

招銀國際期貨有限公司（“招銀國際期貨”）

CMB International Futures Limited (“CMBIF”)

Account Opening Agreement-Corporate 開戶協議-法團

招銀國際期貨有限公司
香港中環花園道 3 號
冠君大廈 45 樓

CMB International Futures Limited
45/F, Champion Tower,
3 Garden Road, Central, Hong Kong

電話 Tel: (852) 3761-8811

傳真 Fax: (852) 3761-8788

This agreement is made up of the following documents:- the Client' s Account Agreement, Risk Disclosure Statement, Personal Data Protection Statement, Market Data Subscription Agreement and other related documents provided by CMBIF; and shall be effective after signing by the client(s) on the relevant forms and approved by CMBIF. 本開戶協議由如下文件及隨附的客戶帳戶協議、風險披露聲明、個人資料保障聲明、市場資料訂閱協定及其他招銀國際期貨提供之相關文件組成，於客戶簽署相關表格及招銀國際期貨批准後生效。

1. ACCOUNT INFORMATION
帳戶資料
2. DERIVATIVES KNOWLEDGE ASSESSMENT
衍生工具知識評估
3. COMMON REPORTING STANDARD (CRS) - SELF DECLARATION FORM-ENTITY
共同申報準則- 自我證明表格 – 實體
4. COMMON REPORTING STANDARD (CRS) - SELF DECLARATION FORM-CONTROLLING PERSON (If Applicable)
共同申報準則- 自我證明表格 – 控權人 (如適用)
5. BOARD RESOLUTION
董事決議案
6. ACKNOWLEDGEMENT BY CLIENT
客戶聲明
7. APPOINTMENT OF PROCESS AGENT (If Applicable)
法律文件接收人委任書 (如適用)

Account No. 帳號		Account Effective Date 帳戶生效日		Name of AE 客戶經理	
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Please read the Appendices, the attached Client's Account Agreement and related documents and terms before you sign this form. 請在簽署本表格前仔細閱讀附件、隨附的客戶帳戶協議及相關的文件及條款。

Please noted that you can trade below COMPLEX products with the account to be opened in CMBIF 請注意，閣下可經即將於招銀國際期貨開立的帳戶買賣以下「複雜產品」：

- Futures contracts traded on the Hong Kong Futures Exchange Limited ("HKFE") or the Exchange of specified jurisdictions 於香港期貨交易所 (「期交所」) 或指明司法管轄管區買賣的期貨合約；
- Any other investment products the SFC may specify from time to time 証監會可能不時指明的任何其他投資產品。

Warning Statements in relation to trading of COMPLEX product 買賣複雜產品的警告聲明

- The product listed above are COMPLEX products and you should exercise caution in relation to these products. You should carefully consider whether trading or investment is suitable in light of (including but not limited to) your own risk tolerance, financial situation, investment experience, investment objectives, investment horizon and investment knowledge. If needed, you should seek independent professional advice. 以上產品是複雜產品，請閣下務必審慎行事。閣下在作出任何投資決定前，應考慮個人狀況，包括但不限於閣下的財政狀況、投資經驗及投資目標。如有需要，請考慮諮詢閣下的獨立投資顧問。
- Due to dynamic changes in the market, the price movement and volatility of these products may not be the same as expected by customers. Your fund may increase or reduce due to the purchase or sale of investment products. The loss incurred from investment maybe the same or greater than initial investment amount. 由於市場瞬息萬變，以上產品的買賣價格 (如有) 升跌及波幅可能非如閣下預期，閣下資金可能因買賣此產品而有所增加或減少，投資的損失可能等同或大於最初投資金額。
- The information or any product offering documentation issued of these product have not been reviewed by SFC and may contain information of non-SFC authorized products. You should exercise caution in relation to the product. If you have any query on the information or any product offering documentation provided, you should seek independent professional advice. 以上產品的發行人刊發的要約文件及/或產品資產料未經證監會審閱，並可能載有未經證監會認可的產品資料，閣下務必審慎行事。如閣下對產品發行人提供的要約文件及/或產品資料有任何疑問，請考慮諮詢閣下的獨立投資顧問。
- These products may be authorized by the SFC. SFC authorization is not a recommendation or endorsement of the product nor does it guarantee the commercial merits of the fund(s) or its performance. It does not mean the product is suitable for all investors nor is it an endorsement of its suitability for any particular investor or class of investors. 以上產品或得證監會認可，惟證監會認可不等如對產品作出推介或認許，亦不是對產品的商業利弊或表現作出保證，更不代表產品適合所有投資者，或認許產品適合任何個別投資者或任何類別的投資者。
- Past performance (if any) is not necessarily a guide to future returns, and no representation or warranty, express or implied, is made regarding future performance. 產品的過往表現 (如有) 不能被視為將來表現的指示或保證，也不能代表或對將來表現做出任何明示或暗示的保障。

Part 1-Account Information

第一部份-帳戶資料

Account Type 帳戶類別

<input checked="" type="checkbox"/> Futures Account 期貨帳戶 <input checked="" type="checkbox"/> I/We agree to register all existing trading channels to conduct the selected futures services above. I/We have read and agreed to the Client's Account Agreements and all related documents. The Client account code and password will be sent to my/our registered email. 本人/吾等同意登記現行所有交易渠道以辦理上述所選的期貨服務。本人/吾等已閱讀並同意客戶帳戶協議及所有相關文件。帳戶號碼及密碼將發送至本人/吾等登記之電郵地址。
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Corporate Data 公司基本資料

Company (Account) Name in English 公司(帳戶)英文名稱	
Company Name in Chinese 公司(帳戶)中文名稱	
Nature of Entity 公司性質	<input type="checkbox"/> Sole Proprietorship 獨資 <input type="checkbox"/> Listed Company 上市公司 <input type="checkbox"/> Partnership 合夥 <input type="checkbox"/> Others, please specify 其他，請註明： <input type="checkbox"/> Limited Company 有限公司
Applicable to Listed Company 上市公司適用	Name(s) of Stock Exchange 交易所名稱 Stock Code 股票編號
Nature of Business 業務性質	
Registered Address 註冊地址	
Principal Business Address 主要營業地址	If different from Registered Address, please specify 如與註冊地址不相同，請註明:
Correspondence Address 通訊地址	<input type="checkbox"/> Same As Registered Address 與註冊地址相同 <input type="checkbox"/> Same As Principal Business Address 與主要營業地址相同 <input type="checkbox"/> Others, please specify 其他，請註明:
If a HK Address (non-PO BOX) cannot be provided, please complete [Part8-ApPOINTment of Process Agent]. 如未能提供香港地址（非郵政信箱），必須填寫 [第八部份、法律文件接收人委任書]。	
Place of Incorporation 註冊地點	Date of Incorporation 註冊日期
Certificate of Incorporation No. 公司註冊號碼	Business Registration No. 商業登記號碼
Legal Entity Identifier (LEI) 法律實體識別編碼	E-mail address 電郵地址
Company Website (if any): 公司網址（如有）	
Purpose of Account Opening 開戶目的：	<input type="checkbox"/> Investment 投資 <input type="checkbox"/> Others, please specify 其他，請註明
U.S. citizen or a U.S. tax resident. 美國公民或就稅務目的而言的居民	<input type="checkbox"/> Yes 是, and we confirm that 是，我/我們確認 (i) we are not residing inside the United States and that all instructions will not be given and occur inside the United States; and 我/我們並不居住於美國及所有帳戶指令不會在美國境內發出；及 (ii) we will not trade US stocks or in the US markets through CMBIF. 我/我們不會交易美股或透過招銀國際期貨在美國市場進行交易。 <input type="checkbox"/> No 否

