

ACCOUNT OPENING FORM – For Corporate Account

開戶表格 – 公司帳戶適用

Notes: 1. Please complete in Block Letters and tick where applicable.
 注意： 1. 請用正楷填寫，並在適當地方加上剔號。

2. *請刪去不適用者，並在不適用者填上“N/A”。

*Please delete whichever is not appropriate and mark “N/A” on the unfilled spaces.

(For Internal Use only 僅用內部使用)

Account No.:

帳戶號碼：

Part I: Entity of the client 甲部：客戶身份			
<input type="checkbox"/> Unlisted Limited Company 非上市有限公司	<input type="checkbox"/> Listed Company 上市公司	<input type="checkbox"/> Unlimited Company 無限公司	<input type="checkbox"/> Sole Proprietorship 獨資企業
<input type="checkbox"/> Partnership 合夥企業	<input type="checkbox"/> Fund 基金	<input type="checkbox"/> Others 其他 _____	
Account Type 帳戶類型		<input type="checkbox"/> House Account 自有帳戶	<input type="checkbox"/> Omnibus Account 綜合帳戶

Part II: Corporate Information 乙部：公司資料	
Company Name (in English) 公司名稱 (英文)	Company Name in Chinese (if any) 中文名稱 (如有)
Certificate of Incorporation No. 公司註冊號碼	Country of Incorporation 註冊國家
Business Registration No. in Hong Kong (if applicable) 香港商業登記號碼 (如適用)	Date of Incorporation (day/month/year) 註冊日期 (日/月/年)
Nature of Business 業務性質	No. of Years in the Business 經營業務年期:
Registered Address 註冊地址 <div style="text-align: right;">(Postal Code 郵編)</div>	
Business Address 營業地址 (Please Fill in if different from Registered Address 如與註冊地址不同，請填寫) <div style="text-align: right;">(Postal Code 郵編)</div>	
Correspondence Address 通訊地址 <input type="checkbox"/> Registered Address 註冊地址 <input type="checkbox"/> Business Address 營業地址 <input type="checkbox"/> Others 其他 _____	

Designated Contact 指定聯絡人				
Name 姓名	Position 職位	Office Telephone 辦事處電話號碼	Fax 傳真	Email 電郵
1)				
2)				
3)				

Delivery of Account Correspondences (Including but not limited to Statements, Contract Notes and Corporate Action Notes) 傳送帳戶通訊 (包括但不限於綜合結單、成交單據及公司動向通知書)	
<input type="checkbox"/> By Email to Designated Contact Person 電郵至指定聯絡人 <input type="checkbox"/> 1 / <input type="checkbox"/> 2 / <input type="checkbox"/> 3 的電郵地址	
<input type="checkbox"/> By Post to Correspondence Address 寄至通訊地址	

Statement Language 結單語言 <input type="checkbox"/> English <input type="checkbox"/> 中文
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Electronic Login Password 網上登入密碼 (If Applicable 如適用)	
<input type="checkbox"/> By Email to Designated Contact 電郵至指定聯絡人 <input type="checkbox"/> 1 / <input type="checkbox"/> 2 / <input type="checkbox"/> 3 的電郵地址 (Please Select One Only 請只選一項)	
<input type="checkbox"/> By Post to Correspondence Address 郵寄至通訊地址	

Part III: Account Operation 丙部：帳戶操作

Please provide a list of Authorised Signatories, Trading Authorized Person and Settlement Authorized Person together with Certified True Extract of Minutes of the Meeting of the Board of Directors or similar written authorisation.

請提供授權簽署人士清單、交易授權人士清單及交收授權人士清單，並附上經核准之董事會決議節錄或同類書面授權。

Part IV: Financial Status 丁部：財務狀況
Current Year Company Account Summary 現時公司財務資料簡要 (Year 年度 _____)

Source of Funding 資金來源	<input type="checkbox"/> Business Profit 營業溢利	<input type="checkbox"/> Shareholder Fund 股東資金
	<input type="checkbox"/> Investment Income 投資收入	<input type="checkbox"/> Dividend 股息 / Interest 利息
	<input type="checkbox"/> Grants 資助	<input type="checkbox"/> Loans 貸款
	<input type="checkbox"/> Others (please specify) 其他(請註明) _____	
Origin of Funding 資金來源地	<input type="checkbox"/> Hong Kong 香港	<input type="checkbox"/> Mainland China 中國內地
	<input type="checkbox"/> Taiwan 台灣	<input type="checkbox"/> Macau 澳門
	<input type="checkbox"/> Others (please specify) 其他(請註明) _____	
Net Profit(Estimate) 經營溢利(估計)	Total Assets (Estimate) 總資產(估計)	
Total Liabilities (Estimate) 總負債(估計)	Total Net Asset Value (Estimate) 總資產淨值(估計)	

Investment Objective and Experience 投資目的及經驗

Investment Objective 投資目的	<input type="checkbox"/> Hedging 對沖	<input type="checkbox"/> Capital Gain 資本增值	<input type="checkbox"/> Speculation 投機		
	<input type="checkbox"/> Short Term 短線	<input type="checkbox"/> Long Term 長線	<input type="checkbox"/> Dividend Income 股息收入		
	<input type="checkbox"/> Others (please specify) 其他(請註明) _____				
Investment Experience 投資經驗	Nil 無	<1 Year 一年以下	1-5 Years 一至五年	6-10 Years 六至十年	>10 Years 十年以上
	Shares 股票	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Futures 期貨 / Options 期權	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Forex 外匯 / Bullion 黃金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Bonds 債券 / Funds 基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Others 其他	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Knowledge of Derivatives Products 衍生產品的認識

1. Have you ever undergo training or attend courses on derivative products with general knowledge of the nature and risks of derivatives? 閣下是否曾接受有關衍生產品性質和風險的一般知識培訓或修讀相關課程?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
2. Are you currently or previously working in relation to derivative products? 閣下現時或過去是否從事與衍生產品有關的工作?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
3. Have you traded at least 5 transactions in any derivative products (whether traded on an exchange or not) within the past 3 years? 閣下是否在過去三年曾買賣過至少五次任何衍生產品的交易(不論是否在交易所買賣)?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否

Part V: Declaration 戊部：聲明
Identity Declaration 身份證明

1. Any director, shareholder or authorized person of the client is an employee/account executive or the relative of any employee / account executive or director of Yuanta Group?
閣下之任何董事、股東或授權人士是否元大集團之僱員/經紀或其任何僱員/經紀或董事的親屬?

No 否 Yes, please specify 是，請說明

Name of Employee/ Director/ Account Executive 僱員/董事/經紀姓名 _____

Relationship 關係 _____

2. Are you, your directors, shareholders or authorized persons, licensed by or registered with the Securities and Futures Commission?
閣下本身或閣下之董事、股東或授權人士是否證監會之持牌或註冊人士？

No 否 Yes, please specify 是，請說明

Name of Licensed/ Registered Person 持牌或註冊人名稱 _____

Central Entity/Registration No. 中央/註冊編號 _____

Address of Licensed/ Registered Person 持牌或註冊人地址 _____

(Please provide consent letter from your employer 請提供閣下僱主之書面同意)

3. Have you ever had any account opening application rejected by other financial institution?
閣下是否曾於其他金融機構開立戶口時被拒絕？

No 否 Yes, please specify 是，請說明

Name of Financial Institution 金融機構名稱 _____

Reasons of Reject 拒絕原因 _____

4. Is or has any of your,
(i) director, ultimate beneficial owner, partner, shareholder or authorized person,
(ii) spouse, partner, children or parents of an individual falling within category (i), or a spouse of a child of such an individual; or
(iii) a close associate** of an individual falling within category (i),
entrusted with a prominent public function in any place, including a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official?
("Politically Exposed Person" or "PEP")?
閣下之任何董事、最終受益人、合夥人、股東或授權人士，其配偶、伴侶、子女或父母、或其子女的配偶或伴侶、或與其關係密切的人**是否在任何地方擔任或曾擔任重要公職，包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事？(「政治人物」)？

No 否 Yes, please specify 是，請說明

Name and Position of PEP 政治人物姓名及職位 _____

Country of the PEP belongs 政治人物所屬國家 _____

PEP relationship with you 與閣下之關係 _____

** a person is a "close associate" of an individual if the person is
如某人符合以下說明，該人即屬與某名個人(首述個人)關係密切的人：

- Individual who has close business relations with the first-mentioned individual, including an individual who is a beneficial owner of a legal person or trust of which the first-mentioned individual is also a beneficial owner; or
該人是與首述個人有密切業務關係的個人(在首述個人屬某法人或信託的實益擁有人的情況下，包括同樣屬法人或信託的實益擁有人的個人) 或
- Individual who is the beneficial owner of a legal person or trust that is set up for the benefit of the first-mentioned individual
該人是屬某法人或信託的實益擁有人的個人，而該法人或信託是首述個人的利益而成立的

5. Are you a corporation organized in the U.S. or under the federal or state law of the U.S., or overseas branches or representative offices of U.S. Corporation or entities?
閣下是否為註冊於美國之公司或美國企業在香港之分公司或辦事處？

No, please provide certification of identity and complete Form W-8BEN-E Form of IRS 否，請提供相關身分證明表單及填寫 W-8BEN-E 表格

Yes, please provide IRS Form W-9 是，請提供美國 W-9 表格

6. Are you the ultimately benefiting from the transactions and bearing the risk of the account?
閣下是否此帳戶的最終交易受益人士及承擔風險人士？

Yes 是 No, please specify 否，請說明

Name 姓名 _____ Phone No. 電話號碼 _____

Residential Address 居住地址 _____

Identity Card/ Passport Number and Issuing Country 身份證/護照號碼及簽發國家 _____ ()

Relationship with you and Reasons (if any) 與閣下的關係及原因(如有) _____

Please provide ID copy/ passport copy and residential address proof
請提供身份證/護照副本及住址證明

Related Account(s) 關連帳戶

1. Have any of your group companies a client of YFHK?

閣下之集團公司是否元大期貨(香港)的客戶?

No Yes, please specify Account No. 帳戶號碼 _____
否 是, 請說明 Name of Account Holder 帳戶持有人姓名 _____

2. Is any of your director, shareholder or authorized person, either alone or with the spouse, in control of 35% or above of the voting rights of the client who maintain(s) account with YFHK?

閣下之任何董事、股東或授權人士是否個人或與客戶配偶共同控制任何元大期貨(香港)的法人客戶 35% 或以上的投票權?

No Yes, please specify Account No. 帳戶號碼 _____
否 是, 請說明 Name of Account Holder 帳戶持有人姓名 _____

Use of Personal Data 個人資料之使用

We acknowledge that we have hereby informed that Yuanta Group, its subsidiaries, its controlling company and the subsidiaries and associated company of such controlling company intends to use and transfer within Yuanta Group our personal data for direct marketing of: (i) Financial Services and investment products and advices; (ii) Related promotion scheme; (iii) donations and contributions for charitable and/or non-profit making purposes. Such personal data includes name, contact details, products and services portfolio information, transaction pattern and behaviour, financial background and demographic data. We understand that we may, at any time, require YFHK to cease to use or transfer with in YFHK Group my personal data for direct marketing through written notice.

吾等明白吾等獲通知元大集團之任何成員公司, 其附屬公司、其控股公司及該控股公司之附屬公司及相聯公司擬使用及在元大集團之間轉移吾等於元大期貨(香港)集團之個人資料以直接促銷: (i) 金融服務和投資產品及建議; (ii) 相關優惠計劃; (iii) 為慈善及/或非牟利目的 而作出之捐款及資助。該等個人資料包括姓名、聯絡資料、產品及服務投資組合信息、交易模式及行為、財務背景及統計數據。吾等明白吾等可以隨時以書面形式通知元大期貨(香港)以停止集團在直接促銷中使用吾等之個人資料。

- We agree to the aforesaid use of our personal data in Yuanta Group. 吾等同意元大集團使用吾等之個人資料。
 We object to the use of or transfer our personal data in direct marketing within Yuanta Group. 吾等反對元大集團使用或轉移吾等之個人資料。

Part VI: Client's Acknowledgement and Signature 已部: 客戶確認及簽署

1. We hereby declare that the information given above is true, correct and complete and we have not willfully withheld any material fact(s), we authorize Yuanta Futures (HK) Co., Limited ("YFHK") to confirm this from any source YFHK considers appropriate, including the conduct of any credit checks on us. We understand that we may be required to provide additional information or submit documentary proof as to the information provided in this form when requested by YFHK. We confirm that we will update YFHK immediately on any changes.

吾等謹此聲明上述資料乃屬真實、正確及完整, 吾等並未刻意隱瞞任何重要事實。吾等授權元大期貨(香港)有限公司 ("元大期貨(香港)") 可向任何元大期貨(香港)認為適當的資料來源查證, 包括進行任何對於吾等的信貸檢查。除上述提供的資料外, 吾等清楚元大期貨(香港)也許要求吾等提供更多相關的資料或證明文件。吾等確認如所提供之資料有任何更改, 均會立刻通知元大期貨(香港)。

2. We confirm that we have received, read and understood the "Terms and Conditions" and this Account Opening Form applicable to us including but not limited to the relevant Risk Disclosure Statements, General Terms and Disclaimers, Additional Terms, which may be entered into in writing between YFHK and us from time to time.

吾等證實已收取、閱讀及明白“條款及條件”及此開戶表格, 包括但不限於有關風險披露聲明, 一般條款及免責聲明, 附加條款及任何由吾等與元大期貨(香港)不時訂立之書面補充條款及條件。

3. We hereby accept and agree to be bound by the Terms and Conditions. YFHK may amend the Terms and Conditions from time to time by giving us notice of such amendment. Unless YFHK has received our request to close the account(s), if we continue to use the account(s) we shall be deemed to have accepted such changes.

吾等特此接納及同意受條款及條件約束。元大期貨(香港)有權不時修訂條款及條件, 並向吾等發出通知。除非元大期貨(香港)收到吾等通知取消帳戶, 否則吾等繼續使用帳戶即表示吾等接納該修訂條款及條件。

4. We hereby confirm that the above information provided in relation to "Knowledge of Derivatives Product" is true and complete. We also understand that YFHK will reply on the above information provided to assess whether we have acquired knowledge of derivative products in order to comply with relevant requirements of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.

吾等確認上述有關“衍生產品的認識”之資料完全真實及完整, 並明白元大期貨(香港)將根據上述資料介定吾等是否擁有對衍生產品之認識, 以符合證券及期貨事務監察委員會持牌人或註冊人操守準則之有關要求。

5. We hereby declare and acknowledge that we have fully understood the risk disclosure statement in the language of our choice. We have been invited to read the risk disclosure statement, and to ask questions and take independent advice if we wish.

吾等現聲明及確認已獲得提供按照吾等選擇之語言之風險披露聲明書, 吾等已獲邀閱讀風險披露聲明, 提出問題及徵求獨立意見 (如吾等有此意願)。

6. We hereby declare and acknowledge that if we maintain more than one Trading Account(s) with YFHK and do not specifically

request that the transaction(s) be executed under a specific account of us, YFHK can has absolute discretion in deciding the allocation method unless we instruct YFHK to the contrary.

吾等特此接納及同意如吾等於元大期貨(香港)持有多於一個之交易帳戶且並未有特別要求透過吾等之其中一個指定帳戶進行交易，則元大期貨(香港)有絕對酌情權決定在吾等未有發出指示時交易的分配方法。

7. We understand that YFHK reserves the unconditional right to reject our application.

吾等明白元大期貨(香港)保留無條件拒絕吾等開戶申請之權力。

Client Signature(s) 客戶簽署

X

Authorized Signature 授權簽名

Name of Authorized Signer(s)

授權簽署人士姓名

Date 日期

Accepted and Approved by

For and on behalf of Yuanta Futures (HK) Co., Limited

由 元大期貨(香港)有限公司 接納及批核

X

Authorized Signature 授權簽名

Name of Authorized Signer(s)

授權簽署人士姓名

Date 日期

Certification (to be completed by Representative of the Company or Professional[#]) 核證(由本公司代表或專業人士[#]填寫)

I hereby certify that on the date written in **Part VI**, this Form was executed in my presence by the Authorized Signer(s) provided along with this Form (who had been previously identified to me by production of the original of his/her Identity Card or Passport to me) in my presence.

本人現證實：在此表格 **己部** 所寫的日期當日，此表格乃由連同本表一同附上的授權簽署人士（其身份已根據其向本人出示之身份證或護照正本核實）於本人面前簽訂

Signature 簽署

Name 姓名

Profession / Title 所屬專業/銜頭

Members / Certified No. / CE No. 會員 / 證書號碼 / 中央編號

Employer Name 僱主名稱

Contact No. 聯絡電話

Date 日期

Professional: Notary Public / Branch Manager of a Licensed Bank / Practising Lawyer / Certified Public Accountant (Practising) / Justice of the Peace / Chartered Secretary

專業人士：公證人 / 持牌銀行分行經理 / 執業律師 / 執業會計師 / 太平紳士 / 特許秘書

Risk Disclosure Statement 風險披露聲明

The abovementioned risk disclosure statement(s) has/have been provided to the client in a language of the client's choice and the undersigned licensed person of the company has invited the client to read the same, ask questions and take independent advice.

上述之風險披露聲明已由下列簽署之持牌人按照客戶選擇的語言提供，並邀請客戶閱讀該/該等風險披露聲明、提出問題及徵求獨立意見。

Name 姓名 _____

Face to Face 面對面

CE No. 中央編號 _____

Telephone 電話

Date 日期 _____

Recorded Line No.

電話錄音號碼 _____

Signature of Licensed Person

Time 時間 _____

持牌人簽署