



中國天元證券有限公司

CHINA TIAN YUAN SECURITIES LIMITED

中國天元商品及期貨有限公司

CHINA TIAN YUAN COMMODITIES AND FUTURES LIMITED

開戶表格 ACCOUNT OPENING FORM

(公司帳戶 Corporate Account)

中國天元證券有限公司（「中國天元證券」）為一間核准從事《證券及期貨條例》（香港法例第五七一章）中第一類（證券交易）、第四類（就證券提供意見）及第九類（提供資產管理）受規管活動之持牌法團（中央編號：BHM066）
China Tian Yuan Securities Limited (“CTYS”), a licensed corporation to carry on Type 1 (Dealing in Securities), Type 4 (Advising on Securities) and Type 9 (Asset Management) under the Securities and Futures Ordinance (Cap.571) (CE No.: BHM066)

中國天元商品及期貨有限公司（「中國天元商品及期貨」）為一間核准從事《證券及期貨條例》（香港法例第五七一章）中第二類（期貨合約交易）受規管活動之持牌法團（中央編號：BJI173）
China Tian Yuan Commodities and Futures Limited (“CTYF”), a licensed corporation to carry on Type 2 (Dealing in Futures Contracts) under the Securities and Futures Ordinance (Cap.571) (CE No.: BJI173)



此表格須與客戶協議內的條款及條件一併閱讀
This form shall be read with Terms and Conditions of the Client Agreement

請在適當空格加✓

Please tick the appropriate box

客戶號碼 Account No _____
開戶日期 Account Opening Date _____
經紀編號 A.E. Code _____

A. 公司帳戶種類 Corporate Account Type		
戶口種類 Account Type		交易方式 Trading Platform
證券 Securities	<input type="checkbox"/> 證券現金帳戶 Cash Securities Account	<input type="checkbox"/> 電話指示 Telephone
	<input type="checkbox"/> 證券保證金帳戶 Margin Securities Account	<input type="checkbox"/> 電子交易 Electronic
期貨 Futures	<input type="checkbox"/> 期貨及指數期權帳戶 Futures & Index Options Account	<input type="checkbox"/> 電話指示 Telephone
		<input type="checkbox"/> 電子交易 Electronic

B. 客戶資料 Client Information

B.1 公司資料 Corporate Information

客戶身份 Entity of the Client	<input type="checkbox"/> 上市公司 Listed Company	<input type="checkbox"/> 獨資企業 Sole Proprietorship
	<input type="checkbox"/> 非上市有限公司 Unlisted Limited Company	<input type="checkbox"/> 合夥企業 Partnership
	<input type="checkbox"/> 海外公司 Overseas Company	<input type="checkbox"/> 信託公司 Trust Company
	<input type="checkbox"/> 無限公司 Unlimited Company	<input type="checkbox"/> 其他 Others _____

英文名稱 English Name	_____		
中文名稱 Chinese Name	_____		
註冊國家 Country of Incorporation	_____	公司註冊日期 Date of Incorporation	_____
公司註冊證號碼 Certificate of Incorporation No.	_____	商業登記證號碼 Business Registration Cert. No.	_____
註冊辦事處地址 Registered Address	_____		
業務地址 Business Address	_____		
業務性質 Nature of Business	_____		
公司電話號碼 Office Tel No.	_____		
傳真號碼 Facsimile No.	_____		
電郵地址 E-mail Address	_____		

B.2 財務資料背景 Financial Background

繳足股本 (港元) Paid-up Share Capital (HKD)	_____	註冊資本 (港元) Authorized Share Capital (HKD)	_____
資產淨值 (港元) Net Asset Value (HKD)	_____	最近年度利潤 (港元) Latest Annual Profit (HKD)	_____

B.3 公司結構 Corporate Structure

(i) 主要股東資料細節 (持有百分之五或以上股權) (上市公司毋須填寫) Particular of Major Shareholders (Shareholding of 5% or more) (not applicable to listed company)

姓名 Name	身份證 / 護照號碼 ID / Passport No.	住址 Residential Address	持股百分率 Shareholding Percentage (%)
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

(ii) 董事資料細節 Particular of Directors of the Company		
姓名 Name	身份證 / 護照號碼 ID / Passport No.	住址 Residential Address
_____	_____	_____
_____	_____	_____
_____	_____	_____

B.4 獲授權人士 Authorized Person

所有指示以客戶的董事決議為準。
All instructions will follow the Client's Board Resolution.

