

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 (INDIVIDUAL / JOINT ACCOUNT)
期貨客戶開戶文件(個人 / 聯名帳戶)

Individual Account
 個人帳戶

Joint Account
 聯名帳戶

Please complete in BLOCK LETTERS 請用正楷填寫

*Mandatory, endorsement is required for any changes 為必填項, 塗改處需本人加簽

Personal Information 個人資料			
Individual / Joint Account Holder (1) 個人 / 聯名帳戶持有人 (1)		Joint Account Holder (2) 聯名帳戶持有人 (2)	
1 Client Name 客戶姓名: Mr. 先生 / Ms. 女士 / Mrs. 太太 / Miss 小姐		Client Name 客戶姓名: Mr. 先生 / Ms. 女士 / Mrs. 太太 / Miss 小姐	
*Chinese 中文:		*Chinese 中文:	
*Last Name or Surname 姓氏:	*First or Given Name 名字:	*Last Name or Surname 姓氏:	*First or Given Name 名字:
2*Signing Arrangement (For Joint Account Only)簽署安排 (只適用於聯名帳戶)			
The Account can be operated under the instruction of: 此賬戶可根據以下指示方式操作:			
<input type="checkbox"/> Either one of the account holder; or 任何一位帳戶持有人的指示		<input type="checkbox"/> Both account holders 兩位帳戶持有人的指示	
3 *Nationality / Citizenship 國籍 / 公民身份		*Nationality / Citizenship 國籍 / 公民身份	
4 *ID Card No./Passport No. of Client and Issuing Country 客戶身份證號碼 / 護照號碼及簽發國家		*ID Card No./Passport No. of Client and Issuing Country 客戶身份證號碼 / 護照號碼及簽發國家	
5 *Date & Place of Birth (DD/MM/YYYY) 出生日期及地點 (日/月/年)		*Date & Place of Birth (DD/MM/YYYY) 出生日期及地點 (日/月/年)	
6 *Current Residential Address 現時住宅地址 (P.O. Box is not accepted. 不接受郵政信箱)		*Current Residential Address 現時住宅地址 (P.O. Box is not accepted. 不接受郵政信箱)	
Room /Floor/ Building/ Street/ District 室 / 樓層 / 大廈 / 街道 / 地區	Room /Floor/ Building/ Street/ District 室 / 樓層 / 大廈 / 街道 / 地區	Room /Floor/ Building/ Street/ District 室 / 樓層 / 大廈 / 街道 / 地區	Room /Floor/ Building/ Street/ District 室 / 樓層 / 大廈 / 街道 / 地區
City 城市	City 城市	City 城市	City 城市
Province / State 省 / 州	Province / State 省 / 州	Province / State 省 / 州	Province / State 省 / 州
Country 國家	Country 國家	Country 國家	Country 國家
Post Code/ZIP Code 郵政編碼/郵遞區	Post Code/ZIP Code 郵政編碼/郵遞區	Post Code/ZIP Code 郵政編碼/郵遞區	Post Code/ZIP Code 郵政編碼/郵遞區
7 Correspondence Address 通訊地址 (if different from above 如與以上有異)		Correspondence Address 通訊地址 (if different from above 如與以上有異)	
Room /Floor/ Building/ Street/ District 室 / 樓層 / 大廈 / 街道 / 地區	Room /Floor/ Building/ Street/ District 室 / 樓層 / 大廈 / 街道 / 地區	Room /Floor/ Building/ Street/ District 室 / 樓層 / 大廈 / 街道 / 地區	Room /Floor/ Building/ Street/ District 室 / 樓層 / 大廈 / 街道 / 地區
City 城市	City 城市	City 城市	City 城市
Province / State 省 / 州	Province / State 省 / 州	Province / State 省 / 州	Province / State 省 / 州
Country 國家	Country 國家	Country 國家	Country 國家
Post Code/ZIP Code 郵政編碼/郵遞區	Post Code/ZIP Code 郵政編碼/郵遞區	Post Code/ZIP Code 郵政編碼/郵遞區	Post Code/ZIP Code 郵政編碼/郵遞區
Home Telephone No. 住宅電話號碼	Home Fax No. 住宅傳真號碼	Home Telephone No. 住宅電話號碼	Home Fax No. 住宅傳真號碼
*Mobile Telephone No. 手提電話號碼	*E-mail Address 電郵地址	*Mobile Telephone No. 手提電話號碼	*E-mail Address 電郵地址

Business / Employment Status 業務 / 就業情況											
8 *Name of employer 僱主名稱 (if self-employed, please fill in name of business 若自僱, 請填行業名稱)		*Name of employer 僱主名稱 (if self-employed, please fill in name of business 若自僱, 請填行業名稱)									
*Nature of business 業務性質	*Occupation / Job Title 職業 / 職位	*Nature of business 業務性質	*Occupation / Job Title 職業 / 職位								
Business Address 工作地址		Business Address 工作地址									
Business Telephone No. 工作電話號碼	Business Fax No. 工作傳真號碼	Business Telephone No. 工作電話號碼	Business Fax No. 工作傳真號碼								
<p>9 a) Is Client, the ultimate beneficial owner(s) of the Account and/or the person ultimately responsible for giving instructions for 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 Affiliate (as defined in the Agreement for Futures and Options Trading of SDIC Securities Futures (Hong Kong) Limited)?</p> <p>客戶、此帳戶最終實益擁有人及/或此帳戶進行交易的最終負責發出指示人士(「有關人士」)與國投證券期貨(香港)有限公司或其聯屬人(定義見國投證券期貨(香港)有限公司的期貨及期權交易協議書)之董事或職員是否有親屬關係?</p> <p><input type="checkbox"/> Yes 是: <input type="checkbox"/> No 不是</p> <p>Name of the Relevant Person(s) 有關人士名稱: _____</p> <p>Name of the director(s) or employee(s) 董事或職員之姓名: _____</p> <p>Relationship: <input type="checkbox"/> Father/Mother/Son/Daughter 關係 父親/母親/兒子/兒女 <input type="checkbox"/> Husband/Wife 丈夫/妻子 <input type="checkbox"/> Other 其他: _____</p> <p>b) Is Client, 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 Corporation or Registered institution licensed by or registered with the Securities and Futures Commission in Hong Kong?</p> <p>客戶、此帳戶最終實益擁有人及/或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?</p> <p><input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是: Name of the Licensed or Registered Person(s) 持牌或註冊人士名稱: _____</p> <p>If yes, please provide consent letter from employer. 如果是, 請給予僱主的同意信。</p>											
<p>10 All statements/contract notes/trading confirmations/correspondence to be sent to: 所有結單/買賣單據/交易確認通知/信件遞送至:</p> <p><input type="checkbox"/> Residential Address 住宅地址 <input type="checkbox"/> Business Address 工作地址 <input type="checkbox"/> E-mail Address 電郵地址</p> <p><input type="checkbox"/> Others, please specify 其他, 請註明: _____</p>											
<p>11 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轉入下列帳戶:</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 70%;">Bank Name 銀行名稱</td> <td style="width: 30%;">A/C. Number 帳戶號碼</td> </tr> <tr> <td><input type="checkbox"/> HKD 港元 _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> USD 美元 _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> OTHER CURRENCY 其他貨幣 _____</td> <td>_____</td> </tr> </table> <p>Bank Account Holder's Name (the name(s) shown on bank statements and this form should match) 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)</p> <p>_____</p> <p>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)</p> <p>_____</p>				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 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 _____	_____										

12 Client's financial information 客戶財政資料

(i) Source of Income (HKD) : (Please tick one or more) 收入來源(港元)(可選擇下列一項或多項)

- Salary 薪酬 Rental Income 租金收入 Interest/Dividend 利息/股息 Investment Income 投資收益
 Retirement Benefits 退休福利 家人提供 Family Source Others (Please specify) 其他(請註明) _____

(ii) Annual income (including bonus and other income) (HKD) 每年收入(包括花紅及其他收入)(港元)

- Below 少於 \$200,000 \$200,001 - \$500,000
 \$500,001 - \$1,000,000 Over 多於\$1,000,000(Please specify 請註明) _____

(iii) Total net worth (HKD) 客戶總資產淨值(港元) _____

(iv) Does Client own any property / real estate? 客戶是否擁有任何實物資產 / 物業 ?

- No 沒有 Yes, details are 有, 詳情為 : _____
 With Financing 有借貸 Without financing 無借貸

13 Client's investment experience 客戶投資經驗

Experience - year(s) 經驗(年)

- HK listed securities 香港上市證券 _____
 Overseas listed securities 海外上市證券 _____
 HK futures and options 香港期貨及期權 _____
 Overseas futures and options 海外期貨及期權 _____
 Other investment experience (if any) 其他投資經驗 (如有): _____

