



中國中期證券有限公司 China CIFCO Securities Co., Limited

根據《證券及期貨條例》就第1類受規管活動獲發牌的持牌法團CE編號 BEX660
A corporation licensed for Type 1 regulated activities under the Securities and Futures Ordinance with CE no. BEX660
香港上環干諾道西3號億利商業大廈23樓B室
B, 23/F, Yardley Commercial Building, 3 Connaught Road West, Sheung Wan, Hong Kong
電話 Tel : (852) 3700 1300 傳真 Fax : (852) 2250 9065

客戶資料表 - 企業帳戶

CLIENT INFORMATION FORM - CORPORATION ACCOUNT

根據證券及期貨事務監察委員會之持牌人或註冊人操守準則，請提供以下資料：

In accordance with the Code of Conduct for Persons Registered with The Securities and Futures Commission, please kindly provide the following information:

請於最適當的選擇旁加上“✓” Please “✓” on the most appropriate choice. * 刪除不適用 Delete if not applicable.

客戶姓名 Client Name			
客戶號碼 Client Number		開戶日期 Date	
負責客戶主任姓名 Responsible AE		營業部編號 Branch Code	
帳戶種類 Account Type	<input type="checkbox"/> 現金帳戶 Cash Account <input type="checkbox"/> 孖展(保證金)帳戶 Margin Account	推薦人 / 介紹人 Introduced By	

(A) Account Information 帳戶資料

中文名稱: _____

Name in English: _____

業務性質 _____ 香港商業登記編號 _____ 註冊/成立地點 Country of
Type of Business _____ Business Registration No _____ incorporation /Establishment _____

在註冊地的註冊編號 Registered no. in country _____ 電郵地址/互聯網地址
of Incorporation/establishment _____ E-mail address/Web site _____

註冊地的註冊辦事處地址 Registered office in _____
country of incorporation /establishment _____

香港總辦事處地址(如有異於上述):Principal _____
place of business in Hong Kong (if different): _____

註冊辦事處電話 _____ 香港總辦事處電話
Registered Office Tel No _____ Principal place of business in Hong Kong Tel. No. _____

註冊辦事處傳真電話 _____ 香港總辦事處傳真電話
Registered Office Fax No _____ Principal place of business in Hong Kong Fax No. _____

指定銀行 銀行名稱 _____ 帳戶號碼 _____
Designated Bank Name of Bank _____ Account No _____

銀行名稱 _____ 帳戶號碼 _____
Name of Bank _____ Account No _____

銀行名稱 _____ 帳戶號碼 _____
Name of Bank _____ Account No _____

1. 交易確認及帳單透過以下方式發送 (只選擇一項) Trading confirmations and statements will be sent by the following means (select one):

☐ 電郵方式By email (可豁免行政費Administrative Fee may be waived) ☐ 郵遞方式By post (請參閱收費表 Please refer to the fee leaflet)

2. 所有郵遞信件將會發送到以下地址 (只選一項) All postal correspondence will be sent to the following address (select one):

☐ 辦公室地址Office address ☐ 其他地址Other address _____

投資經驗及衍生產品認識 Investment Experience & Derivative Products Knowledge

對衍生產品之認識 Derivative Products Knowledge

* 如客戶沒有衍生產品的認識,就不能開立股票期權帳戶。任何例外情況需要管理層的預先批准。* If client does not have derivative knowledge, cannot open Stock options Account. Any exception is subject to prior management approval.

☐ 公司了解衍生產品的性質和風險: We understand the nature and risks of derivative products by:

1. 已接受有關的培訓或課程。 Undergoing relevant training or attending course in.

☐ 監管機構 ☐ 交易所 ☐ 大專院校 ☐ 進修學院 ☐ 金融機構
Regulatory Authority Exchange Tertiary Institution Education Institution Financial Institution

2. 於經紀公司或銀行、基金或資產管理公司、監管機構或交易所等金融機構擁有有關的工作經驗。

By gaining prior relevant work experience in financial institutions such as a brokerage firm or bank, fund house or asset management firm,

☐ 受監管持牌人士 ☐ 管理層 ☐ 與衍生工具相關後勤
Regulated Licensed Person Management Derivatives Related Back Office

3. ☐ 於過去三年內進行了五次或以上有關衍生產品之交易 (不論是否於交易所進行交易)

Executing five or more transactions in derivative products (whether traded on an exchange or not) within the past three years.