**C. 帳戶最終實益擁有人 (不適用於上市公司)
Ultimate Beneficial Owner(s) of the Account (not applicable to listed company)**

獨資企業 / 合夥人 / 最終股東名稱
Name of Sole Proprietor / Partner / Ultimate Shareholder

姓名 Name	身份證 / 護照號碼 ID / Passport No.	住址 Residential Address	權益百分比 % of Interest

D. 銀行帳戶資料 Bank Account Information

銀行名稱 Bank Name	銀行帳戶號碼 Bank Account No.	貨幣 / 帳戶類別 Currency / Account Type	銀行地址 (如適用) Bank Address (if applicable)
		港元 / HKD /	
		人民幣 / CNY /	
		美元 / USD /	

E. 投資概況 Investment Profile

1. 投資目標 (請選擇下列一項或多項) Investment Objectives (Please choose one or more)

資本增值 Capital Appreciation

股息回報 Dividend Yield

對沖 Hedging

長線投資 Long-term Investment

短線買賣 Short-term Trading

其他 Others _____

2. 曾投資產品及經驗年期 (請選擇下列一項或多項) Investment Experience in Products (Please choose one or more)

<input type="checkbox"/> 上市證券 Securities Trading	<input type="checkbox"/> 少於一年 <1yr	<input type="checkbox"/> 一至五年 1-5yrs	<input type="checkbox"/> 六至十年 6-10yrs	<input type="checkbox"/> 多於十年 >10yrs
<input type="checkbox"/> 期貨 / 期權 Futures / Options	<input type="checkbox"/> 少於一年 <1yr	<input type="checkbox"/> 一至五年 1-5yrs	<input type="checkbox"/> 六至十年 6-10yrs	<input type="checkbox"/> 多於十年 >10yrs
<input type="checkbox"/> 槓桿式外匯 Leveraged Foreign Exchange	<input type="checkbox"/> 少於一年 <1yr	<input type="checkbox"/> 一至五年 1-5yrs	<input type="checkbox"/> 六至十年 6-10yrs	<input type="checkbox"/> 多於十年 >10yrs
<input type="checkbox"/> 單位信託基金或債券 Unit Trusts or Bonds	<input type="checkbox"/> 少於一年 <1yr	<input type="checkbox"/> 一至五年 1-5yrs	<input type="checkbox"/> 六至十年 6-10yrs	<input type="checkbox"/> 多於十年 >10yrs
<input type="checkbox"/> 牛熊證 / 窩輪 CBBC / Warrants	<input type="checkbox"/> 少於一年 <1yr	<input type="checkbox"/> 一至五年 1-5yrs	<input type="checkbox"/> 六至十年 6-10yrs	<input type="checkbox"/> 多於十年 >10yrs
<input type="checkbox"/> 結構性產品 Structured Product	<input type="checkbox"/> 少於一年 <1yr	<input type="checkbox"/> 一至五年 1-5yrs	<input type="checkbox"/> 六至十年 6-10yrs	<input type="checkbox"/> 多於十年 >10yrs
<input type="checkbox"/> 槓桿及反向產品 Leveraged and Inverse Product	<input type="checkbox"/> 少於一年 <1yr	<input type="checkbox"/> 一至五年 1-5yrs	<input type="checkbox"/> 六至十年 6-10yrs	<input type="checkbox"/> 多於十年 >10yrs
<input type="checkbox"/> 其他 Others: _____	<input type="checkbox"/> 少於一年 <1yr	<input type="checkbox"/> 一至五年 1-5yrs	<input type="checkbox"/> 六至十年 6-10yrs	<input type="checkbox"/> 多於十年 >10yrs
<input type="checkbox"/> 沒有 None				

F. 衍生及結構性投資產品的認識評估 Derivative and Structured Products Knowledge Assessment

(按以下選擇, 在下列方格中加上✓ Refer to the following statements and tick the appropriate box(es) below✓)

