



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**

**(個人 / 聯名帳戶 Individual / Joint 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. 個人 / 聯名帳戶種類 Individual / Joint Account Type		
帳戶種類 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 個人資料 Personal Information	
<p><b>第一帳戶持有人 First Joint Account Holder</b></p> <p>客戶名稱 ( <input type="checkbox"/> 先生 Mr. / <input type="checkbox"/> 小姐 Miss / <input type="checkbox"/> 太太 Mrs. ) Name of Client</p> <p>英文 _____ English</p> <p>中文 _____ Chinese</p> <p>簡稱 _____ Abbreviated Name</p> <p>出生日期 (日/月/年) Date of Birth (DD/MM/YYYY) _____</p> <p>國籍 _____ Nationality</p> <p>住宅電話 _____ Home Telephone No.</p> <p>流動電話 _____ Mobile Phone No.</p> <p>公司電話 _____ Office Telephone No.</p> <p>傳真號碼 _____ Facsimile No.</p> <p>電郵地址 _____ E-mail Address</p> <p>身份證明文件 Official ID 證明文件號碼 ID No. _____</p> <p>種類 Type</p> <p><input type="checkbox"/> 香港身份證 HKID</p> <p><input type="checkbox"/> 中國居民身份證 PRC Resident Identity Card</p> <p><input type="checkbox"/> 護照 Passport (簽發地點 Place of Issue _____)</p> <p><input type="checkbox"/> 其他 Other _____</p> <p>住宅地址 (不接受郵政信箱) Residential Address (P.O. Box not accepted)</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p><b>第二帳戶持有人 Second Joint Account Holder</b></p> <p>客戶名稱 ( <input type="checkbox"/> 先生 Mr. / <input type="checkbox"/> 小姐 Miss / <input type="checkbox"/> 太太 Mrs. ) Name of Client</p> <p>英文 _____ English</p> <p>中文 _____ Chinese</p> <p>簡稱 _____ Abbreviated Name</p> <p>出生日期 (日/月/年) Date of Birth (DD/MM/YYYY) _____</p> <p>國籍 _____ Nationality</p> <p>住宅電話 _____ Home Telephone No.</p> <p>流動電話 _____ Mobile Phone No.</p> <p>公司電話 _____ Office Telephone No.</p> <p>傳真號碼 _____ Facsimile No.</p> <p>電郵地址 _____ E-mail Address</p> <p>身份證明文件 Official ID 證明文件號碼 ID No. _____</p> <p>種類 Type</p> <p><input type="checkbox"/> 香港身份證 HKID</p> <p><input type="checkbox"/> 中國居民身份證 PRC Resident Identity Card</p> <p><input type="checkbox"/> 護照 Passport (簽發地點 Place of Issue _____)</p> <p><input type="checkbox"/> 其他 Other _____</p> <p>住宅地址 (不接受郵政信箱) Residential Address (P.O. Box not accepted)</p> <p>_____</p> <p>_____</p> <p>_____</p>

<p>通訊地址 (不接受郵政信箱) Correspondence Address (P.O. Box not accepted) (如與上址不同 If different from above)</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>住宅類別 Nature of Occupancy</p> <p><input type="checkbox"/> 自置 (無按揭) Self-owned (No Mortgage)</p> <p><input type="checkbox"/> 與父母同住 With Parents</p> <p><input type="checkbox"/> 親屬樓宇 Owned by Relative(s)</p> <p><input type="checkbox"/> 宿舍 / 由公司提供 Quarters / Provided by Company</p> <p><input type="checkbox"/> 按揭 Mortgaged (每月供款 Monthly Installment \$ _____)</p> <p><input type="checkbox"/> 租用 Rented (每月租金 Monthly Rental \$ _____)</p> <p>教育程度 Education Level</p> <p><input type="checkbox"/> 小學 Primary School</p> <p><input type="checkbox"/> 中學 Secondary School</p> <p><input type="checkbox"/> 大專 Tertiary</p> <p><input type="checkbox"/> 大學或以上 University or above</p>	<p>通訊地址 (不接受郵政信箱) Correspondence Address (P.O. Box not accepted) (如與上址不同 If different from above)</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>住宅類別 Nature of Occupancy</p> <p><input type="checkbox"/> 自置 (無按揭) Self-owned (No Mortgage)</p> <p><input type="checkbox"/> 與父母同住 With Parents</p> <p><input type="checkbox"/> 親屬樓宇 Owned by Relative(s)</p> <p><input type="checkbox"/> 宿舍 / 由公司提供 Quarters / Provided by Company</p> <p><input type="checkbox"/> 按揭 Mortgaged (每月供款 Monthly Installment \$ _____)</p> <p><input type="checkbox"/> 租用 Rented (每月租金 Monthly Rental \$ _____)</p> <p>教育程度 Education Level</p> <p><input type="checkbox"/> 小學 Primary School</p> <p><input type="checkbox"/> 中學 Secondary School</p> <p><input type="checkbox"/> 大專 Tertiary</p> <p><input type="checkbox"/> 大學或以上 University or above</p> <p>與第一帳戶持有人的關係 Relationship with First Account Holder</p> <p><input type="checkbox"/> 直系親屬 Immediate Family Member 請註明 Please specify _____</p> <p><input type="checkbox"/> 親戚 Relative</p> <p><input type="checkbox"/> 朋友 Friends</p> <p><input type="checkbox"/> 其他 Others _____</p>
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## B.2 工作狀況 Employment Status