☐ 本公司並未有衍生產品之認識 We have NO knowledge of derivative products.

貴公司是否擁有投資經驗? Do your company have Investment Experience? ☐ 是 Yes

如是，請填寫以下資料 If yes, please complete the following

產品 Products	年期 Year(s)	投資目的 Investment Objectives:
<input type="checkbox"/> 股票、認股權證 Stock, Shares, Warrant	<input type="checkbox"/> 1-3 年 year(s) <input type="checkbox"/> 3 年以上 Over 3 years	<input type="checkbox"/> 資本投資及收入 Capital Investment and Income
<input type="checkbox"/> 股票期權 Equity	<input type="checkbox"/> 1-3 年 year(s) <input type="checkbox"/> 3 年以上 Over 3 years	<input type="checkbox"/> 對沖 Hedging
<input type="checkbox"/> 期貨 Futures	<input type="checkbox"/> 1-3 年 year(s) <input type="checkbox"/> 3 年以上 Over 3 years	<input type="checkbox"/> 投機 Speculation
<input type="checkbox"/> 其他(請說明) Others(specify)	<input type="checkbox"/> 1-3 年 year(s) <input type="checkbox"/> 3 年以上 Over 3 years	<input type="checkbox"/> 其他(請說明) Others(specify)

財政狀況 Financial Situation			
流動資產 Liquid Assets (HKD)	<input type="checkbox"/> <100,000 <input type="checkbox"/> 1,000,001 - 5,000,000	<input type="checkbox"/> 100,001 - 500,000 <input type="checkbox"/> 5,000,001 - HKD10,000,000	<input type="checkbox"/> 500,001 - 1,000,000 <input type="checkbox"/> >10,000,001
資產淨值 Net Worth (HKD)	<input type="checkbox"/> <100,000 <input type="checkbox"/> 1,000,001 - 5,000,000	<input type="checkbox"/> 100,001 - 500,000 <input type="checkbox"/> 5,000,001 - HKD10,000,000	<input type="checkbox"/> 500,001 - 1,000,000 <input type="checkbox"/> >10,000,001
資金來源 Source of Funds	<input type="checkbox"/> 薪金儲蓄 Savings from Salary <input type="checkbox"/> 家庭 Family <input type="checkbox"/> 租金收入 Rental Income	<input type="checkbox"/> 營業溢利 Trading Profits <input type="checkbox"/> 金融機構貸款 Loan from Financial Institution	<input type="checkbox"/> 其他 Others: _____

(B) 客戶聲明 Declaration by Client

閣下 (及/或聯名客戶) 是否此帳戶的最終實益擁有人? (即你是否為本身而非第三者運作此帳戶?) 如否, 帳戶的最終實益擁有人是: (如與最終權益擁有人相同不用填寫)。

Are you (and /or Joint Client) 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?) If no, details of the ultimate beneficial owner(s) is/ are:

☐ 是 Yes ☐ 否 No 姓名 Name: _____
身分證/護照號碼 ID/Passport No. _____
地址 Address _____

貴公司或貴公司之任何股東或董事、合夥人、授權人、最終負責為帳戶發出指令之人士或帳戶之最終權益擁有人 (下稱“關連人士”) 是否香港證監會持牌人士或註冊機構/持牌法團的僱員; 或任何交易所或交易委員會或其交易所參與者公司的僱員?

Are you or any of your shareholders or directors, your partners, your authorized persons, the persons ultimately responsible for giving instructions for the Account or the ultimate beneficial owners of the Account ("Relevant Person(s)") a licensed person or an employee of any Registered Corporation under the Securities and Futures Commission of Hong Kong; or an employee of an Exchange Participant firm of any exchange or board of trade?

☐ 否 No ☐ 是 Yes 請註明關係 Please specify the relationship: _____

貴公司或貴公司之任何股東或董事、合夥人、授權人、最終負責為帳戶發出指令之人士或帳戶之最終權益擁有人 (下稱“關連人士”) 是否與中國中期證券有限公司或其集團屬下成員公司之董事或僱員有親屬關係?

Are you or any of your shareholders or directors, your partners, your authorized persons, the persons ultimately responsible for giving instructions for the Account or the ultimate beneficial owners of the Account ("Relevant Person(s)") related to any director(s) or employee(s) of China CIFCO Securities Co., Limited or any of its member group companies?

☐ 否 No ☐ 是 Yes 董事或僱員之姓名 Name of the director(s) or employee(s): _____
關係 Relationship ☐ 雙親 Parent ☐ 配偶 Spouse ☐ 親屬 Relatives
☐ 孩子 Child ☐ 其他 Other _____

貴公司或貴公司之任何股東或董事、合夥人、授權人、最終負責為帳戶發出指令之人士或帳戶之最終權益擁有人 (下稱“關連人士”) 是否美國公民或就稅務目的而言的居民? (注意: 由於美國稅收申報要求, 美國人帳戶需要特別審批。)

Are you (and /or Joint Client) or any ultimate beneficial owner(s) of the Account citizens or residents of the USA for tax purposes? (Note: Due to US tax reporting requirements, US persons' accounts require special approval.)

☐ 否 No ☐ 是 Yes

貴公司或貴公司之任何股東或董事、合夥人、授權人、最終負責為帳戶發出指令之人士或帳戶之最終權益擁有人 (下稱“關連人士”) 是否香港以外的就稅務目的而言的居民? 如是, 請列出該國家:

Are you (and /or Joint Client) or any ultimate beneficial owner(s) of the Account a resident for tax purposes in any place other than Hong Kong? If yes, please list the country(ies):

☐ 否 No ☐ 中國 China ☐ 澳洲 Australia ☐ 台灣 Taiwan ☐ 日本 Japan
☐ 是 Yes ☐ 加拿大 Canada ☐ 泰國 Thailand ☐ 印尼 Indonesia ☐ 其他



(C) 授權第三方操作本人(等)之帳戶 Authorization for Third Party to Operate Account

本公司現授權下列人士(下稱"被授權人士")代本人(等)於貴公司操作上述帳戶，包括發出口頭或書面交易指示、確認交易及調撥資金。
With reference to the above mentioned Account(s) opened and operated by us with you, we hereby authorize the following person(s) ("the authorized person(s)") to give oral or written trading instruction, to confirm the transaction(s) and transfer of funds for and on my/our behalf.

被授權人士1 權限 Capacity ☐ 開戶 ☐ 交易 Trading ☐ 調撥資金 Fund Transfer

被授權人士姓名 身份證/護照號碼
Names of Authorized Person Identity Card/Passport Number
聯絡電話號碼 電郵地址
Contact Phone Number Email Address
住宅地址
Residential Address

- ☐ 茲附上被授權人士的身份證或護照副本 Copy of ID card or passport of Authorized Person has been attached
☐ 茲附上被授權人士的住址證明 Residential Proof of Authorized person has been attached

帳戶持有人與被授權人士之關係 Relationship between Authorized

- ☐ 父母與子女 Parent and Child ☐ 配偶 Spouse ☐ 親屬 Relatives ☐ 朋友 Friend ☐ 其他 Other _____

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

被授權人士簽署 Authorized Person Signature : _____

被授權人士2 權限 Capacity ☐ 開戶 ☐ 交易 Trading ☐ 調撥資金 Fund Transfer

被授權人士姓名 身份證/護照號碼
Names of Authorized Person Identity Card/Passport Number
聯絡電話號碼 電郵地址
Contact Phone Number Email Address
住宅地址
Residential Address

- ☐ 茲附上被授權人士的身份證或護照副本 Copy of ID card or passport of Authorized Person has been attached
☐ 茲附上被授權人士的住址證明 Residential Proof of Authorized person has been attached

