

**SDIC Securities Futures (Hong Kong) Limited**  
 SFC CE No.: AVM812  
 39/F, One Exchange Square, Central, Hong Kong  
 Tel: (852) 2213 1000  
 Fax: (852) 2213 1010

**國投證券期貨（香港）有限公司**  
 證監會中央編號: AVM812  
 香港中環交易廣場1座39樓  
 電話: (852) 2213 1000  
 傳真: (852) 2213 1010

## FUTURES CLIENT ACCOUNT OPENING DOCUMENT (CORPORATE ACCOUNT) 期貨客戶開戶文件(公司帳戶)

Please complete in BLOCK LETTERS 請用正楷填寫

\*Mandatory, endorsement by authorized signatory is required for any changes 為必填項，塗改處需客戶授權代表加簽

<b>1 Client Name 客戶名稱</b>  *English 英文: _____  *Chinese 中文: _____			
<b>2 *Account Name (if different from above) *帳戶名稱(如與上述不同)</b>			
<b>3 *Nature of Entity (i.e. Partnership, Private Limited Company, Public Limited Company etc.)</b> *公司性質(如合夥商號、私人有限公司、公眾有限公司等)			
<b>4 *Country/Area of Incorporation</b> *註冊成立國家/地區	<b>*Date of Incorporation (DD/MM/YYYY)</b> *註冊成立日期(日/月/年)	<b>*Certificate of Incorporation No.</b> *公司註冊成立證書號碼	<b>*Business Registration No.</b> *商業登記編號
<b>5 *Registered Office in Country of Incorporation/Establishment 註冊地的註冊地址</b> Room /Floor/ Building/ Street/ District 室 / 樓層 / 大廈 / 街道 / 地區 _____  City 城市 _____  Province / State 省 / 州 _____  Country 國家 _____ Post Code/ZIP Code 郵政編碼/郵遞區 _____			
<b>*Current Business (if different from above) 現時營運地址(如與上述不同)</b> Room /Floor/ Building/ Street/ District 室 / 樓層 / 大廈 / 街道 / 地區 _____  City 城市 _____  Province / State 省 / 州 _____  Country 國家 _____ Post Code/ZIP Code 郵政編碼/郵遞區 _____			
<b>Correspondence Address 通訊地址</b> Room /Floor/ Building/ Street/ District 室 / 樓層 / 大廈 / 街道 / 地區 _____  City 城市 _____  Province / State 省 / 州 _____  Country 國家 _____ Post Code/ZIP Code 郵政編碼/郵遞區 _____			
<b>*Telephone No. 電話號碼</b> i) _____ ii) _____	<b>Fax No. 傳真號碼</b> i) _____ ii) _____	<b>*E-mail Address 電郵地址</b> _____	
<b>6 All statements/contract notes/trading confirmations/correspondence to be sent to you:</b> 所有結單/買賣單據/交易確認通知/信件遞送至:			
<input type="checkbox"/> Current Business Address 現時營運地址 <input type="checkbox"/> Registered Address 註冊地址 <input type="checkbox"/> E-mail Address 電郵地址  <input type="checkbox"/> Others, please specify 其他, 請註明: _____			

<b>7 Nature of Client's business 客戶業務性質</b>  <hr/> <p>Does the Client's ordinary business involve the acquisition, disposal or holding of shares and debentures (Either as principal or agent)?          客戶的通常業務(不論以主事人或代理人身份), 是否涉及買、賣或持有股票及債券?</p> <p><input type="checkbox"/> Yes 是 <span style="margin-left: 200px;"><input type="checkbox"/> No 否</span></p>				
<b>8 Is the Client a member or participant registered with any stock or commodities exchange or are you regulated or supervised by any government or regulatory authority?</b> 客戶是否為任何股票或期貨交易所的註冊會員或參與者或受任何政府或監管機構所規管或監管?  <p><input type="checkbox"/> Yes, details are 是, 詳情為 _____</p> <p><input type="checkbox"/> No 否</p>				
<b>9 Share Capital 股本</b>  Authorized Share Capital: _____ shares of par value USD / HKD / Other (please specify) _____ each share. 法定股本: _____ 股, 面值為美元 / 港元 / 其他貨幣(請註明) _____ 元之股份。 Issued Share Capital: _____ shares of par value USD / HKD / Other (please specify) _____ each share, fully / partly paid. 已發行股本: _____ 股, 面值為美元 / 港元 / 其他貨幣(請註明) _____ 元之已繳足 / 未繳足股份。				
<b>10 Shareholders' Information (shareholding 10% or above) 股東資料(持有百份之十或以上股權)</b>				
Shareholder(s)' Name 股東名稱	ID Card/Passport/CI/BR No. and Issuing Country 身份證/護照/註冊證書/商業 登記證號碼及簽發國家	Shareholder(s) Current Residential Address /Current Business Address 股東現時住址/現時工作地址	Contact No. 聯絡電話	Shareholding (%) 所佔股權(%)
<b>11 Director(s)' Information 董事資料</b>				
Director(s)' Name 董事名稱	ID Card/Passport/CI/BR No. and Issuing Country 身份證/護照/註冊證書/商業 登記證號碼及簽發國家	Director(s) Current Residential Address/ Current Business Address 董事現時住址/現時工作地址	Contact No. 聯絡電話	

12 Account Management Authorization 帳戶管理授權

Any \_\_\_\_\_ of the undersigned individuals are authorized to agree to any terms or conditions of the account, open, operate or terminate the account and to enter into any (written or electronic) agreement, including letter of discharge, power of attorney, letter of transfer or other documents, and in general conduct and take all actions that the authorized individuals deem necessary and reasonable in relation to the account on behalf of the Client and specimen signatures appearing against their names are the true signatures of the authorized individuals:  
 以下任何\_\_\_\_\_位授權人士簽署均可同意帳戶的任何條款或條件，開立、操作或終止帳戶，並就帳戶和其中涉及的財產代表公司簽訂任何（書面或電子的）協議，包括解除書、委託書、轉讓書或其他文件，及一般性地進行和採取所有就帳戶而言該授權人士視為必須或合理的行動，而授權人士之真實簽名樣本已於其姓名旁邊註明：

Authorized Person's Name 授權人士姓名	ID Card /Passport No. and Issuing Country 身份證/護照號碼及 簽發國家	Current Residential Address/ Current Business Address 現時住址/現時工作地址	Occupation /Position 職業/職位	Contact No. 聯絡電話	Specimen Signature 簽名樣本