14 Assessment on knowledge of virtual assets related product(s) 虛擬資產相關產品知識評估

Virtual assets means digital representations of value which may be in the form of digital tokens (such as digital currencies, utility tokens or security or asset-backed tokens), any other virtual commodities, crypto assets or other assets of essentially the same nature, irrespective of whether they amount to "securities" or "futures contracts" as defined under the Securities and Futures Ordinance, but excludes digital representations of fiat currencies issued by central banks (as amended from time to time by the Hong Kong SFC). 虛擬資產指以數碼形式來表達價值的資產, 其形式可以是數碼代幣 (如數碼貨幣、功能型代幣, 或以證券或資產作為抵押的代幣)、任何其他虛擬商品、加密資產或其他本質相同的資產, 不論該等資產是否構成《證券及期貨條例》所界定的「證券」或「期貨合約」, 但不包括由中央銀行發行以數碼形式來表達的貨幣 (經香港證監會不時修訂)。

- The Client has attended trainings or courses in relation to virtual assets related product(s)
 客戶曾接受有關虛擬資產相關產品的培訓或相關課程
 Responsible Person's current or previous work experience is related to virtual assets related product(s)
 客戶現時或之前的工作經驗與虛擬資產相關產品有關
 The Client has executed 5 or more transactions relating to virtual assets related product(s) in the past 3 years
 客戶在過去 3 年內曾執行過 5 宗或以上有關虛擬資產相關產品的交易

For clients do not have any of the above mentioned knowledge and experience, such clients will be considered as without knowledge of virtual assets related product(s). Before trading in virtual assets related product(s), the attention of client is drawn to the risks associated with virtual assets related product(s) (as described in the "RISK DISCLOSURE FOR VIRTUAL ASSETS RELATED PRODUCTS" contained in the Agreement for Futures and Options Trading. 如客戶沒有以上任何一項經驗及認識, 客戶將被視作沒有虛擬資產相關產品認識。在客戶買賣虛擬資產相關產品之前, 客戶需要留意虛擬資產相關產品交易有關之風險 (如《期貨及期權交易協議書》所載的《關於虛擬資產相關產品的風險披露》)。

15 Client's investment objectives 客戶投資目標

- Speculation 投機 Hedging 對沖 Arbitrage 套利
 Others, please specify 其他目的, 請註明: _____

16 Client's risk tolerance 客戶可承受的風險

- Low 低風險 Medium 中等風險 High 高風險

17 Internet Trading Service 網上交易服務

- I / We would like to register for the Future and Options Internet Trading Services and the relevant password.
 本人 / 吾等現申請登記期貨及期權之網上交易服務及其有關密碼。

18 Ownership of Account 帳戶擁有權

(i) Is Client the ultimate beneficial owner of the Account? (Is Client acting for his/her 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 否, 帳戶的最終實益擁有人是:

Name 姓名: _____ Nationality 國籍: _____

Date of Birth 出生日期: _____ Telephone No. 電話號碼: _____

Residential Address 住址: _____

ID Card No./Passport No. and Issuing Country 身份證號碼 / 護照號碼及簽發國家: _____

(ii) Identity, address and contact 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):

就此帳戶進行交易的最終負責發出指示人士的身份、地址及聯絡細節。(若與帳戶最終實益擁有人相同, 則不用填寫本欄。):

Name 姓名: _____ Nationality 國籍: _____

Date of Birth 出生日期: _____ Telephone No. 電話號碼: _____

Residential Address 住址: _____

ID Card No. /Passport No. and Issuing Country 身份證號碼/護照號碼及簽發國家: _____

19 Is any Authorized Person of Client who is authorized to give trading instructions to SDIC Securities Futures (Hong Kong) Limited an employee or a director of a person registered or licensed with Hong Kong SFC?

任何獲授權向國投證券期貨(香港)有限公司發出交易指示的客戶的獲授權代理人是否為香港證監會註冊或認可人士的僱員或董事?

Yes, details are 是, 詳情為:

No 不是

If yes, has Client obtained approval from the employer of such Authorized Person to open a futures and options trading account with SDIC Securities Futures (Hong Kong) Limited?

如果是的話, 客戶是否已獲得該授權人士的僱主批准於國投證券期貨(香港)有限公司開立期貨及期權戶口?

Yes (Please provide consent letter from employer.) 是(請給予僱主的同意信。)

No 不是

20 Specific Requirements or Instructions (if any)

特別要求或指示(如有):

21 Self-certification of U.S. tax residency by Individual Clients 美國居民/公民自我證明

Individual / Joint Account Holder (1) 個人/聯名帳戶持有人(1)

(i) Are you a U.S. tax resident? 您是否美國稅務居民?

Yes 是 No 不是

(ii) Are you a U.S. citizen? (If you hold multiple citizenships, tick "Yes" if one of them is U.S.)

您是否美國公民?(如您持有多重國籍身份而其中之一是美國國籍, 請回答"是")

Yes 是 No 不是

Joint Account Holder (2) 聯名帳戶持有人(2)

(i) Are you a U.S. tax resident? 您是否美國稅務居民?

Yes 是 No 不是

(ii) Are you a U.S. citizen? (If you hold multiple citizenships, tick "Yes" if one of them is U.S.)

您是否美國公民?(如您持有多重國籍身份而其中之一是美國國籍, 請回答"是")

Yes 是 No 不是

22 Self-Certification of Common Reporting Standard 共同匯報標準自我證明

Please 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 Taxpayer Identification Number ("TIN") for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence.

請提供以下資料, 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。請列出所有 (不限於5個) 居留司法管轄區。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. If a TIN is unavailable, provide the appropriate reason A, B or C:

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。如沒有提供稅務編號, 必須填寫合適的理由:

Reason A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

理由 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。

Reason B - The account holder is unable to obtain a TIN. Please explain why the account holder is unable to obtain a TIN if you have selected this reason.

理由 B - 帳戶持有人不能取得稅務編號。如選取這一理由, 請解釋帳戶持有人不能取得稅務編號的原因。

Reason C - TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

理由 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。

Individual / Joint Account Holder (1)個人/聯名帳戶持有人(1)				
	Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Please enter Reason A, B or C if no TIN is available 如沒有提供稅務編號，請填寫理由 A、B 或 C	Please explain why you are unable to obtain a TIN if you have selected Reason B 如選取理由 B，請解釋帳戶持有人不能取得稅務編號的原因
1			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
2			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
3			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
4			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
5			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
Joint Account Holder (2)聯名帳戶持有人(2)				
1			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
2			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
3			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
4			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
5			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
Use of personal data in direct marketing consent letter 使用個人資料作直接促銷同意書				
<p>SDIC Securities Futures (Hong Kong) Limited (“SDIC SECURITIES FUTURES HK”) intends to use your 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 Document or obtained by SDIC SECURITIES FUTURES HK from time to time. SDIC SECURITIES FUTURES HK proposes to obtain your consent.</p> <p>國投證券期貨（香港）有限公司（「國投證券期貨（香港）」）擬使用閣下的個人資料作直接促銷，該等個人資料包括本人/吾等在本開戶文件中向國投證券期貨（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。為此須取得閣下的同意。</p> <p>I/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. I/We also agree that SDIC SECURITIES FUTURES HK can share my/our personal data with its group companies for marketing and promotional purposes. I/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/we indicate an objection herein below:</p> <p>本人/吾等同意國投證券期貨（香港）向本人/吾等發放關於財務、保險、證券、投資的服務和產品的推廣資料。本人/吾等亦同意國投證券期貨（香港）及其集團公司分享本人/吾等的個人資料作促銷用途。本人/吾等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，除非本人/吾等在下方表示反對：</p> <p><input type="checkbox"/> I/We object to the SDIC SECURITIES FUTURES HK use or transfer, whether for gain or not, of all kinds of my/our personal data to all classes of data transferees, for direct marketing of all classes of marketing subject. 本人/吾等反對國投證券期貨（香港）使用或轉移，不論是否為得益，本人/吾等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。</p> <p>In the future, if you do not wish SDIC SECURITIES FUTURES HK to use or provide your data to other persons for the use in direct marketing, you may exercise your opt-out right by notifying SDIC SECURITIES FUTURES HK at (852)2213 1000. 如閣下將來不希望國投證券期貨（香港）使用或提供閣下的資料給他人作直接促銷，請致電(852)2213 1000 通知我們。</p>				

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 and correct and that I/we have not willfully withheld any material fact(s). I/We understand that I/we may be required to provide additional information or submit documentary proof as to the information provided in this form when requested 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及正確，本人/吾等並未刻意隱瞞任何重要事實。除上述提供的資料外，本人/吾等清楚國投證券期貨（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/吾等已收受其副本）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 Disclosures 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 I/we am/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 Self-Certification of U.S. Resident /Citizen, without which we agree that the information stated in the Self-Certification of U.S. Resident /Citizen will be deemed renewed. 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/吾等謹此聲明本人/吾等並非《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/吾等的美國居民/公民自我證明的狀況資料如有變更，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/吾等同意該資料會被當作續期。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。

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 or jurisdictions 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。

Individual/Joint Account Holder (1)

個人/聯名帳戶持有人(1)