帳戶持有人與被授權人士之關係 Relationship between Authorized

- ☐ 父母與子女 Parent and Child ☐ 配偶 Spouse ☐ 親屬 Relatives ☐ 朋友 Friend ☐ 其他 Other _____

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

被授權人士簽署 Authorized Person Signature : _____

被授權人士3 權限 Capacity ☐ 開戶 ☐ 交易 Trading ☐ 調撥資金 Fund Transfer

被授權人士姓名 身份證/護照號碼
Names of Authorized Person Identity Card/Passport Number
聯絡電話號碼 電郵地址
Contact Phone Number Email Address
住宅地址
Residential Address

- ☐ 茲附上被授權人士的身份證或護照副本 Copy of ID card or passport of Authorized Person has been attached
☐ 茲附上被授權人士的住址證明 Residential Proof of Authorized person has been attached

帳戶持有人與被授權人士之關係 Relationship between Authorized

- ☐ 父母與子女 Parent and Child ☐ 配偶 Spouse ☐ 親屬 Relatives ☐ 朋友 Friend ☐ 其他 Other _____

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

被授權人士簽署 Authorized Person Signature : _____

(D) 注意事項Notes

1. 請隨本表格附上全部帳戶持有人之身份證副本及最近三個月內之住宅及通訊地址證明文件(郵政信箱恕不接受)。
Please enclose an ID copy and residential and correspondence address(es) proof dated within the last 3 months (P.O. box is not accepted) for all account holders with this Form
2. 任何有關個人資料的刪改必須由全部帳戶持有人簽署作實。
Any deletion or amendment of the personal information must be signed by all account holders
3. 帳戶持有人的款項將會被存入本表格內所提供的指定銀行帳戶，除非另行通知。
All monies payable to the account holder will be credited to the designated bank account nominated on this Form, unless otherwise instructed.
4. 中期證券恕不接受第三者存款。任何例外情況都需要管理層的預先批准。
Third-party deposit will not be accepted. Any exception is subject to prior management approval.

(E) 客戶確認及簽署 Acknowledgement and Execution by Client**1. 關風險披露聲明Risk Disclosure Statements**

客戶確認中期證券以客戶選擇的語言（英文或中文）提供證券客戶協議的風險披露聲明及免責聲明。客戶進一步確認中期證券已經邀請客戶閱讀風險披露聲明，提出問題及徵求獨立的意見（如客戶有此意願）。

The Client acknowledges that the Securities Client Agreement including the Risk Disclosure Statements and Disclaimers attached were provided in a language (English or Chinese) of the Client's choice. The Client further acknowledges that he/she was invited to read the risk disclosure statements, ask questions and take independent advice, if the Client wished.

客戶應經常密切留意市況，中期證券可能在強制平倉前無法與客戶聯絡或未能提供足夠時間讓客戶進行額外的存款。

The Client acknowledges that he/she should closely monitor positions, as CIFCO Securities may not be able to contact you or give you sufficient time to deposit additional funds, before forced liquidation of positions.

2. 提供準確的資料Accuracy of information provided

載於本客戶資料表(「資料表」)中的資料是真實和準確的。客戶將會通知中期證券有關資料的任何重要改變。中期證券可聯絡任何人，包括客戶的銀行、經紀或信用調查機構，以核實資料表的內容。

The information contained in this Client Information Form (the "Form") is true and accurate. The Client will notify CIFCO Securities of any material change of that information. CIFCO Securities is authorized to contact anyone, including Client's banks, brokers or any credit agency, for verifying the information provided on this Form.

3. 關於SEIOCH基於證券組合的按金的確認Acknowledgement in respect of SEIOCH Margining on a portfolio basis

客戶確認在此授權中期證券向香港聯合交易所期權結算所(簡稱「期權結算所」)提交關於客戶之持倉由期權結算所以組合基礎計算及收取有關之按金。客戶進一步確認本公司已經邀請客戶閱讀列於聯交所規則、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內的申報規定及責任。

The Client acknowledges that he/she hereby authorize CIFCO Securities to submit a claim with The SEHK Options Clearing House Ltd. ("SEIOCH") in respect of my/our open positions to the effect that SEIOCH will calculate and collect margin in respect of such positions on a portfolio basis. The Client further acknowledges that it was invited to read the reporting requirements and the responsibilities of reporting set out in the Rules of the HKEx and in the Securities and Futures (Contracts Limits and Reportable Positions) Rules and related guidance notes issued by the SFC.

4. 轉介費或介紹費Referral or introduction fees

客戶確認中期證券可向介紹人支付轉介費或介紹費，而該介紹人並非中期證券的代理人。

The Client acknowledges that CIFCO Securities may pay fees to any person(s) who referred or introduced the Client to CIFCO Securities (the "Introducer"), and that the Introducer is not an agent of CIFCO Securities.

5. 電子服務系統 Electronic Services System

客戶確認中期證券有可能提供第三方電子服務系統進行買賣。如果客戶透過電子服務進行買賣，客戶便須承受該電子服務系統帶來的風險，包括有關系統硬體和軟件可能會失靈的風險。中期證券聲明客戶/使用者透過電子服務系統進行買賣所產生之風險與盈虧，一概不承擔責任。

The Client acknowledges that the trades in CIFCO Securities might be executed by third party Electronic Services System. If the client undertake Transactions via Electronic Services, the client will be exposed to risks associated with the Electronic Services system including the failure of hardware and software. The Company accepts no responsibility for any loss which may be incurred by the Customer as a result of using Electronic Services System.

6. 持倉 Position Hold

客戶確認在中期證券的持倉有可能由第三方代理行托管。

The Client acknowledges that the position in CIFCO Securities might be hosted by third party brokerage.

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

日期 Date:

公司名稱 Company Name



帳戶種類Account Type	選擇服務Select Service(s)
現金帳戶 Cash Account 請為本公司開立現金帳戶。本公司確認已經收取證券客戶協議英文及中文版本(包括現金客戶協議、網上交易協議及個人資料收集聲明)。本公司已經閱讀並明白現金客戶協議的條款，並接受這些條款的約束。 Please open a Cash Account for me/us. We acknowledge receipt of the English and Chinese versions of the Securities Client Agreement (which set out the Cash Client Agreement, On-line Trading Agreement and Personal Information Collection Statement). We have read and understand the provisions of the Securities Client Agreement and agree to be bound by same.	<input type="checkbox"/> 現金帳戶 Cash Account
孖展(保證金)帳戶 Margin Account 請為本公司開立孖展帳戶。本公司確認已經收取證券客戶協議英文及中文版本(包括現金客戶協議、孖展客戶協議、網上交易協議及個人資料收集聲明)。本公司已經閱讀並明白現金客戶協議及孖展客戶協議的條款，並接受這些條款的約束。 Please open a Margin Account for me/us. We acknowledge receipt of the English and Chinese versions of the Securities Client Agreement (which set out the Cash Client Agreement, Margin Account Agreement, On-line Trading Agreement and Personal Information Collection Statement). We have read and understand the provisions of the Securities Client Agreement and agree to be bound by same.	<input type="checkbox"/> 孖展(保證金)帳戶 Margin Account
股票期權帳戶 Stock Options Account 請為我/我們開立期權帳戶。我/我們已經閱讀並明白附表6中期權交易協議的條款，並接受這些條款的約束。 Please open an Options Account for me/us. I/We have read and understand the provisions of the Options Trading Agreement as set out in Schedule 6 and agree to be bound by same.	<input type="checkbox"/> 股票期權帳戶 Stock Options Account
網上交易服務 On-Line Trading Service 請為本公司提供網上交易服務。本公司已經閱讀並明白網上交易協議的條款，並同意這些條款的約束。 Please provide us with On-Line Trading Service. We have read and understand the provisions of the On-Line Trading Agreement as set out in the Securities Client Agreement and agree to be bound by same.	<input type="checkbox"/> 網上交易服務 On-Line Trading

本公司茲聲明在客戶資料聲明內的資料屬真實、完整及正確，而附上的證券客戶協議一切內容準確。除非中國中期證券有限公司(「中期證券」)接到更改有關聲明內容的書面通知，中期證券有權在任何用途上完全依賴這些資料及聲明。中期證券有權隨時聯絡任何人，包括本公司之銀行、經紀或任何信貸調查機構，以求證實本人資料聲明內所載之內容。

We represent that the information in the Client Information Statement is true, complete and correct and that the representations in the Securities Client Agreement are accurate. China CIFCO Securities Co., Limited ("CIFCO Securities") is entitled to rely fully on such information and representations for all purposes, unless the Company receives notice in writing of any changes. CIFCO Securities is authorised at any time to contact anyone (including our banks, brokers or any credit investigatory agency), for purposes of verifying the information provided in this Client Information Statement.

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

公司名稱 Company Name

日期 Date:

(F) 風險評估問卷 Risk Profiling Questionnaire

- I. 您有多少年投資經驗(包括:股票、單位信託基金、外幣、商品、結構投資產品、認股權證俗稱「窩輪」、期權、期貨等)?
How many years of investment experience do you have (for example stocks, unit trusts, foreign currencies, commodities, structured investment products, warrants, options, futures.)?
1. ☐ 沒有經驗或少過1年 No experience or Less than 1 year
 2. ☐ 1 - 3 年 years
 3. ☐ 4 - 6 年 years
 4. ☐ 7 - 9 年 years
 5. ☐ 10 年或以上 years or above
- II. 現在您是否持有以下任何投資產品? (可選多個)
Are you currently holding any of the below investment products? (you may select more than 1 option)
1. ☐ 現金、存款、存款証、保本產品 Cash, deposit, certificates of deposit, capital protected products
 2. ☐ 債券、債券基金 Bond, bond funds
 3. ☐ 外幣、非保本之貨幣、掛鈎結構投資產品 Foreign currencies, non capital protected currency linked structures products
 4. ☐ 股票、開放式基金(不包括債券基金或貨幣市場基金)、非保本之股票掛鈎結構投資產品、具投資成分的保險計劃、商品 Stocks, open-end funds excluding bond funds and money market funds, non capital protected equity linked structured products, investment-linked insurance plans, commodities
 5. ☐ 期權、期貨、認股權証(俗稱「窩輪」) Options, futures, warrants
- III. 在一般情況下, 您會願意投資於波動程度多大的投資產品?
What level of fluctuation would you generally be comfortable with?
1. ☐ 波動少於 -5%至+5%之間 Fluctuates between -5% and +5%
 2. ☐ 波動於 -15%至+15%之間 Fluctuates between -15% and +15%
 3. ☐ 波動於 -30%至+30%之間 Fluctuates between -30% and +30%
 4. ☐ 波動多於 -30%至 +30%之間 Fluctuates under -30% and over +30%
- IV. 您撥作投資的資產總值佔個人投資總額的比率為多少?
What portion of your net worth would you like to set aside for investments?
1. ☐ 0% - 20%
 2. ☐ 21% - 40%
 3. ☐ 41% - 60%
 4. ☐ > 60%
- V. 若您整體投資資產下跌超過15%, 對您的生活影響程度為何?
If there is a fall of 15% or over in your overall investment portfolio, what level of your life be suffered?
1. ☐ Intolerable 無法承受
 2. ☐ Great impact 影響程度大
 3. ☐ Medium impact 中度影響
 4. ☐ Little impact 影響程度小
 5. ☐ No impact 不會有影響

Risk Tolerance Analysis 風險承受能力分析

風險承受程度 Risk Tolerance Level	投資者的一般特徵 Investor General Characteristics
<input type="checkbox"/> 低風險 Low Risk (≤10)	<u>Conservative 保守型</u> 閣下願意承受低度的風險, 亦明白會接受比較保守回報。 You are willing to accept low risks. In return, you understand that you will receive low returns.
<input type="checkbox"/> 中風險 Medium Risk (11-17)	<u>Balance 平衡型</u> 閣下願意承受中度的風險, 於中長線換取潛在回報。 You are willing to accept medium risks in exchange for some potential returns over the medium to long term.
<input type="checkbox"/> 高風險 High Risk (≥18)	<u>Aggressive 進取型</u> 閣下願意承受高度的風險, 於長線換取最大的潛在回報。閣下亦明白到有可能招致損失大部份或全部本金。 You are willing to accept very high risks to maximize your potential return over the long term. You understand that you may lose a significant part or all of your capital.

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

日期 Date:

公司名稱 Company Name

(G) 常設授權

有關： 帳戶名稱： _____
帳戶號碼： _____

根據《證券及期貨（客戶款項）規則》，本人/吾等謹授權中國國際期貨(香港)有限公司及/或中國中期證券有限公司在無須向本人/吾等作出任何事先通知或獲得本人/吾等事先確認及/或指示的情況下，由閣下以下一種或多於一種指明方式處理：

1. 組合或合併(個別地或與其他帳戶聯合進行)中國國際期貨(香港)有限公司及/或中國中期證券有限公司及/或其任何聯繫人士(下稱「中期」)所維持的任何或全部獨立帳戶，爾等可將該等獨立帳戶內任何數額之款項作出轉移，以符合本人/吾等對中期任何成員確實、或然、原有、附帶、有抵押、無抵押、共同或分別的義務或法律責任；
2. 從中期的成員於任何時候維持的任何獨立帳戶之間來回調動任何數額之款項；
3. 依據中期借貸協議運用任何有關期貨或證券或證券抵押品；
4. 將任何有關證券抵押品存放於認可財務機構，作為提供予中期的財務通融的抵押品；
5. 將任何有關期貨或證券抵押品存放於獲香港證券及期貨事務監察委員會認可的結算所或另一獲發牌或獲註冊進行期貨或證券交易的中介人，作為解除中期在交收上的義務和清償中期在交收上的法律責任的抵押品；及
6. 於顧及任何適用的法律或監管要求的情況下，以中期認為適當的方式對待及處理有關期貨及證券及證券抵押品。

本人/吾等獲悉及確認你們有將客戶的期貨及證券及證券抵押品再質押的做法。

本授權書的有效期限為12個月，自本授權書之日起計有效，本人/吾等謹此同意賠償閣下及使閣下因根據本常設授權進行任何交易而可能蒙受及/或招致的一切損失、賠償、利息、費用、開支、法律行動、付款要求、申索或訴訟獲得賠償。

本人/吾等可以向閣下發出書面通知致閣下的註冊地址，撤回本授權書。該通知之生效日期為閣下真正收到該等通知後之14日起計。

本人/吾等明白爾等若在本授權書的有效期限屆滿前14日之前，向本人/吾等發出書面通知，提醒本人/吾等本授權書即將屆滿，而本人/吾等沒有在此授權屆滿前反對此授權續期，本授權書應當作在不需要本人/吾等的書面同意下按持續的基準已被續期。

本人/吾等已閱讀、明白及同意本授權的內容。

Standard Authorization

Defined in the Securities and Futures Ordinance, I/We hereby authorize China International Futures (Hong Kong) Company Limited and/or China CIFCO Securities Co., Limited to deal with my/our securities and securities collateral from time to time received or held in Hong Kong by or on behalf of you or any associated entity of yours in one or more of the following ways without further notice to or consent from me/us:

1. Combine or consolidate any or all segregated accounts of any name whatsoever and either individually or jointly with others, maintained by China International Futures (Hong Kong) Company Limited and/or China CIFCO Securities Co., Limited and/or any of its Associates ("CIFCO") from time to time and you may transfer any sum of Monies to and between such segregated account(s) to satisfy my/our obligations or liabilities to any member of the CIFCO, whether such obligations and liabilities are actual or contingent, primary or collateral, secured or unsecured, or joint or several;
2. Transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by members of the CIFCO;
3. To apply any of the securities or securities collateral pursuant to a CIFCO borrowing and lending agreement;
4. To deposit any of the securities collateral with an authorized financial institution as collateral for financial accommodation provided to you;
5. To deposit any of the securities collateral with any clearing house recognized by the Hong Kong Securities and Futures Commission or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of your settlement obligations and liabilities; and
6. To treat and deal with the securities and securities collateral in such manner as you consider appropriate taking into account any applicable legal or regulatory requirement from time to time.

I/We hereby acknowledge, and confirm having been informed by you, that you have the practice of repledging clients' futures and securities and securities collateral

This Authority is valid for a period of twelve (12) months from the date hereof. I/We hereby agrees to indemnify and to keep indemnified CIFCO from and against all losses, damages, interests, costs, expenses, actions, demands, claims or proceedings of whatsoever nature which they (or any of them) may incur, suffer and/or sustain as a consequence of any transaction undertaken in pursuance of this Authority.

This authority may be revoked by giving you written notice to CIFCO's address specified on this Form. Such notice shall take effect upon the expiry of 14 days from the date of your actual receipt of such notice.

I/We understand that this 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 this authority, and I/we do not object to such deemed renewal before such expiry date.

I/We have read, understand and accept the contents of this authority.

(H) 職員/經紀聲明 Declaration by Staff / Account Executive

我確認已經以客戶選擇的語言（英文或中文）提供了載於證券客戶協議內的風險披露聲明，並且我已經邀請客戶閱讀風險披露聲明，提出有關問題及尋求獨立意見（如客戶有此意願）。

I confirm that I have provided the Risk Disclosure Statements as set out in the Securities Client Agreement in a language (English or Chinese) of the Customer's choice. I have also invited the Customer to read the Risk Disclosure Statements, ask questions and take independent advice if the Customer wishes.

持第1類 (證券買賣) Licensed for Type 1 (Licensed Corporation)

職員/經紀姓名: Name of Staff/AE:	職員/經紀簽署: Signature of Staff/AE:
C.E.編號: CE No.:	日期: Date:
見證人姓名 Name of Witness	見證人簽署: Signature of Witness:
AML風險級別 AML Risk category (參考AML政策) (refer to AML policy)	<input type="checkbox"/> 低 Low <input type="checkbox"/> 中 Medium <input type="checkbox"/> 高 High

(I) 只供本行使用 For Official Use Only**文件查核列表 Document check list**

- ☐ 會議紀錄副本 Copy of Meeting Minutes
☐ 已核實的公司註冊證明 Certified Certificate of Incorporation
☐ 已核實的香港商業登記證 Certified Business Registration
☐ 香港公司註冊處文件 (如法團成立表格/最新的周年申報表) Company Registry Document(s) (e.g. NNC1 or NAR1)
☐ 公司章程 Memorandum and Articles of Association
☐ 最新的經審核賬目 (如客戶成立18個月或以上) Latest audited account (If customer has been established for 18 months or more)
☐ 已核實的董事的身份證或護照副本 Certified I.D Card/Passport Copy of Director(s)
☐ 已核實的股東的身份證明文件副本 Certified identification document Copy of Shareholder(s)
☐ 地址證明副本 Address proof
☐ 銀行證明副本 Bank Account proof
 銀行及信貸參考 (如適用) Bank and Credit Reference (if applicable)
 (例如: 銀行結單、屋契等) (e.g. Bank statement, title deeds etc.)
☐ 是 Yes ☐ 不適合 N/A

客戶資料核對 Customer information checked by

職員姓名: Name of Staff:	職員簽署: Signature of Staff:
C.E.編號: CE No.:	日期: Date:

客戶資料輸入 Customer information Inputted by

職員姓名: Name of Staff:	職員簽署: Signature of Staff:	日期: Date:
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基本佣金 Basic Commission

港元佣金 (%) HKD Brokerage (%)	港元最低佣金 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

職員姓名: Name of Staff:	職員簽署: Signature of Staff:
C.E.編號: CE No.:	信用限額: Credit Limit:

開戶批核 Account opening approved by

職員姓名: Name of Staff:	職員簽署: Signature of Staff:
C.E.編號: CE No.:	日期: Date: