



五礦金融服務有限公司

MINMETALS FINANCIAL SERVICES LIMITED

根據《證券及期貨條例》就第2、5類受規管活動獲發牌的持牌法團CE編號BMV692

A corporation licensed for Type 2 and 5 regulated activities under the Securities and Futures Ordinance with CE no. BMV692

香港上環干諾道中168-200號信德中心招商局大廈17樓01及18B室
Room 1701 & 1718B, 17/F, Shun Tak Centre (China Merchants Tower),

No.168-200 Connaught Road Central, Sheung Wan, Hong Kong

電話Tel (852) 2856 1900 傳真Fax (852) 2856 3011

客戶號碼 Client Number _____

開戶表格 ACCOUNT OPENING INFORMATION FORM

個人/聯名帳戶 INDIVIDUAL/JOINT ACCOUNT

<input type="checkbox"/> 個人帳戶 Individual Account	<input type="checkbox"/> 聯名帳戶 Joint Account	與聯名帳戶持有人關係 Relationship with Joint Client : _____
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客戶姓名 Client Name _____

客戶號碼 Client Number _____	開戶日期 Account Opening Date _____	DD-MM-YYYY
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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.

個人資料 - Personal Information

姓名: _____	先生/女士* _____	出生日期 Date of Birth _____	DD-MM-YYYY
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Name: _____	Mr./ Ms.* _____	出生地點 Place of Birth _____
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身份證或護照號碼ID No./Passport No.* _____	簽發地點 Place of Issue _____
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住宅地址 Residential Address _____	國籍/公民身份 Nationality/Citizenship _____
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電郵地址 E-mail address _____	住宅電話 Home No. _____
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流動電話 Mobile No. _____	微信帳號 Wechat ID _____	QQ _____
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學歷程度 Education Level	<input type="checkbox"/> 小學或以下 Primary School or below <input type="checkbox"/> 中學 Secondary School <input type="checkbox"/> 大專 Non-Degree Tertiary <input type="checkbox"/> 學位 Degree <input type="checkbox"/> 研究生或以上 Postgraduate or above	婚姻狀況 Marital status <input type="checkbox"/> 單身 Single <input type="checkbox"/> 已婚 Married <input type="checkbox"/> 其他 Other _____
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工作狀況 Work Status	<input type="checkbox"/> 受雇 Employed <input type="checkbox"/> 自雇 Self-employed <input type="checkbox"/> 退休 Retired <input type="checkbox"/> 無業 Unemployed <input type="checkbox"/> 其他，請說明 Others: _____
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僱主名稱 Name of Employer _____	受僱年期 Employment Period _____
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行業及職位 Occupation & Position _____	辦公室電話 Office No. _____
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辦公室地址 Office Address _____

1. 帳單透過以下方式發送 (只選擇一項) 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 (只選擇一項) All postal correspondence will be sent to the following address (select one):

住宅地址 Residential address 辦公室地址 Office address

其他地址 Other address _____

指定銀行 Designated Bank _____

銀行名稱 Name of Bank _____	<input type="checkbox"/> 多幣種 Muti-Cur <input type="checkbox"/> 港元 HKD <input type="checkbox"/> 美元 USD <input type="checkbox"/> 人民幣 CNH <input type="checkbox"/> 其他 Other _____
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銀行名稱 Name of Bank _____	<input type="checkbox"/> 多幣種 Muti-Cur <input type="checkbox"/> 港元 HKD <input type="checkbox"/> 美元 USD <input type="checkbox"/> 人民幣 CNH <input type="checkbox"/> 其他 Other _____
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草簽 Initial _____



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

投資目的 Investment Objectives :

- 資本投資及收入 Capital Investment and Income 對沖 Hedging 投機 Speculation 其他(請說明) Others(specify) _____

產品了解 Product Understanding :

- 我了解衍生產品的性質和風險: I 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.
 3. 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, regulatory authority or exchange.
 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
- 本人並未有衍生產品之認識 I have NO knowledge of derivative products.

投資經驗 Investment Experience

年期 Year(s)

投資經驗 Investment Experience	沒有 Nil	1年以下 below 1 year	1-3 年 year(s)	3 年以上 Over 3 years
期貨或期權 Futures or Options	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
上市證券 Listed Securities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
衍生權證 Derivatives Warrant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
牛熊證 CBBC	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
其他(請說明) Others(specify) _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

最終實益擁有人及利益關係申報 Beneficiary Ownership and Interest Declaration

您 (及/或聯名客戶) 是否此帳戶的最終實益擁有人? (即您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 : _____

您 (及/或聯名客戶) 或帳戶之最終權益擁有人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 (and /or Joint Client) or any ultimate beneficial owner(s) of the Account 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:

您 (及/或聯名客戶) 或任何帳戶之最終權益擁有人是否與五礦金融服務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 (and /or Joint Client) or any ultimate beneficial owner(s) of the Account related to any director(s) or employee(s) of Minmetals Financial Services 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 本人 In person 父母 Parent 配偶 Spouse 孩子 Child

您 (及/或聯名客戶) 或帳戶之最終權益擁有人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

您 (及/或聯名客戶) 或帳戶之最終權益擁有人就稅務目的而言的居民是以下哪國家/地區(可多選):

Are you (and /or Joint Client) or any ultimate beneficial owner(s) of the Account a resident for tax purposes of which country(ies)/place(s) :

- 香港 Hong Kong 中國 China 台灣 Taiwan 新加坡 Singapore 馬來西亞 Malaysia
 其他 Other _____

草簽 Initial _____



注意事項 Notes

- 請隨本表格附上全部帳戶持有人的身份證副本及最近三個月內之住宅地址證明文件(郵政信箱恕不接受)。
Please enclose an ID copy and residential address proof dated within the last 3 months (P.O. box is not accepted) for all account holders with this Form.
- 任何有關個人資料的刪改必須由全部帳戶持有人簽署或其他指定方式作實。
Any deletion or amendment of the personal information must be signed by all account holders or other specified method.
- 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賬戶，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.
- 五礦金服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.
- 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。
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).

客戶款項常設授權 Client Money Standing Authority

本授權根據（證券及期貨(客戶款項)規則）涵蓋爾等為我/我們在香港持有或收取並存放於一個或多個獨立賬戶內的款項(包括因持有並非屬於爾等的款項而產生之任何利息)(下稱「款項」)。

This authority is given pursuant to the Securities and Futures (Client Money) Rules, which covers money held or received by you in Hong Kong (including any interest derived from holding the money which does not belong to you) in one or more segregated account(s) on my/our behalf ("Monies").

本授權授權五礦金融服務有限公司及/或其任何聯繫人士(下稱「五礦金服」)酌情動用款項的全部或部份作下列用途，而無須事先給予客戶任何通知或取得客戶的確認及/或指示：

This authorization authorizes Minmetals Financial Services Limited and/or any of its Associates ("MJFINS"), in its discretion and without prior notice to or consent from the Client, to transfer all or any portion of the monies for the purposes as set out below:

- 組合或合併(個別地或與其他賬戶聯合進行)五礦金融服務有限公司及/或其任何聯繫人士(下稱「五礦金服」)所維持的任何或全部獨立賬戶，爾等可將該等獨立賬戶內任何數額之款項作出轉移，以符合我/我們對五礦金服任何成員確實、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；及
combine or consolidate any or all segregated accounts of any name whatsoever and either individually or jointly with others, maintained by Minmetals Financial Services Limited and/or any of its Associates ("MJFINS") 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 MJFINS, whether such obligations and liabilities are actual or contingent, primary or collateral, secured or unsecured, or joint or several; and
- 從五礦金服的成員於任何時候維持的任何獨立賬戶之間來回調動任何數額之款項。
transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by members of MJFINS.
- 將款項兌換至任何貨幣。
convert monies into any currencies.

本授權自本授權書簽署日期起生效，有效期為十二個月。

This authority is valid for a period of 12 months from the date of signing this authority.

我/我們謹此同意就五礦金服因執行上述授權而可能產生、蒙受及/或承受一切虧損、損失、利息、費用、開支、法律訴訟、付款要求索償等等向五礦金服及/或香港及/或海外經紀人及/或結算公司作出賠償，並保障五礦金服免受損害。

I/We hereby agree to indemnify MJFINS and/or Hong Kong and/or overseas broker and/or clearing house against any and all losses, damages, interests, costs, expenses, litigations, claims etc. that may arise from, suffer and/or entail for conducting this authorization by MJFINS, and indemnify and hold harmless MJFINS against arising therefrom.