X

Client Signature (also as Specimen Signature)
客戶簽署(並作為簽署式樣)

Name of Individual / Joint Account Holder (1)
個人/聯名帳戶持有人(1)之名稱

Date(DD/MM/YYYY)
日期(日/月/年)

Joint Account Holder (2)

聯名帳戶持有人(2)

X

Client Signature (also as Specimen Signature)
客戶簽署(並作為簽署式樣)

Name of Joint Account Holder (2)
聯名帳戶持有人(2)之名稱

Date(DD/MM/YYYY)
日期(日/月/年)

IF THIS DOCUMENT IS NOT EXECUTED BY THE CLIENT(S) IN FRONT OF SDIC SECURITIES FUTURES (HONG KONG) LIMITED'S EMPLOYEE, BELOW SHOULD BE SIGNED BY A SPECIFIED PERSON¹ (if applicable)

若客戶 / 聯名客戶並非在國投證券期貨（香港）的僱員面前簽立此文件，則以下應由指定人士¹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 / Joint Clients (please delete either one) and sighting of related identity documents of such Client(s).

下述簽署人士謹此驗證上述客戶 / 聯名客戶（請刪去其中一項）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

¹ 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）（香港）有限公司之註冊職員，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)

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 Individual / Joint Account)
客戶授權信函(個人/聯名帳戶)

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 my/our behalf ("Monies").

客戶款項的常設授權範圍包括貴公司在香港代表本人／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」）。

I/We authorize you to:
本人/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 my/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，以結清本人／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 my/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本人／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 me/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 you or any of your Affiliates;
將本人／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／或本人／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 my/our Monies into any other currency(ies) at the rate of exchange conclusively determined by you； and
可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 my/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本人／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。

I/We authorize you to:
本人／吾等授權貴公司：

- I. apply any of my/our securities or securities collateral pursuant to a securities borrowing and lending agreement;
根據證券借貸協議使用本人／吾等的任何證券或證券抵押品；
- II. deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provided to you;
將本人／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 my/our securities collateral with HKSCC as collateral for the discharge and satisfaction of your settlement obligations and liabilities. I/We understand that HKSCC will have a first fixed charge over the Client's securities to the extent of your obligations and liabilities;
將本人／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。本人／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 my/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
將本人／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 my/our securities collateral in accordance with Clauses I, II, III, and/or IV above if you provide financial accommodation to me/us in the course of dealing in securities and also provide financial accommodation to me/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本人／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本人／吾等提供財通融，可按照以上 I、II、III 和／或 IV 條款運用或存放本人／吾等的任何證券抵押品。

I/We acknowledge and agree that you may do any of the things set out above without giving me/us notice.
本人／吾等確認並同意，貴公司可在不通知本人／吾等情況下進行上述任何事項。

I/We also acknowledge that:-
本人／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 my/our securities or securities collateral in settlement of any liability owed by or on behalf of me/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本人／吾等的證券或證券抵押品，以償清本人／吾等或代表本人／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。

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

本人／吾等明白，本人／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本人／吾等的證券退回。

I/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.

本人／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。

I/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 me/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 me/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.

本人／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，但可由本人／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本人／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。

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

本人／吾等明白，倘若貴公司在授權有效期屆滿前最少 14 日向本人／吾等發出有關授權將被視為續期的書面通知，並且本人／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在沒有本人／吾等書面同意下被視為已續期。

This letter of authority has been explained to me/us and I/we understand and agree with the contents of this letter of authority. 已經向本人／吾等解釋了本授權書的內容，本人／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, I/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，本人／吾等同意應以英文本為準。

x _____

(Signature) Individual/Joint Account Holder(1)

(簽署)個人/聯名帳戶持有人(1)

Name:

客戶姓名: _____

A/C. No.:

帳戶號碼: _____

Date(DD/MM/YYYY):

日期(日/月/年): _____

x _____

(Signature) Joint Account Holder(2)

(簽署)聯名帳戶持有人(2)

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.

個人 / 聯名戶口 INDIVIDUAL / JOINT ACCOUNT

請提供以下文件的核證副本 Please provide certified copies of the following documents:

1. 個人 / 聯名戶口持有人身份證 / 護照副本（持證人簽署）
Individual/Joint account holder's Identity Card(s) / Passport(s) (with his/her signature(s))
2. 住宅地址證明（如：水、電費單 / 銀行結單等，只接受最近三個月）或
Residential Address proof (e.g., Utilities / Bank Statement, etc. not later than 3 months) or
3. 通訊地址證明
Correspondence Address proof
4. 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