<p>就業情況 Employment Status</p> <p><input type="checkbox"/> 自僱 Self-employed</p> <p><input type="checkbox"/> 全職 Full-time employed</p> <p><input type="checkbox"/> 兼職 Part-time employed</p> <p><input type="checkbox"/> 退休 Retired</p> <p><input type="checkbox"/> 其他 Others _____</p> <p>僱主名稱 Name of Employer _____</p> <p>行業 Occupation _____</p> <p>職位 Position _____</p> <p>從業年期 Years in Occupation _____</p> <p>商業地址 Business Address _____</p> <p>_____</p> <p>_____</p>	<p>就業情況 Employment Status</p> <p><input type="checkbox"/> 自僱 Self-employed</p> <p><input type="checkbox"/> 全職 Full-time Employed</p> <p><input type="checkbox"/> 兼職 Part-time Employed</p> <p><input type="checkbox"/> 退休 Retired</p> <p><input type="checkbox"/> 其他 Others _____</p> <p>僱主名稱 Name of Employer _____</p> <p>行業 Occupation _____</p> <p>職位 Position _____</p> <p>從業年期 Years in Occupation _____</p> <p>商業地址 Business Address _____</p> <p>_____</p> <p>_____</p>
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## B.3 客戶常設交收銀行帳戶 Client Standing Settlement Bank Account

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 /	

## B.4 財政狀況 Financial Status

<p>收入來源 Source of Income</p> <p><input type="checkbox"/> 沒有 Nil</p> <p><input type="checkbox"/> 薪金 Salary</p> <p><input type="checkbox"/> 佣金 Commission</p> <p><input type="checkbox"/> 租金 Rental</p> <p><input type="checkbox"/> 股息 / 利息 Dividend / Interest</p> <p><input type="checkbox"/> 業務溢利 Business Profit</p> <p><input type="checkbox"/> 其他 Others _____</p> <p>每年入息 (港元) Annual Income (HKD)</p> <p><input type="checkbox"/> 沒有 Nil</p> <p><input type="checkbox"/> 1 – 500,000</p> <p><input type="checkbox"/> 500,001 – 1,000,000</p> <p><input type="checkbox"/> 1,000,001 – 5,000,000</p> <p><input type="checkbox"/> 5,000,001 – 10,000,000</p> <p><input type="checkbox"/> &gt; 10,000,000</p> <p>資產類別 Asset Type</p> <p><input type="checkbox"/> 現金 Cash / 存款 Deposit</p> <p><input type="checkbox"/> 房地產 Land and Property</p> <p><input type="checkbox"/> 公司股份 Company Shares</p> <p><input type="checkbox"/> 遺產 Inheritance</p> <p><input type="checkbox"/> 股票 Stocks</p> <p><input type="checkbox"/> 基金 Funds</p> <p><input type="checkbox"/> 債券 Bonds / Debentures</p> <p><input type="checkbox"/> 外匯 Foreign Exchange</p> <p><input type="checkbox"/> 其他 Others _____</p> <p>估計資產淨值 (港元) Estimated Total Net Worth (HKD)</p> <p><input type="checkbox"/> &lt; 1,000,000</p> <p><input type="checkbox"/> 1,000,000 – 3,000,000</p> <p><input type="checkbox"/> 3,000,001 – 5,000,000</p> <p><input type="checkbox"/> 5,000,001 – 10,000,000</p> <p><input type="checkbox"/> 10,000,001 – 50,000,000</p> <p><input type="checkbox"/> &gt; 50,000,000</p>	<p>收入來源 Source of Income</p> <p><input type="checkbox"/> 沒有 Nil</p> <p><input type="checkbox"/> 薪金 Salary</p> <p><input type="checkbox"/> 佣金 Commission</p> <p><input type="checkbox"/> 租金 Rental</p> <p><input type="checkbox"/> 股息 / 利息 Dividend / Interest</p> <p><input type="checkbox"/> 業務溢利 Business Profit</p> <p><input type="checkbox"/> 其他 Others _____</p> <p>每年入息 (港元) Annual Income (HKD)</p> <p><input type="checkbox"/> 沒有 Nil</p> <p><input type="checkbox"/> 1 – 500,000</p> <p><input type="checkbox"/> 500,001 – 1,000,000</p> <p><input type="checkbox"/> 1,000,001 – 5,000,000</p> <p><input type="checkbox"/> 5,000,001 – 10,000,000</p> <p><input type="checkbox"/> &gt; 10,000,000</p> <p>資產類別 Asset Type</p> <p><input type="checkbox"/> 現金 Cash / 存款 Deposit</p> <p><input type="checkbox"/> 房地產 Land and Property</p> <p><input type="checkbox"/> 公司股份 Company Shares</p> <p><input type="checkbox"/> 遺產 Inheritance</p> <p><input type="checkbox"/> 股票 Stocks</p> <p><input type="checkbox"/> 基金 Funds</p> <p><input type="checkbox"/> 債券 Bonds / Debentures</p> <p><input type="checkbox"/> 外匯 Foreign Exchange</p> <p><input type="checkbox"/> 其他 Others _____</p> <p>估計資產淨值 (港元) Estimated Total Net Worth (HKD)</p> <p><input type="checkbox"/> &lt; 1,000,000</p> <p><input type="checkbox"/> 1,000,000 – 3,000,000</p> <p><input type="checkbox"/> 3,000,001 – 5,000,000</p> <p><input type="checkbox"/> 5,000,001 – 10,000,000</p> <p><input type="checkbox"/> 10,000,001 – 50,000,000</p> <p><input type="checkbox"/> &gt; 50,000,000</p>
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## B.5 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				

## B.6 衍生及結構性投資產品的認識評估 Derivative and Structured Products Knowledge Assessment

1. 客戶對結構性或衍生產品有沒有認識?

Does Client have any knowledge on structured or derivative product(s)?

- 有 (請繼續回答下列的第 2 條問題) Yes (Please continue to answer the following Question No. 2)
- 沒有 None

2. 客戶從以下途徑認識結構性或衍生產品:

Client acquired knowledge on structured or derivative product(s) from the following ways :

- 接受結構性或衍生產品的培訓或修讀相關課程 (請提供培訓或修讀課程之名稱及日期)  
Received training or attended courses or seminars on structured or derivative product(s) (Please state the name of the course / seminars and the date of attendance)  
培訓或修讀課程之名稱  
Name of the courses / seminars \_\_\_\_\_  
培訓或修讀以上課程之日期  
Date of attending the above courses / seminars \_\_\_\_\_
- 現時的工作與結構性或衍生產品有關 (請提供公司名稱, 行業 / 業務性質, 職位及在職日期 / 營業年期)  
Current work of Client is related to structured or derivative product(s) (Please state the Company Name, Industry / Business Nature, Position and the Employment of Services Period / Operation of Business Period)  
公司名稱  
Company Name \_\_\_\_\_  
行業 / 業務性質  
Industry / Business Nature \_\_\_\_\_  
職位  
Position \_\_\_\_\_  
在職日期 / 營業年期  
Employment of Service Period / Operation of Business Period  
由 From \_\_\_\_\_ 至 to \_\_\_\_\_
- 以往的工作經驗與結構性或衍生產品有關 (請提供公司名稱, 行業 / 業務性質, 職位及在職日期 / 營業年期)  
Previous work experience of the Client was related to structured or derivative product(s) (Please state the Company Name, Industry / Business Nature, Position and the Employment of Services period / Operation of Business period)  
公司名稱  
Company Name \_\_\_\_\_  
行業 / 業務性質  
Industry / Business Nature \_\_\_\_\_  
職位  
Position \_\_\_\_\_  
在職日期 / 營業年期  
Employment of Service Period / Operation of Business Period  
由 From \_\_\_\_\_ 至 to \_\_\_\_\_
- 客戶相關之交易經驗 (見上述「投資經驗年期」中描述的產品, 於最近三年內最少有五次或以上交易)  
Client's relevant investment experience (with at least 5 transactions in recent 3 years in products described in "Years of Experience in Investment" above)
- 其他 Others \_\_\_\_\_

## C. 通訊方法 Method of Communication

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

- 郵遞 - 住宅地址 By Mail - Residential Address \*
- 郵遞 - 通訊地址 By Mail - Correspondence Address \*
- 電郵 By E-Mail

\*請留意結單將寄往第一帳戶持有人 Please notice that the statement will be sent to First Account Holder by post

## D. 獲授權人士 Authorized Person

此帳戶是否由授權人士操作? Is the account operated by the Authorized Person?

- 不是 No
- 是 Yes
- 證券 Securities
- 期貨 Futures

此帳戶可根據獲授權人士之指示運作。本人 / 吾等茲聲明對由獲授權人士或聲稱為獲授權人士所發出之任何指示 (包括但不限於口頭指示或書面指示) 承擔全部責任, 並會就中國天元證券及 / 或中國天元商品及期貨因該等授權人士之任何行為, 不作為或遺漏而引致的一切賠償、損失、費用及開支向中國天元證券及 / 或中國天元商品及期貨作全部彌償。

當本人（獲授權人士）於下列簽署欄內簽署後，即表示同意接受客戶的授權成為其授權人士，並同意承擔客戶之帳戶內之一切責任，亦須就中國天元證券及 / 或中國天元商品及期貨因客戶及 / 或本人之任何行為，不作為或遺漏而引致的一切賠償、損失、費用及開支向中國天元證券及 / 或中國天元商品及期貨作全部彌償。

Account maintained by the Client can be operated on the instructions of the Authorized Person. I / We hereby declare that I / we shall be fully responsible for any instructions given or purported to be given by the Authorized Person (including but not limiting to the verbal instructions or written instructions), and shall fully indemnify CTYS and / or CTYF against all damages, losses, costs and expense whatsoever incurred as a result of any act, inactivity or omission of the Authorized Person.

When I, the Authorized Person listed below, after signing in the signature column herein below, indicated that I accept the abovementioned Client's authorization to become its Authorized Person. I hereby agree that I shall be fully responsible for all liabilities arising from the Client's relevant account(s) with CTYS and / or CTYF and shall fully indemnify CTYS and / or CTYF against all damages, losses, costs and expenses whatsoever incurred as a result of any act, inactivity or omission of the Client and / or myself.

獲授權人士名稱 Name of Authorized Person	獲授權人士身份證 / 護照號碼 ID No. / Passport No. of Authorized Person	獲授權人士接納及簽署 Accepted and Signed by Authorized Person
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客戶與獲授權人士之關係 Relationship Between Authorized Person and Client	獲授權人士聯絡電話 Authorized Person Contact No.	由客戶確認及簽署 Confirmed and Signed by Client
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## E. 資料披露 Disclosure of Information

1. 閣下或最終實益擁有人，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？  
Do you, the ultimate beneficial owner of the Account, or your spouse, partner, child, parent, spouse or partner of your 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. 閣下是否為《證券及期貨條例》之持牌法團或《銀行業條例》之註冊機構僱員？（包括現時為證監會持牌代表 / 金管局註冊人員）  
Are you an employee of a licensed corporation under the Securities and Futures Ordinance, or a registered institution under the Banking Ordinance (whether you are currently a SFC licensed representative / HKMA registered person or not)?
- 不是 No  
 是 Yes  
持牌法團 / 註冊機構名稱  
Licensed Corporation / Registered Institution Name
- \_\_\_\_\_

職位  
Position

\_\_\_\_\_

僱主中央編號 (Employer CE No.) \_\_\_\_\_ 僱員中央編號 (Employee CE No.) \_\_\_\_\_

**(必須出示所屬持牌法團或註冊機構之授權信)**  
**(You must provide written approval from your accredited licensed corporation or registered institution)**

3. 閣下，此帳戶最終權益擁有人及 / 或就此帳戶進行交易的最終負責發出指示人仕，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？  
Do you, the ultimate beneficial owner(s), and / or ultimate instructor(s) have any relationship with any director or employee of CTYS and / or CTYF or its affiliates?
- 不是 No  
 是，請說明 Yes, please specify
- |  |                    |
|--|--------------------|
| 董事或職員名稱<br>Name of Director / Employee | 關係<br>Relationship |
|--|--------------------|
- \_\_\_\_\_

4. 閣下是否單獨或閣下的配偶共同控制任何中國天元證券及 / 或中國天元商品及期貨或其聯屬公司之保證金帳戶 35% 或以上投票權?  
Are you, either alone or with your spouse, in control of 35% or more of the voting rights of any corporate margin account of CTYS and / or CTYF or its affiliates?

否 No  
 是，請說明 Yes, please specify 配偶名稱 Name of Spouse 帳戶號碼 Account No.

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5. 閣下的配偶是否中國天元證券及 / 或中國天元商品及期貨或其聯屬公司之保證金客戶?  
Does your spouse have a margin account with CTYS and / or CTYF or its affiliates?

否 No  
 是，請說明 Yes, please specify 配偶名稱 Name of Spouse 帳戶號碼 Account No.

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6. 閣下現時是否已持有中國天元證券及 / 或中國天元商品及期貨或其聯屬公司之帳戶?  
Do you maintain any other account(s) with CTYS and / or CTYF or its affiliates?

否 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.	

7. 閣下（及 / 或聯名帳戶第二帳戶持有人）是否為美國公民（持有美國護照）或美國居民（持有美國綠卡）?  
Are you (and / or the Second Joint Account Holder) a U.S. citizen (e.g. holding U.S. Passport) or U.S. resident alien (e.g. holding U.S. green card)?

否 No  
 是，請填寫 W-9 表格 Yes, please fill in Form W-9

**F. 帳戶最終實益擁有人 Ultimate Beneficial Owner(s) of the Account**

閣下是否此帳戶的最終實益擁有人？（即閣下是否為本身而並非為第三者運作此帳戶？）  
Are you the ultimate beneficial owner(s) in relation to the Account? (i.e. Are you acting for your own account and not for a third party?)

是 Yes  
 否，帳戶的最終實益擁有人是 No, with details of the ultimate beneficial owner(s) as below

名稱 Name	身份證 / 護照號碼 ID / Passport No.	地址 Address
_____	_____	_____

**G. 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 \_\_\_\_\_

**H. 聯名帳戶簽署安排 Joint Account Signatures Arrangement**

1. 以上每一聯名帳戶持有人均有權為帳戶買賣任何證券及 / 或期貨而不時發出口頭指示及 / 或透過電子服務（如適用）發出的指示；及  
Each of the above joint account holders specified is authorized to give verbal instructions and / or instruction through the Electronic Services (where applicable) in relation to the purchase or sale of any securities and / or futures for the Account(s) from time to time; and

2.  其中一位聯名帳戶持有人單獨簽署 Either one joint account holder signing singly  
 兩位聯名帳戶持有人共同簽署 Both joint account holders signing jointly  
任何就帳戶運作之書面指示，方為有效 validates any written instructions relating to the operation of the Account(s)

## I. 自我證明 Self-Certification

### 重要提示 Important Notes:

- ◇ 這是由帳戶持有人向申報財務機構提供的自我證明，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。  
This is a self-certification 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.
- ◇ 如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。  
An account holder should report all changes in his / her tax residency status to the reporting financial institution.

### I.1 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」） Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")

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。

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.

如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

如沒有提供稅務編號，必須填寫合適的理由：

If a TIN is unavailable, provide the appropriate reason A, B or C:

- 理由 Reason A - 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。  
The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
- 理由 Reason B - 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。  
The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.
- 理由 Reason C - 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。  
TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

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

### I.2 聲明及簽署 Declarations and Signature

本人知悉及同意，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，並會在情況發生改變後 30 日內，向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提交一份已適當更新的自我證明表格。

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。

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by China Tian Yuan Securities Limited and / or China Tian Yuan Commodities and Futures Limited 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 China Tian Yuan Securities Limited and / or China Tian Yuan Commodities and 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 China Tian Yuan Securities Limited and / or China Tian Yuan Commodities and Futures Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

**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.**

簽署 Signature \_\_\_\_\_

客戶姓名 Client Name \_\_\_\_\_ 日期 (日 / 月 / 年) Date (dd / mm / yy) \_\_\_\_\_

# 請刪去不適用者

**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。**

**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).**

## 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

### 帳戶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的交易之條例及規則。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(s)**

<b>(1) 個人 / 聯名帳戶第一帳戶持有人簽署 Signature of Individual / First Joint Account Holder</b>	<b>(2) 聯名帳戶第二帳戶持有人簽署 Signature of Second Joint Account Holder</b>
客戶名稱 Client Name	客戶名稱 Client Name
日期 Date	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:

經紀名稱 Name of Account Executive

中央編號  
CE No.

**文件查核清單 Document checklist**

身份證 / 護照副本  
ID Card / Passport Copy

地址證明 (最近三個月內)  
Address Proof (within 3 months)

客戶常設交收銀行帳戶 (副本)  
Client Standing Settlement Bank Account (Copy)

僱主書面同意書 (如適用)  
Employment Consent Letter (if applicable)

W-8BEN 表格 / W-9 表格 (如適用)  
W-8BEN Form / W-9 Form (if applicable)

自我證明表格  
Self-Certification Form

備註

Remark

**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

**證券帳戶基本佣金 (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

**期貨帳戶基本佣金 (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