我/我們確認並同意，五礦金服若在本授權的有效期屆滿前 14 日之前向我/我們發出通知，提醒我/我們本授權即將屆滿，而我/我們沒有在授權屆滿前反對此授權續期，本授權應當作在不需要我/我們以書面同意下按持續的基準已被續期。

I/We hereby acknowledge and agree that, MJFINS gives a written notice to me/us at least 14 days prior to the expiry of such authorization, and the authorization shall be deemed to be renewed on a continuing basis if I/We do not object to the renewal before the expiry of such authorization.

我/我們已閱讀、明白及同意本授權的內容。

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

個人/聯名客戶簽署
Individual/ Joint Client Signature _____

聯名客戶簽署
Joint Client Signature _____

個人/聯名客戶姓名
Individual/ Joint Client Name _____

聯名客戶姓名
Joint Client Name _____

日期 Date _____ DD-MM-YYYY

日期 Date _____ DD-MM-YYYY



客戶確認及簽署 Acknowledgement and Execution by Client

選擇服務 Select Service(s)	帳戶種類 Account Type
<input type="checkbox"/> 網上交易服務 On-Line Trading Service	網上交易服務 On-Line Trading Service 請為我/我們提供網上交易服務。我/我們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 me/us with On-Line Trading Service. I/We have read and understand the provisions of the On-Line Trading Agreement as set out in the Futures Client Agreement and agree to be bound by same.
<input type="checkbox"/> 期貨戶口 Futures Account	請為我/我們開立期貨戶口。我/我們已經閱讀並明白期貨客戶協議的條款及風險披露聲明及免責聲明, 並同意這些條款的約束。 Please open a Futures Account for me/us. We have read and understand the provisions of the Futures Client Agreement and Risk Disclosure Statements and Disclaimers and agree to be bound by same.

客戶聲明 Declaration by Client

1. 風險披露聲明 Risk Disclosure Statements

客戶確認五礦金服以客戶選擇的語言（英文或中文）提供期貨客戶協議的風險披露聲明及免責聲明。客戶進一步確認五礦金服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 Futures 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，五礦金服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 MJFINS 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

載於本開戶表格（「開戶表格」）中的資料是真實和準確的。客戶將會通知五礦金服有關資料的任何重要改變。五礦金服可聯絡任何人，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 Account Opening Information Form (the "Form") is true and accurate. The Client will notify MJFINS of any material change of that information. MJFINS is authorized to contact anyone, including Client's banks, brokers or any credit agency, for verifying the information provided on this Form.

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

客戶確認五礦金服可向介紹人支付轉介費或介紹費，而該介紹人並非五礦金服的代理人。

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

4. 電子服務系統 Electronic Services System

客戶確認五礦金服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。五礦金服聲明客戶/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 MJFINS 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 Client as a result of using Electronic Services System.

5. 持倉 Position Hold

客戶確認在五礦金服的持倉有可能由第三方代理行托管。客戶確認已被邀請閱讀有關申報、限量及平倉合約的規則。

The Client acknowledges that the position in MJFINS might be hosted by third party brokerage. The Client acknowledges that he/she was invited to read the Rules in relation to reporting, limiting and closing out of positions.

個人/聯名客戶簽署
Individual/ Joint Client Signature _____

聯名客戶簽署
Joint Client Signature _____

個人/聯名客戶姓名
Individual/ Joint Client Name _____

聯名客戶姓名
Joint Client Name _____

日期 Date _____ DD-MM-YYYY

日期 Date _____ DD-MM-YYYY



風險評估問卷 Risk Profiling Questionnaire

- 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)?
 - 沒有經驗或少過1年 No experience or Less than 1 year
 - 1 - 3 年 years
 - 4 - 6 年 years
 - 7 - 9 年 years
 - 10 年或以上 years or above
- 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)
 - 現金、存款、存款証、保本產品 Cash, deposit, certificates of deposit, capital protected products
 - 債券、債券基金 Bond, bond funds
 - 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
 - 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
 - 期權、期貨、認股權証(俗稱「窩輪」) Options, futures, warrants
- 您願意撥出個人資產淨值多少百分比作投資於投資產品的用途?
How much of your net worth would you like to set aside for investment products?
 - 0% - 10%
 - 11% - 20%
 - 21% - 40%
 - > 40%
- 以投資回報的波幅來看,以下哪一項最適合用來形容您願意接受的潛在收益和損失?
In terms of investment return fluctuations, which of the following best describes the potential gain and loss that is acceptable to you?
 - 波動少於 -5%至+5%之間 Fluctuates between -5% and +5%
 - 波動於 -15%至+15%之間 Fluctuates between -15% and +15%
 - 波動於 -30%至+30%之間 Fluctuates between -30% and +30%
 - 波動於 -50%至+50%之間 Fluctuates between -50% and +50%
 - 波動多於 -50%至 +50%之間 Fluctuates under -50% and over +50%
- 若您整體投資資產下跌超過15%,對您的生活影響程度如何?
If there is a fall of 15% or over in your overall investment portfolio, what level of your living will be suffered?
 - Intolerable 無法承受
 - Great impact 影響程度大
 - Medium impact 中度影響
 - Little impact 影響程度小
 - No impact 不會有影響

個人/聯名客戶簽署
Individual/ Joint Client Signature _____

聯名客戶簽署
Joint Client Signature _____

個人/聯名客戶姓名
Individual/ Joint Client Name _____

聯名客戶姓名
Joint Client Name _____

日期 Date DD-MM-YYYY _____

日期 Date DD-MM-YYYY _____

Risk Tolerance Analysis 風險承受能力分析 (只供五礦金服使用 For Official Use Only)

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> 您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> 您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> 您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.



職員聲明 Declaration by Staff

由五礦金服職員、持牌代表或聯繫人士或專業人士(其他證監會持牌人或註冊人、太平紳士、銀行經理、執業會計師、律師或公證人)填寫 (to be completed by staff, representative or affiliate of MJFINS or Professional (any other licensed or registered person with the SFC, a JP, branch manager of a bank, certified public accountant, lawyer or notary public))

見證人姓名 Name of Witness:

見證人簽署: Signature of Witness:

持牌人士聲明 Declaration By Licensed Person

我確認已經以客戶選擇的語言(英文或中文)提供了載於期貨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 Futures Client Agreement in a language (English or Chinese) of the Client's choice. I have also invited the Client to read the Risk Disclosure Statements, ask questions and take independent advice if the Client wishes.

持牌人姓名:

Name of Licensed Person:

持牌人簽署:

Signature of Licensed Person:

中央編號:

CE No.:

日期:

Date:

AML風險級別 (參考AML政策)

AML Risk category (refer to AML policy)

低

Low

中

Medium

高

High

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文件查核列表 Document check list

客戶 Primary Client

W-8ben 表格

自我證明表格 - 個人

已核實的身份證或護照副本

地址證明副本

銀行證明副本

第三者操作授權書(如適用)

獲授權人(開戶人、資金調撥人、指令下單人)的身份證明正反兩面(如適用)

申請應用程式開發介面(如適用)

聯名客戶 Joint Client

W-8ben 表格

自我證明表格 - 個人

已核實的身份證或護照副本

地址證明副本

銀行證明副本

第三者操作授權書(如適用)

獲授權人(開戶人、資金調撥人、指令下單人)的身份證明正反兩面(如適用)

申請應用程式開發介面(如適用)

客戶資料核對 Client information checked by

職員姓名:

Name of Staff:

職員簽署:

Signature of Staff:

中央編號:

CE No.:

日期:

Date:

客戶資料輸入 Client information Inputted by

職員姓名:

Name of Staff:

職員簽署:

Signature of Staff:

中央編號:

CE No.:

日期:

Date:

基本佣金 Basic Commission

單一持倉限額:

職員姓名:

Name of Staff:

職員簽署:

Signature of Staff:

中央編號:

CE No.:

開戶批核 Account opening approved by

職員姓名:

Name of Staff:

職員簽署:

Signature of Staff:

中央編號:

CE No.:

日期:

Date: