



根據《證券及期貨條例》就第 2 類、第 3 類及第 5 類受規管活動獲發牌的持牌法團 CE 編號 AAZ038 及香港期貨交易所有限公司(期交所)期貨委託商 A corporation licensed for Type 2, Type 3 and Type 5 regulated activities under the Securities and Futures Ordinance with CE no. AAZ038 and Futures Commission Merchant of Hong Kong Futures Exchange Limited (HKFE)

期貨戶口	LF
	FF
外匯戶口	LFX

客戶資料表 CUSTOMER INFORMATION FORM

(個人/ 聯名帳戶 INDIVIDUAL/ JOINT ACCOUNT)

負責客戶主任姓名 Responsible AE	期貨 Futures	與客戶主任認識多久 Known to AE for how long	
負責客戶主任姓名 Responsible AE	外匯 Forex	推薦人 Introduced By	
負責客戶主任編號 Responsible AE Code	期貨 Futures	外匯 Forex	聯名帳戶人關係 Relationship of Joint Account <input type="checkbox"/> 主要持有人 1st Holder <input type="checkbox"/> 第二持有人 2nd Holder

A. 個人資料 Personal Information

姓名 Name	先生/女士 Mr / Mrs / Ms
身份證號碼 ID Card No.	護照號碼 Passport No.
簽發地點 Place of Issue	簽發地點 Place of Issue
出生日期(日/月/年) Date of Birth (DD/MM/YY)	住宅地址 Residential Address
出生地點 Country of Birth	
國籍/公民身份 Nationality/Citizenship	
住宅電話 Home No.	(+)
流動電話 Mobile No.	1. (+) 2. (+)
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"/> 大專或以上 College or above
指定銀行 (1) Designated Bank (1)	銀行名稱 Name of Bank 帳戶號碼 Account No 帳戶名稱 Account Name
指定銀行 (2) Designated Bank (2)	銀行名稱 Name of Bank 帳戶號碼 Account No 帳戶名稱 Account Name
指定銀行 (3) Designated Bank (3)	銀行名稱 Name of Bank 帳戶號碼 Account No 帳戶名稱 Account Name
電郵地址 E-mail Address (最多 50 個字母 Max. 50 characters)	
*所有交易確認及帳單將透過電郵方式發送至上述電郵地址 All trading confirmations and statements will be sent to the e-mail address stated herein	

B. 工作狀況 Employment Status

行業 Industry	辦公室地址 Office Address
職位 Job Title	
雇主名稱 Name of Employer	
受雇年期 Duration with Employer	國家 Country 郵政編號 Postal Code
辦公室電話 Office No.	(+) 年薪(HKD) Annual Income (HKD)

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

投資目標： Investment objective:	<input type="checkbox"/> 賺取收入 Generating Income <input type="checkbox"/> 資本增長 Capital Appreciation <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 投機 Speculation
對衍生產品之認識 Derivative Products Knowledge * 如客戶沒有衍生產品的認識,此帳戶會被拒絕開立。任何例外情況需要管理層的預先批准。 *If client does not have derivative knowledge, this account opening will be rejected. Any exception is subject to prior management approval.	<input type="checkbox"/> 本人並未有衍生產品之認識 I have NO knowledge of derivative products. <input type="checkbox"/> 本人瞭解衍生產品的性質和風險 (選擇此項則需同時提供證明或完成 衍生工具認識測試) I understand the nature and risks of derivative products by (Choose this option, you need to provide proof or complete the Derivatives Knowledge Test at the same time) 1. 已接受有關的培訓或課程 Undergoing relevant training or attending course in: <input type="checkbox"/> 監管機構 Regulatory Authority <input type="checkbox"/> 交易所 Exchange <input type="checkbox"/> 大專院校 Tertiary Institution <input type="checkbox"/> 進修學院 Education Institution <input type="checkbox"/> 金融機構 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, regulatory authority or exchange. <input type="checkbox"/> 受監管持牌人士 Regulated Licensed Person <input type="checkbox"/> 管理層 Management <input type="checkbox"/> 與衍生工具相關後勤 Derivatives Related Back Office 3. <input type="checkbox"/> 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) #請選擇以下與你相關的衍生產品的投資經驗。Executing five or more transactions in derivative products (whether traded on an exchange or not) within the past three years. # Please indicate your relevant derivative investment experience below.
投資經驗： (可選多於一項) Investment Experience: (Can choose more than one)	<input type="checkbox"/> 上市證券 Listed Securities 年數 Year(s)() <input type="checkbox"/> 牛熊證/窩輪 CBBC/ Warrants 年數 Year(s)() <input type="checkbox"/> 期貨或期權 Futures or Options 年數 Year(s)() <input type="checkbox"/> 槓桿式外匯 Leveraged Foreign Exchange 年數 Year(s)() <input type="checkbox"/> 單位信託基金或債券 Unit Trusts or Bonds 年數 Year(s)() <input type="checkbox"/> 結構性產品 Structured Product 年數 Year(s)() <input type="checkbox"/> 槓桿及反向產品 Leveraged and Inverse Product 年數 Year(s)()

