

 <b>華泰 (香港) 期貨有限公司</b> <b>Huatai (Hong Kong) Futures Limited</b>	For Internal Use Only 由華泰 (香港) 期貨有限公司職員填寫
	Account No. 賬戶號碼: _____
	Account Name 賬戶名稱: _____
	Date 日期: _____
Huatai (Hong Kong) Futures Limited Registered Office Address: Room 2102, The Center, 99 Queen's Road Central, Central, Hong Kong For Enquiries, please contact Customer Services Department at General: +852 3916-1688 Fax: +852 3916-1699 Email: cs@htfc.com.hk	
華泰 (香港) 期貨有限公司註冊辦事處地址: 香港中環皇后大道中99號中環中心2102室 如有任何查詢, 歡迎聯絡客戶服務部 總機: +852 3916-1688 傳真: +852 3916-1699 電郵: cs@htfc.com.hk	

### ACCOUNT OPENING FORM 開戶表格 (Corporate Account 公司賬戶)

#### A. ACCOUNT TYPE 賬戶類別

☒ Corporate Account 公司賬戶

Electronic Trading Service 電子交易服務

☐ Yes 是

☐ No 否

#### 1. Client Information (Corporate) 客戶資料 (公司)

##### a) Basic Information 基本資料

Client Name 客戶名稱	
Name in Chinese: 中文名稱:	Name in English: 英文名稱:
Incorporation No. 註冊編號	
Country/Region of Incorporation 註冊國家/地區	
Date of Incorporation 註冊日期	
Business Registration No. (if applicable) 商業登記證號碼 (如適用)	
Nature of Business 業務性質	
Registered Office Address 註冊地址	
Correspondence Address, if different from Registered Office Address 通訊地址 (如與註冊地址不同)	
Office Tel. No. (if applicable) 公司電話號碼 (如適用)	
Phone No. for 2FA SMS 電話號碼 (可收取SMS形式的二次認證碼)	
Email Address 電郵地址	
<input type="checkbox"/> The Client understands that the Client will only receive the electronic statement via the email provided above (charges apply) unless the Client requests to receive paper statements from Huatai (Hong Kong) Futures Limited ("Huatai (Hong Kong) Futures") in writing. 客戶瞭解除非客戶向華泰 (香港) 期貨有限公司 ("華泰 (香港) 期貨") 書面要求接收郵寄賬單 (需收費), 否則客戶將只獲通過以上提供的電郵地址接收電子賬戶結單。	

##### b) Director Information 董事資料

Director's Name 董事姓名	Nationality 國籍	Passport/ID Card No. 護照/身份證號碼	Residential Address 住宅地址

**c) Beneficial Owner Information 實益擁有人資料**

Beneficial Owner means an individual (1) who owns or controls, directly or indirectly, more than 25% of the issued share capital or voting rights of the corporation; or absent such individual in (1), means an individual (2) who exercises ultimate control over the management or the corporation.

實益擁有人指（1）直接或間接地擁有或控制多於公司25%已發行股本或投票權的個人；或如沒有前述（1）中提及的個人，指（2）對該法團的管理行使最終控制權的個人。

Name 姓名	Nationality 國籍	Passport/ID Card No. 護照/身份證號碼	Shareholding 所佔股權（%）	Residential Address 住宅地址

**d) Settlement Account Information 結算賬戶資料**

The following bank account is the Settlement Account under and within the meaning in the Client Agreement and for the relevant settlement agreements. The Client hereby instructs and authorizes Huatai (Hong Kong) Futures to deposit all payments payable to the Client into the following bank account within reasonable time. Huatai (Hong Kong) Futures shall not be held liable for any loss, expenses or damages suffered by the Client as a result of any delay in depositing such payments caused by any reason whatsoever.