13 Trading Authorization 交易授權

The following individuals are authorized to place the oral or written instructions for trades on behalf of Client:  
 下列人士均可對帳戶以書面或口頭形式發出交易指示：

Authorized Person's Name 授權人士姓名	ID Card /Passport No. and Issuing Country 身份證/護照號碼及 簽發國家	Current Residential Address/ Current Business Address 現時住址/現時工作地址	Occupation /Position 職業/職位	Contact No. 聯絡電話	Specimen Signature 簽名樣本

14 Signing Arrangement 簽署安排

Any \_\_\_\_\_ of the undersigned individuals are authorized to deposit/withdraw fund/shares to/from the account, give settlement instructions and any other instructions on behalf of Client and the specimen signatures appearing against their names are the true signatures of the authorized individuals:  
 以下任何\_\_\_\_\_位授權人士簽署均可代表公司對帳戶進行資金/股票存入或提取，發出結算指示和其他帳戶有關指示，而授權人士之真實簽名樣本已於其姓名旁邊註明：

Authorized Person's Name 授權人士姓名	ID Card /Passport No. and Issuing Country 身份證/護照號碼及 簽發國家	Current Residential Address/ Current Business Address 現時住址/現時工作地址	Occupation /Position 職業/職位	Contact No. 聯絡電話	Specimen Signature 簽名樣本

15 Ownership of Account 帳戶擁有權  
Is the Client the ultimate beneficial owner of the Account? (Are you acting for your own account and not for a third party?)  
客戶是否本帳戶的最終實益擁有人? (客戶是否為本身而非為第三者運作此帳戶?)

Yes 是

No, details of the ultimate beneficial owner(s) of the Account is/are as follow 否, 本帳戶的最終實益擁有人如下:

Name 姓名	ID Card /Passport No. and Issuing Country 身份證/護照號碼及簽發國家	Date of Birth (DD/MM/YYYY) 出生日期 (日/月/年)	Current Residential Address 現時住址	Contact No. 聯絡電話

16 Details of the person(s) ultimately responsible for giving instructions in relation to transactions to be conducted through the Account (Not applicable if it is same as the ultimate beneficial owner(s)).  
就此帳戶進行交易發出指示的最終負責人士的身份(若與帳戶最終實益擁有人相同則不用填寫本欄)。

Name 姓名	ID Card /Passport No. and Issuing Country 身份證/護照號碼及簽發國家	Date of Birth (DD/MM/YYYY) 出生日期 (日/月/年)	Current Residential Address 現時住址	Contact No. 聯絡電話

17 Internet Trading Service 網上交易服務

The Client would like to register for the Future and Options Internet Trading Services and the relevant password.  
客戶現申請登記期貨及期權之網上交易服務及其有關密碼。

18 Unless otherwise instructed by Client, all monies payable to Client are to be credited to the following bank account(s):  
除經客戶另行指示外, 否則所有須付予客戶的款項將會被轉入下列帳戶:

Bank Name 銀行名稱	A/C. Number 帳戶號碼
<input type="checkbox"/> HKD 港元 _____	_____
<input type="checkbox"/> USD 美元 _____	_____
<input type="checkbox"/> OTHER CURRENCY 其他貨幣 _____	_____

Bank Account Holder's Name (should match the name(s) shown on bank statements and this form):  
帳戶持有人名稱(須與客戶於銀行結單及此表格上的名稱相符):

\_\_\_\_\_

If bank account is outside Hong Kong, please state the address location and SWIFT code (if applicable) of the bank:  
若為香港以外銀行帳戶, 請提供銀行地址、所在地區及 SWIFT 編號(若適用者):

\_\_\_\_\_

19 The Client's financial information (in HKD, please specify otherwise) 客戶財政資料(港元, 如非港元請註明)

a) Annual net profit after tax 每年稅後淨盈利:

i) Amount 數額: \_\_\_\_\_ for fiscal year ending 財政年度 \_\_\_\_\_

ii) Amount 數額: \_\_\_\_\_ for fiscal year ending 財政年度 \_\_\_\_\_

b) Total net worth 客戶總資產淨值: \_\_\_\_\_ Total Liabilities 總負債: \_\_\_\_\_

c) Does the Client own any property / real estate? 客戶是否擁有任何資產 / 物業?

No 沒有  Yes, details are 有, 詳情為: \_\_\_\_\_

with financing 有借貸  without financing 無借貸



26 Related Account 關連帳戶

Does any of the Client's shareholders, directors, partners, Authorized Person(s), the person(s) ultimately responsible for giving instructions for the Account or the ultimate beneficial owner(s) of the Account ("Relevant Person(s)") have any relationship with the director(s) or employee(s) of SDIC Securities Futures (Hong Kong) Limited or any of its subsidiaries?

貴公司之股東、董事、合夥人、獲授權代理人、就帳戶進行的交易發出指示之最終負責人士或帳戶最終實益擁有人(「有關人士」)與國投證券期貨(香港)有限公司或其附屬公司之董事或職員是否有親屬關係?

No 不是

Yes 是 :

Name of the Relevant Person(s)

有關人士之姓名:

Name of the director(s) or employee(s)

董事或職員之姓名:

Relationship

關係:

Father/Mother/Son/Daughter

父親/母親/兒子/女兒

Husband/Wife 丈夫/妻子

Other 其他: \_\_\_\_\_

27 Specific Requirements or Instructions (if any) 特殊要求或指示 (如有):

\_\_\_\_\_

\_\_\_\_\_

28 Appointment of Agent to accept service of process 接收法律程序文件送達之代理人之委任:

Where the Client is not incorporated in Hong Kong or does not have a place of business in Hong Kong it hereby appoints of \_\_\_\_\_

\_\_\_\_\_ Hong Kong to accept service of process.

倘若客戶並非在香港註冊且在香港並無營業地址, 客戶茲委任 \_\_\_\_\_, 地址為 \_\_\_\_\_,

為其在香港收受法律程序文件之代理人。

**Use of personal data in direct marketing consent letter**

**使用個人資料作直接促銷同意書**

SDIC Securities Futures (Hong Kong) Limited ("SDIC SECURITIES FUTURES HK") intends to use your company's personal data in direct marketing. Such personal data includes the name, contact details, financial background and statistical data which are provided to SDIC SECURITIES FUTURES HK under this Account Opening Information Form or obtained by SDIC SECURITIES FUTURES HK from time to time. SDIC SECURITIES FUTURES HK proposes to obtain your company's consent.