D. 財政狀況 Financial Situation

流動資產 (HKD) Liquid Assets (HKD)	<input type="checkbox"/> <HKD200,000 <input type="checkbox"/> HKD200,001 - HKD1,000,000 <input type="checkbox"/> HKD1,000,001 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD10,000,000 <input type="checkbox"/> Other: HKD_____	資產淨值 (HKD) Net Worth (HKD)	<input type="checkbox"/> <HKD200,000 <input type="checkbox"/> HKD200,001 - HKD1,000,000 <input type="checkbox"/> HKD1,000,001 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD10,000,000 <input type="checkbox"/> Other: HKD_____
年薪(HKD) Annual Income (HKD)	<input type="checkbox"/> <HKD200,000 <input type="checkbox"/> HKD200,000 - HKD500,000 <input type="checkbox"/> HKD500,001 - HKD1,000,000 <input type="checkbox"/> >HKD\$1,000,000 <input type="checkbox"/> Null	住屋業權 Ownership of Residence	<input type="checkbox"/> 擁有(已抵押) Owned (Mortgaged) <input type="checkbox"/> 擁有(沒有抵押) Owned (Not Mortgaged) <input type="checkbox"/> 租住 Rented <input type="checkbox"/> 與家人同住 Living with Family
資金來源 (勾選所有適用) Source of Funds (Tick all that apply)	1. <input type="checkbox"/> 薪金儲蓄 Savings from Salary 2. <input type="checkbox"/> 租金收入 Rental Income 3. <input type="checkbox"/> 營業溢利 Trading Profits 4. <input type="checkbox"/> 其他 Others: _____ 5. <input type="checkbox"/> 投資所得 Investment Earnings <input type="checkbox"/> 股票 Stock <input type="checkbox"/> 樓宇買賣 House Sale and Purchase <input type="checkbox"/> 其他 Others: _____	6. <input type="checkbox"/> 家庭成員提供 Provided by Family Member 6a. 成員關係 Relationship with the Family Member _____ 6b. 行業及職位 Industry & Position _____ 7. <input type="checkbox"/> 以往工作收入 Previous Job 7a. 行業及職位 Industry & Position _____ 7b. 年收入(HKD) Annual Income (HKD)	_____