Contact Person Information 聯絡人資料

		Contact Person 聯絡人 (1)	Contact Person 聯絡人 (2)
Name in English 英文姓名	First Name 名字		
	Middle Name 中間名		
	Last Name 姓氏		
	Alias 別名		
Name in Chinese 中文姓名			
Job Title (if applicable) 工作職位 (如適用者)			
Telephone No. (Office) 電話號碼 (辦公室)	+ Country Code-Area Code-Phone No. + 國家代碼-地區代碼-電話號碼		
Fax No. 傳真號碼	+ Country Code-Area Code-Phone No. + 國家代碼-地區代碼-電話號碼		
Mobile (Note 3a) 手提電話 (註 3a)	+ Country Code-Area Code-Phone No. + 國家代碼-地區代碼-電話號碼		
E-mail address (Note 3b) 電郵地址 (註 3b)			
Note 3a: This will be the registered number to receive 2FA One-Time Password by default. 註 3a: 此手提電話號碼將預設成為登記電話號碼以接收雙重認證的一次性密碼。			
Note 3b: This E-mail address will be registered to receive to receive notification on system login, trade execution and password reset if you have subscribed for the online trading service. 註 3b: 如有開通網上交易服務, 此電子郵件將登記用作接收系統登入、交易執行及變更密碼通知。			

Financial Information 財務資料簡要

Place of origin of the fund source 資金來源地	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Others, please specify 其他，請註明：_____	<input type="checkbox"/> China 中國
Initial Source of Fund 資金最初來自	<input type="checkbox"/> Operational Income 營運收入/ Investment Income 投資收入 <input type="checkbox"/> Rental Income 租金收入/ Interest Income 利息收入/ Dividend Income 股息收入 <input type="checkbox"/> Funds from shareholders 股東資金/capital contributions from partners 合夥人注/ Sale of Investment 出售投資 <input type="checkbox"/> Others, please specify 其他，請註明：_____	
Ongoing Source of Fund 資金的持續來源	<input type="checkbox"/> Operational Income 營運收入/ Investment Income 投資收入 <input type="checkbox"/> Rental Income 租金收入/ Interest Income 利息收入/ Dividend Income 股息收入 <input type="checkbox"/> Funds from shareholders 股東資金/capital contributions from partners 合夥人注/ Sale of Investment 出售投資 <input type="checkbox"/> Others, please specify 其他，請註明：_____	
Countries of Major Counterparties 主要交易對手之國家	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Others, please specify 其他，請註明：_____	<input type="checkbox"/> China 中國
Estimated Net Worth 預計淨資產值	HK\$	Estimated Liquid Net Worth 預計流動淨資產值
Monthly Expected Investment Amount in CMBIF 每月預計於招銀國際期貨的投資金額 The expected investment amount includes the aggregate value of unit price of purchased futures contract, future option contracted value and etc. 預計投資金額包括購入的期貨合約的單價總值，期貨期權的合約價值等。		
HK\$		

Simplified Investment Objective and Experience Questionnaire 簡易投資目標及經驗問卷

Investment Objective 投資目標	<input type="checkbox"/> Capital Preservation 保本為主 <input type="checkbox"/> Income Oriented 收入主導 <input type="checkbox"/> Income-and-Growth 收入及增長 <input type="checkbox"/> Growth Oriented 增長主導 <input type="checkbox"/> Aggressive Growth 積極增長
No. of years of experience you have in investment (such as Mandatory Provident Fund, foreign currency, shares, futures, derivatives, funds and bonds) 投資經驗 (年) (如強積金、外幣、股票、期貨、衍生工具、基金及債券)	<input type="checkbox"/> No experience 無經驗 <input type="checkbox"/> Not more than 1 year 不超過 1 年 <input type="checkbox"/> Not more than 3 years 不超過 3 年 <input type="checkbox"/> Not more than 5 years 不超過 5 年 <input type="checkbox"/> More than 5 years 超過 5 年
Types of product(s) you have previously invested (more than 1 answer can be selected) 曾投資過的產品 (可選擇多於一項)	<input type="checkbox"/> None 沒有 <input type="checkbox"/> Shares 股票 <input type="checkbox"/> Futures 期貨 <input type="checkbox"/> Derivatives 衍生工具 <input type="checkbox"/> CD 存款證/Bonds 債券 <input type="checkbox"/> Funds 基金/MPF 強積金 <input type="checkbox"/> Others, please specify 其他，請註明

All Directors 所有董事

		Director 董事 (1)	Director 董事 (2)
Name in English 英文姓名 (Applicable to Individual 個人適用)	First Name 名字		
	Middle Name 中間名		
	Last Name 姓氏		
	Alias 別名		
Name in English 英文姓名 (Applicable to Entity 公司適用)			
Name in Chinese 中文姓名			
Identity Document Types 身份證明文件類別 <small>註 1: Please provide your passport to prove your nationality. 請提供你的護照以證明國籍。</small>		<input type="checkbox"/> HK Permanent ID card 香港永久性居民身份證 <input type="checkbox"/> HKID Card 香港居民身份證(註 1) <input type="checkbox"/> PRC ID Card 中華人民共和國居民身份證 <input type="checkbox"/> Passport 護照 <input type="checkbox"/> Business Registration 商業登記証 <input type="checkbox"/> Certificate of Incorporation 公司註冊証書 <input type="checkbox"/> Others 其他：	<input type="checkbox"/> HK Permanent ID card 香港永久性居民身份證 <input type="checkbox"/> HKID Card 香港居民身份證(註 1) <input type="checkbox"/> PRC ID Card 中華人民共和國居民身份證 <input type="checkbox"/> Passport 護照 <input type="checkbox"/> Business Registration 商業登記証 <input type="checkbox"/> Certificate of Incorporation 公司註冊証書 <input type="checkbox"/> Others 其他：
ID/ Passport No 身份證明文件號碼			
Place of Issue 簽發地			
Nature of Entity 公司性質 (Applicable to Entity 公司適用)		<input type="checkbox"/> Sole Proprietorship 獨資 <input type="checkbox"/> Partnership 合夥 <input type="checkbox"/> Limited Company 有限公司 <input type="checkbox"/> Listed Company 上市公司 <input type="checkbox"/> Others 其他：	<input type="checkbox"/> Sole Proprietorship 獨資 <input type="checkbox"/> Partnership 合夥 <input type="checkbox"/> Limited Company 有限公司 <input type="checkbox"/> Listed Company 上市公司 <input type="checkbox"/> Others 其他：
Stock Exchange & Stock Code 交易所名稱及股票編號			
Residential Address/Registered Address 住宅地址/註冊地址：			

Immediate Shareholder(s) (Shareholding of 25% or more) 直接股東 (持有 25%或之上股權) #

		Shareholder 股東 (1)	Shareholder 股東 (2)
Name in English 英文姓名 (Applicable to Individual 個人適用)	First Name 名字		
	Middle Name 中間名		
	Last Name 姓氏		
	Alias 別名		
Name in English 英文姓名 (Applicable to Entity 公司適用)			
Name in Chinese 中文姓名			
Identity Document Types 身份證明文件類別 <small>註 2: Please provide your passport to prove your nationality. 請提供你的護照以證明國籍。</small>		<input type="checkbox"/> HK Permanent ID card 香港永久性居民身份證 <input type="checkbox"/> HKID Card 香港居民身份證(註 2) <input type="checkbox"/> PRC ID Card 中華人民共和國居民身份證 <input type="checkbox"/> Passport 護照 <input type="checkbox"/> Business Registration 商業登記証 <input type="checkbox"/> Certificate of Incorporation 公司註冊証書 <input type="checkbox"/> Others 其他 :	<input type="checkbox"/> HK Permanent ID card 香港永久性居民身份證 <input type="checkbox"/> HKID Card 香港居民身份證(註 2) <input type="checkbox"/> PRC ID Card 中華人民共和國居民身份證 <input type="checkbox"/> Passport 護照 <input type="checkbox"/> Business Registration 商業登記証 <input type="checkbox"/> Certificate of Incorporation 公司註冊証書 <input type="checkbox"/> Others 其他 :
ID/ Passport No 身份證明文件號碼			
Place of Issue 簽發地			
Nature of Entity 公司性質 (Applicable to Entity 公司適用)		<input type="checkbox"/> Sole Proprietorship 獨資 <input type="checkbox"/> Partnership 合夥 <input type="checkbox"/> Limited Company 有限公司 <input type="checkbox"/> Listed Company 上市公司 <input type="checkbox"/> Others 其他 :	<input type="checkbox"/> Sole Proprietorship 獨資 <input type="checkbox"/> Partnership 合夥 <input type="checkbox"/> Limited Company 有限公司 <input type="checkbox"/> Listed Company 上市公司 <input type="checkbox"/> Others 其他 :
Stock Exchange & Stock Code 交易所名稱及股票編號			
Residential Address/Registered Address 住宅地址/註冊地址 :			
Shareholding 股權(%)			
U.S. citizen or a U.S. tax resident. 美國公民或就稅務目的而言的居民		<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否

This part is not applicable to listed entities and state owned enterprises. 此部份不適用於上市公司及國有企業。

Ultimate beneficial owner(s) ["UBO"] (Shareholding of 25% or more) 最終實益擁有人 (持有 25%或之上股權) #

Please provide details of ultimate beneficial owner(s) ["UBO"] (Shareholding of 25% or more) if they are different from the above immediate shareholder(s) information 如最終實益擁有人 (持有 25%或之上股權) 與上述直接股東不同，請提供最終實益擁有人之資料：

		Shareholder 股東 (1)	Shareholder 股東 (2)
Name in English 英文姓名 (Applicable to Individual 個人適用)	First Name 名字		
	Middle Name 中間名		
	Last Name 姓氏		
	Alias 別名		
Name in English 英文姓名 (Applicable to Entity 公司適用)			
Name in Chinese 中文姓名			
Identity Document Types 身份證明文件類別 <small>註 3: Please provide your passport to prove your nationality. 請提供你的護照以證明國籍。</small>		<input type="checkbox"/> HK Permanent ID card 香港永久性居民身份證 <input type="checkbox"/> HKID Card 香港居民身份證(註 3) <input type="checkbox"/> PRC ID Card 中華人民共和國居民身份證 <input type="checkbox"/> Passport 護照 <input type="checkbox"/> Business Registration 商業登記証 <input type="checkbox"/> Certificate of Incorporation 公司註冊証書 <input type="checkbox"/> Others 其他：	<input type="checkbox"/> HK Permanent ID card 香港永久性居民身份證 <input type="checkbox"/> HKID Card 香港居民身份證(註 3) <input type="checkbox"/> PRC ID Card 中華人民共和國居民身份證 <input type="checkbox"/> Passport 護照 <input type="checkbox"/> Business Registration 商業登記証 <input type="checkbox"/> Certificate of Incorporation 公司註冊証書 <input type="checkbox"/> Others 其他：
ID/ Passport No 身份證明文件號碼			
Place of Issue 簽發地			
Nature of Entity 公司性質 (Applicable to Entity 公司適用)		<input type="checkbox"/> Sole Proprietorship 獨資 <input type="checkbox"/> Partnership 合夥 <input type="checkbox"/> Limited Company 有限公司 <input type="checkbox"/> Listed Company 上市公司 <input type="checkbox"/> Others 其他：	<input type="checkbox"/> Sole Proprietorship 獨資 <input type="checkbox"/> Partnership 合夥 <input type="checkbox"/> Limited Company 有限公司 <input type="checkbox"/> Listed Company 上市公司 <input type="checkbox"/> Others 其他：
Stock Exchange & Stock Code 交易所名稱及股票編號			
Residential Address/Registered Address 住宅地址/註冊地址：			
Shareholding 股權(%)			
U.S. citizen or a U.S. tax resident. 美國公民或就稅務目的而言的居民		<input type="checkbox"/> Yes, and I/we confirm that 是，本人/我司確認 (i) I am/we are not residing inside the United States and that all instructions will not be given and occur inside the United States; and 本人/我司並不居住於美國及 所有帳戶指令不會在美國境內發出； 及 (ii) I/we will not trade US stocks or in the US markets through CMBIF. 本人/我司不會交易美股或透過招銀 國際期貨在美國市場進行交易 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes, and I/we confirm that 是，本人/我司確認 (i) I am/we are not residing inside the United States and that all instructions will not be given and occur inside the United States; and 本人/我司並不居住於美國及 所有帳戶指令不會在美國境內發出； 及 (ii) I/we will not trade US stocks or in the US markets through CMBIF. 本人/我司不會交易美股或透過招銀 國際期貨在美國市場進行交易 <input type="checkbox"/> No 否

This part is not applicable to listed entities and state owned enterprises. 此部份不適用於上市公司及國有企業。

Disclosure of Identity 相關身份披露

Is your Company a Licensed Corporation licensed by SFC? 貴公司是否為證券及期貨事務監察委員會之持牌或註冊法團?	<input type="checkbox"/> Yes 是, CE No 中央編號: _____ <input type="checkbox"/> No 否
Is any Director, Shareholder or Authorized Person of your Company an employee of any participant of the Stock Exchange of Hong Kong or a registered person under the Securities and Futures Ordinance? 貴公司之任何董事、股東或授權人士是否是聯交所參與者之雇員或根據證券及期貨條例註冊的持牌人士?	<input type="checkbox"/> Yes 是 Director/Shareholder/Authorized Person Name 董事、股東或授權人士姓名: _____ Participant Name 參與者名稱: _____ Position 職位: _____ CE No. 中央編號: _____ (Please provide a consent letter issued by the employer. 請提供僱主同意開戶證明。) <input type="checkbox"/> No 否
Is any Director, Shareholder or Authorized Person of your Company a staff of CMB International Futures Limited (CMBIF)? 貴公司之任何董事、股東或授權人士是否是招銀國際期貨的職員?	<input type="checkbox"/> Yes 是, Name 姓名: _____ Position 職位: _____ <input type="checkbox"/> No 否
Does any Director, Shareholder or Authorized Person of your Company have any relationship with the staff of CMB International Futures Limited? 貴公司之任何董事、股東或授權人士與招銀國際期貨的職員是否有親戚關係?	<input type="checkbox"/> Yes 是, Name of staff 僱員姓名: _____ Relationship 關係: _____ <input type="checkbox"/> No 否
Is any Director, Shareholder or Authorized Person or Related Company of your Company a Client of CMB International Futures Limited? 貴公司之任何董事、股東、授權人士或其關聯公司是否是招銀國際期貨的客戶?	<input type="checkbox"/> Yes 是, Account Name 帳戶名稱: _____ Account No. 帳戶號碼: _____ <input type="checkbox"/> No 否
Is member of your group companies currently maintaining Account(s) with CMB International Futures Limited? 貴公司集團旗下公司成員有否在本公司開設帳戶?	<input type="checkbox"/> Yes 是, Account Name 帳戶名稱: _____ Account No. 帳戶號碼: _____ <input type="checkbox"/> No 否

Settlement Account Information 結算帳戶資料

I Details of Bank Account (1) 銀行帳戶 (1) 資料		
Name of Bank 銀行名稱		Bank Code 銀行編號
Name of Bank Account 帳戶名稱		
SWIFT Code 銀行國際代碼		
Bank Account Number 帳戶號碼	(HKD 港幣/USD 美元/CNY 人民幣/MTC 多種貨幣)	
I Details of Bank Account (2) 銀行帳戶 (2) 資料		
Name of Bank 銀行名稱		Bank Code 銀行編號
Name of Bank Account 帳戶名稱		
SWIFT Code 銀行國際代碼		
Bank Account Number 帳戶號碼	(HKD 港幣/USD 美元/CNY 人民幣/MTC 多種貨幣)	

Futures Quote Service Application 期貨報價服務 (註 4 及 5)申請

Exchange 交易所	Delayed 延遲報價	<input type="checkbox"/> Non-Professional Subscribed 非專業人員 (註 6)		Professional Subscribed 專業人員
		Top of book 買價/賣價 (Monthly 每月) (註 7 及 8)	Market Depth 買價/賣價及價格深度 (Monthly 每月) (註 7 及 8)	Real Time 即時報價 (Monthly 每月) (註 7 及 8)
CBOT 芝加哥期貨交易所	Free 免費	<input type="checkbox"/> US 美元\$ 1	<input type="checkbox"/> US 美元\$ 5	<input type="checkbox"/> US 美元\$ 105
CME 芝加哥商品交易所	Free 免費	<input type="checkbox"/> US 美元\$ 1	<input type="checkbox"/> US 美元\$ 5	<input type="checkbox"/> US 美元\$ 105
COMEX 紐約商品交易所	Free 免費	<input type="checkbox"/> US 美元\$ 1	<input type="checkbox"/> US 美元\$ 5	<input type="checkbox"/> US 美元\$ 105
NYMEX 紐約商業交易所	Free 免費	<input type="checkbox"/> US 美元\$ 1	<input type="checkbox"/> US 美元\$ 5	<input type="checkbox"/> US 美元\$ 105
全部 4 個交易所	Free 免費	<input type="checkbox"/> US 美元\$ 3	<input type="checkbox"/> US 美元\$ 15	不適用

註 4: This Futures Quote Service is solely for your personal and non-commercial use and for your reference only. CMBIF endeavors to ensure the accuracy and reliability of the information but does not guarantee its accuracy or reliability and accept no liability (whether in tort or contract or otherwise) for any losses or damages arising from any inaccuracies or omissions. 此報價服務只供個人或團體作非商業用途及僅供參考之用。招銀國際期貨竭力提供準確及可靠的資料，但對其準確性及可靠性既不作任何保證，亦不負責因報價系統錯漏或延時而導致之任何損失。

註 5: CMBIF reserves the right to amend the Terms & Conditions relevant to the Service without prior notice. 招銀國際期貨保留隨時更改有關服務及收費之權利而不作另行通知。

註 6: Please refer and read the "Non-Professional" definition under Appendix 5 (Non Professional Self-Certification Form) in the Client's Account Agreement and make your declaration by checking the appropriate box. 請仔細閱讀客戶帳戶協議附件五、非專業人員自我證明書所述非專業人員的資格條件，並就自身所屬類別在適當空格內作出確認。

註 7: The Futures Quote Service is charged on a calendar month basis. Full month rate will be charged regardless of commencement date of service. You can terminate the Service by giving CMBIF a prior written notice (Fax or Email) at least 3 business days before the effective date. 即時報價服務申請以自然月計算，不足一個月亦以一個月收費，自你提交此申請開始計算費用。如要終止使用此報價服務，你必需於生效日或終止日之前的至少三個工作天，以傳真或電郵方式書面通知招銀國際期貨。

註 8: You are deemed to have agreed that your Futures account will be debited in advance monthly. Please maintain a credit balance and sufficient funds in the relevant Futures account. 你同意即時報價服務以每月方式，從你的期貨帳戶預先扣款，請你必須保留足夠資金。

Method of Communication 通訊方法

Trade Confirmation 交易確認	<input checked="" type="checkbox"/> E-mail address (Default) 電子郵箱 (預設)	<input type="checkbox"/> Mail 郵寄(註 9)
Statements & Notices 結單單據	<input checked="" type="checkbox"/> E-mail address (Default) 電子郵箱 (預設)	<input type="checkbox"/> Mail 郵寄(註 9)

(If select by E-mail, please read the [Client's Consent-Electronic Communication] below 如選以電子郵箱收件，請閱讀以下 [客戶同意書 - 電子通訊] 部份)

Client's Consent-Electronic Communication 客戶同意書 - 電子通訊

(Please check the box if you agree with the [Client's Consent-Electronic Communication]. 如你同意 [客戶同意書 - 電子通訊] 之條款，請劃選以下方格。)

☒ We, the undersigned client, hereby consent to CMB International Futures Limited (CMBIF) providing all notices, statements, trade confirmations and other communications by CMBIF to us through electronic communication and we hereby request, instruct and authorize CMBIF to transmit, release and send all notices, statements, contract notes and other communications (the "Communications") to me/us at my/our designated e-mail address. I/We, acknowledge and accept the risks of receiving the Communications via electronic communications, including but not limited to the risks as set out in the Cash Client's Agreement / Margin Client's Agreement and other related documents and terms and agree and undertake to hold CMBIF harmless from and against all losses, damages, interests, costs, expenses, actions, demands, claims or proceedings of whatsoever nature which we may incur, suffer and/or sustain as a result of CMBIF's provision of Communications via electronic communication. We understand we can only choose either receiving the Account statement via physical mail or via electronic communication. Once choosing electronic communication service, we shall not receive physical contract note and physical account statement by mail. We undertake to notify CMBIF of any changes in our email address. If CMBIF got two successive messages in relation to failure of sending the statement to our email address electronically, CMBIF has the right to send the statement to us via physical mail instead. In the event of any difference in interpretation or meaning between the English and Chinese version of this Consent, the Client agrees that the English version shall prevail. CMBIF has explained to us, and we acknowledge and agree to, the content of this consent. 我司，以下簽署之客戶，謹此同意招銀國際期貨有限公司（招銀國際期貨）通過電子通訊向我司以我司於所指定之電子郵箱寄發成交單據及其它通訊（該等通訊）。我司確認及接受通過電子通訊的風險，包括但不限於載於現金客戶協議書 / 保證金客戶協議書及其他相關文件及條款中所列的風險，並同意及承諾免除招銀國際期貨因招銀國際期貨通過電子服務提供該等通訊而令我司產生、蒙受及/或承受的一切虧損、損失、利息、費用、開支、法律訴訟、付款、索償等等的責任。我司明白我司只可從郵寄帳單或電子通訊選擇其一，一經選用電子通訊，我司將不會收到郵件形式寄發之成交單及月結單。於我司選用電子通訊期間，我司將第一時間通知招銀國際期貨有關我司電子郵箱的變更。假若招銀國際期貨寄發電子帳單後連續兩次收到錯誤之通訊，招銀國際期貨可選擇以郵寄形式取代電子通訊。如本同意書中、英文本之解釋或意思有不同，客戶同意以英文本為準。招銀國際期貨已向我司解釋本同意書，我司聲明我司完全明白同意書之內容。

註 9: There will be a relevant fee of physical statement service, which will be directly debited from the relevant account. Details please refer to the fee schedule on our official website. 收取郵寄結單，相關帳戶將被收取手續費。詳情請見官網上的收費表。

Part 2- Derivatives Knowledge Assessment

第二部份、衍生產品知識評估

This questionnaire serves to help CMB International Futures Limited understand your knowledge in derivative and assess whether your chosen product is suitable for you.

衍生產品問卷說明招銀國際期貨有限公司瞭解你對衍生工具的認識，並確認你是否能夠認購具有衍生工具的產品。

Account Name 帳戶名稱	
Account No 帳戶號碼	
Date of Completion 完成日期	

1. Do you read carefully and understand the features of and risks associated with the derivative products as documented in the Account Agreements-Schedule 3-Explanation of Risks associated with Exchange-Traded Derivative Products? 你已經仔細閱讀及明白載於《帳戶協議-附表 3-就在交易買賣的衍生產品所附帶的風險作出解釋》所述的衍生工具的特性及風險？	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有
2. Which is/are common type(s) of derivative in the market? 哪一些專案為常見的衍生工具產品？	<input type="checkbox"/> Futures 期貨 <input type="checkbox"/> Forwards 遠期合約 <input type="checkbox"/> Options 期權 <input type="checkbox"/> All of the above 上述各項皆是
3. What is/are the main function of derivatives in portfolio management? 在投資產品中，衍生工具的主要用途是什麼？	<input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Changing asset mix of investment portfolio 調配投資組合內的資產分配 <input type="checkbox"/> Income enhancement 提升收益 <input type="checkbox"/> All of the above 上述各項皆是
4. Which is/are the key risk(s) of using derivatives? 哪一些專案是使用衍生工具涉及的主要風險？	<input type="checkbox"/> Market risk 市場風險 <input type="checkbox"/> Liquidity risk 流動性風險 <input type="checkbox"/> Counterparty credit risk 交易對手信貸風險 <input type="checkbox"/> All of the above 上述各項皆是
5. Which will cause derivatives to magnify loss in adverse conditions? 哪一項會令衍生工具在市況欠佳時將損失增大？	<input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Leverage 槓桿 <input type="checkbox"/> Redemption/Switching 贖回轉換

I/We acknowledge and confirm that I/we have received and read the Personal Data Protection Statement attached to the Client Agreement entered into by me/us. I/We understand and agree that the information collected from me/us in this form together with any subsequent alterations or supplements to it can be used and/or transferred in accordance with any of the uses and purposes (including in relation to direct marketing) and/or to any of the transferees as fully described in the Personal Data Protection Statement and agreed by me/us pursuant to the Client Agreement.

本人/吾等進一步確認及確定，本人/吾等已明白及閱讀載於客戶資料中的個人資料保障聲明（不時作出修訂）。本人/吾等確認及同意從本人/吾等在本表格上收集的資料及日後之任何改動或補充，可根據個人資料保障聲明內的使用及目的（包括直接促銷）及/或轉交予受讓人的描述，而作使用及轉交。

Part 3- Common Reporting Standard – Self Certification Form (Entity)

第三部份、共同申報標準-自我證明表格 (實體)

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. 這是由帳戶時有人向申報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 his/her tax residency status to the reporting financial institution. 如帳戶持有人的稅務居民身份有所改變，應盡快將所有變更通知申報財務機構。
- 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別資料

(1) Legal Name of Entity or Branch 實體或分支機構的法定名稱 *

(2) Jurisdiction of Incorporation or Organization 實體成立為法團或設立所在的稅務管轄區

(3) Hong Kong Business Registration Number 香港商業登記號碼

(4) Current Business Address 現時營業地址

Line 1 (e.g. Suite, Floor, Building, Street, District)

第 1 行 (例如：室、樓層、大廈、街道、地區)

Line 2 (City) 第 2 行 (城市) *

Line 3 (e.g. Province, State) 第 3 行 (例如：省、州)

Country 國家 *

Post Code/ZIP Code 郵遞區號/郵遞區號碼 *

(5) Mailing Address 通訊位址 (Complete if different to the current business address 如通訊地址與現時營業地址不同，填寫此欄)

Line 1 (e.g. Suite, Floor, Building, Street, District)

第 1 行 (例如：室、樓層、大廈、街道、地區)

Line 2 (City) 第 2 行 (城市) *

Line 3 (e.g. Province, State) 第 3 行 (例如：省、州)

Country 國家 *

Post Code/ZIP Code 郵遞區號/郵遞區號碼 *

Part 2 Entity Type (Tick one of the appropriate boxes and provide the relevant information.)

第 2 部 實體類別 (在其中一個適當的方格內加上剔號, 並提供有關資料。)

Financial Institution 財務機構	<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。 <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。
Active NFE 主動非財務實體	<input type="checkbox"/> NFE the stock of which is regularly traded on 該非財務實體的股票經常在 _____ which is an established securities market (一個具規模證券市場) 進行買賣 <input type="checkbox"/> Related entity of _____ 的有關連實體, the stock of which is regularly traded on 該有關連實體的股票經常在 _____ which is an established securities market (一個具規模證券市場) 進行買賣 <input type="checkbox"/> NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體 <input type="checkbox"/> Active NFE other than the above 除上述以外的主動非財務實體 (Please specify 請說明 _____)
Passive NFE 被動非財務實體	<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財務機構管理的投資實體 <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

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. 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。

Complete Self-Certification Form – Controlling Person for each controlling person. 每名控權人須分別填寫一份 IR1457 表格 (自我證明表格 – 控權人)。

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

Part 4 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") *

第 4 部 居留司法管轄區及稅務編號或具有等同功能的識別編號 (以下簡稱「稅務編號」) *

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's TIN for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence. 提供以下資料, 列明 (a) 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) 該居留司法管轄區發給帳戶持有人的稅務編號。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 理由 A The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents. 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 理由 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. 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 理由 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. 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 the financial institution 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 the financial institution 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). I certify that I am authorized to sign for the account holder of all the account(s) to which this form relates. I undertake to advise CMB International Futures Limited 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 CMB International Futures Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

本人知悉及同意，財務機構可根據《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。

本人證明，就與本表格所有相關的帳戶，本人獲帳戶持有人授權簽署本表格。

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，本人會通知招銀國際期貨有限公司，並會在情況發生改變後 30 日內，向招銀國際期貨有限公司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

Name

姓名

Capacity

身份

Date 日期

(dd 日/mm 月/yyyy 年)

(e.g. director or officer of a company, partner of a partnership, trustee of a trust etc.) (例如：公司的董事或高級人員、合夥的合夥人、信託的受託人等)

WARNING: It is an 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。

Part 4- Common Reporting Standard – Self Certification Form (Controlling Person) (If Applicable)

第四部份、共同申報標準-自我證明表格 (控權人) (如適用)

Ref. No 參考編號：

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

(1) Name of Controlling Person 控權人的姓名

Title (e.g. Mr, Mrs, Ms, Miss) 稱謂 (例如：先生、太太、女士、小姐)

Last Name or Surname 姓氏 *

First or Given Name 名字 *

Middle Name(s) 中間名

(2) Hong Kong Identity Card or Passport Number 香港身份證或護照號碼

(3) Other ID Type and Number 其他身份證明文件類別及號碼

(4) Current Residence Address 現時住址

Line 1 (e.g. Suite, Floor, Building, Street, District)

第 1 行 (例如：室、樓層、大廈、街道、地區)

Line 2 (City) 第 2 行 (城市) *

Line 3 (e.g. Province, State) 第 3 行 (例如：省、州)

Country 國家 *

Post Code/ZIP Code 郵政編碼/郵遞區號碼 *

(5) Mailing Address 通訊地址 (Complete if different to the current residence address 如通訊地址與現時住址不同，填寫此欄)

Line 1 (e.g. Suite, Floor, Building, Street, District)

第 1 行 (例如：室、樓層、大廈、街道、地區)

Line 2 (City) 第 2 行 (城市) *

Line 3 (e.g. Province, State) 第 3 行 (例如：省、州)

Country 國家 *

Post Code/ZIP Code 郵政編碼/郵遞區號碼 *

(6) Date of Birth 出生日期 * (dd 日/mm 月/yyyy 年)

(7) Place of Birth 出生地點 (Not compulsory 可不填寫)

Town/City 鎮/城市

Province/State 省/州

Country 國家

Part 2 The Entity Account Holder(s) of which you are a controlling person (Enter the name of the entity account holder of which you are a controlling person.)

第 2 部 你作為控權人的實體帳戶持有人 (填寫你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 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") *

第 3 部 居留司法管轄區及稅務編號或具有等同功能的識別編號 (以下簡稱「稅務編號」) *

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the controlling person is a resident for tax purposes and (b) the controlling person's TIN for each jurisdiction indicated. Indicate all (not restricted to five) the jurisdictions of residence. 提供以下資料，列明 (a) 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) 該居留司法管轄區發給控權人的稅務編號。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. 如控權人是香港稅務居民，稅務編號是其香港身份證號碼。

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 理由 A	The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents. 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 理由 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. 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 理由 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. 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 4 Type of Controlling Person (Tick the appropriate box to indicate the type of controlling person for each entity stated in Part 2.)

第 4 部 控權人類別 (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控權人類別。)

Type of Entity 實體類別	Type of Controlling Person 控權人類別	Entity 實體 (1)	Entity 實體 (2)	Entity 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)			
	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) 股以其他途徑行使控制權或有權行使控制權的個人			
	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			
Trust 信託	Settlor 財產授予人			
	Trustee 受託人			
	Protector 保護人			
	Beneficiary or member of the class of beneficiaries 受益人或某類別受益人的成員			
	Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary) 其他 (例如：如財產授人/受託人/保護人/受益人/受益人為另一實體，對該實體行使控制權的個人)			

Type of Entity 實體類別	Type of Controlling Person 控權人類別	Entity 實體 (1)	Entity 實體 (2)	Entity 實體 (3)
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			
	Individual in a position equivalent/similar to trustee 處於相等/相類於受託人位置的個人			
	Individual in a position equivalent/similar to protector 處於相等/相類於保護人位置的個人			
	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			
	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/受益人為另一實體，對該實體行使控制權的個人)			

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 the financial institution 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 the financial institution 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). I certify that I am the account holder / I am authorized to sign for the account holder # of all the account(s) to which this form relates. I undertake to advise CMB International Futures Limited 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 CMB International Futures Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

本人知悉及同意，財務機構可根據《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。

本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人 / 本人獲帳戶持有人授權簽署本表格 #。

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，本人會通知招銀國際期貨有限公司，並會在情況發生改變後 30 日內，向招銀國際期貨有限公司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

Name

姓名

Capacity

身份

Date 日期

(dd 日/mm 月/yyyy 年)

(e.g. director or officer of a company, partner of a partnership, trustee of a trust etc.) (例如：公司的董事或高級人員、合夥的合夥人、信託的受託人等)

Delete as appropriate 請刪去不適用者

WARNING: It is an 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。



Part 6- Board Resolution (If Applicable)

第六部份、董事決議案 (如適用)

Company Name 公司名稱: _____
 Minutes of a meeting of the board of the company duly held at 董事會會議於 _____ (Venue 地點) on _____ (Date & Time 日期及時間) 召開 of which the quorum was present and acting throughout the meeting. 是次會議於整個會議期間一直保持足夠法定人數。

Present 出席者: (Chairman 主席) _____

(Director(s) 董事) _____

Opening Futures Trading Account(s) with CMB International Futures Limited 於招銀國際期貨有限公司開立期貨及交易帳戶

IT WAS RESOLVED THAT 會議決議:

- Futures trading account(s) (the "Accounts") be opened and maintained with CMB International Futures Limited (CMBIF) in accordance with such terms and conditions may from time to time prescribe for the Account(s), among which the Account Opening Agreement and other related documents are tabled and considered by the Directors. 於招銀國際期貨有限公司(下稱「招銀國際期貨」)開立和維持期貨及交易帳戶 ("帳戶"), 並按招銀國際期貨不時規定有關帳戶的條款和細則開立及維持; 當中「開戶協議」及其他相關文件已在會議上呈述並給予董事考慮。
- Any _____ of following persons be and are/is hereby appointed as Authorized Signers (the "Authorized Signatories") and be authorized 以下任何 _____ 位人士被任命為本公司之授權簽署人 ("授權簽署人") . 並獲授權
 - to sign, execute and deliver all agreements consents, letter of instructions or other documents required by CMBIF for the settlement of futures transactions with CMBIF in connection with the opening of the Account(s). 簽署、執行及提交所有招銀國際期貨要求與開立帳戶以用作期貨合約交易結算有關之所有協議、批准、委託書或其他文件;
 - to withdraw or transfer any money, securities, collateral or other property into or out of the Account(s); and 提取或轉移於帳戶內任何金錢、證券、抵押品或其他財產; 及
 - to make, execute and deliver all written endorsements and documents and to use the company chop (if applicable) necessary to effect the authority conferred by this resolution: 作出、執行及提交所有必需的書面批註和文件並 (如適用) 使用公司印章以執行此決議案所授予之權力

		Authorized Signatories 授權簽署人 (1)	Authorized Signatories 授權簽署人 (2)
Name in English 英文姓名	First Name 名字		
	Middle Name 中間名		
	Last Name 姓氏		
	Alias 別名		
Name in Chinese 中文姓名			
Identity Document Types 身份證明文件類別 註 10: Please provide your passport to prove your nationality. 請提供你的護照以證明國籍。		<input type="checkbox"/> HK Permanent ID card 香港永久性居民身份證 <input type="checkbox"/> HKID Card 香港居民身份證(註 10) <input type="checkbox"/> PRC ID Card 中華人民共和國居民身份證 <input type="checkbox"/> Passport 護照 <input type="checkbox"/> Others 其他:	<input type="checkbox"/> HK Permanent ID card 香港永久性居民身份證 <input type="checkbox"/> HKID Card 香港居民身份證(註 10) <input type="checkbox"/> PRC ID Card 中華人民共和國居民身份證 <input type="checkbox"/> Passport 護照 <input type="checkbox"/> Others 其他:
ID/ Passport No. 身份證明文件號碼			
Place of Issue 簽發地			
Residential Address 住宅地址			
Title 職位			
Contact No 聯絡電話	+Country Code-Area Code-Phone No. +國家代碼-地區代碼-電話號碼		
E-mail address 電郵地址			

Specimen Signature 簽署樣本		
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Company Chop (If Applicable) 公司印章 (如適用)
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3. Any ____ of the following persons be and are/is hereby appointed as Trading Representative(s) of the company (the “Trading Representative”) and be authorized to give orders or trading instruction to CMBIF, whether in writing, verbally or otherwise, in respect of any transactions of the Account(s) on behalf of and in the name of the company.

以下任何____位人士被任命為本公司之交易代表（“交易代表”），並獲授權以本公司名義對帳戶的任何交易以書面、口頭或其他形式向招銀國際期貨發出指示或交易指令。

		Trading Representative 交易代表 (1)	Trading Representative 交易代表 (2)
Name in English 英文姓名	First Name 名字		
	Middle Name 中間名		
	Last Name 姓氏		
	Alias 別名		
Name in Chinese 中文姓名			
Identity Document Types 身份證明文件類別		<input type="checkbox"/> HK Permanent ID card 香港永久性居民身份證 <input type="checkbox"/> HKID Card 香港居民身份證(註 11) <input type="checkbox"/> PRC ID Card 中華人民共和國居民身份證 <input type="checkbox"/> Passport 護照 <input type="checkbox"/> Others 其他：	<input type="checkbox"/> HK Permanent ID card 香港永久性居民身份證 <input type="checkbox"/> HKID Card 香港居民身份證(註 11) <input type="checkbox"/> PRC ID Card 中華人民共和國居民身份證 <input type="checkbox"/> Passport 護照 <input type="checkbox"/> Others 其他：
註 11: Please provide your passport to prove your nationality. 請提供你的護照以證明國籍。			
ID/ Passport No 身份證明文件號碼			
Place of Issue 簽發地			
Residential Address 住宅地址			
Title 職位			
Contact No + Country Code-Area Code-Phone No. 聯絡電話 + 國家代碼-地區代碼-電話號碼			
E-mail address 電郵地址			
Specimen Signature 簽署樣本			

CERTIFICATE 聲明

I/We, the undersigned, hereby certify that the foregoing is a full, true and correct copy of the resolutions duly and regularly passed and adopted by the Board of Directors of our company on the date stated therein; that the said resolution appear in the minutes of our company; and that the same have not been rescinded or modified and are now in full force and effect. I/We, the undersigned, further certify that our company is duly organized and existing, and has the power to take the action called for in the foregoing resolution. 本人/吾等即下述簽署人，謹此證明前述決議內容均為完整、真實及準確之副本，且已獲得到本公司董事會正式通過，妥當地備存於公司會議紀錄內，當中並無任何撤銷或修改，該決議案全面生效及有效。本人/吾等即下述簽署人，謹此證明本公司為合法成立並存續，且擁有權力採取前述決議。

Chairman Signature & Date

主席簽署及日期：

X

Part 5- Acknowledgement by Client

第五部份、聲明

We confirm and represent that the information on this Account Opening Agreement and documents provided in connection with this application is true, complete and correct and that the representations as stated herein are accurate. CMB International Futures Limited (CMBIF) is entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any changes to the Account Opening Agreement. CMBIF is authorized at any time to contact anyone, including client's banks, brokers or any credit agency, for the purpose of verifying the information provided on this Account Opening Agreement. 我在此確認在開戶協議所提供的資料及文件全部為真實、完整和正確，以及當中的陳述均屬準確。除非招銀國際期貨有限公司（招銀國際期貨）接到更改有關本資料表格內容的書面通知，否則招銀國際期貨可完全依賴這些資料及陳述做一切用途。客戶授權招銀國際期貨可隨時聯絡任何人包括客戶的銀行、經紀或任何信貸機構等，核實本開戶協議內的資料及陳述。

Pursuant to FATCA or applicable local laws, We hereby consent to CMBIF to report my personal data to the U.S. applicable local regulators or tax authorities where necessary in order to comply with FATCA or applicable local laws. 根據 FATCA 或相關當地法律，我同意向招銀國際期貨匯報我的個人資料到美國或適用的當地監管機構或稅務機關，並在必要時為符合 FATCA 或適用的當地法律。

We agree and confirm the Specimen Signature(s) as provided in the Board Resolution will be used to verify all written instructions given relating to the operation of the Account(s). 我同意並確定在董事決議案中的簽署樣本將被用作核證任何就帳戶運作之書面指示。

☐ We, the undersigned Client, acknowledge and confirm that we have read, understood and accepted the provisions of the Client's Account Agreement and other related documents and terms, including (inter alia) the Risk Disclosure Statement and Personal Data Protection Statement, and agree to be bound by each of the above as amended and/or supplemented from time to time. We have been referred to the Client's Account Agreement and other related documents and terms, including (inter alia) the Risk Disclosure Statement and Personal Data Protection Statement, in both English and Chinese and have been explained by a staff named below in a language of our choice and that we are invited to read the Client's Account Agreement and other related documents and terms, including (inter alia) the Risk Disclosure Statement and Personal Data Protection Statement, ask questions and take independent advice if we wish. 我為下述簽署客戶已閱讀過、明白及接受貴公司附上的客戶帳戶協議書及其他相關文件及條款，包括但不限於內含風險披露聲明及個人資料保障聲明書，並且同意受不時經修改及/或補充的該等文件所約束。我亦已獲展示客戶帳戶協議書中英文本的客戶帳戶協議書及其他相關文件及條款，包括但不限於風險披露聲明及個人資料保障聲明書，及獲以下職員按照我所選擇的語言解釋明白；及我亦已獲邀閱讀客戶帳戶協議書及其他相關文件及條款，包括但不限於風險披露聲明及個人資料保障聲明書，提出問題及徵求獨立的意見（如我有此意願）。

Signature with Company Chop (If applicable) 客戶簽名加蓋公司印章（如適用）

Name of Signatories 簽字人姓名

Date 日期

Witness 見證人

Witness: I, the undersigned, have witnessed the signature and inspected the original identity document of the above-named client.
見證人的見證：本人已見證及驗證上述客戶之簽署及有關其身份證明文件之正本。

Name of Witness 見證人姓名	Witness Signature 見證人簽署	Date 日期
Address 見證人地址	Occupation 見證人職業	

The qualified witnesses include any licensed or registered person in CMBI, RM of China Merchants Bank, Justice of the Peace (JP), certified public account, lawyer, notary public and/or chartered secretary in equivalent jurisdictions. 見證人必須為招銀國際之證監會持牌人、招商銀行客戶經理、太平紳士或專業人士，例如專業會計師、律師、公證人及/或特許秘書。

Declaration By Staff/ Licensed Representative 職員/持牌代表的聲明

I confirm that I have provided the Risk Disclosure Statements in the language of the Customer's choice (English or Chinese) and that I have invited the Customer to read the Risk Disclosure Statements, to ask questions and advice to take independent advice if the customer wishes. 本人確認已按照客戶所選擇的語言提供及解釋上述之風險披露聲明；及邀請客戶閱讀上述風險披露聲明、提出問題及徵求獨立的意見（如客戶有此意願）。

Name of Staff/ Licensed Representative 職員/持牌代表名稱	CE. No 中央編號
Signature 職員/持牌代表簽署	Date 日期



Part 6- Appointment of Process Agent (If Applicable)

第六部份、法律文件接收人委任書 (如適用)

To : CMB International Futures Limited
 致 : 招銀國際期貨有限公司

We/I, the undersigned account holder, refer to the futures trading / margin financing account that we/I are/am maintaining with CMB International Futures Limited ("CMBIF"), which is subject to the Account Opening Agreement signed by us/me, the Client's Account Agreement which may be amended and/or supplemented by CMBIF from time to time, Risk Disclosure Statement, the Personal Data Privacy Statement, Market Data Subscription Agreement and all other agreements and documents in relation and ancillary thereto (collectively the "Account Agreements").

本函乃涉及吾等/本人，即以下簽署之戶口持有人，在招銀國際期貨有限公司（“招銀國際期貨”）開設之期貨買賣/孖展戶口。該戶口受到吾等/本人簽署之開戶協議、招銀國際期貨發出及不時修訂及/或補充之客戶帳戶協議、風險披露聲明、個人資料保障聲明、市場資料訂閱協定以及與之有關及附帶之其它所有協定及文件所規限（統稱“帳戶協議”）。

We/I hereby irrevocably appoint the below person as our/my process agent to receive and acknowledge on our/my behalf service of any writ, summons, order, judgment or other notices of legal process in Hong Kong Special Administrative Region of the People's Republic of China ("Hong Kong") arising out of or in connection with the Account Agreements. We/I agree that any service of any legal process on the process agent shall constitute sufficient service on ourselves/myself for the purpose of legal proceedings in the courts of Hong Kong. By accepting this appointment, the process agent agrees not to retire as our/my process agent unless and until a successor process agent is appointed and notice thereof is given to CMBIF. Nothing herein shall affect the right of CMBIF to serve process in any other manner permitted by law.

吾等/本人特此不可撤銷地委任下列人士為吾等/本人之法律文件接收人，負責接收及認收在中華人民共和國香港特別行政區（“香港”）因期貨戶口及孖展文件產生或與之有關而送達之令狀、傳召、命令、判決書以及其他法律程序通知。吾等/本人同意將法律文件送達法律文件接收人，就香港法院的法律程序而言，已構成對吾等/本人妥善送達。通過接受有關委任，法律文件接收人同意，其直至吾等/本人完成委任繼任的法律文件接收人及就該事宜通知招銀國際期貨之前，不得辭退作為吾等/本人法律文件代理人的職務。此委任書所載的條款不應影響招銀國際期貨行使其權力，以任何其他法律許可的方式送達法律程序文件。

To Be Completed By Account Holder 由戶口持有人填寫	
Signature 簽署	Date 日期

From Process Agent 由法律文件接收人出具：

We/I, the undersigned, hereby agree and confirm our/my acceptance of appointment by the above account holder as his process agent.
 吾等/本人，即以下簽署人士，謹此同意並確認吾等/本人接受上述戶口持有人之委任，作為其法律文件接收人。

To Be Completed By Process Agent 由法律文件接收人填寫	
Name 姓名	Signature 簽署
Address 地址 (Address proof must be provided 必須提供地址證明)	Date 日期

Internal Use Only 內部使用

I 客戶主任/經理			
面對面開戶適用			
見面日期及時間：		地點：	
會面人士：			
佣金：	<input type="checkbox"/> 標準	<input type="checkbox"/> 招行員工	<input type="checkbox"/> 職員 <input type="checkbox"/> 其他 (請注明) _____ 電話 _____ 網上 _____ (審批 _____)
客戶主任/經理簽署	負責人員簽署		
(Optional)介紹人資料			
<input type="checkbox"/> 行外介紹人			
姓名：_____ 聯繫電話：_____ 備註：_____			
<input type="checkbox"/> 行內介紹人(姓名/核心系統號)			
業務條線： <input type="checkbox"/> 零售 P / <input type="checkbox"/> 對公 C / <input type="checkbox"/> 國際 I / <input type="checkbox"/> 其他 O			
分行（分行名稱/分行號）：_____ / _____ 網點（網點名稱/網點號）：_____ / _____			
若為行內客戶請提供客戶招行銀行卡資料：			
一卡通：_____ 客戶經理確認簽名：_____			
資料輸入/日期		資料查核/日期	
I Use for FATCA Compliance 美國「外國帳戶稅收遵從法」			
<input type="checkbox"/> Opt to be recalcitrant		<input type="checkbox"/> Situation resolved	
原因：_____		原因：_____	
檢查及資料登錄/日期：_____		檢查及資料登錄/日期：_____	
資料覆核/日期：_____		資料覆核/日期：_____	
Remark:			
1. US.citizen includes an individual who is born in the U.S. territory or possession of the U.S. (i.e., American Samoa, Guam, the Northern Mariana Islands, Puerto Rico, or the U.S. Virgin Islands), while a U.S. tax resident refers to U.S. Green Card holder (i.e. holder of U.S. Permanent Resident card) or individual who meets the substantial presence test (i.e. he/she has been present in the U.S. for at least 31 actual days in the current tax year and 183 equivalent days during a three year period) 美國公民，包括出生在美國領土或屬地，美國（即美屬薩摩亞，關島，北馬里安納群島，波多黎各和美國維爾京群島），而美國稅務居民是指美國個人綠卡持有人（美國永久居民卡，即持有人）或個人滿足實際天數測試（即他/她已經在三年至少 31 天實際的納稅年度和相當於 183 天身在美國）。			
2. Clients should seek for their own tax advisors regarding the substantial presence test if necessary. 客戶應尋求適合自己的稅務顧問以進行有關的實際天數測試。			

—— End 完 ——