

SUCCESS FUTURES AND
FOREIGN EXCHANGE LIMITED
實德期貨及外匯有限公司

A member of Success Universe Group
實德環球集團成員



FUTURES TRADING CLIENT AGREEMENT
- INDIVIDUAL / JOINT A/C
期貨買賣客戶協議書 - 個人 / 聯名

Account Name

客戶名稱：_____

Account No.

戶口號碼：_____

Opening Date

開戶日期：_____

AE Name

客戶主任姓名：_____

AE No.

客戶主任編號：_____

實德期貨及外匯有限公司
SUCCESS FUTURES AND FOREIGN EXCHANGE LIMITED

開戶文件檢索表
Checklist for Account Opening
(個人 Individual / 聯名 Joint A/C)

填妥與已簽署的客戶協議書及相應之附錄，必須連同以下文件一同遞交：

Completed and executed Client Agreement and appendices must be accompanied by :

- 客戶或各聯名戶口持有人之香港身份證 / 護照核證副本
Certified True Copy of HKID Card / Passport of the Client or each of the Joint Account holders (Client)
- 最近三個月內之住址 / 永久地址證明及通訊地址證明 (如適用) 之正本 / 核證副本 (任何公用服務帳單, 銀行結單或其他實德認可的文件)
Certified True Copy of Residential / Permanent Address Proof and Correspondence Address Proof (if appropriate) within the last three months (any public utility bills, bank statements or other proof acceptable to SFF)
- 已簽立的常設授權書
Executed Standing Authority
- ◆ 客戶主任應查核所有客戶提交之香港身份證 / 護照之正本及核證有關副本, 並在該等副本上簽署及列明其姓名, 職位及核證日期。
The Account Executives should check the ORIGINAL and certify the copy of all of the above HKID Cards / Passports submitted by Clients and sign on the copy documents and state his / her name, title and the certified date thereon.
- ◆ 如客戶選擇日結單及月結單寄至客戶的公司地址, 客戶須提交三個月內之公司地址證明正本 / 核證副本 (任何公用服務帳單, 銀行結單或其他實德認可的文件)。
If Client chooses to send the Daily Statement and Monthly Statement to his or her company address, the Client should provide the Original or Certified True Copy of that company address proof within the last three months (any public utility bills, bank statements or other proof acceptable to SFF).
- ◆ 實德只接受經由證監會持牌人或註冊人、太平紳士或專業人士例如銀行分行經理、執業會計師、律師或公證人核證的核證副本。
SFF shall only accept certified copies that are certified by SFC licensed or registered person, Justice of Peace or a professional person such as a branch manager of a bank, certified public accountant, lawyer or notary public.
- ◆ 任何修正必須由客戶簽署作實。
Any amendment must be initialed by Clients.
- ◆ 所有支票需劃線及刪去「或持票人」字樣並在抬頭寫上「實德期貨及外匯有限公司」。
Crossed cheque (with deletion of the words "or bearer") should be made payable to "SUCCESS FUTURES AND FOREIGN EXCHANGE LIMITED" for deposit.
- ◆ 不接受第三者支票。
Third-party cheques are not accepted.
- ◆ 除上述文件外, 實德有權因應情況需要, 要求客戶提交額外文件。
Apart from the above documents, SFF shall have the right to request additional documents from Clients if necessary.

實德期貨及外匯有限公司 SUCCESS FUTURES AND FOREIGN EXCHANGE LIMITED

客戶資料附錄 Client Information Statement (個人 Individual / 聯名 Joint A/C)

持牌代表人 Licensed Representative (如適用, 請填寫 To be filled in if applicable):

本公司 _____ 先生/小姐已按證券及期貨條例註冊為持牌代表, 中央編號為 _____, 其將主要負責處理客戶於本公司開立的戶口。

Mr./Ms. _____ of our Company will primarily be responsible for supervising Client's account with our Company. He/She is registered as a Licensed Representative with CE No. _____ under the Securities & Futures Ordinance.

客戶如何得知實德的期貨交易服務 Information Source of the Client on the futures trading service provided by SFF :

- 網頁 Website 現有客戶 Existing Client 舊有客戶 Previous Client
 廣告 Advertisement 廣告刊登於 Advertised on _____
 介紹 Referral 如是介紹, 誰介紹? If by referral, who are they? _____
 其他 Others _____

第一部份：戶口資料 Part 1: Account Information

客戶種類 Client Type :	<input type="checkbox"/> 個人 Individual A/C <input type="checkbox"/> 聯名 Joint A/C - 關係 Relationship : _____
附加服務 Additional Services :	五聯網期貨交易 - <input type="checkbox"/> 香港期貨交易 Hong Kong Futures Trading <input type="checkbox"/> 環球期貨交易 Global Futures Trading (包括香港期貨交易 including Hong Kong Futures Trading)

第二部份：客戶資料 Part 2: Client's Information

A. 戶口持有人(1) Account Holder (1)

A1 個人資料 Personal Information :

客戶名稱 Client's Name : 中文 Chinese _____ 英文 English _____

配偶名稱 Spouse's Name : 中文 Chinese _____ 英文 English _____

*客戶舊名 / 別名 Client's Former Name / Other Name (如有, 請附有關證明 Please provide relevant proof, if any)

中文 Chinese : _____ 英文 English : _____

客戶是否香港永久性居民 Is Client a Hong Kong Permanent Resident ? 是 Yes 否 No

*香港身份證 / 護照號碼 H.K.I.D. Card / Passport No. : _____ 簽發地點 Place of Issue : _____

出生日期 Date of Birth : _____ 國籍 Nationality : _____

住宅電話號碼 Residential Tel. No. : _____ 手提電話號碼 Mobile Tel. No. : _____

住址 Residential Address : _____

客戶之永久地址與上述住址不同 (請另附永久地址證明) Client's permanent address is different from the above residential address (please provide additional permanent address proof) _____

電郵地址 E-mail Address : _____

* 刪去不適用者 Delete as appropriate

A2 教育程度 Education Level :

小學或以下 Primary or below 中學 Secondary 大專或以上 Tertiary or above 其他 Others : _____

A3 工作資料 Job Details :

獨資 Sole Owner 合夥 Partnership 有限公司股東 Shareholder of Limited Company 僱員 Employee 自僱 Self-employed
 家庭主婦 Housewife* 退休 Retired* 待業 Unemployed* 學生 Student 其他 Others : _____

僱主名稱 / 公司名稱 Name of the Employer / Company : _____

行業 / 業務性質 Industry / Business Nature : _____ 職位 Position : _____
 服務年期 / 營業年期 Years of Service / Business : _____ 公司電話號碼 Office Tel. No. : _____ 傳真號碼 Fax No. : _____
 公司地址 Company Address : _____

*如客戶現時為家庭主婦、退休或待業人士，請填寫成為家庭主婦、退休或待業人士之前的工作資料 If Client is presently a housewife, retired or an unemployed person, please state the job details before being a housewife, retired or an unemployed person

行業 / 業務性質 Industry / Business Nature : _____ 職位 Position : _____

A4 財政狀況 Financial Situation :

資產 / 資金來源 Source of Wealth / Funds :

薪金 Salary 佣金 Commission 租金 Rent 股息 / 利息 Dividend / Interest 業務溢利 Business Profit 儲蓄 Savings
 家用 Household Income 退休金 Retirement Pension 按揭 / 借貸 Mortgage / Loan 無 Nil 其他 Others : _____

年收入 (港幣) Annual Income (HK\$) :

100,000 或以下 or less 100,001 – 200,000 200,001 – 500,000 500,001 – 1,000,000 1,000,000 以上 above

總資產淨值 (港幣) Total Net Asset Value (HK\$) :

100,000 或以下 or less 100,001 – 500,000 500,001 – 1,000,000 1,000,001 – 2,000,000 2,000,001 – 5,000,000
 5,000,001 – 10,000,000 10,000,000 以上 above

資產類別 Asset Type :

房地產 Land and Property 現金 / 存款 Cash / Deposit 公司股份 Company Shares 車輛 Vehicles
 遺產 Inheritance 股票 Stocks 基金 Funds 債券 Bonds / Debentures 外匯 Foreign Exchange 黃金 Gold
 其他 Others : _____

住屋業權 Ownership of Residence :

自置 Self-Owned 已抵押 Mortgaged 租用 Rented 家人擁有 Owned by Family Members
 其他 Others : _____

破產記錄 Bankruptcy Record :

客戶是否破產或曾破產? Is Client bankrupt or has he / she ever bankrupt?

是 Yes 否 No

如是，請提供日期及詳細資料 If yes, please provide the date and details : -

A5 投資目標及經驗 Investment Target and Experience :

I. 投資目標 Investment Target :

1. 投資目標 Investment Target :

賺取收入 Generating income 資本增長 Capital appreciation 對沖 Hedging 投機 Speculation
 其他 Others : _____

2. 目標投資時間 Target Investment Period :

短期 Short term (1-6 個月 months) 中期 Medium term (6-12 個月 months) 長期 Long term (1 年以上 over 1 year)
 其他 Others : _____

3. 估計投資金額 (港幣) Estimated Investment Amount (HK\$) :

少於 less than 300,000 300,000 – 1,000,000 1,000,000 以上 above

II. 投資經驗 Investment Experience :

1. 客戶是否已有下列投資經驗 (如有，請註明每年平均交易金額)?

Does the Client have the following experience (If yes, please specify AVERAGE TRANSACTION AMOUNT per year)?

香港上市股票 HK listed stocks : _____ 海外上市股票 Overseas listed stocks : _____
 香港期貨和期權 HK Futures & Options : _____ 海外期貨和期權 Overseas Futures & Options : _____
 互惠基金或單位信託 Mutual Funds or Unit Trusts : _____ 槓桿式外匯交易 Leveraged Foreign Exchange Trading : _____
 結構性或衍生產品 Structured or Derivative products : _____
 沒有 None 其他 Others : _____

2. 投資經驗年期 Years of Experience in Investment :

證券交易經驗 Experience in Securities Trading : 沒有 None 1-3 年 years 3-5 年 years 5-10 年 years 超過 10 年 Over 10 years

槓桿式外匯交易經驗 Experience in Leveraged Foreign Exchange Trading : 沒有 None 1-3 年 years 3-5 年 years 5-10 年 years 超過 10 年 Over 10 years

結構性或衍生產品交易經驗 Experience in Structured or Derivative products trading :

衍生認股證 Derivative Warrants : 沒有 None 1-3 年 years 3-5 年 years 5-10 年 years 超過 10 年 Over 10 years

牛熊證
Callable Bull/Bear Contracts (CBBC): 沒有 None 1-3 年 years 3-5 年 years 5-10 年 years 超過 10 年 Over 10 years

股票掛鈎產品
Equity Linked Instruments / Notes (ELI/ELN): 沒有 None 1-3 年 years 3-5 年 years 5-10 年 years 超過 10 年 Over 10 years

供股權 Rights: 沒有 None 1-3 年 years 3-5 年 years 5-10 年 years 超過 10 年 Over 10 years

股票期權 Stock Options: 沒有 None 1-3 年 years 3-5 年 years 5-10 年 years 超過 10 年 Over 10 years

交易所買賣基金
Exchange Traded Funds (ETF): 沒有 None 1-3 年 years 3-5 年 years 5-10 年 years 超過 10 年 Over 10 years

交易所買賣換股債券
Exchange Traded Convertible Bonds: 沒有 None 1-3 年 years 3-5 年 years 5-10 年 years 超過 10 年 Over 10 years

期貨及期權合約 Futures and Options Contract: 沒有 None 1-3 年 years 3-5 年 years 5-10 年 years 超過 10 年 Over 10 years

其他 Others: _____ 沒有 None 1-3 年 years 3-5 年 years 5-10 年 years 超過 10 年 Over 10 years

3. 以往三年大約共有多少宗結構性或衍生產品交易 (任何類別)
Approximate number of transactions in any structured or derivative products in the past three years:
 沒有 None 1-5 次 times 6-10 次 times 超過 10 次 Over 10 times

A6 對結構性或衍生產品的認識 Knowledge of Structured or Derivative Products:

1. 客戶對結構性或衍生產品有沒有認識?
Does Client have any knowledge on structured or derivative product(s)?
 有 Yes (請繼續回答下列的第 2 條問題 Please continue to answer the following Question No. 2)
 沒有 None

2. 客戶從以下途徑認識結構性或衍生產品:-
Client acquired knowledge of structured or derivative product(s) from the following ways:-

接受結構性或衍生產品的培訓或修讀相關課程 (請提供培訓或修讀課程之名稱及日期)
Received training or attended courses or seminars on structured or derivative product(s) (Please state the name of the courses / seminars and the date Client attended)
培訓或修讀課程之名稱 Name of the courses / seminars: _____
培訓或修讀以上課程之日期 Date of attending the above courses / seminars: _____

現時的工作與結構性或衍生產品有關 (請提供公司名稱、行業/業務性質、職位及在職日期/營業年期)
Recent work of Client is related to structured or derivative product(s) (Please state the Company Name, Industry / Business Nature, Position and the Employment of Services period / Operation of Business period)
公司名稱 Company Name: _____
行業/業務性質 Industry / Business Nature: _____
職位 Position: _____
在職日期/營業年期 由 _____ 至 _____
Employment of Services period / Operation of Business period: from _____ to _____

客戶以往的工作經驗與結構性或衍生產品有關 (請提供公司名稱、行業/業務性質、職位及在職日期/營業年期)
Previous work experience of the Client was related to structured or derivative product(s) (Please state the Company Name, Industry / Business Nature, Position and the Employment of Services period / Operation of Business period)
公司名稱 Company Name: _____
行業/業務性質 Industry / Business Nature: _____
職位 Position: _____
在職日期/營業年期 由 _____ 至 _____
Employment of Services period / Operation of Business period: from _____ to _____

客戶相關之交易經驗 (見上述「投資經驗」部份)
Client's related transaction experience (please see the above part "Investment Experience")

其他 Others: _____

A7 資料披露 Disclosure of Information:

1. 請聲明客戶是否戶口的最終實益擁有人?
Please declare whether Client is the ultimate beneficial owner of this Account?
 是 Yes
 否 No

2. 請聲明客戶是否本公司或本集團的職員?
Please declare whether Client is a staff of our Company or our Group of Companies?
 是, 客戶現於*本公司/本集團的 _____ (公司名稱) 工作
Yes, Client is working in our *Company / Group of Companies named as _____ (Company name)
職員號碼 Staff No.: _____ 工作部門 Department: _____
職位 Position: _____ 工作性質 Job Nature: _____

否 No

*刪去不適用者 Delete as appropriate

3. 請聲明客戶是否本公司、本集團董事或職員之關連人士（例如屬夫婦、父母、子女、兄弟姊妹關係）？
Please declare whether Client has any relationship with the directors or employees of our Company or our Group of Companies (e.g. in the relationship of couple, parents, children, siblings) ?

是，該董事或職員之資料如下 Yes, information of that director or employee is as follows :
姓名 Name : _____ 職員號碼 Staff No. : _____
職位 Position : _____ 關係 Relationship : _____

否 No

4. 請聲明客戶是否香港交易所參與者之僱員或董事？
Please declare whether Client is the director or employee of any exchange participant of Hong Kong Exchanges and Clearing Limited ?

是，有關的交易所參與者或註冊人資料是 Yes, information of the related exchange participant or registered person is :
參與者 / 註冊人之姓名 Name of Participant / Registered person : _____
職位 Position : _____

否 No

5. 請聲明客戶是否與本公司之其他客戶有關連？
Please declare whether Client is related with any other client of our Company ?

是，該有關的客戶資料是 Yes, particulars of that relevant client are :
客戶名稱 Client Name : _____ 戶口號碼 Account No.: _____ 關係 Relationship : _____

否 No

6. 請聲明客戶或其配偶是否控制任何本公司的公司客戶10%或以上的投票權？
Please declare whether Client or his / her spouse control 10% or more of the voting rights of any corporate clients of our Company ?

是 Yes
請列出以下 Please state the followings :
戶口名稱 Account Name _____ 戶口種類 Account Type _____ 戶口號碼 Account No. _____

否 No

B. 戶口持有人(2) Account Holder (2)

B1 個人資料 Personal Information :

客戶名稱 Client's Name : 中文 Chinese _____ 英文 English _____
配偶名稱 Spouse's Name : 中文 Chinese _____ 英文 English _____
*客戶舊名 / 別名 Client's Former Name / Other Name (如有，請附有關證明 Please provide relevant proof, if any)
中文 Chinese : _____ 英文 English : _____

客戶是否香港永久性居民 Is Client a Hong Kong Permanent Resident ? 是 Yes 否 No

*香港身份證 / 護照號碼 H.K.I.D. Card / Passport No. : _____ 簽發地點 Place of Issue : _____
出生日期 Date of Birth : _____ 國籍 Nationality : _____
住宅電話號碼 Residential Tel. No. : _____ 手提電話號碼 Mobile Tel. No. : _____
住址 Residential Address : _____

客戶之永久地址與上述住址不同 (請另附永久地址證明) Client's permanent address is different from the above residential address (please provide additional permanent address proof) _____

電郵地址 E-mail Address : _____
*刪去不適用者 Delete as appropriate

B2 教育程度 Education Level :

小學或以下 Primary or below 中學 Secondary 大專或以上 Tertiary or above 其他 Others : _____

B3 工作資料 Job Details :

獨資 Sole Owner 合夥 Partnership 有限公司股東 Shareholder of Limited Company 僱員 Employee 自僱 Self-employed
 家庭主婦 Housewife* 退休 Retired* 待業 Unemployed* 學生 Student 其他 Others : _____

僱主名稱 / 公司名稱

Name of the Employer / Company : _____

行業 / 業務性質

Industry / Business Nature : _____ 職位 Position : _____

服務年期 / 營業年期

Years of Service / Business : _____ 公司電話號碼 Office Tel. No. : _____ 傳真號碼 Fax No. : _____

公司地址

Company Address : _____

*如客戶現時為家庭主婦、退休或待業人士，請填寫成為家庭主婦、退休或待業人士之前的工作資料 If Client is presently a housewife, retired or an unemployed person, please state the job details before being a housewife, retired or an unemployed person

行業 / 業務性質

Industry / Business Nature : _____ 職位 Position : _____

B4 財政狀況 Financial Situation :

資產 / 資金來源 Source of Wealth / Funds :

薪金 Salary 佣金 Commission 租金 Rent 股息 / 利息 Dividend / Interest 業務溢利 Business Profit 儲蓄 Savings
 家用 Household Income 退休金 Retirement Pension 按揭 / 借貸 Mortgage / Loan 無 Nil 其他 Others : _____

年收入 (港幣) Annual Income (HK\$):

100,000 或以下 or less 100,001 – 200,000 200,001 – 500,000 500,001 – 1,000,000 1,000,000 以上 above

總資產淨值 (港幣) Total Net Asset Value (HK\$):

100,000 或以下 or less 100,001 – 500,000 500,001 – 1,000,000 1,000,001 – 2,000,000 2,000,001 – 5,000,000
 5,000,001 – 10,000,000 10,000,000 以上 above

資產類別 Asset Type:

房地產 Land and Property 現金 / 存款 Cash / Deposit 公司股份 Company Shares 車輛 Vehicles
 遺產 Inheritance 股票 Stocks 基金 Funds 債券 Bonds / Debentures 外匯 Foreign Exchange 黃金 Gold
 其他 Others : _____

住屋業權 Ownership of Residence :

自置 Self-Owned 已抵押 Mortgaged 租用 Rented 家人擁有 Owned by Family Members
 其他 Others : _____

破產記錄 Bankruptcy Record :

客戶是否破產或曾破產? Is Client bankrupt or has he / she ever bankrupt?

是 Yes 否 No

如是，請提供日期及詳細資料 If yes, please provide the date and details : -

B5 投資目標及經驗 Investment Target and Experience :**I. 投資目標 Investment Target :****1. 投資目標 Investment Target :**

賺取收入 Generating income 資本增長 Capital appreciation 對沖 Hedging 投機 Speculation
 其他 Others : _____

2. 目標投資時間 Target Investment Period :

短期 Short term (1-6 個月 months) 中期 Medium term (6-12 個月 months) 長期 Long term (1 年以上 over 1 year)
 其他 Others : _____

3. 估計投資金額 (港幣) Estimated Investment Amount (HK\$):

少於 less than 300,000 300,000 – 1,000,000 1,000,000 以上 above

II. 投資經驗 Investment Experience :**1. 客戶是否已有下列投資經驗 (如有，請註明每年平均交易金額)?**

Does the Client have the following experience (If yes, please specify AVERAGE TRANSACTION AMOUNT per year)?

香港上市股票 HK listed stocks : _____ 海外上市股票 Overseas listed stocks : _____
 香港期貨和期權 HK Futures & Options : _____ 海外期貨和期權 Overseas Futures & Options : _____
 互惠基金或單位信託 Mutual Funds or Unit Trusts : _____ 槓桿式外匯交易 Leveraged Foreign Exchange Trading : _____
 結構性或衍生產品 Structured or Derivative products : _____
 沒有 None 其他 Others : _____

2. 投資經驗年期 Years of Experience in Investment :

證券交易經驗 Experience in Securities Trading : 沒有 None 1-3 年 years 3-5 年 years 5-10 年 years 超過 10 年 Over 10 years

槓桿式外匯交易經驗 Experience in Leveraged Foreign Exchange Trading : 沒有 None 1-3 年 years 3-5 年 years 5-10 年 years 超過 10 年 Over 10 years

結構性或衍生產品交易經驗 Experience in Structured or Derivative products trading :

衍生認股證 Derivative Warrants : 沒有 None 1-3 年 years 3-5 年 years 5-10 年 years 超過 10 年 Over 10 years

牛熊證 Callable Bull/Bear Contracts (CBBC) : 沒有 None 1-3 年 years 3-5 年 years 5-10 年 years 超過 10 年 Over 10 years

股票掛鈎產品 Equity Linked Instruments / Notes (ELI/ELN) : 沒有 None 1-3 年 years 3-5 年 years 5-10 年 years 超過 10 年 Over 10 years

供股權 Rights : 沒有 None 1-3 年 years 3-5 年 years 5-10 年 years 超過 10 年 Over 10 years

股票期權 Stock Options : 沒有 None 1-3 年 years 3-5 年 years 5-10 年 years 超過 10 年 Over 10 years

交易所買賣基金 Exchange Traded Funds (ETF) : 沒有 None 1-3 年 years 3-5 年 years 5-10 年 years 超過 10 年 Over 10 years

交易所買賣換股債券 Exchange Traded Convertible Bonds : 沒有 None 1-3 年 years 3-5 年 years 5-10 年 years 超過 10 年 Over 10 years

期貨及期權合約 Futures and Options Contract : 沒有 None 1-3 年 years 3-5 年 years 5-10 年 years 超過 10 年 Over 10 years

其他 Others : _____ 沒有 None 1-3 年 years 3-5 年 years 5-10 年 years 超過 10 年 Over 10 years

3. 以往三年大約共有多少宗結構性或衍生產品交易 (任何類別)

Approximate number of transactions in any structured or derivative products in the past three years :

沒有 None 1-5 次 times 6-10 次 times 超過 10 次 Over 10 times

B6 對結構性或衍生產品的認識 Knowledge of Structured or Derivative Products :

1. 客戶對結構性或衍生產品有沒有認識?

Does Client have any knowledge on structured or derivative product(s) ?

有 Yes (請繼續回答下列的第 2 條問題 Please continue to answer the following Question No. 2)

沒有 None

2. 客戶從以下途徑認識結構性或衍生產品 :-

Client acquired knowledge of structured or derivative product(s) from the following ways :-

接受結構性或衍生產品的培訓或修讀相關課程 (請提供培訓或修讀課程之名稱及日期)

Received training or attended courses or seminars on structured or derivative product(s) (Please state the name of the courses / seminars and the date Client attended)

培訓或修讀課程之名稱 Name of the courses / seminars : _____

培訓或修讀以上課程之日期 Date of attending the above courses / seminars : _____

現時的工作與結構性或衍生產品有關 (請提供公司名稱、行業/業務性質、職位及在職日期/營業年期)

Recent work of Client is related to structured or derivative product(s) (Please state the Company Name, Industry / Business Nature, Position and the Employment of Services period / Operation of Business period)

公司名稱 Company Name : _____

行業/業務性質 Industry / Business Nature : _____

職位 Position : _____

在職日期/營業年期

Employment of Services period / Operation of Business period : from _____ 由 _____ 至 _____ to _____

客戶以往的工作經驗與結構性或衍生產品有關 (請提供公司名稱、行業/業務性質、職位及在職日期/營業年期)

Previous work experience of the Client was related to structured or derivative product(s) (Please state the Company Name, Industry / Business Nature, Position and the Employment of Services period / Operation of Business period)

公司名稱 Company Name : _____

行業/業務性質 Industry / Business Nature : _____

職位 Position : _____

在職日期/營業年期

Employment of Services period / Operation of Business period : from _____ 由 _____ 至 _____ to _____

客戶相關之交易經驗 (見上述「投資經驗」部份)

Client's related transaction experience (please see the above part "Investment Experience")

其他 Others : _____

B7 資料披露 Disclosure of Information :

1. 請聲明客戶是否戶口的最終實益擁有人?