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

1. 你 (及/或聯名帳戶第二持有人) 是否交易所參與者或第 2 類(期貨合約買賣) 或第 3 類(槓桿式外匯交易) 受規管活動的持牌法團/註冊機構的僱員或代理人? 如是, 交易所參與者/ 持牌法團/ 註冊機構的名稱是 (請提供你雇主的書面同意): Are you (and /or the Secondary Joint Account Holder) an employee or agent of an exchange participant or a licensed corporation or registered institution for Type 2 (dealing in futures contracts) or Type 3 (leveraged foreign exchange trading) regulated activities? If yes, the name of the exchange participant/ licensed corporation/ registered institution is (please provide your employer's consent letter): _____	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 第 2 類 Type 2 <input type="checkbox"/> 第 3 類 Type 3 <input type="checkbox"/> 否 No
2. 你 (及/或聯名帳戶第二持有人) 是否與輝立商品 (香港)有限公司 (「輝立商品」) 或聯繫人士的職員或代理人有親戚關係? 如是, 職員/代理人的名稱是: Are you (and /or the Secondary Joint Account Holder) a relative of an employee or agent of Phillip Commodities (HK) Limited ("Phillip Commodities") or its Associates? If yes, the name of employee/agent: _____	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 雙親 Parent <input type="checkbox"/> 配偶 Spouse <input type="checkbox"/> 兄弟姊妹 Sibling <input type="checkbox"/> 孩子 Child <input type="checkbox"/> 否 No

F. 注意事項 Notes

1. 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及通訊住址證明檔（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. 全部帳戶持有人必須在輝立商品或連絡人士的職員/代理人面前填妥及簽署本表格；如非親身開戶，請參看下方的批註 6。This Form should be completed and signed by all account holders in front of an employee or agent of Phillip Commodities (HK) Limited or its Associates. Otherwise, please see Note 6 below.
3. 全部帳戶持有人應向輝立商品報告公司的稅務身份的所有變化。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。Account holder(s) should report all changes in his/her tax residency status to Phillip Commodities (HK) Limited. Any deletion or amendment of the personal information must be signed by all account holders.
4. 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(s) nominated on this Form, unless otherwise instructed.
5. 個人客戶以聯名銀行戶口提款/存款/作指定銀行戶口時，若該聯名銀行戶口有持有人並非輝立的客戶，客戶需說明與該聯名銀行戶口持有人的關係和提供該聯名銀行戶口持有人（非輝立的客戶）的身分證明文件及顯示所有聯名銀行戶口持有人姓名的銀行證明（銀行月結單/銀行卡）。Individual client using a joint bank account that any one of the joint bank account owners is not the client of Phillip to deposit fund/withdraw fund/as a designated bank must explain their relationship and provide identity document of the bank account holder (not client of Phillip) and provide a bank proof with the name of all joint bank account holders (Bank statement/bank card).
6. 輝立商品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.
7. 如資料表並非在輝立商品或連絡人士的職員/代理人面前簽署，帳戶持有人必須遵從以下其中一個程式要求：If this Form is not executed by the account holders in front of an employee or agent of Phillip Commodities (HK) Limited or its Associates, the account holders should comply with either one of the following procedural requirements:
 - (i) 交給輝立商品在香港持牌銀行開立的帳戶所簽發不少於 10,000 港元的個人支票，該支票的簽名及姓名須與本表格的客戶簽名及身份證明檔相符，而支票抬頭須為“輝立商品(香港)有限公司”。客戶的帳戶必須待支票兌現後才可使用；或
Send a personal cheque in favour of Phillip Commodities (HK) Limited for not less than HK\$10,000 drawn on an account with a licensed bank in Hong Kong, bearing the signature(s) as on this Form and name(s) as on the identity document(s). The new account will not be activated until the cheque is cleared; or
 - (ii) 由其他持牌人或註冊人、輝立商品的連絡人士、太平紳士、銀行分行經理、執業會計師、律師或公證人見證客戶的簽名及身份證明文件。
Have any other licensed or registered person, Associate of Phillip Commodities (HK) Limited, justice of the peace, branch manager of a bank, certified public accountant, lawyer or notary public certify the signature and identity documents of the account holders.
8. 根據“稅務條例”，任何人獲悉在聲明上作出具誤導性，虛假或不正確的陳述，或罔顧該聲明在陳述上是否具誤導性，虛假或不正確之處，即屬違法。任何人觸犯該罪行，一經定罪，可處第 3 級罰款（即\$ 10,000）。It is an offence under the Inland Revenue Ordinance if any person, 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).
9. 輝立商品可向介紹人支付轉介費或介紹費，而該介紹人並非輝立商品的代理人。Phillip Commodities (HK) Limited may pay fees to any person(s) who referred or introduced me to Phillip Commodities (HK) Limited (the “Introducer”), and that the Introducer is not an agent of Phillip Commodities.
10. 全部帳戶持有人可登入 <http://www.poems.com.hk/zh-hk/customer-service/download-forms/> 下載期貨客戶協議及槓桿式外匯客戶協議或掃描以下行動條碼。Account holder(s) can login <http://www.poems.com.hk/en-us/customer-service/download-forms/> to download Futures Client Agreement and Leveraged Foreign Exchange Client Agreement or Scan the QR code as below.
11. 聯名戶口持有人須注意期貨客戶協議條款第 19 條 - 若本戶口的任何一位持有人身故（戶口內其他持有人仍尚存）將不會導致本協議終止，已故者在帳戶的權益將歸屬於生存者。Joint account holders MUST pay attention to the provisions set out in clause 19 of the Futures Client Agreement- On the death of any of the joint account holders (being survived by any other such account holder), this Agreement shall not be terminated and the interest in the Account of the deceased will thereupon vest in and ensure for the benefit of the survivor(s).

