose account transactions may be effected to release information to the Hong Kong regulators of the identity and contact details of such clients, collective investment schemes, discretionary accounts or discretionary trusts, and of the person(s) with the ultimate beneficial interest in any such transaction, and (if different from the client/ultimate beneficiary) of the person(s) who originated the transaction.

我們確認，如有必要，我們已取得所有其帳戶可能會進行交易的客戶，集體投資計劃，全權委託帳戶或全權信託的相關同意或豁免，以向香港監管機構發布有關的此類客戶，集體投資計劃，全權委託帳戶或全權信託的身份及聯絡資料詳情，以及在任何此類交易中具有最終實益權益的人，以及（如果與客戶/最終受益人不同）發起交易的人員的詳細信息。

- (f) The above terms shall continue in effect notwithstanding the termination of our futures trading account maintained with you. 上述條款在本期貨交易帳戶終止後仍然繼續有效。



To: **Huatai (Hong Kong) Futures Limited**

致：華泰（香港）期貨有限公司

**STANDING AUTHORITY (CLIENT MONEY) – Professional Investor**

**常設授權（客戶款項）– 專業投資者**

1. Definition 定義

Unless otherwise stipulated, all terminologies used in this Standing Authority (Client Money) (“Standing Authority”) shall have the same interpretation as those of the Securities and Futures Ordinance and the Securities and Futures (Client Money) Rules. 除非另外說明，否則本授權之詞語與語句與《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。

2. The Authority 本授權

The undersigned hereby authorize Huatai (Hong Kong) Futures Limited to deal with monies in my/our futures trading account with Huatai (Hong Kong) Futures Limited which are received from or on behalf of, or held on behalf of me/us, without prior notice/ instruction/ confirmation from the undersigned, in any of the following manner: 本人/本公司謹授權華泰（香港）期貨有限公司按下列方式自行處理本人 /本公司於貴行之期貨帳戶內任何數額之款項而無須事先給予本人/本公司任何事先通知或事先取得本人 / 本公司的指示及 / 或確認：

- (a) transfer all or any portion of client money to any futures trading/ clearing/ settlement account(s) maintained by Huatai (Hong Kong) Futures Limited with any of its agent broker(s) and/or clearing agent(s), no matter whether they are its related companies, either in Hong Kong or elsewhere, for the purpose of trading/ clearing/ settlement of futures products; 將任何數額之款項轉往華泰（香港）期貨有限公司于其代理經紀及/或清算代理，不論該代理是否貴行之系內公司，開立的任何期貨交易/清算/交收帳戶，以作本人/本公司買賣環球期貨之用；及
- (b) transfer any client money between any of the segregated accounts mentioned under 2(a). 將任何 2(a) 內提及數額之款項于華泰（香港）期貨有限公司在任何時候開立的任何獨立帳戶之間來回調動。
- (c) This Standing Authority shall continue in effect unless I/we inform Huatai (Hong Kong) Futures Limited in writing of its termination. 除非我/我們以書面形式通知華泰（香港）期貨有限公司終止常設授權，否則該常設授權將繼續有效。

3. Risk Disclosure Acknowledgement 風險披露確認

I/we acknowledge that client assets received or held by Huatai (Hong Kong) Futures Limited outside Hong Kong are subject to the applicable laws and regulations of the relevant overseas jurisdiction, which may be different from the Securities and Futures Ordinance (Cap 571) and the rules made hereunder. Consequently, such client assets may not enjoy the same protection as that conferred on client assets received or held in Hong Kong.

本人/本公司確認持牌人或註冊人在香港以外地方收取或持有的本人/本公司資產（包括款項），是受到有關海外司法管轄區的適用法律及規例所監管的。這些法律及規例與 571 章《證券及期貨條例》及根據該條例制訂的規則可能有所不同。因此，有關客戶資產將可能不會享有賦予在香港收取或持有的客戶資產的相同保障。

## **CONFIRMATION AND ACKNOWLEDGEMENTS 確認和承認書**

We acknowledge my/our receipt of (i) Account Opening Documentation and Notice of Treatment as a Professional Investor; (ii) Client Identity Disclosure Undertaking; (iii) Standing Authority (Client Money) – Professional Investor. 我們確認收到（i）開戶文件和作為專業投資者的通知（機構）；（ii）客戶身份披露承諾；（iii）常設授權（客戶款項）- 專業投資者。

We confirm that we meet the condition under the definition of Professional Investor (refer to attached Appendix). We confirm that we understand the consequences of consenting to being treated as a Professional Investor and the right to withdraw from being treated as such. We confirm acceptance of treatment as a Professional Investor. 我們確認我們符合專業投資者定義的條件（參見附錄）。我們確認明白被視為專業投資者的後果以及退出被視為專業投資者的權利。我們同意被視為專業投資者。

We hereby acknowledge and confirm that we agree to be terms in the Client Identity Disclosure Undertaking. 我們在此確認我們同意客戶身份披露承諾中的條款。

We hereby acknowledge and confirm that we have authorized Huatai (Hong Kong) Futures Limited to deal with Monies in accordance with the Standing Authority. 我們在此確認，我們已授權華泰（香港）期貨有限公司按照常設授權處理款項。

After "Trade Execution" in Client's online trading account, does client wish to receive from Huatai (Hong Kong) Futures Limited a notice via e-mail or SMS? 客戶的網上交易帳戶內“執行交易”後，是否收取華泰（香港）期貨透過電子郵件或短訊向客戶發出通知：☐ Not to receive 不收取 ☐ Receive 收取

If Client chooses "Not to receive", the client confirms that it understands the **risks involved in not receiving the notice (as follows)**: 如客戶選擇“不收取”，客戶確認明白以下不收取有關通知所涉及的風險：

*Client will not receive a notice immediately after "Trade Execution" in the online trading account. If any trade is executed not according to Client's instruction or authorization, or the number or price, etc. executed do not match Client's instruction, Client may not be aware of promptly. 客戶不會就網上交易帳戶內“執行交易”後，即時收到有關通知。如有任何非客戶指示或授權的交易，或交易數量、價格等與客戶指示不符，客戶可能不會迅速察覺。*

Client signatory 客戶簽署

Authorized Signatures 授權簽名:

Full Name 姓名:

Position/Title 職務/職稱:

Company Name 公司名稱:

Date 日期:

Company Name 公司名稱: \_\_\_\_\_

Account no. 帳戶號碼: \_\_\_\_\_

**Document Checklist**  
**文件清單:**

**All Accounts**  
**所有帳戶**

- ☐ Completed Client Information Statement and Confirmation and Acknowledgement  
填妥的客戶資料表格及確認和承認書
- ☐ W-8BEN-E/W-8IMY Form  
W-8BEN-E/W-8IMY 表格
- ☐ CRS Declaration Form  
CRS 自我證明表格
- ☐ List of Authorized signatories and specimen signatures (if this is not provided in Client Information Statement)  
獲授權簽字人士及簽名式樣 (如客戶資料表格中未提供)
- ☐ List of Authorized traders and specimen signatures (if this is not provided in Client Information Statement)  
獲授權交易人員和簽名式樣 (如客戶資料表格中未提供)
- ☐ **Certified true copies of the following document 以下經核證的文件副本**  
Board Resolution for Account Opening  
開戶的董事會決議
- ☐ Website of the principal Regulator showing the License Status of Client or License Certificate  
主要監管機構的網站, 顯示客戶牌照狀態, 或牌照證書
- ☐ ID Card / Passport of Authorized Persons and Directors  
獲授權人員及董事的身份證/護照
- ☐ Group chart (showing ownership structure)  
組織圖 (顯示所有權結構)
- ☐ Last Audited Accounts or such other financial information (if trading line or margin facilities required)  
最近期的審計報告或其他財務信息 (如需交易界線或保證金設施) 的認證副本
- ☐ **額外文件要求 for BVI/Cayman/Bermuda companies**  
Certificate of Incumbency  
董事職權證明書 (僅適用於 BVI / Cayman / Bermuda 公司)