Please declare whether Client is the ultimate beneficial owner of this Account ?

是 Yes

否 No

2. 請聲明客戶是否本公司或本集團的職員?

Please declare whether Client is a staff of our Company or our Group of Companies ?

是, 客戶現於*本公司/本集團的 _____ (公司名稱) 工作

Yes, Client is working in our *Company / Group of Companies named as _____ (Company name)

職員號碼 Staff No. : _____ 工作部門 Department : _____
職位 Position : _____ 工作性質 Job Nature : _____

否 No

*刪去不適用者 Delete as appropriate

3. 請聲明客戶是否本公司、本集團董事或職員之關連人士（例如屬夫婦、父母、子女、兄弟姊妹關係）？
Please declare whether Client has any relationship with the directors or employees of our Company or our Group of Companies (e.g. in the relationship of couple, parents, children, siblings) ?

是，該董事或職員之資料如下 Yes, information of that director or employee is as follows :

姓名 Name : _____ 職員號碼 Staff No. : _____
職位 Position : _____ 關係 Relationship : _____

否 No

4. 請聲明客戶是否香港交易所參與者之僱員或董事？
Please declare whether Client is the director or employee of any exchange participant of Hong Kong Exchanges and Clearing Limited ?

是，有關的交易所參與者或註冊人資料是 Yes, information of the related exchange participant or registered person is :

參與者 / 註冊人之姓名 Name of Participant / Registered person : _____
職位 Position : _____

否 No

5. 請聲明客戶是否與本公司之其他客戶有關連？
Please declare whether Client is related with any other client of our Company ?

是，該有關的客戶資料是 Yes, particulars of that relevant client are :

客戶名稱 Client Name :	戶口號碼 Account No.:	關係 Relationship :
_____	_____	_____
_____	_____	_____

否 No

6. 請聲明客戶或其配偶是否控制任何本公司的公司客戶10%或以上的投票權？
Please declare whether Client or his / her spouse control 10% or more of the voting rights of any corporate clients of our Company ?

是 Yes

請列出以下 Please state the followings :

戶口名稱 Account Name	戶口種類 Account Type	戶口號碼 Account No.
_____	_____	_____
_____	_____	_____

否 No

第三部份：通訊方法 Part 3: Communication Methods

1. 日結單寄往客戶的 Daily Statement to be sent to Client's :


住址 Residential Address 公司地址 Company Address 電郵地址 E-mail Address ▲

其他通訊地址 Other Correspondence Address _____

- ▲ 如客戶選擇以電郵方式接收日結單，客戶承諾會經常查閱電郵，且當電郵一經發出，客戶將被視作已收到該日結單。
If Client chooses to receive the daily statement by email, Client undertakes to check e-mails regularly and Client will be deemed to have received the daily statement by e-mail at the time of transmission to him / her.

2. 月結單及其他通訊以郵遞方式寄往客戶的 Monthly Statement and other communications to be sent to Client by mail to :

住址 Residential Address 公司地址 Company Address 電郵地址 E-mail Address ▲

其他通訊地址 Other Correspondence Address _____ 客戶簽署 Client Signature(s) _____ 

備註 Note :

- 如客戶戶口是聯名戶口，除了客戶提出特別要求外，所有日結單只按此客戶資料附錄內所選擇的通訊方法寄給戶口持有人 (1)。
If Client's Account is a Joint Account, apart from Client's special request, all the daily statements, will ONLY be sent to the Account Holder (1) according to the Communication Methods as chosen in this Client Information Statement.
- 除非客戶選擇以電郵方式接收日結單，否則日結單、月結單及其他通訊應寄往相同的地址。
Except Client chooses to receive daily statement by email, the mailing addresses for the daily statement, monthly statement and other communications should be the same.
- 如客戶選擇日結單、月結單及其他通訊郵寄至客戶的公司地址，客戶須提供該地址證明正本或核證副本。
If Client chooses to send the Daily Statement, Monthly Statement and other communications to his / her company address, Client should provide the ORIGINAL address proof or Certified True Copy thereof.

第四部份：交收銀行帳戶資料 Part 4: Settlement Bank Account Information

此帳戶將用作交收銀行帳戶，而實德發出之支票將依據以下帳戶名稱。如客戶種類屬聯名戶口，實德只接受客戶以他們的聯名銀行帳戶作交收。

This account will be used as the settlement bank account and the cheque issues by SFF will be accorded to the account name below. If it is a Joint Account in SFF, SFF would only accept Clients to use their joint account in banks for settlement.

銀行帳戶紀錄 (只供存款用途) Banking Account Record (For funds deposit only)

貨幣 Currency	銀行 Bank	帳戶名稱 Account Name	帳戶號碼 Account No.	帳戶類別 Type of Account
港幣 HKD	_____	_____	_____	<input type="checkbox"/> 儲蓄 Savings <input type="checkbox"/> 往來 Current <input type="checkbox"/> 其他 Others
港幣 HKD	_____	_____	_____	<input type="checkbox"/> 儲蓄 Savings <input type="checkbox"/> 往來 Current <input type="checkbox"/> 其他 Others
美元 USD	_____	_____	_____	<input type="checkbox"/> 儲蓄 Savings <input type="checkbox"/> 往來 Current <input type="checkbox"/> 其他 Others
人民幣 RMB	_____	_____	_____	<input type="checkbox"/> 儲蓄 Savings <input type="checkbox"/> 往來 Current <input type="checkbox"/> 其他 Others
其他 Others	_____	_____	_____	<input type="checkbox"/> 儲蓄 Savings <input type="checkbox"/> 往來 Current <input type="checkbox"/> 其他 Others

第五部份：客戶聲明 Part 5: Client's Declaration

第一部份 Part 1

- 本人 / 吾等茲聲明本人 / 吾等是戶口的最終實益擁有人及在此「客戶資料附錄」所載資料全部為真實，完整及正確。除非實德期貨及外匯有限公司（「實德」）接到更改有關「客戶資料附錄」內容的書面通知，否則實德有權完全依賴此等資料及申述作一切用途。實德有權可隨時就核對上述資料文件所提供之資料事宜，與任何人包括本人 / 吾等之銀行，經紀或任何信用調查機構進行查詢。
I/We represent that I/We are the ultimate beneficial owner of the Account and the information provided in the "Client Information Statement" is true, complete and correct. Success Futures and Foreign Exchange Limited ("SFF") is entitled to rely fully on such information and representations for all purposes, unless they receive notice in writing of any change thereof. SFF shall have the right at any time to contact anyone, including my/our banks, brokers or any credit agency, for the purpose of verifying the information provided on the above documents.
- 此「客戶資料附錄」不時受實德「期貨買賣條款及條件」及任何附錄（如適用）約束。該等條款及條件已經以本人 / 吾等選擇及明白的語言向本人 / 吾等解釋。本人 / 吾等確認已閱讀及明白實德「期貨買賣條款及條件」的內容並且同意及確認上述條款及條件。實德有權不時修改及補充上述條款及條件並向本人 / 吾等發出通知。本人 / 吾等亦同意受該等經修改及 / 或補充的條款及條件所約束。
This Client Information Statement is subject to the SFF "Terms and Conditions For Futures Trading" and any Addendum (if applicable) from time to time. The terms and conditions thereof have been explained to me/us in a language that I/we choose and understand. I/We confirm that I/we have read and understood SFF "Terms and Conditions For Futures Trading" and I/we agree and confirm the above terms and conditions. SFF shall have the right to amend and supplement the above terms and conditions from time to time by giving me/us notice of such amendment and I/we also agree to such amendment and supplement.
- 本人 / 吾等須按照「入數資料」文件上的程序將有關的金額存入或轉帳到實德指定的銀行帳戶以交收有關的投資產品。
I/We shall follow the procedures as stated in the document "Bank-in Particulars" when I/we transfer / deposit funds into SFF's designated bank account for settlement of the related investment product(s).
- 本人 / 吾等明白實德有最終接納開戶與否之權利。
I/We understand that the opening of the Account is subject to the final acceptance of SFF.

第二部份 Part 2

交易授權 Trading Authorization (只適用於聯名戶口 Applicable to Joint Account Only)

吾等茲聲明於實德所開設的戶口可根據吾等中的任何一人的買賣指示運作。吾等茲聲明對吾等中的任何一人或聲稱由吾等中的任何一人所發出

之任何買賣指示承擔全部責任，並會就實德因吾等中的任何一人之任何行為或不為而引致的一切賠償、損失、費用及開支向實德作出全部彌償。

We hereby represent that the Account opened with SFF can be operated on the dealing instructions of any one of us and we hereby declare that we will be fully responsible for any dealing instructions given or purported to be given by any one of us and will fully indemnify SFF against all damages, losses, costs and expenses whatsoever incurred as a result of any act or omission of any one of us.

第三部份 Part 3

風險披露 Risk Disclosure

本人 / 吾等已經由 _____ (中央編號： _____) (持牌代表) 以本人 / 吾等選擇的語言，全部清楚解釋實德「期貨買賣條款及條件」內買賣期貨的《風險披露聲明及免責聲明》的內容，並已明白其內容。

I/We confirm that the contents of the "Risk Disclosure Statements and Disclaimers" for dealing in futures contained in the SFF "Terms and Conditions For Futures Trading" have been fully explained by _____ (CE No.: _____) (Licensed Representative) in a language which I/we choose. I/we also understand the content thereof.

本人 / 吾等亦已經獲邀請提出問題及徵求獨立的意見 (如有此意願)。
I/we also have been invited to ask questions and take independent advice if I/we wish.

倘以上的中文本與英文本有任何不一致之處，必須以英文本為準。
In the event of any inconsistency between the Chinese version and English version, the English version shall prevail.



客戶簽署 Client Signature(s)

客戶姓名(正楷)
Client Name (Block Letters):

客戶香港身份證號碼 / 護照號碼
Client's H.K.I.D. Card No. / Passport No.:

日期 Date:

見證於 in the presence of:

見證人簽署 Signature of Witness

見證人姓名 Name of Witness:

見證人香港身份證 / 護照號碼
H.K.I.D. Card / Passport No. of Witness:

日期 Date:

由實德期貨及外匯有限公司接納
Accepted by Success Futures and Foreign Exchange Limited
For and on behalf of Success Futures and Foreign Exchange Limited

授權簽署
Authorized signatory

日期 Date:

第六部份：核證 Part 6: Certification

如本協議書和其他開戶文件並非在實德的持牌代表或僱員面前簽署或本協議書及其他開戶文件並非連同恰當的支票*一起遞交，須填寫以下部份和應由指定人士，包括其他證監會持牌人或註冊人、太平紳士或專業人士例如銀行分行經理、執業會計師、律師或公證人加以簽署核證。

To be completed where this Agreement and the other account opening documents are not executed in the presence of a licensed representative or an employee of SFF or this Agreement and the other account opening documents are not submitted with an appropriate cheque*, a specified person, including any SFC licensed or registered person, a Justice of the Peace, or a professional person such as a branch manager of a bank, certified public accountant, lawyer or notary public should be required to sign below.

本人（姓名如下）謹此核證客戶簽署本協議書及有關的開戶文件及查看有關的身份證明文件。

I, named below, certify the signing of this Agreement and the related account opening documents by the Client and sighting of related identity documents.

姓名 Name :

職業 Profession :

日期 Date :

聯絡電話 Contact Tel. :

聯絡地址 Contact Address :

*客戶在香港的持牌銀行開立的帳戶並由客戶所簽發的劃線支票（該支票的簽名須與本協議書上的客戶簽名相符並載有客戶在其身份證明文件上所顯示的姓名），而該支票抬頭人須為“實德期貨及外匯有限公司”及其數額不得少於 10,000 港元，客戶被批核的新戶口必須待支票兌現後才可使用。

A crossed cheque bearing Client's name as shown in the Client's identity document with the same signature as shown in this Agreement and drawn on the Client's account with a licensed bank in Hong Kong in favour of "Success Futures and Foreign Exchange Limited" for not less than HK\$10,000. The approved new account will not be activated until the cheque is cleared.

第七部份：持牌代表聲明 Part 7: Declaration by Licensed Representative

(由持牌代表填寫 To be completed by Licensed Representative)

本人 _____ (姓名) 持有中央編號 _____ 確認已於下列地址按客戶選擇的語言版本，為其提供及解釋實德期貨及外匯有限公司的「期貨買賣條款及條件」（包括《風險披露聲明及免責聲明》），本人並已邀請客戶閱讀該等條款及條件、提出問題及徵求獨立意見（如有此意願）。

I, _____ (Name) with CE No. _____ confirm that I have provided the "Terms and Conditions For Futures Trading" of Success Futures and Foreign Exchange Limited (including the "Risk Disclosure Statements and Disclaimers") and explained the terms thereof to the Client at the following address in the language chosen by the Client and that I have invited the Client to read the same, to ask question and to seek independent advice if he or she wish.

- 一 香港灣仔港灣道23號鷹君中心11樓1108-10室 Suite 1108-10, 11/F., Great Eagle Centre, 23 Harbour Road, Wanchai, Hong Kong.
- 一 香港灣仔港灣道23號鷹君中心16樓1603-7室 Suite 1603-7, 16/F., Great Eagle Centre, 23 Harbour Road, Wanchai, Hong Kong.
- 一 香港灣仔港灣道23號鷹君中心25樓2503室 Suite 2503, 25/F., Great Eagle Centre, 23 Harbour Road, Wanchai, Hong Kong.
- 一 香港干諾道中200號信德中心西座31樓3101-5室 Room 3101-5, 31/F., West Tower, Shun Tak Centre, 200 Connaught Road Central, Hong Kong.

一 其他地址 Other Location : _____

倘以上的中文本與英文本有任何不一致之處，必須以英文本為準。

In the event of any inconsistency between the Chinese version and English version, the English version shall prevail.

持牌代表簽署 Signed by Licensed Representative

日期 Date

本公司專用 For Office Use Only :

由客戶主任填寫 Filled in by A.E. :

客戶主任姓名
Name of A.E. : _____

客戶主任編號
A.E. Code : _____

與客戶相識年期
How long does the A.E. know the Client : _____

文件查核 Document checked by :

文件核對經手人
Document Checked By : _____

核對人簽署
Executed Signature : _____

日期
Date : _____

限額及開戶批准 Limit and Account Opening approved by :

交易張數限額
Trade Lot Limit : _____

批准人姓名
Approved By : _____

批准人簽署
Approved Signature : _____

日期
Date : _____

客戶名稱
Account Name: _____

戶口號碼
Account No.: _____

致 To: 實德證券有限公司 Success Securities Limited
實德期貨及外匯有限公司 Success Futures and Foreign Exchange Limited

根據《證券及期貨（客戶款項）規則》所設立的常設授權 Standing Authority under Securities & Futures (Client Money) Rules

本常設授權涵蓋一切由貴公司代表本人/吾等收取或持有之客戶款項（「款項」）。

This standing authority covers all client money received or held by you on my/our behalf ("Monies").

除非另有說明，本常設授權之名詞與《證券及期貨條例》和《證券及期貨（客戶款項）規則》不時修訂之定義具有相同意思。

Unless otherwise defined, the terms used in this standing authority shall have the same meanings as in the Securities & Futures Ordinance and Securities & Futures (Client Money) Rules as amended from time to time.

本常設授權書授權貴公司 This standing authority authorizes you to:

1. 組合或合併實德證券有限公司及/或實德期貨及外匯有限公司及/或其任何有聯繫實體、附屬公司及/或聯繫公司（以下簡稱為「實德集團」）所維持的任何或全部獨立帳戶，此等組合或合併活動可以個別地或與其他帳戶聯合進行，貴公司可將該等獨立帳戶內任何數額之款項作出轉移，以解除本人/吾等對實德集團的義務或法律責任，不論此等義務和法律責任是確實或或然的、原有或附帶的、有抵押或無抵押的、共同或分別的；
combine or consolidate any or all segregated accounts, of any nature whatsoever and either individually or jointly with others, maintained by Success Securities Limited and/or Success Futures and Foreign Exchange Limited and/or any of its associated entity, subsidiaries and/or affiliates (hereinafter referred to as "Success Group") and you may transfer any sum of Monies to and between such segregated account(s) to satisfy my/our obligations or liabilities to Success Group, whether such obligations and liabilities are actual or contingent, primary or collateral, secured or unsecured, or joint or several;
2. 從實德集團任何成員於任何時候為本人/吾等所維持的任何獨立帳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 me/us with any member of the Success Group;
3. 支付／轉帳款項至位於香港或其他地方的別家證券/期貨/外匯經紀的客戶帳戶，以應付交收或本人／吾等經該經紀所要履行的財務責任；及
pay/transfer the money to the client account(s) of other securities/futures/foreign exchange broker(s) in Hong Kong or elsewhere for meeting the settlement or my/our financial obligations in my/our securities/futures/foreign exchange trading in Hong Kong or elsewhere through that broker(s);
4. 將貴公司在香港為本人/吾等所持有或收到的款項支付／轉帳至香港以外的帳戶；及
pay/transfer my/our money held or received by you in Hong Kong to the account(s) outside Hong Kong; and
5. 將本人／吾等的款項兌換至任何貨幣並根據貴公司所定下的兌換率作出對該貨幣之換算以交收或應付履行本人/吾等所要履行的財務責任。
exchange my/our money into any other currency(ies) at the rate of exchange conclusively determined by you to be applicable for meeting the settlement and/or my/our financial obligations.

貴公司可不向本人/吾等發出通知而採取上述行動。

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

本常設授權並不損害貴公司可享有有關處理該等獨立帳戶內款項的其他授權或權利。

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

此賦予貴公司之授權乃鑑於貴公司同意繼續維持本人/吾等之證券/期貨/外匯交易戶口。
This standing authority is given to you in consideration of your agreeing to continue to maintain the securities/futures/foreign exchange trading account(s) for me/us.

本常設授權的有效期限不得超過 12 個月，並於本年 12 月 31 日屆滿。本人/吾等明白本人/吾等可以向貴公司發出書面通知，撤回本常設授權。該等通知之生效日期為貴公司真正收到該等通知後之 14 日起計。
This standing authority is valid for a period of not more than 12 months ending 31-December this year. I/We understand that this standing authority may be revoked by giving you written notice. Such notice shall take effect upon the expiry of 14 days from the date of actual receipt of such notice by you.

本人/吾等明白貴公司若在本常設授權有效期屆滿前的最少 14 日之前，向本人/吾等發出書面通知，提醒本人/吾等本常設授權即將屆滿，而本人/吾等沒有在此授權屆滿前反對此授權續期，本常設授權應當作在不需本人/吾等的書面同意下按持續的基準已被續期。
I/We understand that this standing authority may be deemed to be renewed on a continuing basis without my/our consent if you issue to me/us a written reminder at least 14 days prior to the expiry date of this standing authority, and I/we do not object to such deemed renewal before such expiry date.

倘若本常設授權的中文本與英文本在解釋或意義方面有任何歧義，本人/吾等同意應以英文本為準。
In the event of any difference in interpretation or meaning between the Chinese and English versions of this standing authority, I/we agree that the English version shall prevail.

本人/吾等確認就本常設授權的內容已獲得由 _____ (中央編號: _____)
(持牌代表) 向本人/吾等全部解釋清楚，並且本人/吾等明白及同意本常設授權的內容。

I/We acknowledge that this standing authority has been fully explained to me/us by _____
(CE No.: _____) (Licensed Representative) and I/we understand and agree with the contents of this standing authority.



客戶簽署 Client Signature

日期 Date

CRS Self-Certification Form - Individual/ Joint Account

共同申報準則機構自我聲明書 - 個人/ 聯名帳戶

Please complete in **BLOCK LETTERS**. 請以英文正楷填寫。
ORIGINAL form is required. 須提交表格之正本。

Full Name of Main Applicant (as in HKID/Passport) 主要申請人姓名 (須與身份證明文件相同)	Date of Birth 出生日期	Place of Birth 出生地	Client Account No. 客戶賬戶號碼
Client's Address 客戶地址			
Full Name of Joint Applicant (as in HKID/Passport) (If applicable) 聯名申請人姓名 (須與身份證明文件相同) (如適用)			Tax Identification Number 納稅人識別號碼

CRS Self-Certification 共同申報準則自我聲明

This section allows you to declare your tax residence under the Organization for Economic Co-operation and Development ("OECD") Common Reporting Standard ("CRS"). 本部分允許您根據《經濟合作與發展組織》(「OECD」) 共同申報準則 (「CRS」) 申報您的納稅居住地。	Main Applicant 主要申請人	Joint Applicant 聯名申請人
Are you a tax resident in any jurisdiction(s)? 您是否擁有任何司法管轄區的稅務居民身份?	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (Please fill in the table below 請填寫下表)	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (Please fill in the table below 請填寫下表)
Country 國家	Tax Identification Number 納稅人識別號碼	
Hong Kong 香港		
Mainland China 中國大陸		
Japan 日本		
Canada 加拿大		
Other 其他 (Main Applicant 主要申請人) _____		
(Joint Applicant 聯名申請人) _____		

If a TIN is unavailable, please indicate the appropriate reason. 若無法提供稅務識別號碼，請說明原因。

Note: Our Company is unable to provide advice about your company's tax residency. If you have any questions, please consult your company's tax adviser or domestic tax authority.
 註：本公司未能提供有關貴公司納稅居住地的意見，如有任何疑問，請與貴公司的稅務顧問或當地稅務機關聯絡。

Declaration by Client 客戶聲明

To : **Success Securities Limited/ Success Futures and Foreign Exchange Limited ("SUCCESS")**
 致： 實德證券有限公司/實德期貨及外匯有限公司 (「實德」)

I understand that the information supplied by me is covered by the Client Agreement and Supplemental Agreement(s) governing the Customer's relationship with Success setting out how Success may use and share the information supplied by me/ us.
 本人明白實德可根據客戶協議及附屬協議使用及透露本人提供的資料。

I acknowledge that the information contained in this form and information regarding the Customer and any Reportable Account(s) may be provided to the tax authorities of the country/jurisdiction in which this account is maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which the Customer may be tax resident pursuant to intergovernmental agreements to exchange financial account information. 本人確認向開設本賬戶的國家/司法管轄區的稅務機關匯報此表上的資料和有關客戶和任何受被匯報的賬戶的資料，以及與客戶可能為稅務居民的國家/司法管轄區，而該國家/司法管轄區已簽訂交換財務賬戶資料協議。

I certify that I am authorised to execute and deliver this agreement on behalf of the company of the account to which this form relates. 本人證明本人已獲正式授權代表此表賬戶公司簽立及交付本協議。

I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete. 本人/吾等聲明，以本人/吾等所知，在此表上所提供的一切資料均屬正確及完整。

I undertake to advise Success within 30 days of any change in circumstances which affects the tax residency status of the individual identified in this form or causes the information contained herein to become incorrect or incomplete, and to provide Success with a suitably updated Self-Certification and Declaration within up to 30 days of such change in circumstances. 本人/吾等承諾，在有任何有關更改納稅居住地資料或任何可導致此表所提供的資料失實的情況變動發生後 30 天內通知實德，並提供最新的公司納稅居住地自行證明書。

Main Applicant Signature 主要申請人簽署

Last Name 姓	Name 名	Signature 簽署 X	Date 日期
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Joint Applicant Signature 聯名申請人簽署

Last Name 姓	Name 名	Signature(s) 簽署 X	Date 日期
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For Office Use Only 此欄由本公司填寫

Checked by 覆核人員	Reference No. 檔號	Signature 簽署 X	Date 日期
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Please read these instructions before completing the form.

填寫表格前，請先參閱下列指引。

Regulations based on the Organisation for Economic Co-operation and Development ("OECD") Common Reporting Standard ("CRS") require financial institutions to collect and report certain required information based on an account holder's tax residence. Each jurisdiction has its own rules for defining tax residence. For more information on tax residence, please consult your tax adviser or the information at the following link: <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>

根據採用經濟合作與發展組織（OECD/「經合組織」）共同申報準則(Common Reporting Standard/CRS)的法規，要求金融機構按照賬戶持有人的納稅居住地收集及匯報若干所需資料。每個司法管轄區均按其本身的規則釐定納稅居住地的定義。有關納稅居住地的詳情，請諮詢閣下的稅務顧問，或瀏覽下列網頁的資料：
<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>

If your tax residence (or the account holder, if you are completing the form on their behalf) is located outside of the country in which this account is maintained, we may be legally obliged to pass on the information in this form and other financial information with respect to your financial accounts to the tax authorities in the country where the FI is located.

若閣下的納稅居住地（或賬戶持有人，如閣下代其填寫表格）位處的國家與開設本賬戶的國家不同，我們在法律上可能有責任把此表格內的資料及與閣下的財務賬戶有關的其他財務資料，轉交金融機構位處國家的稅務機關。

This form will remain valid unless there is a change in circumstances relating to the account holder's tax status or other mandatory fields included on this form. You must notify us if there is a change in circumstance that makes any of the information provided in this form incorrect or incomplete and provide an updated self-certification form.

此表格將一直有效，直至出現與賬戶持有人的稅務狀況或此表格內必須填寫的其他欄目資料有關的情況變動為止。若出現任何可導致表格所提供的資料失實或不完整的情況變動，閣下必須通知我們，並提交最新的自行證明書。

This form is intended to request information only where such request is not prohibited by applicable local law or regulations. 此表格僅擬作要求提供資料之用，而有關要求不受適用的當地法律或法規所禁止。

Please fill in this form if you are an individual/ joint account holder, sole trader or sole proprietor. 若閣下為個人/聯名賬戶持有人或唯一交易商或獨資經營者，請填妥此表格。

As a financial institution, we are not allowed to give tax or legal advice.

作為一家金融機構，我們不得提供稅務或法律意見。

If you have any questions about this form, these instructions, or defining your tax residency status, please speak to your tax adviser or domestic tax authority.

如對此表格、指引或釐定閣下的納稅居住地狀況有任何疑問，請與閣下的稅務顧問或當地稅務機關聯絡。

If you wish to know more about CRS, please visit the web-page below: 如欲了解更多有關共同匯報標準的詳情，請瀏覽以下網站：

AEOI/自動交換資料單張

<http://www.ird.gov.hk/chi/tax/aeoi/pam.htm>

FAQ / 常見問題

http://www.ird.gov.hk/chi/faq/dta_aeoi.htm

Form **W-8BEN**

Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)

(Rev. January 2017)

Department of the Treasury
Internal Revenue Service

► For use by individuals. Entities must use Form W-8BEN-E.
► Information about Form W-8BEN and its separate instructions is at www.irs.gov/formw8ben.
► Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

Do NOT use this form if:

- You are NOT an individual **W-8BEN-E**
- You are a U.S. citizen or other U.S. person, including a resident alien individual **W-9**
- You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the U.S. (other than personal services) **W-8ECI**
- You are a beneficial owner who is receiving compensation for personal services performed in the United States **8233 or W-4**
- You are a person acting as an intermediary **W-8IMY**

Instead, use Form:

Note: If you are resident in a FATCA partner jurisdiction (i.e., a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.

Part I Identification of Beneficial Owner (see instructions)

1 Name of individual who is the beneficial owner		2 Country of citizenship	
3 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address.			
City or town, state or province. Include postal code where appropriate.		Country	
4 Mailing address (if different from above)			
City or town, state or province. Include postal code where appropriate.		Country	
5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)		6 Foreign tax identifying number (see instructions)	
7 Reference number(s) (see instructions)		8 Date of birth (MM-DD-YYYY) (see instructions)	

Part II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions)

9 I certify that the beneficial owner is a resident of _____ within the meaning of the income tax treaty between the United States and that country.

10 Special rates and conditions (if applicable—see instructions): The beneficial owner is claiming the provisions of Article and paragraph _____ of the treaty identified on line 9 above to claim a _____ % rate of withholding on (specify type of income): _____

Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding: _____

Part III Certification

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself for chapter 4 purposes,
- The person named on line 1 of this form is not a U.S. person,
- The income to which this form relates is:
 - (a) not effectively connected with the conduct of a trade or business in the United States,
 - (b) effectively connected but is not subject to tax under an applicable income tax treaty, or
 - (c) the partner's share of a partnership's effectively connected income,
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country, and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.

Sign Here

Signature of beneficial owner (or individual authorized to sign for beneficial owner) Date (MM-DD-YYYY)

Print name of signer Capacity in which acting (if form is not signed by beneficial owner)

實德期貨及外匯有限公司
SUCCESS FUTURES AND FOREIGN EXCHANGE LIMITED

客戶補充聲明書
Supplementary Statement for Client

期貨 Futures

外匯 Foreign Exchange

客戶名稱 Client's name : _____ 戶口號碼 Account No.: _____

客戶補充資料 Supplementary Information of the Client	
美國出生 Country of Birth	<u>個人/聯名戶口 Individual/Joint Account</u> 你是否在美國出生？ Are you born in U.S.? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
	<u>公司戶口 Corporate Account</u> 貴公司有沒有任何大股東或最終實益擁有人在美國出生？ Is there any substantial shareholder/ultimate beneficial owner of your corporation who is born in U.S.? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
美國公民或居民 U.S. citizen or resident	<u>個人/聯名戶口 Individual/Joint Account</u> 你是否美國公民或居民？ Are you a U.S. citizen or resident? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
	<u>公司戶口 Corporate Account</u> 貴公司有沒有任何大股東或最終實益擁有人屬美國公民或居民？ Is there any substantial shareholder/ultimate beneficial owner of your corporation who is a U.S. citizen or resident? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
美國住址/通訊地址 U.S. Residential /Correspondence Address	<u>個人/聯名戶口 Individual/Joint Account</u> 你有沒有美國的住址/通訊地址（包括美國郵政信箱）？ Do you have any U.S. residential/correspondence address (including U.S. post office box)? <input type="checkbox"/> 是 Yes , 地址 Address: _____ <input type="checkbox"/> 否 No
	<u>公司戶口 Corporate Account</u> (1) 貴公司有沒有美國的住址/通訊地址（包括美國郵政信箱）？ Does your company have any U.S. residential/ correspondence address (including U.S. post office box)? <input type="checkbox"/> 是 Yes , 地址 Address: _____ <input type="checkbox"/> 否 No (2) 貴公司有沒有任何大股東或最終實益擁有人擁有美國的住址/通訊地址（包括美國郵政信箱）？ Is there any substantial shareholder/ultimate beneficial owner of your corporation who has a U.S. residential/correspondence address (including U.S. post office box)? <input type="checkbox"/> 是 Yes , 地址 Address: _____ <input type="checkbox"/> 否 No
美國電話號碼 U.S. Telephone Number	<u>個人/聯名戶口 Individual/Joint Account</u> 你有沒有美國電話號碼？ Do you have any U.S. telephone number? <input type="checkbox"/> 是 Yes , 電話號碼 Tel. no.: _____ <input type="checkbox"/> 否 No
	<u>公司戶口 Corporate Account</u> (1) 貴公司有沒有美國電話號碼？ Does your company have any U.S. telephone number? <input type="checkbox"/> 是 Yes , 電話號碼 Tel. no.: _____ <input type="checkbox"/> 否 No

	<p>(2) 貴公司有沒有任何大股東或最終實益擁有人擁有美國電話號碼？ Is there any substantial shareholder/ultimate beneficial owner of your corporation who has a U.S. telephone number?</p> <p><input type="checkbox"/> 是 Yes, 電話號碼 Tel. no.: _____</p> <p><input type="checkbox"/> 否 No</p>
美國稅務狀況 US taxation status	<p>個人/聯名戶口 Individual/Joint Account 你現時有否於美國報稅？ Do you currently file tax return in the U.S.?</p> <p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p>
	<p>公司戶口 Corporate Account (1) 貴公司現時有否於美國報稅？ Does your company currently file tax return in the U.S. ? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p> <p>(2) 貴公司有沒有任何大股東或最終實益擁有人現時於美國報稅？ Is there any substantial shareholder/ultimate beneficial owner of your corporation who currently file tax return in the U.S.? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p>
<p>* 大股東 - 於公司直接或間接持有百分之十或以上的股份或控制百分之十或以上的投票權 Substantial shareholder - holding 10% or more shares or exercising the control of 10% or more voting rights of the Company</p>	

客戶聲明 Client's Declaration

本人茲聲明以上資料全部為真實，完整及正確。除非實德期貨及外匯有限公司（「實德」）接到更改有關內容的書面通知，否則實德有權完全依賴此等資料之聲明作一切用途。實德有權隨時就核對上述資料文件所提供之資料事宜，與任何人包括本人之銀行、經紀或任何信用機構進行查詢。I/We represent that the above information is true, complete and correct. Success Futures and Foreign Exchange Limited ("SFF") is entitled to rely fully on such information and representations for all purposes, unless they receive notice in writing of any change. SFF is authorized at any time to contact anyone, including my banks, brokers or any credit agency, for the purpose of verifying the information provided on the above documents.

本人 / 我們聲明及同意(1) 實德有權要求本人 / 我們提供實德可能合理索取的資料（及 / 或填寫及簽署與此相關的文件），包括但不限於姓名、出生地點、住宅及郵遞地址、納稅人識別編號、社會安全號碼、國籍、居留地、稅務居留地及相關人士在報稅或納稅責任方面須遵守的稅制，以及向香港境內或境外任何有關當局披露任何 / 所有資料（包括但不限於美國國家稅務局（「美國國稅局」））；(2) 倘若上文第(1)點所述資料發生任何變化或增加，本人 / 我們將從速通知實德，並且實德有權要求其他各相關人士就其個人資料的任何變化或增加通知實德；(3) 倘若任何相關人士未能 (a) 提供準確及完整的資料，或 (b) 當(a)段的資料有任何變化或增加時，準確及從速通知實德，或(c) 在實德為了確保遵守適用法律法規（包括但不限於美國《海外賬戶稅收合規法案》）或實德與任何司法管轄區的任何政府或稅務當局訂立的任何協議而可能合理要求的時限內，及時作出所需行動；或若實德被禁止向香港境內或境外的任何相關當局（包括但不限於美國國稅局）披露本人 / 我們的任何 / 所有資料；則為了確保實德遵守上述法律、法規或協議，實德可以 (i) 扣減或扣起根據期貨合約交易 / 槓桿式外匯交易應付的任何款項；及 / 或 (ii) 向香港境內或境外的任何相關當局（包括但不限於美國國稅局）提供本人 / 我們的任何 / 所有資料；(4) 對於實德由於本人 / 我們提供的不正確、不完整或具誤導性的資料而蒙受的任何損害或損失，本人 / 我們同意向實德作出完全彌償。

I/We declare and agree that (1) SFF shall have the right to request me/us to provide (and/or complete and sign such document relating to) such information as SFF may reasonably require including without limitation, name, place of birth, residential and mailing addresses, taxpayer identification number, social security number, citizenship, residency, tax residency and the tax regime(s) to which I/we am/are subject in respect of tax reporting or payment responsibility, and disclose any/all of the information to any authorities within or outside of Hong Kong (including without limitation the US Internal Revenue Service ("IRS")); (2) I/we shall update SFF promptly on any change or addition to the information stated in (1) above; and SFF shall have the right to request me/us to update it of any change or addition to my/our information; (3) if I/we fail to (a) provide accurate and complete information, or (b) accurately and promptly update SFF with any changes or additions to the information in (a), or (c) do such things in a timely manner and within such timeframe as SFF may reasonably require for ensuring SFF' compliance with applicable laws and regulations (including without limitation the US Foreign Account Tax Compliance Act) or any agreements that SFF has with any government or tax authority in any jurisdiction; or if SFF is prevented from making disclosure of any/all of my/our information to any authorities within or outside Hong Kong (including without limitation the US IRS); then SFF may, for ensuring SFF' compliance with the aforesaid laws, regulations or agreements, (i) deduct or withhold such amount from any payment payable to me/us under futures contracts trading/leveraged foreign exchange trading; and/or (ii) provide any/all of my/our information to any authorities within or outside Hong Kong (including without limitation the US IRS); (4) I/we agree to indemnify SFF for any damage or loss suffered by SFF due to incorrect, incomplete or misleading information provided by me/us above.

本人 / 我們明白若此補充客戶聲明書的中、英文兩個版本有任何抵觸或不相符之處，應以英文版本為準。

I/We understand that if there is any inconsistency or ambiguity between the English version and the Chinese version of this Supplementary Statement for Client, the English version shall prevail.

本人 / 我們確認，本人 / 我們已經細讀以上段落，並且實德已經向本人 / 我們作出充分的解釋；本人 / 我們完全明白以上段落的含義，亦明白本人 / 我們根據以上段落作出的同意、豁免及確認均不可撤銷。本人 / 我們進一步同意，對於本人 / 我們由於實德採取以上段落准許的行動而蒙受的任何代價或損失，實德概不負責。

I/we confirm that I/we have read the above paragraphs and have received adequate explanation from SFF; I/we fully understand the implications of the above paragraphs in this section; my/our agreement, waiver and confirmations given under the above paragraphs in this section are irrevocable. I/we further agree that SFF shall not be liable for any costs or loss that I/we may incur because of SFF taking any of the actions permitted by the above paragraphs.

客戶簽署 Client Signature

日期 Date

實德期貨及外匯有限公司
SUCCESS FUTURES AND FOREIGN EXCHANGE LIMITED

使用個人資料作直接促銷
Use of Personal Data in Direct Marketing

客戶名稱:
Account Name: _____

戶口號碼
Account No.: _____

實德期貨及外匯有限公司（「實德」）可使用客戶的資料及/或提供客戶的資料予任何實德的聯營公司（「聯營公司」，即指現時或日後，任何直接或間接與實德有關之公司）作直接促銷，而實德須為此目的取得客戶同意（其包括客戶不反對之表示）。因此，請注意以下：

Success Futures and Foreign Exchange Limited ("SFF") intends to use the client's data and/or provide the client's data to its Affiliates ("Affiliates", i.e. any company in which it is, now or hereafter, directly or indirectly related to SFF) in direct marketing and SFF requires the consent (including no objection) of the client for that purpose. In this connection, please note that:

- 客戶的姓名、聯絡詳情、投資組合資料、交易模式及財務背景可被用於直接促銷實德及/或其聯營公司的投資及有關財務產品及服務(包括研究報告及特別優惠)。
The name, contact details, portfolio information, transaction pattern and financial background of the client may be used in direct marketing of investment or financial related products and services of SFF and/or its Affiliates (including research reports and special offers).
- 若客戶不願意實德使用及/或轉送其個人資料作直接促銷，客戶可行使其拒絕此安排的權利，而且毋須就此支付任何費用。
If client does not wish SFF to use and/or transfer the client's data for use in direct marketing, the client may, without charge, exercise the right to opt-out.

請表示你是否同意如此使用你的個人資料並在以下空格加上打「✓」號，然後簽署。
Please sign and indicate whether you agree or not to such use by ticking the box below.

- 本人/吾等同意上述，實德可使用及/或轉送本人/吾等的個人資料作出直接促銷。
I/We agree to the above, SFF can use and/or transfer my/our personal data in direct marketing.
- 本人/吾等反對上述，實德不可使用及/或轉送本人/吾等的個人資料作出的直接促銷。
I/We object to the above, SFF cannot use and/or transfer my/our personal data in direct marketing.

* 倘本文中的中文本及英文本有任何不一致之處，必須以英文本為準。
If there is any inconsistency between the Chinese and English versions of this document, the English version shall prevail.

客戶簽署 Client Signature(s) _____

日期 Date _____

Application for Professional (SP Trader) Futures Internet Trading System 申請期貨網上交易系統專業版(SP Trader)

Date 日期 : _____

To 致: Success Futures and Foreign Exchange Limited 實德期貨及外匯有限公司

From 由: _____ (Name of Account Holder 戶口持有人姓名)

_____ (Account Number 戶口號碼)

I/We hereby confirm the application for professional (SP Trader) futures Internet trading system in relation to the Internet Trading Account in the name of myself/ourselves.

本人/吾等要求實德期貨及外匯有限公司提供期貨網上交易系統專業版(SP Trader)予本人/吾等之期貨網上交易戶口。

I/We understand I/we can only use either one futures Internet trading system. With application for professional (SP trader) futures Internet trading system, I/we must forgo using standard version.

本人/吾等明白本人/吾等只可使用期貨網上交易系統專業版(SP Trader)或標準版其中一個版本。申請使用專業版(SP Trader)，表示本人/吾等同時放棄使用標準版。

I/We understand Success Futures and Foreign Exchange Limited will provide me/us new login ID and password for professional (SP Trader) version.

本人/吾等明白實德期貨及外匯有限公司將向本人/吾等發放使用於專業版(SP Trader)的登入名稱及密碼。

I/We understand Success Futures and Foreign Exchange Limited has sole discretion to cease the professional (SP Trader) version and return to standard version.

本人/吾等明白實德期貨及外匯有限公司有權終止向本人/吾等提供專業版(SP Trader)服務及恢復使用標準版。

Signature(s) of Account Holder

戶口持有人簽署

Signature of Account Executive (if applicable)

客戶主任簽署(如適用)

For Official Use Only			
A.E. Name:		A.E. Code:	
Client's Signature Verified By:		Received Date/Time:	
Inputted by:		Checked by:	
Approved by:		Effective Date:	