中文版

English Version



G. 稅務居民資料 Tax Residency*

根據《稅務條例》有關交換財務帳戶資料的法律條文，請提供你（及/或聯名帳戶第二持有人）的稅務編號。如沒有提供稅務編號，必須填寫合適的理由：
理由 A - 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。
理由 B - 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。
理由 C - 帳戶持有人不能取得稅務編號。（如選取理由 C，解釋帳戶持有人不能取得稅務編號的原因）

Pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance. Please provide you (and /or the Secondary Joint Account Holder's) jurisdiction of residence where the account holder(s) is a resident for tax purposes and TIN for each jurisdiction indicated. If a TIN is unavailable, provide an appropriate reason:
Reason A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
Reason B - TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.
Reason C - The account holder is unable to obtain a TIN. (Explain why the account holder is unable to obtain a TIN if you have selected Reason C)

本人持有**香港**稅務居民資格 I hold **Hong Kong** Tax residence

及/或 and/ or

本人持有**香港以外**稅務居民資格 I hold tax residence **other than Hong Kong**

稅務管轄區: Jurisdiction of Residence:	(1)	(2)	(3)
稅務編號: TIN:	(1)	(2)	(3)
沒有稅務編號理由: No TIN Reason:	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C
選取理由 C 的原因: Explanation to selected Reason C:			
額外資料: Additional Information:			

*若空格不敷使用，請另附自我證明表格及簽署。Please attach and sign Self-Certification Form for additional tax residency if necessary.

H. 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").

我/我們授權爾等：

I/We authorize you to:

1. 組合或合併（個別地或與其他賬戶聯合進行）輝立證券（香港）有限公司及/或輝立商品（香港）有限公司及/或其任何聯繫人士（下稱「輝立集團」）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/我們對輝立集團任何成員確實、或然、原有、附帶、有抵押、無抵押、共同或分別的的義務或法律責任；及

Combine or consolidate any or all segregated accounts of any name whatsoever and either individually or jointly with others, maintained by Phillip Securities (Hong Kong) Limited and/or Phillip Commodities (HK) Limited and/or any of its Associates ("Phillip Group") 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 Phillip Group, whether such obligations and liabilities are actual or contingent, primary or collateral, secured or unsecured, or joint or several; and

2. 從輝立集團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 the Phillip Group.

爾等可不向我/我們發出通知而採取上述行動。

You may do any of these things without giving me/us notice.

本授權乃鑑於輝立證券（香港）有限公司及輝立商品（香港）有限公司同意繼續我/我們於該公司的戶口。

This authority is given to Phillip Securities (Hong Kong) Limited and Phillip Commodities (HK) LTD in consideration of its agreeing to continuously maintain any account for me/us under the above mentioned companies.