- 代表公司做決定的人士, 最少一位了解衍生產品的性質和風險:
At least one of the person(s) responsible for making investment decisions understand(s) the nature and risks of derivate products due to:
- 已接受有關的培訓或課程
Undergoing relevant training or attending course in
- | | | | | |
|---|--|--|--|---|
| <input type="checkbox"/> 監管機構
Regulatory Authority | <input type="checkbox"/> 交易所
Exchange | <input type="checkbox"/> 金融機構
Financial Institution | <input type="checkbox"/> 進修學院
Educational Institution | <input type="checkbox"/> 大專院校
Tertiary Institution |
|---|--|--|--|---|
- 於經紀公司或銀行、基金或資產管理公司、監管機構或交易所等金融機構擁有有關的工作經驗
By gaining prior relevant work experience in financial institutions such as a brokerage firm or bank, fund house or asset management firm, regulatory authority or exchange
- | | | |
|--|--|--|
| <input type="checkbox"/> 受監管持牌人士
Regulated Licensed | <input type="checkbox"/> 後勤人員
Back Office Staff | <input type="checkbox"/> 管理層
Management |
|--|--|--|
- 於過去三年內進行了五次或以上有關衍生產品之交易 (不論是否於交易所進行交易)
By executing five or more transactions in derivative products (whether traded on an exchange or not) within the past three years
- 代表公司做投資決定的人士並未有衍生產品之認識
The person(s) responsible for making investment decisions have NO knowledge of derivative products

G. 通訊方式 Method of Communication

請選擇以下其中一項通訊方式 Please select one of the following method of communication

- 郵遞 - 業務地址 (郵政信箱恕不接受) By Mail - Business Address (P.O. Boxes are not accepted)
- 電郵 By E-Mail

H. 資料披露 Disclosure of Information

1. 帳戶之任何董事、主要股東或最終實益擁有人, 或其配偶、伴侶、子女或父母, 或其子女的配偶或伴侶, 或與其關係密切的人, 是否擔任或曾擔任重要公職, 包括國家元首、政府首長、司法或軍事官員、國有企業高級行政人員或政要?
Is any director, substantial shareholder or the ultimate beneficial owner of the Account, or his spouse, partner, child, parent, spouse or partner of his child, or a closely associate with him entrusted or has been entrusted with a prominent public function, which includes a head of state, head of government, judicial or military official, senior executive of a state-owned corporation or an important political party official?
- 不是 No
- 是, 請說明 Yes, please specify _____
2. 貴公司、其任何一位股東 / 董事、授權人士、此帳戶最終實益擁有人及 / 或就此帳戶進行交易的最終負責發出指示人士, 是否香港證券及期貨事務監察委員會的持牌或註冊人士, 或任何持牌或註冊人士之董事或職員?
Is your Company, any of the Company's shareholders / directors, the Authorized Person, the ultimate beneficial owner(s) of the Account and / or the person ultimately responsible for giving instructions for the Account, a Licensed or Registered Person, or a director or an employee of any Licensed or Registered Person of the Securities and Futures Commission in Hong Kong?
- 不是 No
- 是, 持牌或註冊人士名稱 Yes, Name of the Licensed or Registered Person(s) _____
3. 貴公司, 其任何一位股東 / 董事、授權人士、作為此帳戶最終實益擁有人及/或就此帳戶進行交易的最終負責發出指示人士, 與中國天元證券及 / 或中國天元商品及期貨或其聯屬公司之董事或職員是否有親屬關係?
Does your Company, any of the Company's shareholders / directors, the Authorized Person, the ultimate beneficial owner(s), and/or the person ultimately responsible for giving instructions for the Account have any family relationship with any director or employee of CTYS and / or CTYF or its affiliates?
- 沒有 No
- 有, 請說明 Yes, please specify 董事或職員姓名 Name of Director / Employee 董事或職員姓名 關係 Relationship
- _____
4. 貴公司是否在一間於中國天元證券及 / 或中國天元商品及期貨或其聯屬公司持有保證金戶口的公司中擁有百分之三十五或以上的股權及 / 或表決權及 / 或, 貴公司是否與一間於中國天元證券或其聯屬公司持有保證金戶口的公司同屬一個集團及 / 或貴公司之任何一位股東 / 董事、授權人士、作為此帳戶最終權益擁有人, 及 / 或此帳戶進行交易的最終負責發出指示人士 (「有關人士」), 及 / 或任何貴公司相關連人士, 於中國天元證券或其聯屬公司持有保證金戶口?
Is your Company in control of 35% or more of a company, or does the Company belong to the same group of companies as another company, which maintains a margin account with CTYS or its Affiliates, or does any of the Company's shareholders / directors, the Authorized Person, the ultimate beneficial owner(s), and / or ultimate responsible person for originating instruction or any related person of the Company maintain a margin account with CTYS and / or CTYF or its affiliates?
- 不是 No
- 是, 請說明 Yes, please specify _____

5. 貴公司現時是否持有中國天元證券或其聯屬公司之其他戶口？
Does your Company maintain any other account(s) with CTYS or its affiliates?
 不是 No
 是，請提供詳細資料 Yes, please provide details

帳戶名稱 Account Name	
帳戶類別 Account Type	
帳戶號碼 Account No.	

6. 貴公司是否在美國註冊成立或美國稅務目的產生的收入？
Is your company incorporated in US or generated income of USA for tax purpose?
 不是 No. 是，請填寫 W-9 表格 Yes, please fill in Form W-9
7. 貴公司的任何一位股東是否美國公民 / 居民？
Any shareholder of your corporation a U.S. citizen / resident?
 不是 No. 是，請填寫 W-9 表格 Yes, please fill in Form W-9
8. 此戶口的受益人是否美國公民 / 居民？
Is the beneficiary of this account a U.S. citizen / resident?
 不是 No. 是，請填寫 W-9 表格 Yes, please fill in Form W-9
9. 此戶口的獲授權人士是否美國公民 / 居民？
Is the authorized person of this account a U.S. citizen / resident?
 不是 No. 是，請填寫 W-9 表格 Yes, please fill in Form W-9

I. 其他資料 Other Information

閣下選擇中國天元證券及 / 或中國天元商品及期貨開戶的原因 Reason for Choosing CTYS and / or CTYF for Account Opening

- 報章、雜誌 News, magazines _____ 親友轉介 Referral 自薦 Walk-in 其他 Others _____

J. 個人資料使用同意書 Client's Consent to Use of Personal Data

本人 / 吾等已仔細閱讀，完全理解並同意接受並遵守載於客戶協議第九部份有關《個人資料（私隱）條例》（香港法例第 486 章）的通知及聲明，尤其是，

I / We have carefully read, fully understood and agreed to accept and be bound by the Notice and Statement Relating to the Personal Data (Privacy) Ordinance (Cap. 486 of the Laws of Hong Kong) as set out in Part IX of the Client Agreement. In particular,

- 本人 / 吾等同意使用本人 / 吾等的客戶資料作為與本人 / 吾等於中國天元證券及 / 或中國天元商品及期貨開立或繼續維持帳戶及中國天元證券及 / 或中國天元商品及期貨以下列方式向本人 / 吾等提供金融服務有關的直接促銷之用：
I / We hereby consent to the use of my / our Client Information for direct marketing directly related to the opening or continuation of my / our accounts with CTYS and / or CTYF and the provision of financial services by CTYS and / or CTYF to me / us via the below means:

- 本人 / 吾等同意中國天元證券及 / 或中國天元商品及期貨、其任何聯屬公司或其他仔細挑選之金融或產品供應商使用本人 / 吾等的客戶資料作為直接促銷與本人 / 吾等於中國天元證券及 / 或中國天元商品及期貨開立或繼續維持帳戶及中國天元證券及 / 或中國天元商品及期貨以下列方式向本人 / 吾等提供金融服務無關的其他金融或產品供應商之用：

I / We hereby consent to the use of my / our Client Information for direct marketing by CTYS and / or CTYF, any of its affiliates or other carefully selected financial or other service providers of other financial and / or services not directly related to the opening or continuation of my/our accounts with CTYS and / or CTYF and the provision of financial services by CTYS and / or CTYF to me / us via the below means:

- 短信 SMS 電話 Phone 電郵 Email 郵寄 Mail

K. 客戶聲明、確認及承諾 Client's Declaration, Acknowledgement and Consent

戶口開立申請及資料提供 Application of Account Opening and Information Provided

本人 / 吾等茲聲明在開戶申請書及相關表格所提供之資料「全部為真實、完整及正確，本人 / 吾等並未刻意隱瞞任何重要事實。本人 / 吾等向貴公司申請開立現金證券帳戶 / 保證金證券帳戶及 / 或期貨及指數期權帳戶（該等帳戶）」和同意遵守客戶協議（包括客戶協議書之一般條款）的所有條款並同意遵守證券及期貨條例、香港交易所有限公司、香港期貨交易所有限公司及其他監管機構不時修定以規管於該帳戶進行之交易之條例及規則。除非中國天元證券及 / 或中國天元商品及期貨接到更改有關本開戶申請書內容的書面通知，否則上述公司有權完全依賴此等資料及聲明作一切用途。上述公司獲授權可隨時就核對本資料事宜，與任何人包括本人 / 吾等之銀行、經紀或任何信用機構進行諮詢。本人 / 吾等亦明白中國天元證券及 / 或中國天元商品及期貨根據上述投資經驗及對產品認識內的資料介定本人 / 吾等是否擁有對衍生產品之認識，以符合證券及期貨事務監察委員會持牌人或註冊人操守準則之有關要求。

I / We represent that the information on this Account Opening Form and relevant Forms is true, complete and correct and that I / We have not willfully withheld any material fact(s). I / We request you to open a Cash Securities / Margin Securities Account and / or Futures and Options Account (“the Accounts”) and agree to all the terms of the Agreement and to abide by the Agreement (including the General Terms and Conditions of the Client Agreement), the rules and regulations of Securities and Futures Ordinance, Hong Kong Exchange and Clearing Limited, Hong Kong Futures

Exchange Limited or any other regulatory body(ies) as amended from time to time governing the transactions in the Account. CTYS and / or CTYF is / are entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any change. CTYS and / or CTYF are authorized at any time to contact anyone, including my / our banks, brokers or any credit agency for the purpose of verifying the information provided on this Account Opening Form. I / We also understand that CTYS and / or CTYF will rely on the above information of Investment Experience and Product Knowledge provided to assess whether I / we have acquired knowledge of derivative products, in order to comply with relevant requirements of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.

協議及風險披露聲明 Agreement and Risk Disclosure Statement

本人 / 吾等謹此承認並確定本人 / 吾等已獲得按照本人 / 吾等所選擇的語言（英文或中文）的客戶協議，當中包括，但不限於本開戶表、一般條款、附加條款、私隱政策、免責聲明及風險披露聲明，及本人 / 吾等已獲邀請細閱該風險披露聲明，提出問題及徵求獨立的意見（如本人 / 吾等有此意願）。本人 / 吾等確認本人 / 吾等已經保留本協議的副本，以作備考之用。

中國天元證券及 / 或中國天元商品及期貨如果會向客戶提供有關衍生產品（包括期貨合約或期權）的服務，中國天元證券及 / 或中國天元商品及期貨會按照該客戶要求提供有關該產品的規格或章程或其他要約文件，及詳細解釋收取保證金的程序及在什麼情況下中國天元證券及 / 或中國天元商品及期貨可無需該客戶同意而將客戶的持倉出售或平倉。

假如中國天元證券及 / 或中國天元商品及期貨向閣下招攬銷售或建議任何金融產品，該金融產品必須是中國天元證券及 / 或中國天元商品及期貨經考慮閣下的財政狀況、投資經驗及投資目標後而認為合理地適合閣下的。本協議的其他條文或任何其他中國天元證券及 / 或中國天元商品及期貨可能要求閣下簽署的文件及中國天元證券及 / 或中國天元商品及期貨可能要求閣下作出的聲明概不會減損本條款的效力。註：「金融產品」指《證券及期貨條例》所界定的任何證券、期貨合約或槓桿式外匯交易合約。

I / We hereby acknowledge and confirm that the Client Agreement, including but not limited to the Account Opening Form, the General Terms and Conditions, Additional Terms and Conditions, Data Privacy Policy, Disclaimers and the Risk Disclosure Statement was provided to me / us in a language of my / our choice (English or Chinese), and I / we have been invited to read the Risk Disclosure Statement carefully, ask questions and seek independent advice if I / we so wish. I / We also confirm that I / we have retained a copy of the Agreement for my/our reference.

If services are to be provided to the client in relation to derivative products, including futures contracts or options, CTYS and / or CTYF will provide to the client upon request product specifications and any prospectus or other offering document covering such products and a full explanation of margin procedures and the circumstances under which a client's positions may be liquidated without the client's consent.

If CTYS and / or CTYF solicit the sale of or recommend any financial product to you, the financial product must be reasonably suitable for you having regard to your financial situation, investment experience and investment objectives. No other provision of this agreement or any other document CTYS and / or CTYF may ask you to sign and no statement CTYS and / or CTYF may ask you to make derogates from this clause. Note: "Financial product" means any securities, futures contracts or leveraged foreign exchange contracts as defined under the SFO.

電子結算單的風險 Risk of E-Statement Service

本人 / 吾等謹此承認互聯網及其他電子媒介的接達可能因為高峰期、市場波動、系統升級或維修或因其他原因而受到限制或未能提供。透過互聯網及其他電子媒介進行的任何通信可能會受到干擾、出現傳輸中斷，及由於未能預測的互聯網通信量或因其他不受持牌人或註冊人控制的原因而導致傳輸延誤。基於技術所限，互聯網本身為不可靠的通信媒介。因此，可能會出現資訊傳輸及接收之延誤，以及結算單未必能傳送到指定的電郵帳號。此外，未經授權第三方可能獲得通訊及個人資料，及本人 / 吾等須要完全承擔任何誤解通信或通信錯誤之風險。

I / We hereby acknowledge that Access to the internet or other electronic medium may be limited or unavailable during periods of peak demand, market volatility, systems upgrades or maintenance or for other reasons. Any communication through the internet or other electronic medium may be subject to interruption, transmission blackout, and delayed transmission due to unpredictable traffic congestion and other reasons beyond the licensed or registered person's control. Internet is, due to technical limitation, an inherently unreliable medium of communication. As a result of such unreliability, there may be delays in the transmission and receipt of information. The statements may not be sent to the designed email address at all. Moreover, communications and personal data may be accessed by unauthorized third parties, and there are risks of misunderstanding or error in any communication and that such risks shall be absolutely borne by me / us.

《證券及期貨（客戶款項）規則》下之常設授權 Standing Authority under Securities and Futures (Client Money) Rules

本人 / 吾等謹此同意、承認及確定本人 / 吾等已授予中國天元證券有限公司及 / 或中國天元商品及期貨有限公司常設授權以處置本人 / 吾等的款項，並且本人 / 吾等就該客戶協議內的第三部份附表 B 第 9 項的《證券及期貨（客戶款項）規則》下之常設授權的內容已獲得解釋，及本人 / 吾等明白及同意其內容。

I / We hereby agree, acknowledge and confirm that I / we have given the standing authority to authorize China Tian Yuan Securities Limited and / or China Tian Yuan Commodities and Futures Limited to deal with my / our money and the contents of the Standing Authority under Securities and Futures (Client Money) Rules of Client Agreement Part III Schedule B clause 9 have been explained to me / us and I / we understand and agree the contents of it.

《證券及期貨（客戶證券）規則》下之常設授權（只適用於證券保證金帳戶） Standing Authority under Securities and Futures (Client Securities) Rules (For Securities Margin Account Only)

本人 / 吾等謹此同意、承認及確定本人 / 吾等已授予中國天元證券有限公司及 / 或中國天元商品及期貨有限公司常設授權以處置本人 / 吾等的證券抵押品，並且本人 / 吾等就該客戶協議內的第三部份附表 A 第 5 項的《證券及期貨（客戶證券）規則》下之常設授權的內容已獲得解釋，及本人 / 吾等明白及同意其內容。

I / We hereby agree, acknowledge and confirm that I / we have given the standing authority to authorize China Tian Yuan Securities Limited and / or China Tian Yuan Commodities and Futures Limited to deal with my / our securities collateral and the contents of the Standing Authority under Securities and Futures (Client Securities) Rules of Client Agreement Part III Schedule A clause 5 have been explained to me / us and I / we understand

and agree the contents of it.

附加聲明（只適用於期貨帳戶） Additional Statement (For Futures Trading Account)

本人 / 吾等同意細閱列於《證券及期貨（合約限量及須申報的持倉量）規則》及由證監會發出的有關指引的申報規則及責任。本人 / 吾等同意依據《證券及期貨（合約限量及須申報的持倉量）規則》、證監會及期貨交易所之要求作出申報及完成有關責任。本人 / 吾等明白所有有關資料可以由證監會及香港交易所的網頁上獲得。

I / We agree to read the reporting requirements and the responsibilities of reporting set out in the Securities and Futures (Contract Limits and Reportable Position) Rules and related guidance notes issued by the Securities and Futures Commission. I / We agree to make the relevant notification and fulfil the responsibilities as required by the Securities and Futures (Contract Limits and Reportable Position) Rules and SFC and HKFE. I / We understand that I / we may also directly access all relevant information at the Web-site of Securities and Futures Commission or at the Web-site of HKEX.

L. 帳戶持有人簽署 Signature of Account Holder

授權簽署及公司印章 Authorized Signature & Company Chop

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客戶姓名 Client Name

日期 Date

**M. 見證客戶簽署及身份證明文件（如適用）
Certification of Client Signature and Identity Proof (if applicable)**

若客戶 / 聯名客戶並非在中國天元證券有限公司及 / 或中國天元商品及期貨有限公司之指定僱員面前簽立本開戶表格或本開戶表格並非連同恰當的支票一併遞交，則以下部分應由指定人士，包括其他證監會持牌人或註冊人、太平紳士或專業人士例如銀行分行經理、執業會計師、律師或公證人，簽署驗證。而該指定人士需提供其已簽署之身份證明文件副本及專業資格證明文件之副本。

If this Account Opening Form is not executed in front of China Tian Yuan Securities Limited and / or China Tian Yuan Commodities and Futures Limited's SFC licensed employee or is not submitted with an appropriate cheque, a specified person, including any SFC licensed or registered person, a Justice of Peace, a Branch Manager of a bank, Certified Public Accountant or Notary Public, should be required to sign below. The specified person should provide us with self-certified ID copy and copy of the professional qualification documents.

下述簽署人士謹此驗證上述客戶 / 聯名客戶簽立此文件及其有關的身份證明文件：

The undersigned person hereby certify the signing of this Account Opening Form by the above Client(s) and sighting of related identity documents of such Client(s):

姓名 Name	簽署及驗證 Signed and Certified by
所屬專業及職銜 Profession and Title	
聯絡電話 Contact No.	日期 Date
聯絡地址 Address	

N. 持牌代表聲明 Declaration by Licensed Representative

本人_____（持牌代表名稱），經以他 / 他們選擇及明白的語言，向_____（客戶名稱），邀請其閱讀，提出問題及徵求獨立意見（如客戶有此意願），並已全部清楚解釋協議書，當中包括，但不限於本開戶表、一般條款、附加條款、免責聲明、私隱政策及風險披露聲明書內的內容。

I, _____ (name of licensed representative) have fully explained and provided the contents of the Agreement, including but not limited to this Account Opening Form, the General Terms and Conditions, the Additional Terms and Conditions, the Disclaimers, the Data Privacy Policy and the Risk Disclosure Statement to _____ (name of client) in a language which he/she/they prefer(s) and understand(s) and have invited the client to read, ask questions and take independent advice if the client wishes.

持牌代表簽署 Signed by Licensed Representative	證監會中央編號 SFC CE No.	日期 Date
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注意 Note:

1. 本開戶表之英文本（相對中文譯本而言）為確實及有最終效力。
The terms in English version, as opposed to the Chinese translation, shall be deemed to be conclusive and definitive.
2. 任何刪除或修改，必須由帳戶持有人簽名作實。
Any deletion or amendment must be signed by account holder(s).

只供本公司專用 For Office Use Only

CTYS and / or CTYF hereby appoints the following Account Executive(s) being licensed by Securities and Futures Commission or such other licensed person as from time to time it may permit and notify the Client in writing, to be primarily responsible for the affairs of the Client in respect of the Client's account(s) with CTYS and / or CTYF:

經紀姓名 Name of Account Executive		中央編號 CE No.	
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文件查核清單 Document checklist :

<input type="checkbox"/> 公司註冊證書副本* Copy of Certificate of Incorporation*	<input type="checkbox"/> 審計財務報表副本* Copy of Audited Financial Report*
<input type="checkbox"/> 公司商業登記證副本* (如有) Copy of Business Registration Certificate* (if any)	<input type="checkbox"/> 擔保書 Deed of Guarantee
<input type="checkbox"/> 公司章程大綱及細則副本* Copy of Memorandum & Articles of Association	<input type="checkbox"/> 董事決議案 Board Resolution
<input type="checkbox"/> 公司董事記錄冊副本* Copy of Register of Directors*	<input type="checkbox"/> 所有董事、獲授權者及擔保人的身分證 / 護照副本及地址證明 ID / Passport copies and Address Proof of all Directors, Authorized Persons & Guarantor
<input type="checkbox"/> 公司股東記錄冊副本* Copy of Register of Members*	<input type="checkbox"/> 營業 / 註冊地址證明 (三個月內) Business/Registration Address Proof (within 3 months)
<input type="checkbox"/> 職權證明書副本* (海外公司) (六個月內) Copy of Certificate of Incumbency (Overseas Company) (within 6 months)*	<input type="checkbox"/> W-8BEN-E 表格或 W-9 表格 (如適用) W-8BEN-E Form / W-9 Form (if applicable)
<input type="checkbox"/> 股東註冊證明文件副本及公司董事記錄冊* (海外公司) Copy of Register of Shareholder and Director* (Overseas Company)	<input type="checkbox"/> 自我證明表格 Self-Certification Form
	<input type="checkbox"/> 客戶常設交收銀行戶口副本 Client Standing Settlement Bank Account (Copy)

備註: *有關文件的見證, 須由太平紳士或專業人士如特許秘書、執業會計師、律師或公證人等加以驗證
Remarks : * The related documents shall be certified by a JP (Justice of Peace), or a professional person such as certified public accountant, chartered secretary, lawyer or notary public.

客戶資料及文件核對 Client Information & Document checked by

職員名稱及簽署 Name of staff & signature		日期 Date	
職員名稱及簽署 Name of staff & signature		日期 Date	

證券戶口基本佣金 (本地 / 環球證券) Securities Account Basic Commission (Local / Global Securities)

港幣佣金 (%) HKD Brokerage (%)		港幣最低佣金 HKD Minimum Commission	
人民幣佣金 (%) CNY Brokerage (%)		人民幣最低佣金 CNY Minimum Commission	
美元佣金 (%) USD Brokerage (%)		美元最低佣金 USD Minimum Commission	
信用限額 Credit Limit			
備註 Remark			

期貨戶口基本佣金 (本地 / 環球期貨) Futures Account Basic Commission (Local / Global Futures)

港幣佣金 HKD Brokerage	
人民幣佣金 CNY Brokerage	
美元佣金 USD Brokerage	
信用限額 Credit Limit	
備註 Remark	

**經由中國天元證券有限公司及 / 或中國天元商品及期貨有限公司之授權代表確認及接納
ACKNOWLEDGED AND ACCEPTED BY AN AUTHORIZED SIGNATORY (IES) FOR AND ON BEHALF OF CHINA TIAN YUAN SECURITIES LIMITED AND / OR CHINA TIAN YUAN COMMODITIES AND FUTURES LIMITED**

中國天元證券授權代表簽署 CTYS Authorized Signature(s)	授權代表名稱 Name of Authorized Person	日期 Date
中國天元商品及期貨授權代表簽署 CTYF Authorized Signature(s)	授權代表名稱 Name of Authorized Person	日期 Date