國投證券期貨(香港)有限公司(「國投證券期貨(香港)」)擬使用貴公司的個人資料作直接促銷, 該等個人資料包括本公司在本開戶資料表格中向國投證券期貨(香港)提供的及國投證券期貨(香港)不時獲得的姓名、聯絡詳情、財務背景、統計資料等的個人資料。為此須取得貴公司的同意。

We agree to receive promotional and direct marketing information from SDIC SECURITIES FUTURES HK in respect of financial, insurance, securities, investment services and products of SDIC SECURITIES FUTURES HK may offer. We also agree that SDIC SECURITIES FUTURES HK can share our company's personal data with its group companies for marketing and promotional purposes. We understand and accept that SDIC SECURITIES FUTURES HK and its group companies may, from time to time, engage third parties to provide direct marketing services unless I indicate an objection herein below:

本公司同意國投證券期貨(香港)向本公司的個人資料發放關於財務、保險、證券、投資的服務和產品的推廣資料。本公司亦同意國投證券期貨(香港)及其集團公司分享本公司的個人資料作促銷用途。本公司亦明白和接受國投證券期貨(香港)及其集團公司可能不時聘請第三方代表國投證券期貨(香港)及其集團公司提供直接促銷服務, 除非本公司在下方表示反對:

We object to the SDIC SECURITIES FUTURES HK use or transfer, whether for gain or not, of all kinds of our company's personal data to all classes of data transferees, for direct marketing of all classes of marketing subject.

本公司反對國投證券期貨(香港)使用或轉移, 不論是否為得益, 本公司所有個人資料的種類, 給予所有資料承轉人的類別以用作所有促銷產品/服務/設施的類別的直接促銷用途。

In the future, if your company does not wish SDIC SECURITIES FUTURES HK to use or provide your company's personal data to other persons for the use in direct marketing, your company may exercise your opt-out right by notifying SDIC SECURITIES FUTURES HK at (852)2213 1000.

如貴公司將來不希望國投證券期貨(香港)使用或提供貴公司的個人資料給他人作直接促銷, 請致電(852)2213 1000 通知我們。

## Board Resolutions

### 董事局決議

We hereby certify that the following resolutions have been passed by the board of directors (“Board”) of \_\_\_\_\_ (“Company”) at a meeting of the Board duly convened and held at \_\_\_\_\_ on \_\_\_\_\_ at which a quorum was present and acted throughout in accordance with the constitution of the Company / the following resolutions have been duly passed in accordance with the constitution of the Company\* and have been duly recorded in the minute book of the Company and that no action have been taken to rescind or amend the said resolutions and that the same are now in full force and effect.

本公司茲證明，下列決議案經\_\_\_\_\_（「本公司」）董事局於\_\_\_\_\_年\_\_\_\_\_月\_\_\_\_\_日於\_\_\_\_\_正式召開之董事局會議通過，該會議有足夠法定人數出席，並自始至終按照本公司章程規定行事/ 下列決議案經按照本公司章程規定正式通過\*，且已被正式載入本公司之會議記錄冊內。並無任何人採取任何行動撤消或修改上述決議案，而該決議案正式全面生效及有效。

IT WAS RESOLVED THAT:

決議通過:

1. Futures Client Account(s)\* (“Account”) be opened and maintained in the name of the Company with SDIC Securities Futures (Hong Kong) Limited (“SDIC SECURITIES FUTURES HK”) for the purpose of holding funds relating to any purchases, sales, holdings and other dealings in futures contracts and options contracts as the Company may instruct SDIC SECURITIES FUTURES HK as its agent to effect from time to time on behalf of the Company and that the Account be maintained and all such purchases, sales, holdings and other dealings be effected subject to and in accordance with the provisions of terms and conditions stated therein the Agreement for Futures and Options Trading (“Agreement”) to be issued by SDIC SECURITIES FUTURES HK to the Company in connection with the opening of the Account; and  
以本公司名義在國投證券期貨（香港）有限公司（「國投證券期貨（香港）」）開立並維持一個或多個期貨客戶賬戶\*（「賬戶」）以持有資金，使本公司可不時指示國投證券期貨（香港）作為本公司代理人，代表本公司買賣及持有期貨合約和期權合約及作其他期貨合約和期權交易，而該賬戶及所有該等買賣、持有及其他交易均須根據將由國投證券期貨（香港）關於開立賬戶而發給本公司之期貨及期權交易協議書內所詳列的條款和條件（「協議」）之各項規定辦理並受其規限；及
2. the Futures Client Account Opening Document and the Agreement (collectively, the “Account Opening Documents”) in such formats completed and produced to the meeting be and are hereby approved and any \_\_\_\_\_ director(s) of the Company be authorized to sign any of the Account Opening Documents for and on behalf of the Company and the signed originals thereof be delivered to SDIC SECURITIES FUTURES HK.  
批准經填妥並於本次會議上提交期貨客戶開戶文件及協議（合稱「開戶文件」），並授權本公司任何\_\_\_\_\_名董事代表本公司簽署任何上述開戶檔，並將經簽署之該等文件正本送交國投證券期貨（香港）。
3. The Company authorize, with immediate effect, any of the following individual(s) (the “Authorized Persons”) to give oral and/or written instruction(s) to SDIC SECURITIES FUTURES HK (i) in relation to the operation of the account(s) maintained by the Company with SDIC SECURITIES FUTURES HK and (ii) to effect purchases, sales, holdings and other dealings in futures contracts and options contracts on behalf of the Company. Any instruction(s) given by the Authorized Persons shall be absolutely binding on the Company. SDIC SECURITIES FUTURES HK shall have no obligation whatsoever to inquire about or confirm the authority of the Authorized Persons in giving any instructions. The Company accepts full responsibility for all oral and/or written instruction(s) given by the Authorized Persons on the Company’s behalf.”

本公司已授權下列任何人士(「被授權人士」)就(i)本公司在國投證券期貨(香港)所開立之期貨客戶賬戶之運作及(ii)代表本公司進行買賣或持有期貨合約和期權合約又或以其他方式進行之交易向國投證券期貨(香港)發出口頭或書面指示,並即時生效,該等被授權人士作出的任何指示對本公司具有絕對的約束力,國投證券期貨(香港)毋須查詢或核實被授權人士發出任何指示所依據的權力。本公司必需對該等被授權人士發出的全部口頭或書面指示負上全部責任。」

#### ACCOUNT MANAGEMENT AUTHORIZATION 帳戶管理授權

Any \_\_\_\_\_ of the undersigned individuals are authorized to agree to any terms or conditions of the account, open, operate or terminate the account and to enter into any (written or electronic) agreement, including letter of discharge, power of attorney, letter of transfer or other documents, and in general conduct and take all actions that the authorized individuals deem necessary and reasonable in relation to the account on behalf of the Company and specimen signatures appearing against their names are the true signatures of the authorized individuals:

以下任何\_\_\_\_\_位授權人士簽署均可同意帳戶的任何條款或條件,開立、操作或終止帳戶,並就帳戶和其中涉及的財產代表公司簽訂任何(書面或電子的)協議,包括解除書、委託書、轉讓書或其他文件,及一般性地進行和採取所有就帳戶而言該授權人士視為必須或合理的行動,而授權人士之真實簽名樣本已於其姓名旁邊註明:

Authorized Person's Name	ID Card No./Passport No.	Telephone/Mobile Telephone No.	Specimen Signature
授權人士姓名	身份證或護照號碼	電話/手提電話號碼	簽名樣本
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

#### TRADING AUTHORIZATION 交易授權

The following individuals are authorized to place the oral or written instructions for trades on behalf of the Company:

下列人士均可對帳戶以書面或口頭形式發出交易指示:

Authorized Person's Name	ID Card No./Passport No.	Telephone/Mobile Telephone No.	Specimen Signature
授權人士姓名	身份證或護照號碼	電話/手提電話號碼	簽名樣本
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

#### SIGNING ARRANGEMENT 簽署安排

The following individuals are authorized to deposit/withdraw fund/securities to/from the account, give settlement instructions and any other instructions on behalf of the Company and the specimen signatures appearing against their names are the true signatures of the authorized individuals:

下列授權人士簽署均可代表本公司對帳戶進行資金/證券存入或提取,發出結算指示和其他帳戶有關指示,而授權人士之真實簽名樣本已於其姓名旁邊註明:

Authorized Person's Name	ID Card No./Passport No.	Telephone/Mobile Telephone No.	Specimen Signature
授權人士姓名	身份證或護照號碼	電話/手提電話號碼	簽名樣本
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Duly authorized for and on behalf of

正式授權代表

\_\_\_\_\_

Date 日期:

# DECLARATION, AGREEMENT and ACKNOWLEDGEMENT

## 聲明、同意及承認：

1. I/We hereby declare that the information given in this account opening document (the “document”) is true, correct and complete and that I/we have not willfully withheld any material fact(s). I/We understand that I/we may be required to provide additional information or submit documentary proof as to the information provided in this form when requested by SDIC Securities Futures (Hong Kong) Limited (“SDIC SECURITIES FUTURES HK”).

本人/吾等謹此聲明開戶文件（「開戶文件」）上提供之所有資料均為真實、正確及完備，本人/吾等並未刻意隱瞞任何重要事實。除上述提供的資料外，本人/吾等清楚國投證券期貨（香港）有限公司（「國投證券期貨（香港）」）也許要求本人/吾等提供更多相關的資料或證明文件。

2. I/We request SDIC SECURITIES FUTURES HK to open a Futures and/or Options Trading Account (“the Account”) (as the case may be). I/We have read and understood the provisions of the current version of the Agreement for Futures and Options Trading (“Agreement”) of SDIC SECURITIES FUTURES HK of which this document forms an integral part of the Agreement and I/we hereby agree to be bound by the Agreement as a whole (receipt of a copy whereof is hereby acknowledged by me/us) as the same may be amended from time to time and the rules and regulations of The Hong Kong Futures Exchange Limited (“HKFE”) or any other regulatory body(ies) as amended from time to time governing the purchase and sale of futures and/or options quoted on the HKFE or any other exchanges.

本人/吾等向國投證券期貨（香港）申請開立期貨及/或期權買賣帳戶（「該帳戶」）（按情況適用）。本人/吾等已閱讀過及明白國投證券期貨（香港）現行版本的期貨及期權交易協議書（「協議書」）而本開戶文件構成協議書的一部分，本人/吾等在此同意受可不時被修改的該協議之整體（謹此聲明本人/吾等已收妥其副本）及期貨交易所（「期交所」）及其他監管機構不時修訂以監管於期交所或其他交易所進行期貨及/或期權買賣之條例及規則所約束。

3. I/We hereby acknowledge and confirm that the Supplemental Document contained therein the Agreement consisting of (a) Information about SDIC SECURITIES FUTURES HK (b) Disclaimer and (c) Risk Disclosure Statements for Futures and Options in a language of my/our choice (English or Chinese) and I/we have been invited to read the same, to ask questions and take independent advice if I/we wish. I/We confirm that the SDIC SECURITIES FUTURES HK Representative Declaration in this document (including the description of such Representative) forms part of the Risk Disclosure Statements for Futures and Options.

本人/吾等承認及確認載於協議書內補充文件，包括（a）關於國投證券期貨（香港）的資料（b）免責聲明及（c）適用於期貨或期權的風險披露聲明書，而本人/吾等已獲邀按本人/吾等選擇之語言閱讀補充文件、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，國投證券期貨（香港）代表在本文件中之聲明（包括對該代表之描述）構成適用於期貨或期權的風險披露聲明書之一部分。

4. I/We understand that my/our submission of this document and the acceptance of such document by SDIC SECURITIES FUTURES HK in no way implied approval for opening of the account for me/us and that SDIC SECURITIES FUTURES HK reserves the unconditional right to reject my/our application. I/We further understand that I/we may be required to place a deposit on the value of the futures and/or options to be purchased or sold requested by SDIC SECURITIES FUTURES HK.

本人/吾等明白本人/吾等遞交此開戶文件及國投證券期貨（香港）接納此開戶文件並非表示國投證券期貨（香港）同意開立帳戶予本人/吾等，而國投證券期貨（香港）保留無條件拒絕本人/吾等開戶申請之權力；本人/吾等知悉國投證券期貨（香港）或會要求本人/吾等就將買入或賣出之期貨及/或期權先存入款項。

5. I/We hereby authorize SDIC SECURITIES FUTURES HK and the bank(s) mentioned in this document to verify and exchange the information contained in this document and such other information relating to my/our personal particulars, my/our bank account(s) in the bank(s) mentioned in this form between SDIC SECURITIES FUTURES HK and such other third parties as SDIC SECURITIES FUTURES HK may deem appropriate for the purpose of approving my/our application and for such other purposes as long as I/we shall remain an accounts with SDIC SECURITIES FUTURES HK.

本人/吾等謹此授權國投證券期貨（香港）及此開戶文件提及之銀行相互及向合適第三者查證及交換此開戶文件上之資料和其他關於本人/吾等之個人資料、本人/吾等之銀行帳戶，以作核實開戶申請及其他目的如本人/吾等仍為閣下的客戶。

6. I/We hereby declare that we are not a United States resident for Foreign Account Tax Compliance Act (FATCA) purposes, and the income to which the said Account(s) related is not subjected to tax under FATCA. I/We undertake to notify SDIC SECURITIES FUTURES HK within thirty (30) days for any change of circumstances stated in the W8BEN Form, without which I/we agree that the W8BEN Form will be deemed renewed. I/We shall fully indemnify and hold harmless SDIC SECURITIES FUTURES HK from and against all claims, damages, losses, costs and expenses whatsoever incurred as a result of such non-compliance or omission.

本人/吾等謹此聲明其並非《海外帳戶稅收合規法案》下所定義的美國人士，而且此帳戶下之相關的收入依《海外帳戶稅收合規法案》毋須扣繳稅款。本人/吾等承諾如於W8BEN表格中的情況有任何更改，本人/吾等須於三十(30)日內主動通知國投證券期貨（香港），否則本人/吾等同意該W8BEN表格會被當作續期。本人/吾等亦同意悉數對國投證券期貨（香港）因本公司違規或遺漏而蒙受的任何索償、損害、損失、費用及開支作出彌償並保證其利益不受損害。

7. I/We agree to inform SDIC SECURITIES FUTURES HK within thirty (30) days upon any changes in the information of the Self-Certification of Common Reporting Standard status supplied to SDIC SECURITIES FUTURES HK. We shall fully indemnify and hold harmless SDIC SECURITIES FUTURES HK from and against all claims, damages, losses, costs and expenses whatsoever incurred as a result of such non-compliance or omission.

本人/吾等承諾若本人/吾等的共同匯報標準自我證明的狀況資料如有變更，會於三十(30)日內主動通知國投證券期貨（香港）。本人/吾等亦同意悉數對國投證券期貨（香港）因本人/吾等違規或遺漏而蒙受的任何索償、損害、損失、費用及開支作出彌償並保證其利益不受損害。

8. SDIC SECURITIES FUTURES HK will request a self-certification and/or other relevant documentation in order to establish our tax residence for automatic exchange of financial account information purposes. If there is any change in circumstances that would affect my/our tax residence or there is reason for SDIC SECURITIES FUTURES HK to know that the self-certification is incorrect or unreliable, SDIC SECURITIES FUTURES HK reserves the right to request and I/we have the obligation to provide a new self-certification and/or additional documentation. As account holder(s) of SDIC SECURITIES FUTURES HK, I/we shall be deemed to acknowledge that further information may need to be provided to SDIC SECURITIES FUTURES HK. SDIC SECURITIES FUTURES HK's compliance with the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112) and/or guidance may result in gathering, storing, using, and processing my/our information. My/Our information may also be disclosed to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region, which is further exchanged with tax authorities of another jurisdiction in which I/we may be resident for tax purposes. Where I/we fail to provide any requested information (regardless of the consequences), SDIC SECURITIES FUTURES HK reserves the right to take any action and/or pursue all remedies at its disposal including, without limitation to restrictor terminate the operation of the account.

國投證券期貨（香港）須本人/吾等提供自我證明或其他文件以揭示本人/吾等納稅所在地，以作自動交換財務帳戶資料用途。如本人/吾等因任何情況而影響本人/吾等的納稅所在地，或令國投證券期貨（香港）有理由相信本人/吾等之自我證明有不正確或不可靠時，國投證券期貨（香港）保留權利可要求本人/吾等遞交新的自我證明及/或額外文件。作為國投證券期貨（香港）的帳戶持有人，本人/吾等承諾及同意向國投證券期貨（香港）提供進一步的資料。國投證券期貨（香港）為遵守香港《稅務條例》（第112章）有關交換財務帳戶資料的法律條文及/或指引，可能導致收集，儲存，使用及處理本人/吾等的資料。本人/吾等的資料亦可向香港特別行政區政府稅務局披露，從而把資料轉交到本人/吾等的居留司法管轄區的稅務當局。如果本人/吾等未能提供任何所要求的資料，國投證券期貨（香港）保留採取任何補救措施的權利，包括（但不限於）限制及終止帳戶的運作。

9. I/We understand that 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).

本人/吾等明白根據《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。

10. I/We have read SDIC SECURITIES FUTURES HK's "Notice to Customers on the Personal Data (Privacy) Ordinance" (as contained in the Agreement), understand and agree to such terms.

本人/吾等已參閱國投證券期貨（香港）的《予客戶有關《個人資料（私隱）條例》的通知》（載於協議書內），並明白且同意其條款。

11. I/We acknowledge that I/we have carefully read and fully understand the content of "RISK DISCLOSURE FOR VIRTUAL ASSETS RELATED PRODUCTS" (as contained in the Agreement). If I/we decide to trade virtual assets related products, I/we agree to bear the risks involved. I/We confirm that I/we shall make our own risk assessment, or seek independent professional advice before trading in virtual assets related product, and that I/we have sufficient net worth to be able to assume the risks and bear the potential losses for our trades in virtual assets related product. I/We understand that if clients do not have any knowledge or experience relating to virtual assets related product, unless the clients thereafter receives training on virtual assets related products, otherwise the clients will not be eligible for trading virtual asset-related products.

本人/吾等確認已細心閱讀及完全明白《關於虛擬資產相關產品的風險披露》的內容（載於協議書內）。如果本人/吾等決定買賣該等虛擬資產相關產品時，本人/吾等同意承擔有關風險。本人/吾等確認，在買賣虛擬資產相關產品前，本人/吾等將會進行自我風險評估或尋求獨立專業意見，並擁有足夠資本承擔有關風險及損失。本人/吾等明白，如客戶並沒有虛擬資產相關產品的知識或經驗，除非客戶之後接受虛擬資產相關產品的培訓，否則客戶將不可進行虛擬資產相關產品交易。

12. I/We hereby execute and deliver in favour of SDIC SECURITIES FUTURES HK an authorization letter in form as per Schedule A hereto pursuant to the Agreement. The authorization letter if issued by my/our authorized representative shall deem to be duly executed and delivered by me/us and I/we shall be fully liable and indemnified SDIC SECURITIES FUTURES HK from and against any liability, cost, lost and/or damages in performing its services under such authorization.

根據協議書之規定，本人/吾等在此簽署及向閣下交付，格式以本文件之附表A為準之授權書。若該授權書是由本人/吾等授權人士發出，該授權書將被視為已由本人/吾等有效執行及交付；如因執行此授權而引致國投證券期貨（香港）有任何責任、費用、損失及/或損害，本人/吾等將全力承擔並向國投證券期貨（香港）作出彌償。

13. This document and the Agreement are drawing in English and Chinese Languages, all two versions being equally authenticated. In the event of inconsistency or conflict arising in the interpretation of this document and the Agreement, the English language version shall deem to be conclusive and prevail.

本開戶文件及協議書擬定中英文版本，兩種語言版本均具同等效力。當中英文版本有爭議或差異時，應以英文版本解譯並視為確實及具最終效力。

Client Authorized Signature(s) with company chop  
(also as Specimen Signature)  
客戶簽署並蓋章（並作為簽署式樣）

Authorized signatory's name(s) and title(s):  
客戶簽署代表人的姓名及職銜

Date (DD/MM/YYYY)  
日期（日/月/年）

**IF THIS DOCUMENT IS NOT EXECUTED BY THE CLIENT IN FRONT OF SDIC SECURITIES FUTURES (HONG KONG) LIMITED'S EMPLOYEE, BELOW SHOULD BE SIGNED BY A SPECIFIED PERSON<sup>1</sup> (if applicable)**

若客戶並非在國投證券期貨（香港）的僱員面前簽立此份文件，以下應由指定人士<sup>1</sup>簽署（若適用者）

The undersigned person hereby certifies the signing of this document (together with the above Standard Terms and Conditions) by the above Client and sighting of related identity documents of such Client.

下述簽署人士謹此驗證上述客戶簽立此文件（連同上述的標準條款）及其有關的身份證明文件

**Signed and Certified by**

**簽署及驗證**

Signature 簽署

Name 姓名

Profession / Affiliate Entity / Title

所屬專業 / 聯屬人士 / 職銜

Date (DD/MM/YYYY) 日期(日/月/年)

Contact Details 聯絡資料

<sup>1</sup> Any licensed or registered person with Hong Kong SFC or his affiliate, an affiliate of SDIC SECURITIES FUTURES HK, professional person (such as a branch manager of a bank, certified public accountant, lawyer or notary public)  
任何由香港證監會發牌或註冊之人士或其聯繫人士、國投證券期貨（香港）的聯繫人士，專業人士（例如銀行分行經理、執業會計師、律師或公證人）核證。

**SDIC SECURITIES FUTURES HK REPRESENTATIVE DECLARATION 國投證券期貨（香港）代表聲明**

I / We, SDIC Securities Futures (Hong Kong) Limited representative(s), hereby declare and confirm that I / we have provided the Risk Disclosure Statements and Disclaimers to the above Client in a language of the Client's choice (English or Chinese) and invited the Client to read the same, ask questions and take independent advice if the Client wishes.

本人 / 吾等為國投證券期貨（香港）有限公司的註冊職員，並謹此聲明及確認本人 / 吾等已按照上述客戶所選擇的語言（中文或英文）向客戶提供風險披露聲明書及免責聲明及邀請客戶閱讀該等聲明、提出問題及徵求獨立的意見（如客戶有此意願）。

\*The above Client / Joint Client signature(s) was / were made in my / our presence.

\*以上客戶 / 聯名客戶簽署乃於本人 / 吾等面前簽立。

Signature(s) of SDIC SECURITIES FUTURES HK Representative(s)

SDIC SECURITIES FUTURES HK Representative(s)

國投證券期貨（香港）註冊職員之簽署

Date(DD/MM/YYYY)

國投證券期貨（香港）註冊職員之名稱及中央編號

Name(s) and CE No.(s) of SDIC

日期(日/月/年)

\* This sentence must be deleted if not applicable. 若不適用，此句必要被刪去。

APPROVED AND ACCEPTED BY SDIC SECURITIES FUTURES HK 國投證券期貨（香港）批核及接納

Authorized Signature

Date(DD/MM/YYYY)

獲授權代表簽署

Risk Control Department

風險管理部

SDIC SECURITIES FUTURES HK Approving Officer

國投證券期貨（香港）批核主任

Legal & Compliance Department

法務及合規部

日期(日/月/年)

Remarks 備註

**Form of Client's Authorization Letter (For Corporate)**  
**客戶授權信函(公司)**

Dear Sirs,  
敬啟者：

Unless otherwise defined, all the terms used in this authorization letter shall have the same meanings as in the Securities and Futures Ordinance, the Securities and Futures (Client Securities) Rules and the Securities and Futures (Client Money) Rules as amended from time to time.

除非另有定義，本函使用的術語應與不時修訂的《證券及期貨條例》、《證券及期貨(客戶證券)規則》和《證券及期貨(客戶款項)規則》中的定義相同。

**Client Money Standing Authority**  
**客戶款項常設授權**

The Client Money Standing Authority covers money held or received by you in Hong Kong (including any interest derived from the holding of the money which does not belong to you) in one or more segregated account(s) on our behalf ("Monies").

客戶款項的常設授權範圍包括貴公司在香港代表吾等開立的一個或多個獨立帳戶中持有或收到的款項(包括因持有任何不屬於貴公司的款項所獲取的利息)。「款項」。

We authorize you to:  
吾等授權貴公司：

I. combine or consolidate any or all segregated accounts, of any nature whatsoever and either individually or jointly with others, maintained by you or any of your Affiliates (as defined in the Agreement for Futures and Options Trading as amended from time to time) and you may transfer any sum of Monies to and between such segregated account(s) to satisfy our liabilities (as defined in the Agreement for Futures and Options Trading as amended from time to time) to you or any of your Affiliates and that account is a segregated account;

將貴公司或任何貴公司聯屬人(定義見不時修訂的期貨及期權交易標準條款)單獨或與他人共同維持的任何性質的任何或所有獨立帳戶合併或綜合。貴公司可將款項的任何款額轉給其他獨立帳戶或在獨立帳戶之間相互轉帳，以結清吾等對貴公司或任何貴公司聯屬人負有的債責(定義見不時修訂的期貨及期權交易標準條款)，而該帳戶為一個獨立帳戶；

II. set-off or transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by you or any of your Affiliates towards satisfaction of any of our liabilities to you or any of your Affiliates;

貴公司或任何貴公司聯屬人可將款項的任何款額任何時間維持的獨立帳戶之間轉入轉出以結清吾等對貴公司或任何貴公司聯屬人負有的債責；

III. transfer any funds standing from time to time in any accounts maintained at any time by us with you or any of your Affiliates to the Account (as defined in the Agreement for Futures and Options Trading as amended from time to time) and/or to any other account(s) maintained at any time by us with you or any of your Affiliates;

將吾等在任何時間在貴公司或任何貴公司聯屬人維持的帳戶不時的任何資金轉入「戶口」(定義見不時修訂的期貨及期權交易標準條款)和/或吾等在任何時間在貴公司或任何貴公司聯屬人維持的任何其他帳戶；

IV. exchange our Monies into any other currency(ies) at the rate of exchange conclusively determined by you. You may do any of these things above without giving me/us notice ; and

可不需要在事前知會吾等，將帳戶內的款項以貴公司最終確定的匯率兌換成任何其他貨幣；及

V. transfer our Monies held or received by you in Hong Kong to the segregated account(s) of other futures broker(s) in Hong Kong or elsewhere.

可將貴公司在香港為吾等持有或收到的款項轉至位於香港或海外的別家期貨經紀的獨立帳戶。

**Client Securities Standing Authority**  
**客戶證券常設授權**

The Client Securities Standing Authority is in respect of the treatment of the Client's securities or securities collateral as set out below.

客戶證券的常設授權是關於按下述方式處理客戶的證券或證券抵押品。

We authorize you to:

吾等授權貴公司：

- I. apply any of our securities or securities collateral pursuant to a securities borrowing and lending agreement;  
根據證券借貸協議使用吾等的任何證券或證券抵押品；
- II. deposit any of our securities collateral with an authorized financial institution as collateral for financial accommodation provided to you;  
將吾等的任何證券抵押品存放於一認可財務機構，作為提供予貴公司的財務通融的抵押品；
- III. deposit any of our securities collateral with HKSCC as collateral for the discharge and satisfaction of your settlement obligations and liabilities. We understand that HKSCC will have a first fixed charge over the Client's securities to the extent of your obligations and liabilities;  
將吾等的任何證券抵押品存放於香港中央結算有限公司，作為解除貴公司在交收上的義務和清償貴公司在交收上的法律責任的抵押品。吾等明白，香港中央結算有限公司將在貴公司的義務和責任範圍內對客戶的證券享有第一固定抵押權；
- IV. deposit any of our securities collateral with any other recognized clearing house, or another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of your settlement obligations and liabilities; and  
將吾等的任何證券抵押品存放於任何其他認可結算所或另一獲發牌或獲註冊進行證券交易的中介人，作為解除貴公司在交收上的義務和清償貴公司在交收上的法律責任的抵押品；及
- V. apply or deposit any of our securities collateral in accordance with Clauses I, II, III, and/or IV above if you provide financial accommodation to us in the course of dealing in securities and also provide financial accommodation to us in the course of any other regulated activity for which you are licensed or registered.  
若貴公司在進行證券交易的過程中向吾等提供財務通融；和在貴公司獲發牌或獲註冊進行的任何其他受規管活動的過程中向吾等提供財務通融，可按照以上 I、II、III 和／或 IV 條款運用或存放吾等的任何證券抵押品。

We acknowledge and agree that you may do any of the things set out above without giving me/us notice.

吾等確認並同意，貴公司可在不通知吾等情況下進行上述任何事項。

We also acknowledge that:-

吾等確認:-

- (a) the Client Money Standing Authority is given without prejudice to other authorities or rights which you or any of your Affiliates may have in relation to dealing in Monies in the segregated accounts; and  
客戶款項常設授權是在不影響貴公司或任何貴公司聯屬人就處理獨立帳戶中的款項可能擁有的其他授權或權利情況下授與的；及
- (b) the Client Securities Standing Authority shall not affect your right to dispose or initiate a disposal by your associated entity of our securities or securities collateral in settlement of any liability owed by or on behalf of us to you, the associated entity or a third person.  
客戶證券常設授權不應影響貴公司行使權利處置或貴公司聯係實體行使權利處置吾等的證券或證券抵押品，以償清吾等或代表吾等在交收上對貴公司、貴公司聯係實體或第三方負有的任何法律責任。

We understand that a third party may have rights to our securities, which you must satisfy before our securities can be returned.

吾等明白，吾等的證券可能受到某第三方權利的制約，而貴公司須在清償該等權利後方可將吾等的證券退回。

We acknowledge and understand that client assets held by you outside Hong Kong are subject to the applicable laws and regulations of the relevant overseas jurisdiction which may be different from the Securities and Futures Ordinance and the rules made there under including the Securities and Futures (Client Money) Rules and Securities and Futures (Client Securities) Rules. Consequently, such client assets may not enjoy the same protection as that conferred on client assets held in Hong Kong.

吾等確認並明白，貴公司在香港以外地方收取或持有的客戶資產，是受到有關海外司法管轄區的適用法律及規例所監管的。這些法律及規例與《證券及期貨條例》及根據該條例制訂的規例(包括《證券及期貨(客戶款項)規例》及《證券及期貨(客戶證券)規例》)可能有所不同。因此，有關客戶資產將可能不會享有賦予在香港收取或持有的客戶資產的相同保障。

We understand that each of the Client Money Standing Authority and the Client Securities Standing Authority is valid for a period of 12 months from the date of this letter subject to renewal by us or deemed renewal under the Client Money Rules or Client Securities

Rules (as the case may be). Each of the Client Money Standing Authority and the Client Securities Standing Authority may be revoked by giving you written notice addressed to your Settlement Department at your address specified above or such other address which you may notify us in writing for this purpose. Such notice shall take effect upon the expiry of 14 days from the date of your actual receipt of such notice.

吾等明白，每一個客戶款項常設授權和客戶證券常設授權自本信函之日起有效期 12 個月，但可由吾等續期或按照客戶款項規則或客戶證券規則(視情況而定)規定視為續期。每一個客戶款項常設授權和客戶證券常設授權可按以上載明貴公司的地址或貴公司就此目的可能書面通知吾等的其他地址，以標明貴公司結算部為收件人的書面通知方式撤銷。該通知應在貴公司實際收到通知之日後 14 日屆滿時生效。

We understand that the Client Money Standing Authority and the Client Securities Standing Authority shall be deemed to be renewed on a continuing basis without our written consent if you issue us a written reminder at least 14 days prior to the expiry date of the relevant authority, and we do not object to such deemed renewal before such expiry date.

吾等明白，倘若貴公司在有關授權有效期屆滿前最少 14 日向吾等發出有關授權將被視為續期的書面通知，而吾等在授權屆滿日前對於此方式將該授權延續不表示反對，則客戶款項常設授權和客戶證券常設授權將會在沒有吾等書面同意下被視為已續期。

This letter of authority has been explained to us and we understand and agree with the contents of this letter of authority.

已經向吾等解釋了本授權書的內容，吾等理解及同意本授權書的內容。

In the event of any difference in interpretation or meaning between the Chinese and English versions of this letter of authority, we agree that the English version shall prevail.

倘若本授權書的中文本與英文本在解釋或意義方面有任何歧義，吾等同意應以英文本為準。

For and on behalf of

公司簽字人

x \_\_\_\_\_

(Authorized Signature and Company chop/seal)

(授權代表簽字及公司蓋章)

Authorized Signatory's Name:

授權代表名稱: \_\_\_\_\_

Client Name:

客戶姓名: \_\_\_\_\_

A/C. No.:

帳戶號碼: \_\_\_\_\_

Date (DD/MM/YYYY):

日期(日/月/年): \_\_\_\_\_

## 開立帳戶之文件核對表 DOCUMENTATION CHECK LIST FOR ACCOUNT OPENING

重要事項：所有提交的文件如非正本，必須經認可人士或國投證券期貨（香港）員工認證後，方為有效。

Important note: All documents submitted must either be original or certified copy by recognized person/ staff members of SDIC SECURITIES FUTURES HK.

### 在香港註冊的公司 Incorporated in Hong Kong

1. 董事局決議及授權書  
Board Resolutions and Authorization
2. 公司股東/董事/獲簽署人/授權人/最終實益擁有人的身份證/護照/公司註冊證書核證副本  
Certified True Copies of the Identity Card/ Passport / Certificate of Incorporation of shareholders /directors/authorized signatories/authorized persons/ ultimate beneficial owners of the Company
3. 公司章程  
Memorandum and Article of Association
4. 公司註冊證書  
Certificate of Incorporation
5. 商業登記證  
Business Registration Certificate
6. 最近週年申報表  
Latest Annual Return
7. 最近經審核財務報表（如適用）  
Latest Audited Financial Statements (if applicable)
8. 共同匯報標準的自我認證表格  
Common Reporting Standard Self-certification form
9. 最近三個月內的通訊地址證明（如適用）  
Proof of Correspondence Address which issued within the last 3 months (if applicable)
10. 股東及最終實益擁有人最近三個月的住址證明  
Proof of residential address for Shareholder(s) and Ultimate Beneficial Owner(s) within the last 3 months
11. 公司的擁有權及控制權結構詳情（例如：擁有公司董事就描述中介層而作出聲明的架構圖表）  
Details of the ownership and structure control of the Company (i.e. organization chart incorporating a declaration from the Company's director describing the intermediate layers of the Company)
12. 國投證券期貨（香港）合理情況下需要的其他文件或資料  
Other document and/or information as SDIC SECURITIES FUTURES HK may reasonably requires

上述(3)至(7)的文件，須由香港公司註冊處或專業第三者核證（例如：執業律師/會計師）。而(6)的文件須在最近6個月內簽發。

The aforesaid Documents listed in (3) – (7) should be certified by the Hong Kong Company Registry or professional third party (e.g. practicing Solicitor / Accountant) and Documents listed in (6) should have been issued within the last 6 months.

### 在香港以外註冊的公司 Incorporated outside Hong Kong

1. 董事局決議及授權書  
Board Resolutions and Authorization
2. 公司股東/董事/獲簽署人/授權人/最終實益擁有人的身份證/護照/公司註冊證書核證副本  
Certified True Copies of the Identity Card / Passport / Certificate of Incorporation of the shareholders /directors/authorized signatories/authorized persons/ ultimate beneficial owners of the Company
3. 公司章程  
Memorandum and Article of Association
4. 公司註冊證書  
Certificate of Incorporation
5. 董事名單  
Register of Directors
6. 股東名單  
Register of Members

7. 存續證明或良好聲譽證明書  
Certificate of Incumbency or Certificate of Good Standing
8. 最近經審核財務報表（如適用）  
Latest Audited Financial Statements (if applicable)
9. 共同匯報標準的自我認證表格  
Common Reporting Standard Self-certification form
10. 最近三個月內的通訊地址證明（如適用）  
Proof of Correspondence Address which issued within the last 3 months (if applicable)
11. 股東及最終實益擁有人最近三個月的住址證明  
Proof of residential address for Shareholder(s) and Ultimate Beneficial Owner(s) within the last 3 months
12. 公司的擁有權及控制權結構詳情（例如：擁有公司董事就描述中介層而作出聲明的架構圖表）  
Details of the ownership and structure control of the Company (i.e. organization chart incorporating a declaration from the Company's director describing the intermediate layers of the Company)
13. 國投證券期貨（香港）合理情況下需要的其他文件或資料  
Other document and/or information as SDIC SECURITIES FUTURES HK may reasonably require

**上述(3)至(8)的文件，須由公司註冊地的註冊處或專業第三者核證（例如：執業律師/會計師）。而(7)的文件須在最近6個月內簽發。**  
**The aforesaid Documents listed in (3) – (8) should be certified by a company registry in the place of incorporation or professional third party (e.g. practicing Solicitor / Accountant) and Documents listed in (7) should have been issued within the last 6 months.**