本授權並不損害輝立集團可享有有關處理該等獨立賬戶內款項的其他授權或權利。

This authority is given without prejudice to other authorities or rights which Phillip Group may have in relation to dealing in Monies in the segregated accounts.

本授權由本資料表簽發日期起 12 個月內有效。

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

我/我們可以向爾等在資料表所列明之地址發出書面通知，以撤回本授權。有關的生效日期為爾等真正收到該等通知後 14 日起計算。

This authority may be revoked by giving you written notice to the 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.

我/我們明白爾等若在本授權的有效期屆 14 日前發出書面通知，以提醒本授權即將屆滿，而我/我們沒有在本授權屆滿前反對此授權續期，本授權書應當作已被續期。

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.

倘若本授權的中文本與英文本在解釋或意義方面有任何歧義，我/我們同意應以英文本為準。

In the event of any difference in interpretation or meaning between the Chinese and English version of this authority, I/we agree that the English version shall prevail.

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.

註 Note:

只適用於證券孖展客戶 Applicable to Securities Margin Account Holders Only

當客戶在輝立證券（香港）有限公司的個人和聯名戶口沒有現金結餘時，若透過他/她的個人及/或聯名戶口進行股票融資貸款，提取資金以滿足其他戶口的按金或交收要求，客戶將面對額外的風險，包括市場風險、保證金交易風險（參照客戶協議書第 7 段）等和需要承擔額外的利息成本。

Under situations where the Client does not hold any Monies in any or all segregated accounts of any name whatsoever and either individually or jointly with others, maintained by Phillip Securities (Hong Kong) Limited and the Client draws a margin loan against the value of the collateral in his/her accounts for the purposes of settling any margin and/or settlement requirements of any account; the Client is exposed to, among other things, increased market risks, increased margin trading risks (refer to the Paragraph 7 of the Client Services Agreement) and additional interest costs.

*帳戶持有人簽署 Account Holder's Signature:

日期 Date:

*將被用作簽名樣式 Will be used as Specimen Signature

I. 客戶確認及簽署 Acknowledgement and Execution by Customer

戶口種類 Account Type	選擇服務 Select Service(s)
<p>網上交易服務 On-Line Trading Service</p> <p>請為我們提供 POEMS 電子服務。我們已經閱讀並明白附表 1 網上交易協議的條款，並同意這些條款的約束。</p> <p>Please provide us with POEMS Electronic Services. We have read and understand the provisions of the On-Line Trading Agreement as set out in Schedule 1 and agree to be bound by same.</p>	<p><input type="checkbox"/> 網上交易服務 On-Line Trading Service</p> <p>(須先開立證券戶口，並申請網上交易服務。) (Should first open securities account and apply On-Line Trading Service.)</p>
<p>商品期貨戶口 Commodity Futures Account</p> <p>請為我們開立商品期貨戶口。我們已經閱讀並明白期貨客戶協議的條款及附表 3 的風險披露聲明及免責聲明，並同意這些條款的約束。</p> <p>Please open a Commodity Futures Account for us. We have read and understand the provisions of the Futures Client Agreement and Risk Disclosure Statements and Disclaimers as set out in Schedule 3 and agree to be bound by same.</p>	<p><input type="checkbox"/> 商品期貨戶口 Commodity Futures Account</p>
<p>槓桿式外匯戶口 Leveraged Foreign Exchange Account</p> <p>請為我們開立槓桿式外匯戶口。我們已經閱讀並明白槓桿式外匯買賣客戶協議的條款及附表 3 的風險披露聲明及免責聲明，並同意這些條款的約束。</p> <p>Please open a Leveraged Foreign Exchange Account for us. We have read and understand the provisions of the Leveraged Foreign Exchange Trading Client Agreement and Risk Disclosure Statements and Disclaimers as set out in Schedule 3 and agree to be bound by same.</p>	<p><input type="checkbox"/> 槓桿式外匯戶口 Leveraged Foreign Exchange Account</p>
客戶聲明 Declaration by Customer	
<p>我確認為此帳戶的最終實益擁有人。</p> <p>I acknowledge that I am the ultimate beneficial owner(s) in relation to the account.</p>	<input type="checkbox"/>
<p>我 / 我們同意輝立商品或連絡人士以各種方式提供投資或有關財務產品及服務的資料，其包括研究報告及特別優惠等。</p> <p>I / We consent to Phillip Commodities (HK) Limited or its Associates providing information about investment or financial related products and services including research reports and special offers by any means.</p>	<input type="checkbox"/>
<p>我 / 我們知悉在這客戶資料表（“表格”）上所記載之資料，將有可能以作自動交換財務帳戶資料用途。我 / 我們知悉及同意，輝立商品可根據《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）把該等資料和關於我 / 我們的資料向香港特別行政區政府稅務局申報，從而把資料轉交到我 / 我們的居留司法管轄區的稅務當局。我 / 我們確認表格中提供的信息和聲明是真實和準確的。我 / 我們承諾，如情況有所改變，以致影響本表格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，我 / 我們會通知輝立商品，並會在情況發生改變後 30 日內，向輝立商品提交一份已適當更新的綜合戶口資料更改書。輝立商品有權聯繫任何人，包括客戶的銀行，經紀人或任何信用機構，以驗證本表格上提供的信息。</p> <p>I / We acknowledge that any information contained in this Customer Information Form (“the Form”) may be provide to a reporting financial institution for the purpose of automatic exchange of financial account information. I / We agree that (a) the information contained in this form is collected and may be kept by Phillip Commodities (HK) Limited 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 / We declare that the information given and statements made in this form is true and accurate. We undertake to advise Phillip Commodities (HK) Limited of any change in circumstances which affects the tax residency status of the Account Holder(s) of this form or causes the information contained herein to become incorrect, and to provide Phillip Commodities (HK) Limited with a suitably updated Account Particulars Amendment Form within 30 days of such change in circumstances. Phillip Commodities (HK) Limited is authorized to contact anyone, including Customer’s banks, brokers or any credit agency, for verifying the information provided on this form.</p>	<input type="checkbox"/>
<p>我 / 我們確認輝立商品以客戶選擇的語言（英文或中文）提供期貨客戶協定包括其附表 3 的風險披露聲明及免責聲明。我 / 我們進一步確認輝立商品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（如我 / 我們有此意願）。我 / 我們應經常密切留意市況，輝立商品可能在強制平倉前無法與我 / 我們聯絡或未能提供足夠時間讓客戶進行額外的存款。</p> <p>I / We acknowledges that the Futures Client Agreement including the Risk Disclosure Statements and Disclaimers in Schedule 3 attached were provided in a language (English or Chinese) of the Customer’s choice. I / We further acknowledges that I / We was invited to read the risk disclosure statements, ask questions and take independent advice, if the Customer wished. I / We acknowledges that I / We should closely monitor positions, as Phillip Commodities (HK) Limited may not be able to contact I / We or give I / We sufficient time to deposit additional funds, before forced liquidation of positions.</p>	<input type="checkbox"/>
<p>我 / 我們確認輝立商品可向介紹人支付轉介費或介紹費，而該介紹人並非輝立商品的代理人。</p> <p>I / We acknowledges that Phillip Commodities (HK) Limited may pay fees to any person(s) who referred or introduced the Customer to Phillip Commodities (HK) Limited (the “Introducer”), and that the Introducer is not an agent of Phillip Commodities (HK) Limited.</p>	<input type="checkbox"/>
<p>我 / 我們確認已被邀請閱讀有關申報、限量及平倉合約的規則。</p> <p>I / We acknowledges that it was invited to read the Rules in relation to reporting, limiting and closing out of positions.</p>	<input type="checkbox"/>

*帳戶持有人簽署 Account Holder’s Signature:

日期 Date: _____

*將被用作簽名樣式 Will be used as Specimen Signature

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）提供了載於期貨客戶協議及/或槓桿式外匯買賣客戶協議附表 3 內的風險披露聲明及免責聲明，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 and Disclaimers as set out in Schedule 3 of the Futures Client Agreement and/or Leveraged Foreign Exchange Trading 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.