以下的銀行賬戶是客戶協議書中所提及的結算賬戶，並作有關之結算安排。客戶謹此指示及授權華泰（香港）期貨將所有應支付客戶之款項存入下列之銀行賬戶。華泰（香港）期貨會於合理時間內盡快為客戶存入款項到客戶指定的下列銀行賬戶。華泰（香港）期貨不會對延遲存入該款項而令客戶蒙受任何損失承擔任何法律責任。

Bank Name 銀行名稱	Please provide Bank location if it is not in HK 如非香港銀行，請提供銀行所在地	Bank Account Name 銀行賬戶名稱	Currency 幣種	Bank Account No. 銀行賬戶號碼

**2. Financial Profile 客戶財務狀況**

Latest Annual Net Profit 最近年度淨利潤（HK\$港幣）：				
<input type="checkbox"/> <\$250,000	<input type="checkbox"/> \$250,000 ~ \$500,000	<input type="checkbox"/> \$500,001 ~ \$1,000,000	<input type="checkbox"/> > \$1,000,000 Please specify amount 請註明金額: _____	
Total Value of Assets 資產總值（HK\$ 港幣）（Including liquid assets and fixed assets 包括流動資產及非流動資產）：				
<input type="checkbox"/> <\$500,000	<input type="checkbox"/> \$500,000 ~ \$2,500,000	<input type="checkbox"/> \$2,500,001 ~ \$5,000,000	<input type="checkbox"/> > \$5,000,000 Please specify amount 請註明金額: _____	
Total Value of Liquid Assets 流動資產總值（HK\$港幣）				
Liquid Assets means cash or assets that can be converted into cash in a short time 流動資產指現金或可短期變現的資產				
<input type="checkbox"/> <\$500,000	<input type="checkbox"/> \$500,000 ~ \$2,500,000	<input type="checkbox"/> \$2,500,001 ~ \$5,000,000	<input type="checkbox"/> \$5,000,001 ~ \$8,000,000	<input type="checkbox"/> >\$8,000,000 Please specify amount 請註明金額: _____
Source of Wealth 財富來源				
<input type="checkbox"/> Business Income 營業收入	<input type="checkbox"/> Return of Investments 投資回報	<input type="checkbox"/> Savings 儲蓄	<input type="checkbox"/> Service Income 服務收入	
<input type="checkbox"/> Dividend/Interest 股息/利息收入	<input type="checkbox"/> Sale/Lease of Property/Assets 出售/出租物業/資產	<input type="checkbox"/> Others, please specify 其它，請註明 _____		

**3. Client's Investment Profile and Knowledge of Derivative Products (To Be Completed by the Person Who Makes Investment Decisions)**

客戶投資經驗、目標及對衍生產品的認識（由作出投資決策的人員填寫）

Client's Investment Objective 客戶投資目標:				
<input type="checkbox"/> Long Term Capital Growth 長期資本增長		<input type="checkbox"/> Speculation 投機		
<input type="checkbox"/> Arbitrage 套利		<input type="checkbox"/> Hedging 對沖		
<input type="checkbox"/> Others, please specify 其它, 請註明 _____				
Investment Products and Investment Experience 曾買賣產品及投資經驗:				
<input type="checkbox"/> Shares 股票	<input type="checkbox"/> < 1 year 少於一年	<input type="checkbox"/> 1-3 years 一至三年	<input type="checkbox"/> 3-5 years 三至五年	<input type="checkbox"/> > 5 years 多於五年
<input type="checkbox"/> CBBC 牛熊證	<input type="checkbox"/> < 1 year 少於一年	<input type="checkbox"/> 1-3 years 一至三年	<input type="checkbox"/> 3-5 years 三至五年	<input type="checkbox"/> > 5 years 多於五年
<input type="checkbox"/> Warrants 衍生權證 (窩輪)	<input type="checkbox"/> < 1 year 少於一年	<input type="checkbox"/> 1-3 years 一至三年	<input type="checkbox"/> 3-5 years 三至五年	<input type="checkbox"/> > 5 years 多於五年
<input type="checkbox"/> Futures 期貨	<input type="checkbox"/> < 1 year 少於一年	<input type="checkbox"/> 1-3 years 一至三年	<input type="checkbox"/> 3-5 years 三至五年	<input type="checkbox"/> > 5 years 多於五年
<input type="checkbox"/> Options 期權	<input type="checkbox"/> < 1 year 少於一年	<input type="checkbox"/> 1-3 years 一至三年	<input type="checkbox"/> 3-5 years 三至五年	<input type="checkbox"/> > 5 years 多於五年
<input type="checkbox"/> Funds 基金	<input type="checkbox"/> < 1 year 少於一年	<input type="checkbox"/> 1-3 years 一至三年	<input type="checkbox"/> 3-5 years 三至五年	<input type="checkbox"/> > 5 years 多於五年
<input type="checkbox"/> Bonds 債券	<input type="checkbox"/> < 1 year 少於一年	<input type="checkbox"/> 1-3 years 一至三年	<input type="checkbox"/> 3-5 years 三至五年	<input type="checkbox"/> > 5 years 多於五年
<input type="checkbox"/> Others 其他:	<input type="checkbox"/> < 1 year 少於一年	<input type="checkbox"/> 1-3 years 一至三年	<input type="checkbox"/> 3-5 years 三至五年	<input type="checkbox"/> > 5 years 多於五年
Client's Knowledge on Derivative Products 客戶對衍生產品的認識:				
<input type="checkbox"/> The Client underwent training or attended courses on derivative products; and/or 客戶曾接受有關衍生產品的培訓或修讀相關課程; 及/或  <input type="checkbox"/> The Client has current or previous work experience related to derivative products; and/or 客戶現時或過去擁有與衍生產品有關的工作經驗; 及/或  <input type="checkbox"/> The Client has executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, Commodities, Structured Products, and Exchange Traded Funds, etc. 客戶於過去3年曾執行5次或以上有關衍生產品的交易, 如: 衍生權證、牛熊證、股票期權、期貨及期權、商品、結構性產品及交易所買賣基金等。  The Client have the above experience and/or knowledge on derivative product(s). 客戶有上述一項或以上的衍生產品相關經驗及/或認識。  <input type="checkbox"/> The Client do not have the above experience and/or knowledge on derivative product(s), but the Client confirm that the Client fully read, agreed and understood the relevant risks of the derivative product(s). The Client understand that the Client has to acquire enough understanding on derivative product(s) before trading them and the Client fully accept all relevant risks. 客戶沒有上述經驗及/或認識, 但已細閱、同意及明白所有關於衍生產品的風險聲明, 客戶明白於買賣有關衍生產品前必須先具備足夠的認識, 並願意接受一切有關的風險。  Huatai (Hong Kong) Futures have assessed the Client based on the information provided above, and have notified the Client that it is compulsory to understand the derivative products before trading them. Huatai (Hong Kong) Futures have also warned the Client about the nature and risk of the derivative products. 華泰(香港)期貨已根據以上的資料對客戶進行評估, 並已通知客戶買賣有關衍生產品前必須先具備足夠的認識, 及提示客戶有關衍生產品之性質及風險。				

#### 4. Other Disclosures 其他資料披露

<p>Is the company listed on any stock exchange/a licensed corporation registered with the Securities and Futures Commission/a member of any futures exchange/an institution authorized under the Banking Ordinance to carry on the business of taking deposits? 客戶是否在任何證券交易所上市/是根據《證券及期貨條例》下登記的持牌法團/是一家期貨交易所之會員/是否為根據《銀行業條例》下獲認可經營接受存款業務的機構?</p> <p><input type="checkbox"/> No, 否</p> <p><input type="checkbox"/> Yes, please provide details such as Name of Exchange, CE Number, Name of futures exchange 是, 請提供具體信息, 例如上市的交易所、CE編號、是會員的交易所 _____</p>
<p>Is any of the above-mentioned shareholders/directors of the company, the company's authorized persons, the person ultimately responsible for giving instructions for the Account or the ultimate beneficial owner of the Account (in each case, a "Relevant Person"), a director or employee or accredited person of an exchange participant of the SEHK or HKFE, or a licensed or registered person of the Securities and Futures Commission ("SFC")? 客戶上述的任何股東/董事、客戶的獲授權人、最終負責就賬戶發出指示的人士或賬戶的最終實益擁有人(在每一情況下, 稱為“相關人士”) 是否為聯交所或期交所之交易所參與者或證監會之持牌人或註冊人之董事、雇員或認可人士?</p> <p><input type="checkbox"/> No, 否</p>

☐ Yes, (If yes, please specify) 是 (如果是,請述明具體: \_\_\_\_\_)

Is any of the above-mentioned shareholders/directors of the company, the company's authorized persons, the person ultimately responsible for giving instructions for the Account or the ultimate beneficial owner of the Account or any of their relatives, currently employed by Huatai (Hong Kong) Futures?

客戶上述的任何股東 / 董事、客戶的獲授權人、最終負責就賬戶發出指示的人士或賬戶的最終實益擁有人或其親屬, 是否受僱於華泰 (香港) 期貨?

☐ No 否

☐ Yes 是 (If yes, please specify Name & Relationship 如是, 請述明姓名及關係: \_\_\_\_\_)

Has any of the company's directors or shareholders been arrested/tried/sentenced/disciplined for illegal activities or violating regulatory requirements?

客戶公司之任何董事或股東是否曾經涉及違法或違反監管守則而被捕/受審/被判刑/被紀律處分?

☐ No, 否

☐ Yes, (If yes, please specify) 是 (如果是,請述明具體: \_\_\_\_\_)

Is any of the above-mentioned shareholders/directors of the company, the company's authorized persons, the person ultimately responsible for giving instructions for the Account or the ultimate beneficial owner of the Account, a PEP or linked to a PEP? Politically Exposed Person-individual who is or has been entrusted with prominent public function e.g. head of state/government, senior politician, senior government, judicial or military official, senior executive of government-owned corporation, important political party official, etc.

客戶的上述的任何股東/董事、客戶的獲授權人、最終負責就賬戶發出指示的人士或賬戶的最終實益擁有人是否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); 或以上人士之家人 (包括配偶、伴侶、子女或父母, 或該名個人的子女的配偶或伴侶) 及其他關係密切的人?

☐ No, 否

☐ Yes, (If yes, please specify) 是 (如果是,請述明具體: \_\_\_\_\_)

## 5. Declaration and Client Signature 聲明及客戶簽署

I/we hereby declare that I am/we are the only party who have the ultimate interests in the Account and the information given in this form is true and correct and that I/we have not willfully withheld any material fact(s). I/we understand that I/we may be required to provide additional information or submit documentary proof as to the information provided in this form when requested to do so. I/we also undertake to notify Huatai (Hong Kong) Futures immediately (in any event, within 30 days) of any changes to the information given above. I/we understand that our submission of this form and the acceptance of this form by Huatai (Hong Kong) Futures in no way implies approval for opening of the Account for me/us and that Huatai (Hong Kong) Futures reserves the right to reject our application

本人/吾等謹此聲明本人/吾等為賬戶最終實益之擁有人, 表格上提供之所有資料均為真實及正確, 本人/吾等並未刻意隱瞞任何重要事實。除上述提供的資料外, 本人/吾等清楚華泰 (香港) 期貨會要求本人/吾等提供更多相關的資料或證明文件。本人/吾等亦同意如上述資料有任何改變, 會立即 (在任何情況下, 在30天內) 通知華泰 (香港) 期貨。本人/吾等明白本人/吾等遞交此表格及閣下接納此表格並非表示華泰 (香港) 期貨同意開立賬戶予本人/吾等, 並清楚華泰 (香港) 期貨保留拒絕本人/吾等開戶申請之權力。

Should I/we apply to open a Futures Trading Account with Huatai (Hong Kong) Futures, I/we agree to abide by the rules and regulations of The Hong Kong Futures Exchange Limited ("HKFE") or any other regulatory body(ies) as amended from time to time governing the purchase and sale of derivatives quoted on the HKFE or any other futures exchanges.

如本人/吾等向華泰 (香港) 期貨申請開立衍生工具買賣賬戶, 本人/吾等同意遵守香港期貨交易所及其他監管機構不時修訂以監管於香港期貨交易所或其他交易所進行衍生工具買賣之條例及規則。

I/we hereby acknowledge and confirm that the I/we have authorized Huatai (Hong Kong) Futures to deal with my/our moneys, the collateral and the margin upon and in accordance with Section 14 Client Money Standing Authority ("Standing Authority") of the Client Agreement. I/we acknowledge and confirm that the contents and effects of the Standing Authority have been explained to me/us, and I/we fully understand the contents and effects of the Standing Authority. I/we acknowledge and confirm the Standing Authority is required to be renewed annually and I/we have the choice to reject the renewal. If no written objection is received by mail from me/us, it means that I/we accept the extension and would be bound by the renewed Standing Authority.

本人/吾等謹此知悉及確認, 已根據《客戶協議書》內第14段之客戶款項常設授權 ("常設授權") 而授權華泰 (香港) 期貨處置本人/吾等的金錢、抵押品及保證金。本人/吾等知悉及確認常設授權的內容及作用已獲清楚解釋, 而本人/吾等亦完全明白常設授權的內容及作用。客戶知悉及確認適用常設授權每年需延續一次。本人/吾等已授權華泰 (香港) 期貨每年替本人/吾等自動延續上述授權, 本人/吾等可提出反對。如華泰 (香港) 期貨未收到本人/吾等書面反對, 則表示本人/吾等同意及接受延續適用常設授權並繼續受其約束。

I/we hereby confirms and declares that I/we have read the terms and conditions of the Agreement (in particular, the Risk Disclosure Statement) and I/we understand and agree to be bound by its provision and have been invited to ask questions about the relevant laws and regulations, commission and fees schedules as well as the Risk Disclosure Statement and other documents in in the Agreement. I am/we are satisfied with the explanations and clarifications provided to me/us. I/we hereby declare that I am/we are willing and capable of fulfilling the duties and obligations as specified in the Client Agreement.

本人/吾等已經閱讀及明白客戶協議書之條款及條件（尤其是風險披露聲明），本人/吾等接納並同意受該等條款及條件之約束并已接受華泰（香港）期貨的提醒，可以詢問相關法律法規、佣金費用和有關客戶協議書的風險披露聲明及其他文件等問題。本人/吾等充分理解貴公司對相關問題的解釋和說明，本人/吾等有能力並願意履行承擔客戶協議書規定的權利和義務。

#### DIRECT MARKETING CONSENT 直接促銷同意書

Huatai (Hong Kong) Futures together with its Affiliates (collectively referred to hereinafter as the "Group") intends to use the Client's data in direct marketing, please tick the following:

華泰（香港）期貨及其聯屬人（統稱為“集團”）擬使用客戶的資料作直接行銷，請在下列選項中勾選：

- ☐ I/we hereby consent to Huatai (Hong Kong) Futures together with its Group and relevant third parties using and disclosing the personal data provided in the Account Opening Form for the purposes of marketing and promoting products and/or services from Huatai (Hong Kong) Futures or any member of its Group.

本人/吾等特此同意華泰（香港）期貨及其集團、相關第三方，為行銷或推廣華泰（香港）期貨或任何其集團成員之產品及/或服務的目的而使用及披露本開戶表格中所的個人資料。

- ☐ I/we do not wish to receive information of products and/or services from Huatai (Hong Kong) Futures or any member of its Group.

本人/吾等不希望獲收華泰（香港）期貨或任何其集團成員之產品及/或服務的資訊。

#### RECEIPT OF ONLINE TRADE EXECUTION NOTIFICATION 收取互聯網交易執行通知

I/we hereby request that I/we shall

- ☐ NOT Receive ☐ Receive

online trade execution notifications. If I/we select to not receive such notification, I/we confirm that I/we understand and accept the Risks Involved in Not Receiving "Online Trade Execution" Notifications in the Risk Disclosure Statement in the Client Agreement and I/we will inform Huatai (Hong Kong) Futures in writing should I wish to receive online trade execution notification in the future.

本人 / 吾等謹此要求

- ☐不收取 ☐收取

互聯網執行交易通知。如本人 / 吾等選擇不收取該等通知，本人 / 吾等確認已詳細閱讀並知悉及同意《客戶協議書》內風險披露聲明中不收取“執行交易”通知所涉及的風險之部分，並且如本人/吾等於將來決定收取互聯網執行交易通知，會以書面方式通知華泰（香港）期貨。

#### Company Chop & Authorised Signatures

公司印章及客戶簽署：

#### Date

日期：

#### SIGNED by Witness 見證人簽署

I, the undersigned, have witnessed the signature and inspected the original identity documents of the above named Client.

本人已見證簽署及驗證上述客戶之簽署及有關其身分證明文件之正本。

#### SIGNED and DECLARED by Licensed Representative 持牌代表聲明及簽署

I have provided and explained the Risk Disclosure Statement in the Client Agreement to the Client, and have invited the Client to read its contents carefully and advised the Client to raise questions regarding its contents and seek independent legal advice according to his/her/their wishes.

本人已向客戶提供及解釋客戶協議書內風險披露聲明，並已邀請客戶仔細閱讀其內容及建議客戶就其內容提出問題及按其意願尋求獨立法律意見。

Signature of Witness 見證人簽署	Signature of Licensed Representative 持牌代表簽署
<hr/> Full Name of Witness (Print) 見證人姓名（請以正楷書寫）	<hr/> Full Name of Licensed Representative (Print) 持牌代表姓名（請以正楷書寫）
<hr/> Witness Qualification Registration No. 見證人專業資格登記號	<hr/> CE Number of Licensed Representative 持牌代表中央編號
Date日期	Date日期