

CMB International Futures Limited

招銀國際期貨有限公司

Account Opening Agreement-Corporate

開戶協議-法團

This agreement is made up of the following documents, the Client's Agreement, Risk Disclosure Statement, Personal Data Protection Statement as attached hereto and other related documents, shall be valid/effective after completion and signature by the Client(s). 本開戶協議由如下文件及隨附的客戶協議書、風險披露聲明、個人資料保障聲明書及其他相關文件組成，供客戶填寫及合併簽署後生效。

1. Account Information
帳戶資料
2. DERIVATIVES KNOWLEDGE ASSESSMENT
衍生工具知識評估
3. COMMON REPORTING STANDARD (CRS) - SELF DECLARATION FORM-ENTITY
共同申報準則- 自我證明表格 – 實體
4. COMMON REPORTING STANDARD (CRS) - SELF DECLARATION FORM-CONTROLLING PERSON (If Applicable)
共同申報準則- 自我證明表格 – 控權人（如適用）
5. BOARD RESOLUTION
董事決議案
6. ACKNOWLEDGEMENT BY CLIENT
客戶聲明
7. APPOINTMENT OF PROCESS AGENT (If Applicable)
法律文件接收人委任書（如適用）

**CMB International Futures Limited (“CMBIF”)
招銀國際期貨有限公司(“招銀期貨”)**

Account No. 帳號：	Account Effective Date 帳戶生效日：	Name of AE 客戶經理：
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**Please read the Appendices, the attached Client’s Agreement and related documents and terms before you sign this form 請在簽署本表格前仔細閱讀附
件、隨附的客戶協議書及相關的文件及條款**

Please noted that you can trade below COMPLEX products with the account to be opened in CMBIF 請注意，閣下可經即將於招銀期貨開立的帳戶買賣以下
「複雜產品」：

- Futures contracts traded on the Hong Kong Futures Exchange Limited (“HKFE”) or the Exchange of specified jurisdictions 於香港期貨交易所（「期交
所」）或指明司法管轄管區買賣的期貨合約；
- Any other investment products the SFC may specify from time to time 證監會可能不時指明的任何其他投資產品。

Warning Statements in relation to trading of COMPLEX product 買賣複雜產品的警告聲明

1. The product listed above are COMPLEX products and you should exercise caution in relation to these products. You should carefully consider whether trading or investment is suitable in light of (including but not limited to) your own risk tolerance, financial situation, investment experience, investment objectives, investment horizon and investment knowledge. If needed, you should seek independent professional advice. 以上產品是複雜產品，請閣下務必審慎行事。閣下在作出任何投資決定前，應考慮個人狀況，包括但不限於閣下的財政狀況、投資經驗及投資目標。如有需要，請考慮諮詢閣下的獨立投資顧問。
2. Due to dynamic changes in the market, the price movement and volatility of these products may not be the same as expected by customers. Your fund may increase or reduce due to the purchase or sale of investment products. The loss incurred from investment maybe the same or greater than initial investment amount. 由於市場瞬息萬變，以上產品的買賣價格（如有）升跌及波幅可能非如閣下預期，閣下資金可能因買賣此產品而有所增加或減少，投資的損失可能等同或大於最初投資金額。
3. The information or any product offering documentation issued of these product have not been reviewed by SFC and may contain information of non-SFC authorized products. You should exercise caution in relation to the product. If you have any query on the information or any product offering documentation provided, you should seek independent professional advice. 以上產品的發行人刊發的要約文件及/或產品資產料未經證監會審閱，並可能載有未經證監會認可的產品資料，閣下務必審慎行事。如閣下對產品發行人提供的要約文件及/或產品資料有任何疑問，請考慮諮詢閣下的獨立投資顧問。
4. These products may be authorized by the SFC. SFC authorization is not a recommendation or endorsement of the product nor does it guarantee the commercial merits of the fund(s) or its performance. It does not mean the product is suitable for all investors nor is it an endorsement of its suitability for any particular investor or class of investors. 以上產品或得證監會認可，惟證監會認可不等如對產品作出推介或認許，亦不是對產品的商業利弊或表現作出保證，更不代表產品適合所有投資者，或認許產品適合任何個別投資者或任何類別的投資者。
5. Past performance (if any) is not necessarily a guide to future returns, and no representation or warranty, express or implied, is made regarding future performance. 產品的過往表現（如有）不能被視為將來表現的指示或保證，也不能代表或對將來表現做出任何明示或暗示的保障。

Part 1-Account Information

第一部份、帳戶資料

1. Account Type 帳戶類別

<input type="checkbox"/> Futures Account 期貨帳戶	Do you require trading in Global Future service <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
	你是否需要投資於全球期貨市場服務？

2. Identity of Client 客戶身份

Company (Account) Name in English 公司(帳戶)英文名稱：		Company Name in Chinese 公司(帳戶)中文名稱：	
Nature of Entity 公司性質：	<input type="checkbox"/> Sole Proprietorship 獨資 <input type="checkbox"/> Listed Company 上市公司	<input type="checkbox"/> Partnership 合夥 <input type="checkbox"/> Others, please specify 其他，請註明 _____	<input type="checkbox"/> Limited Company 有限公司
Nature of Business 業務性質：			
Registered Address 註冊地址：			
Principal Business Address 主要營業地址：	If different from Registered Address, please specify 如與註冊地址不相同，請註明：		
Correspondence Address 通訊地址：	<input type="checkbox"/> Same As Registered Address 與註冊地址相同 <input type="checkbox"/> Same As Principal Business Address 與主要營業地址相同		<input type="checkbox"/> Others, please specify 其他，請註明：
If a HK Address (non-PO BOX) cannot be provided, please complete [Part8-Appointment of Process Agent]. 如未能提供一個香港地址（非郵政信箱），必須填寫【第八部份、法律文件接收人委任書】。			
Place of Incorporation 註冊地點：	Date of Incorporation 註冊日期：		
Certificate of Incorporation No. 公司註冊號碼：	Business Registration No. 商業登記號碼：		
Contact Person (Name, Position) 聯絡人(姓名，職位)：	E-mail address 電郵地址：		
Telephone Number (Office) 電話號碼（辦公室）：	Fax No. 傳真號碼：		
Mobile 手提電話 *This will be the registered number to receive ZFA One-Time Password by default. 這手提電話號碼將預設或為登記電話號碼以接收雙重認證的一次性密碼。	+Country Code-Area Code-Phone Number +國家代碼-地區代碼-電話號碼		
Purpose of Account Opening 開戶目的： <input type="checkbox"/> Investment 投資 <input type="checkbox"/> Others, please specify 其他，請註明：			
Is your Company a U.S. citizen or a U.S. tax resident 貴公司是否美國公民或就稅務目的而言的居民？ <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否			

3. Financial Information 財務資料簡要

Place of origin of the fund source 資金來源地：	<input type="checkbox"/> Hong Kong 香港	<input type="checkbox"/> China 中國	<input type="checkbox"/> Others, please specify 其他，請註明
Initial Source of Fund 資金最初來自：	<input type="checkbox"/> Operational Income 營運收入	<input type="checkbox"/> Investment Income 投資收入	<input type="checkbox"/> Interest Income 利息收入
	<input type="checkbox"/> External Borrowing 對外借貸	<input type="checkbox"/> Sale of Investment 出售投資	<input type="checkbox"/> Dividend Income 股息收入
	<input type="checkbox"/> Funds from shareholders/capital contributions from partners 股東資金/合夥人注資	<input type="checkbox"/> Others, please specify 其他，請註明	
	<input type="checkbox"/> Rental Income 租金收入	<input type="checkbox"/> Others, please specify 其他，請註明	
Ongoing Source of Fund 資金的持續來源：	<input type="checkbox"/> Operational Income 營運收入	<input type="checkbox"/> Investment Income 投資收入	<input type="checkbox"/> Interest Income 利息收入
	<input type="checkbox"/> External Borrowing 對外借貸	<input type="checkbox"/> Sale of Investment 出售投資	<input type="checkbox"/> Dividend Income 股息收入
	<input type="checkbox"/> Funds from shareholders/capital contributions from partners 股東資金/合夥人注資	<input type="checkbox"/> Others, please specify 其他，請註明	
	<input type="checkbox"/> Rental Income 租金收入	<input type="checkbox"/> Others, please specify 其他，請註明	
Countries of Major Counterparties 主要交易對手之國家：	<input type="checkbox"/> Hong Kong 香港	<input type="checkbox"/> China 中國	<input type="checkbox"/> Others, please specify 其他，請註明
Estimated Net Worth 預計淨資產值：	HK\$		Estimated Liquid Net Worth 預計流動淨資產值：
HK\$			
Anticipated Investment Amount (yearly) 預計投資總額 (年計)：HK\$			

4. All Directors 所有董事

Director(s) Name 董事姓名	Director(s) Identity Document(s) 董事身份證明文件			Director(s) Home Address 董事住宅地址
	ID Type 證件類別	ID No. 證件號碼	Place of Issue 簽發地	

5. Immediate Shareholder(s) (Shareholding of 25% or more) 直接股東 (持有25%或之上股權) *#

Name 姓名	Shareholding 股權(%)	Certificate Type 證件類別	Certificate No. 證件號碼	Place of Issue 簽發地	Home Address 地址

* Please provide details of **ultimate beneficial owner(s) (Shareholding of 25% or more)** if they are different from the above shareholder(s) information 如最終實益擁有人 (持有25%或之上股權) 與上述股東不同，請提供最終實益擁有人之資料:

1 Name 姓名：_____ (_____ %) percentage of beneficial holdings 權益擁有百分比

Identity document 身份證明文件 (Type 類別/No.號碼/Place of Issue 簽發地) _____ / _____ / _____

Telephone電話：_____ Address地址：_____

U.S. citizen or a U.S. tax resident.美國公民或就稅務目的而言的居民 Yes 是 No 否

2 Name 姓名：_____ (_____ %) percentage of beneficial holdings 權益擁有百分比

Identity document 身份證明文件 (Type 類別/No.號碼/Place of Issue 簽發地) _____ / _____ / _____

Telephone電話：_____ Address地址：_____

U.S. citizen or a U.S. tax resident.美國公民或就稅務目的而言的居民 Yes 是 No 否

Listed entities, financial institutions, state owned enterprises do not need to complete details, please provide supporting documents.
上市公司，持牌金融機構，國有企業客戶則不需填寫，請提供證明文件

6. Disclosure of Identity 相關身份披露

Is your Company a Licensed Corporation licensed by SFC? 貴公司是否為證券及期貨事務監察委員會之持牌或註冊法團?	<input type="checkbox"/> Yes 是, CE No中央編號: _____ <input type="checkbox"/> No 否
Is any Director, Shareholder or Authorized Person of your Company an employee of any participant of the Stock Exchange of Hong Kong or a registered person under the Securities and Futures Ordinance? 貴公司之任何董事、股東或授權人士是否是聯交所參與者之雇員或根據證券及期貨條例註冊的持牌人士?	<input type="checkbox"/> Yes 是 Director/Shareholder/Authorized Person Name 董事、股東或授權人士姓名: _____ Participant Name 參與者名稱: _____ Position 職位: _____ CE. No. 中央編號: _____ (Please provide a consent letter issued by the employer. 請提供僱主同意開戶證明。) <input type="checkbox"/> No 否
Is any Director, Shareholder or Authorized Person of your Company a staff of CMB International Futures Limited (CMBIF)? 貴公司之任何董事、股東或授權人士是否是招銀期貨的職員?	<input type="checkbox"/> Yes 是, Name 姓名: _____ Position 職位: _____ <input type="checkbox"/> No 否
Does any Director, Shareholder or Authorized Person of your Company have any relationship with the staff of CMB International Futures Limited? 貴公司之任何董事、股東或授權人士與招銀期貨的職員是否有親戚關係?	<input type="checkbox"/> Yes 是, Name of staff 僱員姓名: _____ Relationship 關係: _____ <input type="checkbox"/> No 否
Is any Director, Shareholder or Authorized Person or Related Company of your Company a Client of CMB International Futures Limited? 貴公司之任何董事、股東、授權人士或其關聯公司是否是招銀期貨的客戶?	<input type="checkbox"/> Yes 是, Account Name 帳戶名稱: _____ Account No. 帳戶號碼: _____ <input type="checkbox"/> No 否
Is member of your group companies currently maintaining Account(s) with CMB International Futures Limited? 貴公司集團旗下公司成員有否在本公司開設帳戶?	<input type="checkbox"/> Yes 是, Account Name 帳戶名稱: _____ Account No. 帳戶號碼: _____ <input type="checkbox"/> No 否
Are you, either shareholders, directors or company, in control of 35% or more of the issued shares of any client of CMBIF? 貴公司之任何董事是否與其公司共同控制招銀期貨的其它保證金客戶 35%或以上投票權?	<input type="checkbox"/> Yes 是, Account Name 帳戶名稱: _____ Account No. 帳戶號碼: _____ <input type="checkbox"/> No 否

7. Settlement Account Information 結算帳戶資料

Hong Kong Banking Accounts (bank accounts under client name in HK only)

香港銀行資料記錄 (只用於客戶同名的香港銀行帳戶存款)

Details of Bank Account (1) 銀行帳戶 (1) 資料	
Name of Bank 銀行名稱	
Name of Bank Account 帳戶名稱	
Bank Account Number 帳戶號碼	(HKD港幣/USD美元/CNY人民幣/MTC多種貨幣)
Details of Bank Account (2) 銀行帳戶 (2) 資料	
Name of Bank 銀行名稱	
Name of Bank Account 帳戶名稱	
Bank Account Number 帳戶號碼	(HKD港幣/USD美元/CNY人民幣/MTC多種貨幣)

8. Electronic Service Application 電子服務申請

Do you need online trading service? 您是否需要開通網上交易服務? Yes 是 No 否

Client account code and password receive method, please choose one only (Please state if differs from above)

帳戶號碼及密碼, 可選擇以下一種方式收取 (如與上述不同, 請註明)

E-mail address 電子郵箱:

Mailing address 郵寄地址:

Do you need Merchant Payment Service? 您是否需要開通銀証轉帳服務? Yes 是 No 否

Details of Designated Transfer Banking Account (1) 指定轉帳銀行帳戶 (1) 資料	
Name of Bank 銀行名稱	China Merchant Bank (Hong Kong Branch) 招商銀行香港分行
Name of Bank Account 帳戶名稱	
Bank Account Number 帳戶號碼	(HKD港幣/USD美元/CNY人民幣/MTC多種貨幣)
Details of Designated Transfer Banking Account (2) 指定轉帳銀行帳戶 (2) 資料	
Name of Bank 銀行名稱	Wing Lung Bank 永隆銀行
Name of Bank Account 帳戶名稱	
Bank Account Number 帳戶號碼	(HKD港幣/USD美元/CNY人民幣/MTC多種貨幣)

9. Method of Communication 通訊方法

Trade Confirmation 交易確認 Mail 郵寄 E-mail address (Recommend) 電子郵箱 (推薦)

Statements & Notices 結單單據 Mail 郵寄 E-mail address (Recommend) 電子郵箱 (推薦)

(If select by E-mail, please read the [Client's Consent-Electronic Communication] below 如選以電子郵箱收件，請閱讀以下〔客戶同意書－電子通訊〕部份)

Client's Consent-Electronic Communication 客戶同意書－電子通訊

(Please check the box if you agree with the [Client's Consent-Electronic Communication]. 如你同意〔客戶同意書－電子通訊〕之條款，請剔選以下方格。)

- We, the undersigned client, hereby consent to CMB International Futures Limited (CMBIF) providing all notices, statements, trade confirmations and other communications by CMBIF to us through electronic communication and we hereby request, instruct and authorize CMBIF to transmit, release and send all notices, statements, contract notes and other communications (the "Communications") to me/us at my/our designated e-mail address as specified below. I/We, acknowledge and accept the risks of receiving the Communications via electronic communications, including but not limited to the risks as set out in the Cash Client's Agreement / Margin Client's Agreement and other related documents and terms and agree and undertake to hold CMBIF harmless from and against all losses, damages, interests, costs, expenses, actions, demands, claims or proceedings of whatsoever nature which we may incur, suffer and/or sustain as a result of CMBIF's provision of Communications via electronic communication. We understand we can only choose either receiving the Account statement via physical mail or via electronic communication. Once choosing electronic communication service, we shall not receive physical contract note and physical account statement by mail. We undertake to notify CMBIF of any changes in our email address. If CMBIF got two successive messages in relation to failure of sending the statement to our email address electronically, CMBIF has the right to send the statement to us via physical mail instead. In the event of any difference in interpretation or meaning between the English and Chinese version of this Consent, the Client agrees that the English version shall prevail. CMBIF has explained to us, and we acknowledge and agree to, the content of this consent. 我司，以下簽署之客戶，謹此同意招銀國際期貨有限公司（招銀期貨）通過電子通訊向我司以我司於下列所指定之電子郵箱寄發成交單據及其它通訊（該等通訊）。我司確認及接受通過電子通訊的風險，包括但不限於載於現金客戶協議書／保證金客戶協議書及其他相關文件及條款中所列的風險，並同意及承諾免除招銀期貨因招銀期貨通過電子服務提供該等通訊而令我司產生、蒙受及/或承受的一切虧損、損失、利息、費用、開支、法律訴訟、付款、索償等等的責任。我司明白我司只可從郵寄帳單或電子通訊選擇其一，一經選用電子通訊，我司將不會收到郵件形式寄發之成交單及月結單。於我司選用電子通訊期間，我司將第一時間通知招銀期貨有關我司電子郵箱的變更。假若招銀期貨寄發電子帳單後連續兩次收到錯誤之通訊，招銀期貨可選擇以郵寄形式取代電子通訊。如本同意書中、英文本之解釋或意思有不相同，客戶同意以英文本為準。招銀期貨已向我司解釋本同意書，我司聲明我司完全明白同意書之內容。

Part 2- Derivatives Knowledge Questionnaire

第二部份、衍生產品知識問卷

This questionnaire serves to help CMB International Futures Limited understand your knowledge in derivative and assess whether your chosen product is suitable for you.

衍生產品問卷說明招銀國際期貨有限公司瞭解你對衍生工具的認識，並確認你是否能夠認購具有衍生工具的產品。

Account Name: 帳戶名稱：	
Account No.: 帳戶號碼：	
Date of Completion.: 完成日期：	

<p>1. Do you read carefully and understand the features of and risks associated with the derivative products as documented in the Account Agreements-Schedule 2-Explanation of Risks associated with Exchange -Traded Derivative Products? 你已經仔細閱讀及明白載於《帳戶協議-附表 2、就在交易買賣的衍生產品所附帶的風險作出解釋》所述的衍生工具的特性及風險?</p>	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
<p>2. Which is/are common type(s) of derivative in the market? 哪一些專案為常見的衍生工具產品?</p>	<input type="checkbox"/> Futures 期貨 <input type="checkbox"/> Forwards 遠期合約 <input type="checkbox"/> Options 期權 <input type="checkbox"/> All of the above 上述各項皆是
<p>3. What is/are the main function of derivatives in portfolio management? 在投資產品中，衍生工具的主要用途是什麼?</p>	<input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Changing asset mix of investment portfolio 調配投資組合內的資產分配 <input type="checkbox"/> Income enhancement 提升收益 <input type="checkbox"/> All of the above 上述各項皆是
<p>4. Which is/are the key risk(s) of using derivatives? 哪一些專案是使用衍生工具涉及的主要風險?</p>	<input type="checkbox"/> Market risk 市場風險 <input type="checkbox"/> Liquidity risk 流動性風險 <input type="checkbox"/> Counterparty credit risk 交易對手信貸風險 <input type="checkbox"/> All of the above 上述各項皆是
<p>5. Which will cause derivatives to magnify loss in adverse conditions? 哪一項會令衍生工具在市況欠佳時將損失增大?</p>	<input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Leverage 杠杆 <input type="checkbox"/> Redemption/Switching 贖回轉換

I/We acknowledge and confirm that I/we have received and read the Personal Data Protection Statement attached to the Client Agreement entered into by me/us. I/We understand and agree that the information collected from me/us in this form together with any subsequent alterations or supplements to it can be used and/or transferred in accordance with any of the uses and purposes (including in relation to direct marketing) and/or to any of the transferees as fully described in the Personal Data Protection Statement and agreed by me/us pursuant to the Client Agreement.

本人/吾等進一步確認及確定，本人/吾等已明白及閱讀載于客戶資料中的個人資料保障聲明（不時作出修訂）。本人/吾等確認及同意從本人/吾等在本表格上收集的資料及日後之任何改動或補充，可根據個人資料保障聲明內的使用及目的（包括直接促銷）及/或轉交予受讓人的描述，而作使用及轉交。

Part 3- Common Reporting Standard – Self Certification Form (Entity)**第三部份、共同匯報標準-自我證明表格(實體)**

Ref. No 參考編號：

Important Notes 重要提示：

- This is a self-certification form provided by an account holder to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction. 這是由帳戶時有人向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- An account holder should report all changes in his/her tax residency status to the reporting financial institution. 如帳戶持有人的稅務居民身份有所改變，應盡快將所有變更通知申報財務機構。
- All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (*) are required to be reported by the reporting financial institution to the Inland Revenue Department. 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄/部標有星號(*)的項目為申報財務機構須向稅務局申報的資料。

Part 1 Identification of Entity Account Holder**第 1 部 實體帳戶持有人的身分識別資料**

(1) Legal Name of Entity or Branch 實體或分支機構的法定名稱 *

(2) Jurisdiction of Incorporation or Organisation 實體成立為法團或設立所在的稅務管轄區

(3) Hong Kong Business Registration Number 香港商業登記號碼

(4) Current Business Address 現時營業地址

Line 1 (e.g. Suite, Floor, Building, Street, District) 第 1 行 (例如：室、樓層、大廈、街道、地區)

Line 2 (City) 第 2 行 (城市) *

Line 3 (e.g. Province, State) 第 3 行 (例如：省、州)

Country 國家 *

Post Code/ZIP Code 郵政編碼/郵遞區號碼 *

(5) Mailing Address 通訊地址 (Complete if different to the current business address 如通訊地址與現時營業地址不同，填寫此欄)

Line 1 (e.g. Suite, Floor, Building, Street, District) 第 1 行 (例如：室、樓層、大廈、街道、地區)

Line 2 (City) 第 2 行 (城市) *

Line 3 (e.g. Province, State) 第 3 行 (例如：省、州)

Country 國家 *

Post Code/ZIP Code 郵政編碼/郵遞區號碼 *

Part 2 Entity Type (Tick one of the appropriate boxes and provide the relevant information.)**第 2 部 實體類別 (在其中一個適當的方格內加上剔號，並提供有關資料。)**

Financial Institution 財務機構	<input type="checkbox"/> Custodial Institution, Depository Institution or Specified Insurance Company 託管機構、存款機構或指明保險公司。 <input type="checkbox"/> Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction 投資實體。但不包括由另一財務機構管理 (例如：擁有酌情權管理投資實體的資產) 並位於非參與稅務管轄區的投資實體。
Active NFE 主動非財務實體	<input type="checkbox"/> NFE the stock of which is regularly traded on _____ which is an established securities market (一個具規模證券市場) 進行買賣 <input type="checkbox"/> Related entity of _____ 的有關連實體，the stock of which is regularly traded on 該有關連實體的股票經常在 _____ which is an established securities market (一個具規模證券市場) 進行買賣 <input type="checkbox"/> NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體 <input type="checkbox"/> Active NFE other than the above 除上述以外的主動非財務實體 (Please specify 請說明 _____)
Passive NFE 被動非財務實體	<input type="checkbox"/> Investment entity that is managed by another financial institution and located in a non-participating jurisdiction 位於非參與稅務管轄區並由另一財務機構管理的投資實體 <input type="checkbox"/> NFE that is not an active NFE 不屬主動非財務實體的非財務實體

Part 3 Controlling Persons (Complete this part if the entity account holder is a passive NFE)**第 3 部 控權人 (如實體帳戶持有者是被动非財務實體，填寫此部)**

Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official. 就帳戶持有人，填寫所有控權人的姓名在列表內。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。

Complete Self-Certification Form – Controlling Person for each controlling person. 每名控權人須分別填寫一份 IR1457 表格 (自我證明表格 – 控權人)。

(1)	(5)
(2)	(6)
(3)	(7)
(4)	(8)

Part 4 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”)*

第 4 部 居留司法管轄區及稅務編號或具有等同功能的識別編號（以下簡稱「稅務編號」）*

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's TIN for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence. 提供以下資料，列明（a）帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區（香港包括在內）及（b）該居留司法管轄區發給帳戶持有人的稅務編號。列出**所有**（不限於 5 個）居留司法管轄區。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number 如帳戶持有人是香港稅務居民，稅務編號是其香港商業登記號碼。

If the account holder is not a tax resident in any jurisdiction (e.g. fiscally transparent), indicate the jurisdiction in which its place of effective management is situated. 如果帳戶持有人並非任何稅務管轄區的稅務居民（例如：它是財政透明實體），填寫實際管理機構所在的稅務管轄區。

If a TIN is unavailable, provide the appropriate reason A, B or C 如沒有提供稅務編號，必須填寫合適的理由：

- Reason 理由 A The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents. 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 理由 B The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason. 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。
- Reason 理由 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. 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。

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

Part 5 Declarations and Signature

第 5 部 聲明及簽署

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112). I certify that I am authorized to sign for the account holder of all the account(s) to which this form relates. I undertake to advise CMB International Futures Limited of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide CMB International Futures Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

本人知悉及同意，財務機構可根據《稅務條例》（第 112 章）有關交換財務帳戶資料的法律條文，（a）收集本表格所載資料並可備存作自動交換財務帳戶資料用途及（b）把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

本人證明，就與本表格所有相關的帳戶，本人獲帳戶持有人授權簽署本表格。

本人承諾，如情況有所改變，以致影響本表格第 1 部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知招銀國際期貨有限公司，並會在情況發生改變後 30 日內，向招銀國際期貨有限公司提交一份已適當更新的自我證明表格。

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete. 本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

Signature 簽署 _____

Name 姓名 _____

Capacity 身份 _____

(e.g. director or officer of a company, partner of a partnership, trustee of a trust etc.) (例如：公司的董事或高級人員、合夥的合夥人、信託的受託人等)

Date 日期 (dd 日/mm 月/yyyy 年) _____

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000). 警告：根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級（即\$10,000）罰款。

Part 4- Common Reporting Standard – Self Certification Form (Controlling Person) (If Applicable)**第四部份、共同匯報標準-自我證明表格（控權人）（如適用）**

Ref. No 參考編號：

Important Notes 重要提示：

- This is a self-certification form provided by a controlling person to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction. 這是由控權人向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- A controlling person should report all changes in his/her tax residency status to the reporting financial institution. 如控權人的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。
- All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (*) are required to be reported by the reporting financial institution to the Inland Revenue Department. 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄/部標有星號（*）的項目為申報財務機構須向稅務局申報的資料。

第 1 部 控權人的身分識別資料

(1)	Name of Controlling Person 控權人的姓名 Title (e.g. Mr, Mrs, Ms, Miss) 稱謂 (例如：先生、太太、女士、小姐) Last Name or Surname 姓氏 * First or Given Name 名字 * Middle Name(s) 中間名	_____ _____ _____ _____
(2)	Hong Kong Identity Card or Passport Number 香港身份證或護照號碼	_____
(3)	Other ID Type and Number 其他身份證明文件類別及號碼	_____
(4)	Current Residence Address 現時住址 Line 1 (e.g. Suite, Floor, Building, Street, District) 第 1 行 (例如：室、樓層、大廈、街道、地區) Line 2 (City) 第 2 行 (城市) * Line 3 (e.g. Province, State) 第 3 行 (例如：省、州) Country 國家 * Post Code/ZIP Code 郵政編碼/郵遞區號碼 *	_____ _____ _____ _____ _____
(5)	Mailing Address 通訊地址 (Complete if different to the current residence address 如通訊地址與現時住址不同，填寫此欄) Line 1 (e.g. Suite, Floor, Building, Street, District) 第 1 行 (例如：室、樓層、大廈、街道、地區) Line 2 (City) 第 2 行 (城市) * Line 3 (e.g. Province, State) 第 3 行 (例如：省、州) Country 國家 * Post Code/ZIP Code 郵政編碼/郵遞區號碼 *	_____ _____ _____ _____ _____
(6)	Date of Birth 出生日期 * (dd 日/mm 月/yyyy 年)	_____
(7)	Place of Birth 出生地點 (Not compulsory 可不填寫) Town/City 鎮/城市 Province/State 省/州 Country 國家	_____ _____ _____ _____

Part 2 The Entity Account Holder(s) of which you are a controlling person (Enter the name of the entity account holder of which you are a controlling person.)**第 2 部 你作為控權人的實體帳戶持有人 (填寫你作為控權人的實體帳戶持有人的名稱。)**

Entity 實體	Name of the Entity Account Holder 實體帳戶持有人的名稱
(1)	
(2)	
(3)	

Part 3 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") ***第 3 部 居留司法管轄區及稅務編號或具有等同功能的識別編號（以下簡稱「稅務編號」）***

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the controlling person is a resident for tax purposes and (b) the controlling person's TIN for each jurisdiction indicated. Indicate all (not restricted to five) the jurisdictions of residence. 提供以下資料，列明（a）控權人的居留司法管轄區，亦即控權人的稅務管轄區（香港包括在內）及（b）該居留司法管轄區發給控權人的稅務編號。列出所有（不限於 5 個）居留司法管轄區。

If the controlling person is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. 如控權人是香港稅務居民，稅務編號是其香港身份證號碼。

If a TIN is unavailable, provide the appropriate reason A, B or C 如沒有提供稅務編號，必須填寫合適的理由：

- Reason 理由 A The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents. 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 理由 B The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason. 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。
- Reason 理由 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. 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。

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

Part 4 Type of Controlling Person (Tick the appropriate box to indicate the type of controlling person for each entity stated in Part 2.)**第 4 部 控權人類別** (就第 2 部所載的每個實體，在適當方格內加上剔號，指出控權人就每個實體所屬的控權人類別。)

Type of Entity 實體類別	Type of Controlling Person 控權人類別	Entity 實體 (1)	Entity 實體 (2)	Entity 實體 (3)
Legal Person 法人	Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital) 擁有控制股權的個人（即擁有不少於百分之二十五的已發行股本）			
	Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights) 以其他途徑行使控制權或有權行使控制權的個人（即擁有不少於百分之二十五的表決權） 或以其他途徑行使控制權或有權行使控制權的個人			
	Individual who holds the position of senior managing official/ exercises ultimate control over the management of the entity 擔任該實體的高級管理人員/對該實體的管理行使最終控制權的個人			
Trust 信託	Settlor 財產授予人			
	Trustee 受託人			
	Protector 保護人			
	Beneficiary or member of the class of beneficiaries 受益人或某類別受益人的成員			
	Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary) 其他（例如：如財產授人/受託人/保護人/受益人/受益人為另一實體，對該實體行使控制權的個人）			
Legal Arrangement other than Trust 除信託以外的法律安排	Individual in a position equivalent/similar to settlor 處於相等/相類於財產授予人位置的個人			
	Individual in a position equivalent/similar to trustee 處於相等/相類於受託人位置的個人			
	Individual in a position equivalent/similar to protector 處於相等/相類於保護人位置的個人			
	Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries 處於相等/相類於受益人或某類別受益人的成員位置的個人			
	Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/protector/beneficiary) 其他（例如：如處於相等/相類於財產授人/受託人/保護人/受益人/受益人為另一實體，對該實體行使控制權的個人）			

Part 5 Declarations and Signature**第 5 部 聲明及簽署**

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112). I certify that I am the account holder / I am authorized to sign for the account holder # of all the account(s) to which this form relates. I undertake to advise CMB International Futures Limited of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide CMB International Futures Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

本人知悉及同意，財務機構可根據《稅務條例》（第 112 章）有關交換財務帳戶資料的法律條文，（a）收集本表格所載資料並可備存作自動交換財務帳戶資料用途及（b）把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人 / 本人獲帳戶持有人授權簽署本表格 #。

本人承諾，如情況有所改變，以致影響本表格第 1 部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知招銀國際期貨有限公司，並會在情況發生改變後 30 日內，向招銀國際期貨有限公司提交一份已適當更新的自我證明表格。

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete. 本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

Signature 簽署 _____

Name 姓名 _____

Capacity 身份 _____

Date 日期 (dd 日/mm 月/yyyy 年) _____

(Indicate the capacity if you are not the individual identified in Part 1. If signing under a power of attorney, attach a certified copy of the power of attorney. 如你不是第 1 部所述的個人，說明你的身分。如果你是以授權人身份簽署這份表格，須夾附該授權書的核証副本。)

Delete as appropriate 請刪去不適用者

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000). 警告: 根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級（即\$10,000）罰款。

Part 5- Board Resolution (If Applicable)**第五部份、董事決議案（如適用）**

Company Name 公司名稱：_____

Minutes of a meeting of the board of the company duly held at 董事會會議於_____ (Venue 地點) on _____ (Date & Time 日期及時間) 召開 of which the quorum was present and acting throughout the meeting. 是次會議於整個會議期間一直保持足夠法定人數。

Present 出席者： (Chairman 主席) _____
(Director(s) 董事) _____**Opening Futures Trading Account(s) with CMB International Futures Limited 於招銀國際期貨有限公司開立期貨及交易帳戶****IT WAS RESOLVED THAT 會議決議：**

- 1 Futures trading account(s) (the "Accounts") be opened and maintained with CMB International Futures Limited (CMBIF) in accordance with such terms and conditions may from time to time prescribe for the Account(s), among which the Account Opening Agreement and other related documents are tabled and considered by the Directors. 於招銀國際期貨有限公司(下稱「招銀期貨」)開立和維持期貨及交易帳戶("帳戶"),並按招銀期貨不時規定有關帳戶的條款和細則開立及維持;當中「開戶協議」及其他相關文件已在會議上呈述並給予董事考慮。
- 2 Any ____ of following persons be and are/is hereby appointed as Authorized Signers (the "Authorized Signatories") and be authorized 以下任何____位人士被任命為本公司之授權簽署人("授權簽署人"),並獲授權:
- 2.1 to sign, execute and deliver all agreements consents, letter of instructions or other documents required by CMBIF for the settlement of Futures transactions with CMBIF in connection with the opening of the Account(s). 簽署、執行及提交所有招銀期貨要求與開立帳戶以用作期貨合約交易結算有關之所有協議、批准、委託書或其他文件;
- 2.2 to withdraw or transfer any money, securities, collateral or other property into or out of the Account(s); and 提取或轉移於帳戶內任何金錢、証券、抵押品或其他財產; 及
- 2.3 to make, execute and deliver all written endorsements and documents and to use the company chop (if applicable) necessary to effect the authority conferred by this resolution: 作出、執行及提交所有必需的書面批註和文件並(如適用)使用公司印章以執行此決議案所授予之權力

Name 名稱	Title 職位	ID/Passport No. 身份證/護照號碼	Specimen Signature 簽署樣本	Company Chop (If Applicable) 公司印章(如適用)

- 3 Any ____ of the following persons be and are/is hereby appointed as Trading Representative(s) of the company (the "Trading Representative") and be authorized to give orders or trading instruction to CMBIF, whether in writing, verbally or otherwise, in respect of any transactions of the Account(s) on behalf of and in the name of the company. 以下任何____位人士被任命為本公司之交易代表("交易代表"),並獲授權以本公司名義對帳戶的任何交易以書面、口頭或其他形式向招銀期貨發出指示或交易指令

Name 名稱	Title 職位	Contact No. 聯絡號碼	ID/Passport No. 身份證/護照號碼	Specimen Signature 簽署樣本

- 4 The company shall notify CMBIF of any changes which may render the information in the Account Opening Agreement untrue or misleading. 本公司將通知招銀期貨一切可能構成「開戶協議」內容不真實或誤導性的變動。
- 5 To provide CMBIF with any documents which it may require in connection with the opening and operation of the Account(s), including, without limitation, copies of the certificate of incorporation, business registration certificate and the memorandum and articles of association or other constitutional documents of the financial statements and certified extracts of any resolution relating to the Account(s). 向招銀期貨提供任何與開立及操作帳戶有關的文件,當中包括但不限於公司註冊證書、商業登記證、組織章程大綱及章程細則的副本或財務報表及與帳戶有關之任何經核證決議案之摘錄。

CERTIFICATE 聲明

I/We, the undersigned, hereby certify that the foregoing is a full, true and correct copy of the resolutions duly and regularly passed and adopted by the Board of Directors of our company on the date stated therein; that the said resolution appear in the minutes of our company; and that the same have not been rescinded or modified and are now in full force and effect. I/We, the undersigned, further certify that our company is duly organized and existing, and has the power to take the action called for in the foregoing resolution. 本人/吾等即下述簽署人,謹此證明前述決議內容均為完整、真實及準確之副本,且已獲得本公司董事會正式通過,妥當地備存於公司會議紀錄內,當中並無任何撤銷或修改,該決議案全面生效及有效。本人/吾等即下述簽署人,謹此證明本公司為合法成立並存續,且擁有權力採取前述決議。

Chairman Signature & Date 主席簽署及日期: X _____

Part 6- Acknowledgement by Client**第六部份、聲明**

We confirm and represent that the information on this Account Opening Agreement and documents provided in connection with this application is true, complete and correct and that the representations as stated herein are accurate. CMB International Futures Limited (CMBIF) is entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any changes to the Account Opening Agreement. CMBIF is authorized at any time to contact anyone, including client's banks, brokers or any credit agency, for the purpose of verifying the information provided on this Account Opening Agreement. 我在此確認在開戶協議所提供的資料及文件全部為真實、完整和正確，以及當中的陳述均屬準確。除非招銀國際期貨有限公司（招銀期貨）接到更改有關本資料表格內容的書面通知，否則招銀期貨可完全依賴這些資料及陳述做一切用途。客戶授權招銀期貨可隨時聯絡任何人包括客戶的銀行、經紀或任何信貸機構等，核實本開戶協議內的資料及陳述。

Pursuant to FATCA or applicable local laws, We hereby consent to CMBIF to report my personal data to the U.S. applicable local regulators or tax authorities where necessary in order to comply with FATCA or applicable local laws. 根據FATCA或相關當地法律，我同意向招銀期貨匯報我的個人資料到美國或適用的當地監管機構或稅務機關，並在必要時為符合FATCA或適用的當地法律。

We agree and confirm the Specimen Signature(s) as provided in the Board Resolution will be used to verify all written instructions given relating to the operation of the Account(s). 我同意並確定在董事決議案中的簽署樣本將被用作核證任何就帳戶運作之書面指示。

We, the undersigned Client, acknowledge and confirm that we have read, understood and accepted the provisions of the Client's Agreement and other related documents and terms, including (inter alia) the Risk Disclosure Statement and Personal Data Protection Statement, and agree to be bound by each of the above as amended and/or supplemented from time to time. We have been referred to the Client's Agreement and other related documents and terms, including (inter alia) the Risk Disclosure Statement and Personal Data Protection Statement, in both English and Chinese and have been explained by a staff named below in a language of our choice and that we are invited to read the Client's Agreement and other related documents and terms, including (inter alia) the Risk Disclosure Statement and Personal Data Protection Statement, ask questions and take independent advice if we wish. 我作為下述簽署客戶已閱讀過、明白及接受貴公司附上的客戶協議書及其他相關文件及條款，包括但不限於內含風險披露聲明及個人資料保障聲明書，並且同意受不時經修改及/或補充的該等文件所約束。我亦已獲展示客戶帳戶協議內中英文本的客戶協議書及其他相關文件及條款，包括但不限於風險披露聲明及個人資料保障聲明書，及獲以下職員按照我所選擇的語言解釋明白；及我亦已獲邀閱讀客戶協議書及其他相關文件及條款，包括但不限於風險披露聲明及個人資料保障聲明書，提出問題及徵求獨立的意見（如我所有此意願）。

Signature with Company Chop (If applicable) 客戶簽名加蓋公司印章（如適用）

Name of Signatories 簽字人姓名

Date 日期:

Witness 見證人

Witness: I, the undersigned, have witnessed the signature and inspected the original identity document of the above-named client.

見證人的見證：本人已見證及驗證上述客戶之簽署及有關其身份證明文件之正本。

Name of Witness

Witness Signature

Date

見證人姓名：

見證人簽署：

日期：

Address

Occupation

見證人地址：

見證人職業：

Declaration By Staff/ Licensed Representative 職員/持牌代表的聲明

I confirm that I have provided the Risk Disclosure Statements in the language of the Customer's choice (English or Chinese) and that I have invited the Customer to read the Risk Disclosure Statements, to ask questions and advice to take independent advice if the customer wishes. 本人確認已按照客戶所選擇的語言提供及解釋風險披露聲明；及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）。

Name of Staff/ Licensed Representative

CE. No

職員/持牌代表名稱：

中央編號：

Signature

Date

職員/持牌代表簽署：

日期：

Part 7- Appointment of Process Agent (If Applicable)**第七部份、法律文件接收人委任書（如適用）**

To : CMB International Futures Limited

致：招銀國際期貨有限公司

We/I, the undersigned account holder, refer to the Futures trading / margin financing account that we/I are/am maintaining with CMB International Futures Limited ("CMBIF"), which is subject to the Account Opening Agreement signed by us/me, the Cash Client Agreement and Margin Client Agreement which may be amended and/or supplemented by CMBIF from time to time, the Personal Data Privacy Statement, Risk Disclosure Statement and all other agreements and documents in relation and ancillary thereto (collectively the "Account Agreements").

本函乃涉及吾等/本人，即以下簽署之戶口持有人，在招銀國際期貨有限公司（“招銀期貨”）開設之期貨買賣戶口。該戶口受到吾等/本人簽署之開戶協議、招銀期貨發出及不時修訂及/或補充之現金客戶協議及保證金客戶協議及、個人資料保障聲明書、風險披露聲明以及與之有關及附帶之其它所有協定及文件所規限（統稱“帳戶協議”）。

We/I hereby irrevocably appoint the below person as our/my process agent to receive and acknowledge on our/my behalf service of any writ, summons, order, judgment or other notices of legal process in Hong Kong Special Administrative Region of the People's Republic of China ("Hong Kong") arising out of or in connection with the Account Agreements. We/I agree that any service of any legal process on the process agent shall constitute sufficient service on ourselves/myself for the purpose of legal proceedings in the courts of Hong Kong. By accepting this appointment, the process agent agrees not to retire as our/my process agent unless and until a successor process agent is appointed and notice thereof is given to CMBIF. Nothing herein shall affect the right of CMBIF to serve process in any other manner permitted by law.

吾等/本人特此不可撤銷地委任下列人士為吾等/本人之法律文件接收人，負責接收及認收在中華人民共和國香港特別行政區（“香港”）因期貨戶口文件產生或與之有關而送達之令狀、傳召、命令、判決書以及其他法律程序通知。吾等/本人同意將法律文件送達法律文件接收人，就香港法院的法律程序而言，已構成對吾等/本人妥善送達。通過接受有關委任，法律文件接收人同意，其直至吾等/本人完成委任繼任的法律文件接收人及就該事宜通知招銀期貨之前，不得辭退作為吾等/本人法律文件代理人的職務。此委任書所載的條款不應影響招銀期貨行使其權力，以任何其他法律許可的方式送達法律程序文件。

To Be Completed By Account Holder 由戶口持有人填寫	
Signature 簽署	Date 日期

From Process Agent 由法律文件接收人出具：

We/I, the undersigned, hereby agree and confirm our/my acceptance of appointment by the above account holder as his process agent.

吾等/本人，即以下簽署人士，謹此同意並確認吾等/本人接受上述戶口持有人之委任，作為其法律文件接收人。

To Be Completed By Process Agent 由法律文件接收人填寫	
Name 姓名	Signature 簽署
Address 地址	
(Address proof must be provided 必須提供地址證明)	Date 日期

Internal Use Only 內部使用

客戶主任/經理			
面對面開戶適用			
見面日期及時間：		地點：	
會面人士：			
佣金： <input type="checkbox"/> 標準 <input type="checkbox"/> 招行員工 <input type="checkbox"/> 職員 <input type="checkbox"/> 其他 (請註明) _____ 電話 _____ 網上 (審批簽署: _____)			
客戶主任/經理簽署: _____		負責人員簽署: _____	
(Optional)			
介紹人資料 <input type="checkbox"/> 行外 介紹人姓名：_____ 聯繫電話：_____ 備註：_____			
<input type="checkbox"/> 行內 介紹人(姓名/核心系統號) _____/_____			
業務條線： <input type="checkbox"/> 零售 P/ <input type="checkbox"/> 對公 C/ <input type="checkbox"/> 國際 I/ <input type="checkbox"/> 其他 O			
分行 (分行名稱/分行號)：_____ / _____ 網點 (網點名稱/網點號)：_____ / _____			
若為行內客戶請提供客戶招行銀行卡資料：一卡通 _____ 客戶經理確認簽名：_____			
資料輸入/日期：		資料查核/日期：	
Use for FATCA Compliance 美國「外國帳戶稅收遵從法」			
<input type="checkbox"/> Opt to be recalcitrant		<input type="checkbox"/> Situation resolved	
原因：_____		原因：_____	
檢查及資料輸入/日期：_____		檢查及資料輸入/日期：_____	
資料覆核/日期：_____		資料覆核/日期：_____	
Remark:			
1. U.S. citizen includes an individual who is born in the U.S. territory or possession of the U.S. (i.e., American Samoa, Guam, the Northern Mariana Islands, Puerto Rico, or the U.S. Virgin Islands), while a U.S. tax resident refers to U.S. Green Card holder (i.e. holder of U.S. Permanent Resident card) or individual who meets the substantial presence test (i.e. he/she has been present in the U.S. for at least 31 actual days in the current tax year and 183 equivalent days during a three year period) 美國公民，包括出生在美國領土或屬地，美國（即美屬薩摩亞，關島，北馬裡安納群島，波多黎各和美國維爾京群島），而美國稅務居民是指美國個人綠卡持有人（美國永久居民卡，即持有人）或個人滿足實際天數測試（即他/她已經在三年至少 31 天實際的納稅年度和相當於 183 天身在美國）。			
2. Clients should seek for their own tax advisors regarding the substantial presence test if necessary. 客戶應尋求適合自己的稅務顧問以進行有關的實際天數測試。			

-End 完-