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 (如選擇此項，請填寫右欄) (If you choose this option, Please fill in the right column)	高風險理由 Reason for High Risk:
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持第 2 類 (期貨合約買賣) Licensed for Type 2 (Dealing in Futures Contracts)

CE 編號 CE No.:	職員/經紀姓名 Name of Staff/ AE:	職員/經紀簽署 Signature of Staff/ AE:	日期 Date:
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持第 3 類 (槓桿式外匯交易) Licensed for Type 3 (Leveraged Foreign Exchange Trading)

CE 編號 CE No.:	職員/經紀姓名 Name of Staff/ AE:	職員/經紀簽署 Signature of Staff/ AE:	日期 Date:
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文件查核列表 Document check list 1. 已核實的身份證或護照副本 Certified I.D Card/Passport Copy <input type="checkbox"/> 是 Yes 2. 地址證明副本 Address proof <input type="checkbox"/> 是 Yes 3. 已核實 W-8ben 或 W-9 表格 Certified W-8ben/W-9 form <input type="checkbox"/> 是 Yes 4. 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.) <input type="checkbox"/> 是 Yes <input type="checkbox"/> 不適合 N/A 5. 僱主書面同意 (如適用) Employer consent letter (if applicable) <input type="checkbox"/> 是 Yes <input type="checkbox"/> 不適合 N/A	Non face-to-face account opening procedure: <input type="checkbox"/> Mainland Colleague <input type="checkbox"/> Notary public or professional <input type="checkbox"/> Crossed Personal Cheque Applicable to Crossed Personal Cheque account opening procedure: <table border="0"> <tr> <td style="width: 15%;">AE/Dealer</td> <td style="width: 15%;">Staff</td> <td>Personal cheque received (if applicable):</td> </tr> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>issued from a licensed bank in HK</td> </tr> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>payable to "Phillip Securities (Hong Kong) Limited "</td> </tr> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>cheque amount not less than HK\$10,000</td> </tr> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>client name shown on cheque</td> </tr> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>same signature on cheque and A/C Opening Form</td> </tr> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>cheque copy retained</td> </tr> </table>	AE/Dealer	Staff	Personal cheque received (if applicable):	<input type="checkbox"/>	<input type="checkbox"/>	issued from a licensed bank in HK	<input type="checkbox"/>	<input type="checkbox"/>	payable to "Phillip Securities (Hong Kong) Limited "	<input type="checkbox"/>	<input type="checkbox"/>	cheque amount not less than HK\$10,000	<input type="checkbox"/>	<input type="checkbox"/>	client name shown on cheque	<input type="checkbox"/>	<input type="checkbox"/>	same signature on cheque and A/C Opening Form	<input type="checkbox"/>	<input type="checkbox"/>	cheque copy retained
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<input type="checkbox"/>	<input type="checkbox"/>	same signature on cheque and A/C Opening Form																				
<input type="checkbox"/>	<input type="checkbox"/>	cheque copy retained																				

文件確認 Document reviewed by

職員姓名: Name of Staff:	職員簽署: Signature of Staff:	日期: Date:
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客戶資料核對 Customer information approved by

職員姓名: Name of Staff:	職員簽署: Signature of Staff:	日期: Date:	<input type="checkbox"/> In Person	<input type="checkbox"/> By phone (Ext:)
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保證金限額 Margin Limit

期貨交易 Local Futures Trading	外國期貨交易 Foreign Futures Trading	槓桿式外匯交易 Leveraged Foreign Exchange Trading
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開戶批核 Account opening approved by

職員姓名: Name of Staff:	職員簽署: Signature of Staff:	日期: Date:
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備註:
Remarks: