



混沌天成国际证券期货有限公司
CIF Securities Futures Limited
 (香港证监会注册号码 CE number: BMV833)

混沌天成国际金融有限公司
CIF Global Markets (HK) Limited
 (香港证监会注册号码 CE number: BJT648)

营业地址: 香港中环花园道 3 号中国工商银行大厦 11 楼 1108-11 室

Business Address: Suites 1108-11, 11/F, ICBC Tower, 3 Garden Road, Central, Hong Kong

证券/期货/杠杆式外汇交易账户开户申请表 (机构客户)

Securities/ Futures / Leveraged Foreign Exchange

Account Opening Form (Corporate Client)

本开户表格需与客户协议书一并阅读

This account opening form should be read together with the futures client agreement

自 2018 年 8 月 28 日起生效

Effective from 28th August 2018

Account Name		<input type="checkbox"/> Securities Cash
Account Number		<input type="checkbox"/> Securities Margin
AE Code		<input type="checkbox"/> Futures
		<input type="checkbox"/> Leveraged Foreign Exchange

机构账户

FOR CORPORATE CLIENT

请随开户申请表一同提交（如适用）：

Please submit the following documents along with this the account opening form (If applicable):

- 实体税务居民自我证明表格
Entity Tax Residency Self-Certification Form
- W-8BEN-E 表格
Form W-8BEN-E
- *公司注册文件，及公司持续经营或存续证明文件
Corporate Registration files and Certificate of Incumbency or Certificate of Good Standing
 - 香港本地注册公司：提供注册证书、商业登记书（如有）
Corporate registered in HK: provide registration certificate, Business Registration Certificate(If any)
 - 离岸公司：提供公司注册证书，及最近六个月发出的公司持续经营或存续证明文件
Offshore corporate: Provide Certificate of Incorporation, and Certificate of Incumbency or Certificate of Good Standing issued within 6 months
 - 中国境内注册公司：提供企业法人营业执照
Corporate registered in Mainland: Provide Corporate Business License
- 董事会决议之核证申请开立户口、委任授权人士运作户口及授权签名式样
Board Resolutions in relation to the account opening, the authorized person and authorized signatory with specimen signature.
- *公司组织章程或其他宪章性文件
Memorandum & Articles of Associate & Other Constitutional Documents
- *公司董事名册、股东名册
Register of Directos, members or equivalent document
 - 香港本地注册公司：提供最近存档于公司注册处的 NAR1 表格、ND2A/ND2B 表格（或等同文件）
Corporate registered in HK: Provide NAR1 form, ND2A/ND2B form or equivalent forms
- *公司主要董事、主要股东（持有 10%或以上股权）及最终实益拥有人（持有 25%或以上权益）的身份证或护照复印件，并签名
Certified copies of ID card or passport of Main directors, shareholders (owning 10% or above equity) and ultimate beneficial owners (owning 25% or above beneficial interest) and corresponding signatures on copies
- 公司获授权交易代表的身份证或护照复印件，并签名
Certified copies of ID card or passport of authorized dealers and corresponding signatures on copies
- *公司的办公地址证明
(注：如最近 3 个月的水电费结单或银行结单。如公司办公地址与注册地址相同时可豁免)
Proof of Corporate address (Not required if the Corporate address same as the registry address)
- 其他文件 Others
 - 如为金融机构接收须具报金额或应扣缴款项，请填写 W-8IMY 表格
Form W-8IMY applicable for Financial Institutions which receiving a reportable amount or withholdable payment.
 - 如为被动非财务实体，请填写控权人税务居民自我证明表格
Controlling Person Tax Residency Self-Certification Form applicable for the entity account holder is a passive NFE
 - 如为 A 类**专业投资者：提供持牌/注册证明
Professional Investors(Type A): Provide licensed/registration proof

- 如为 B 类***专业投资者: 提供最近 12 个月内发出的资产证明文件, 显示投资组合不少于 800 万港币或等值外币, 或总资产不少于 4000 万港币或等值外币
Profession Investors(Type B): Provide asset proofs within 12 months, with no less than 8 millions HKD or equivalent currencies, or no less than 40 million HKD or equivalent foreign currencies at total assets
- 如为投资基金: 提供基金经理获基金委托授权的协议
Investment Funds: Provide authorized agreement of fund manager

* 表示上市公司、持牌机构可豁免提供此项资料

* means that public company and licensed institutions can waive to provide this kind of materials

** “A 类專業投資者” 的定義載於《證券及期貨條例》附表 1 第 1 部第 1 條第(a)至(i)

** “Type A Professional Investor” is defined in section 1 of Part 1 of Schedule 1 to the SFO (a) to (i).

***“B 类專業投資者” 的定義載於《專業投資者規則》第 4 至 7 条所指的人士所指的信託法團、个人、法團或合夥。

*** “Type B Professional Investor” is any trust corporations, Individual, corporations or partnerships falling under sections 4 to 7 of the Professional Investor Rules.

注意事项 Attention:

1. 上述文件均需核驗文件, 收取复印件。核驗原件的方式包括:

The above documents need to be verified and copied. The verification methods include:

- i. 公司指定董事、注册人、持牌人或注册人的聯系人士核驗原件之后签名(所有香港公司注册处的 NAR1、离岸公司的公司注册证书、持续经营或存续证明文件、公司董事名册、股东名册只可通过 ii. 项所述方式核驗及提供经认证的真正副本)
i. The appointed Director, the licensed or registered person, an affiliate of a licensed or registered person verifies original document and sign (All the Hong Kong Corporate Registration NAR1 form, Offshore Corporate’s Certificate of Incorporation, Certificate of Incumbency or Certificate of Good Standing, Register of Directors, members or equivalent document should be verified by Option ii. verification methods and provide the original certified true copy)
- ii. 太平绅士或专业人士例如银行分行经理、执业会计师、律师或公证人
ii. A JP (Justice of the Peace), or a professional person such as a branch manager of a bank, certified public accountant, lawyer or notary public.

*上述证明者必须于复印件签署姓名及职位, 证明复印件的真实性

*The above certifiers need to sign name and position on the copies, and notify the authenticity of the copy

2. 我司了解贵公司的基本信息, 并可能会根据实际情况, 要求贵公司提供其他材料

Our company know the basic information about the corporate client from its registration institution, and probably will request the corporate client to provide other materials based on the reality.

▲请在签署本表格前仔细阅读《期货/杠杆式外汇交易客户协议书》和当中的《风险披露声明及免责声明》

▲Please read the relevant Client Agreement and Risk Disclosure and Disclaimer inside before completing this form

*1. 帐户类别 Account Type (非全权委托 Non-Discretionary)			
混沌天成国际证券期货有限公司 CIF Securities Futures Limited		<input type="checkbox"/> 证券现金账户 Securities Cash Account <input type="checkbox"/> 证券保证金账户 Securities Margin Account <input type="checkbox"/> 期货买卖账户 Futures Account	
混沌天成国际金融有限公司 CIF Global Markets (HK) Limited		<input type="checkbox"/> 杠杆式外汇交易帐户 Leveraged Foreign Exchange Trading Account	
*2. 投资者类别 Investor Type			
<input type="checkbox"/> 一般投资者 General Investor <input type="checkbox"/> 专业投资者 A 类 Category A Professional Investor <input type="checkbox"/> 专业投资者 B 类 Category B Professional Investor (专业投资者需要提供有关证明 Professional Investor need to provide necessary documents for evidence)			
*3. 公司基本资料 Coporate Data			
公司名称 (中文) Name of Corporation (Chinese)			
公司名称 (英文) Name of Corporation (English)			
账户名称 (如不同) Account Name (if different)			
公司性质 Nature of Entity		<input type="checkbox"/> 合伙企业 Partnership <input type="checkbox"/> 私人公司 Private (含 BVI 等海外注册公司) <input type="checkbox"/> 上市公司 Public 股票代码 Stock code: <input type="checkbox"/> 其他 Others:	
业务类型 Nature of business			
贵公司是否为投资基金或集体投资计划? Are you Investment Funds or a Collective Investment Scheme?		<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	
公司成立地点 Place of Incorporation			
成立日期 Date of Incorporation			
注册证书号 Certificate of Incorporation No.			
商业登记证号码 (如有) Business Registration No. (If any)			
通讯地址 Correspondence Address		<input type="checkbox"/> 注册地址 Registered Address: <input type="checkbox"/> 其他地址 Others:	
通讯联络人/收件人 Contact Person		姓名 Full Name: 联系电话 Contact Number:	
董事姓名 Name	证件号码 (护照/身份证) Certificate NO.(Passport/ID)	证件签发地 Place of Issue	住宅地址 Residential Address

主要股东姓名 Name	股权 (%) Shareholding	证件号码 (护照/身份证) Certificate NO. (Passport/ID)	证件签发地 Place of Issue	住宅地址 Residential Address
*如有最终实益拥有人, 请提供最终实益拥有人 (持有 25%或以上权益) 的资料: Please provide details of ultimate beneficial owner(s) (with 25% or more beneficial interest), if any:				
姓名 Name	股权 (%) Shareholding	证件号码 (护照/身份证) Certificate NO. (Passport/ID)	证件签发地 Place of Issue	住宅地址 Residential Address
*4. 银行账户资料 Bank Information				
香港本地银行账户资料记录 (以便接收期货/杠杆式外汇交易账户内的转出资金) Hong Kong Local Bank Account (for transferring funds from Futures / Leveraged Foreign Exchange Trading Account) 香港银行名称 Name of the Hong Kong Local Bank				
账户名称 账户号码				
Account Name Account No.				
海外银行账户资料记录 (如客户需要用海外银行账户作为结算户口, 将会征收额外的海外交易手续费) Oversea Bank Account (If Clients choose oversea bank account for settlement, handling fee will be charged per transaction) 海外银行名称 银行标识码				
Name of the Oversea Bank SWIFT Codes				
账户名称 账户号码				
Account Name Account No.				
*5. 财政资料 Financial Information				
一般公司法人填写 For Corporate Client	法定股本: Authorized Capital		发行股本: Paid-up Capital	
	资金来源: Source of Funds			
	(非必填)根据最近财务账目, 净资产: (非必填) 除税后盈利为: (Optional) Net Asset Value/Profit after Tax based on lastest audited Accounts			
基金/集体投资计划填写 For Investment Funds /Collective Investment Schemes Only	计划、账户及/或信托的名称: Name of the scheme, account and/or trust			
	基金规模: Funds Size			
	负责投资决定的投资经理姓名: Name of Investment Manager			
*6. 投资目的、投资经验及风险承受能力 Investment Experience/Objectives/Risk Tolerance level				
投资目的 Objectives: <input type="checkbox"/> 资本增值 Capital appreciation <input type="checkbox"/> 股息回报 Dividend yield <input type="checkbox"/> 对冲 Hedging <input type="checkbox"/> 投机 Speculation <input type="checkbox"/> 其他 Others				

***8. 相关身份披露 Disclosure of Identity**

1) 贵公司或任何受益人（持有 25%或以上权益）是否证券及期货事务监察委员会之持牌法团、其雇员或持牌代表？
Are/Is you or any of your Beneficial Owner(s) (with interest of 25% or more) licensed by the SFC or an employee of a Licensed Corporation?
 否 No 是 Yes 相关受益人姓名 Name of Beneficial Owner(s).....

2) 贵公司之任何受益人（持有 25%或以上权益）或其直系亲属是否是我司或其集团公司的雇员？
Please disclose if any of your beneficial owner(s) (with interest of 25% or more) or their direct relatives is a staff of our Company or its group of companies. Are/Is you or any of your Beneficial Owner(s) (with interest of 25% or more) licensed by the SFC or an employee of a Licensed Corporation?
 否 No
 是 Yes 相关受益人姓名 Name of the Beneficial Owner(s).....
混沌天成国际相关雇员姓名 Name of employee关系 Relationship.....

3) 贵公司、贵公司之关联公司或持有 35%或以上权益的受益人，是否持有我司其他账户 35%（或以上）的权益？
Do/Does you, any of your associated companies or Beneficial Owners with 35% or more interest hold 35% or more interest in other account(s) maintained with our Company?
 否 No. 是 Yes 账户号码 A/C No. 账户名称 A/C Name.....

4) 贵公司、贵公司之关联公司的业务性质/职业是否特别容易蒙受较高的洗钱/恐怖分子资金筹集风险或接触大量现金往来（如货币兑换、博彩业、珠宝业、娱乐服务业）？ Is the nature of you, any of your associated companies (including any of the joint account holders)'s business particularly susceptible to money laundering/terrorist financing risk? (For example, money changer or casino business that handles large amount of cash)
 否 No 是，請說明 Yes, please specify:.....

5) 贵公司、贵公司之关联公司是否與任何地方的交易所上市公司的高级人员/董事/大股东有任何的關連？ Do/Does you, any of your associated companies have relationship with senior officers/directors/substantial shareholders of any company whose shares are traded on any exchange?
 否 No 是，上市編號 Stock Code: 公司名稱 Company Name:.....

***9. 客户确认及签署 Acknowledgement and Execuion by clients**

本公司向混沌天成国际证券期货有限公司/混沌天成国际金融有限公司（以下统称“混沌天成国际”）申请开立证券现金账户/证券保证金账户/期货/杠杆式外汇交易买卖账户，本公司在此确认我们事先明确邀请而达成此协议及开户过程中所提供的资料全部真实、完整和正确，以及附上的《客户协议书》及当中的《风险披露声明及免责声明》中的陈述均属准确。除本公司接到由混沌天成国际发出的更改开户申请的书面或电子形式通知，都则混沌天成国际可完全依赖这些资料及陈述作一切用途。本公司授权混沌天成国际可随时联络任何人，包括但不限于银行、经纪或任何信贷机构等，以核实相关资料及陈述。

本公司已仔细阅读、理解、完全同意和接受《客户协议书》及《风险披露声明及免责声明》的全部条款和细节。本公司已根据我们选择的语言获提供中文或英文版本的《风险披露声明及免责声明》；及已获邀约阅读该《风险披露声明及免责声明》、提出问题及征求独立意见（如本公司有此意愿）。

We wish to open Securities Cash account/ Securities Margin account/ Futures account/ Leveraged Foreign Exchange Trading account with CIF Securities Futures Limited and/or CIF Global Markets (HK) Limited (Collectively called 'CIF'). We confirm we had given prior express invitation to enter into agreement and represent that the information provided herein and the information provided on the Client Agreement (the 'Agreements') and the Risk Disclosure and Disclaimer inside, as the case may be, is ture, complete and correct and that the presentations on the Agreements are accurate. CIF is entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any change. CIF is authorized at any time to contact anyone, including our banks, brokers or any credit agency, for the purpose of verifying such information.

We have read, understood, agreed and accepted all the terms and conditions of the Agreements and the Risk Disclosure and Disclaimer. The Risk Disclosure and Disclaimer had been provided to us in either English or Chinese in our preference.

We have also been invited by CIF to read the Risk Disclosure and Disclaimer, to ask questions and take independent advice if we wish.

收集个人资料声明

本公司及相关人员明白，混沌天成国际拟使用此开户申请表格上的个人资料（姓名、电话号码、地址、电邮地址）销售金融产品/服务，但混沌天成国际未得到我们的同意之前不能如此使用本公司及相关人员的个人资料。

除非本公司透过电邮（电邮地址：cs@chaosinternational.com）或电话（客服专线：2596 8220）作出反对，否则本公司确认同意混沌天成国际如此使用本公司及相关人员的个人资料。

Personal Information Collection Statement

We and the relevant personal understand that CIF intends to use our names, telephone numbers and addresses for direct marketing financial products/services but it cannot so use our personal data without our consent.

Unless we have expressed our objection by phone (number: 2596 8220) or by email(email address: cs@chaosinternational.com), we hereby consent to CIF use of our personal data in direct marketing.

如本人是歐洲聯盟（歐盟）《通用數據保障條例》2016 下新制定的資料保障監管框架內人士，必須另外簽署收集个人资料同意书及閱讀已由歐盟委員會刊發的相關指引資料。If I am protected under the new regulatory framework for data protection in the European Union (EU) - General Data Protection Regulation 2016 (GDPR) should complete an additional "Collecting Personal Data



获授权人士签名

Authorized Signature

公司印章

Company Chop

*公司印章将被用作核实证明账户任何操作的书面指示

获授权人士姓名

职务

日期

Printed Name

Title

Date

*10. 见证人签署 Signed by Witness

本人已见证及验证上述客户之签署及有关其身份证明文件之正本。

I have witnessed the signature and inspected the original identity documents of the above-named client.

见证人签署 Signed by Witness

X.....

姓名 Full Name of Witness

见证人职业 Occupation

护照/身份证号码 Passport/ID No.

日期 Date

11. 持牌代表声明 Declaration by a licensed representatives

本人确认已按照客户所选择的语言（英文或中文）提供及解释《风险披露及免责声明》及邀请客户阅读《风险披露及免责声明》、提出问题及征求独立的意见（如客户有此意愿）。

I have confirmed that I have provided and explained the 'Risk Disclosure' to client, and also have invited clients to read it, ask questions and take independent advice as their wishes based on chosen language(Chinese or English).

持牌代表签署 Signed by Licensed Representative

X

姓名Full Name 中央编号SFC CE Number 日期Date.....

12. 混沌天成国际接纳及授权代表签名 Authorized representative signature

授权代表签名

公司印章

Authorized Signatory X..... Company Chop.....

内部专用
For Internal Use Only

介绍人、日期 Introducer, Date :	录入人/日期 Recorder, Date :
复核/日期 Rechecker, Date :	持牌代表回访/日期 Licensed Representatives revisit, Date :
补充 Supplement :	批准日期 Approval Date :

董事会决议
Certified of Board Minutes

(公司名称) _____ 于 (日期) _____ 于 (地点) _____

召开董事会会议， 以下为会议纪录摘要。

EXTRACT OF THE RESOLUTIONS DULY PASSED BY THE BOARD OF DIRECTORS OF _____

(the "Company") AT _____ (address)

ON _____.

出席者 Present:

1. _____

2. _____

3. _____

4. _____

Mr./ Mrs _____ 先生/女士为此次会议主席 was the chairman of the Meeting.

于会上通过下列决议案 IT IS RESOLVED THAT:

一. 董事会确定在混沌天成国际证券期货有限公司/混沌天成国际金融有限公司(以下统称 «混沌天成国际») 开立一个或多个账户, 以供购买、出售、持有证券/期货/杠杆式外汇交易。

The Board decides to open one or more account(s) (the "Account") with CIF Securities Futures Limited/ CIF Global Markets (HK) Limited (Collectively called 'CIF') for the purpose of purchasing, selling, holding and other dealings in Securities/ Futures/ Leveraged Foreign Exchange trading upon the terms set out in you Agreement.

二. 在此授权以下个人士代表本公司签署所有有关账户之协议、合同及其它文件。

The Board hereby authorizes the following individuals to execute singly any agreements, contracts, and any other documents in relation to the Account.

授权 [签署] 人士 Authorized Signatories

姓名	职位	护照/身份证号码	电话/手机	签名式样
Name	Position	Passport/ID No.	Phone/Mobile No.	Specimen
1. _____	_____	_____	_____	_____
2. _____	_____	_____	_____	_____
3. _____	_____	_____	_____	_____

三. 董事会在此授权以下个人士代表本公司 (i) 向混沌天成国际发出所有于账户内进行有关交易及买卖的指示 (包括口头指示); 及 (ii) 接收及签署所有证明、确认信、条款清单、交收指示及其它有关账户内交易买卖之文件。

The Board hereby authorizes the following individuals to (i) place orders and give oral instructions to CIF in relation to all trades and investments conducted in the Account, and (ii) receive and sign all affirmations, confirmations, term sheets, settlement instructions and other trade related documents in connection therewith.

授权 [交易] 人士 Authorized Transactions

姓名	职位	护照/身份证号码	电话/手机	签名式样
Name	Position	Passport	Phone/Mobile No.	Specimen
1. _____	_____	_____	_____	_____
2. _____	_____	_____	_____	_____
3. _____	_____	_____	_____	_____

四. 董事会在此授权以下单个人士代表本公司向混沌天成国际有限公司发出所有关于账户的存款、提款、转账及其它有关资金转换、调动的指示。

The Board hereby authorizes the following individuals to give oral or written instructions to CIF in relation to deposit, withdrawal, transfer and exchange of funds in connection with the Account.

授权 [资金调动] 人士 Authorized Personnels for Movement of Funds

姓名	职位	护照/身份证号码	电话/手机	签名式样
Name	Position	Passport	Phone/Mobile No.	Specimen
1. _____	_____	_____	_____	_____
2. _____	_____	_____	_____	_____
3. _____	_____	_____	_____	_____

特此证明

- 上文所载的决议案是按照公司章程于上述日期正式通过的决议案，是相关决议案真实、完整的记录；
- 该等决议案没有被撤销或修订；
- 该决议于现时仍然有效。

IT IS HEREBY CERTIFIED THAT:

- the resolutions set forth above are true and complete records of the resolutions validly passed in accordance with the constitution of the Company on the date first above mentioned;
- no action has been taken to rescind or amend such resolutions; and
- such resolutions are now in full force and effect.

证明人 Certified by:

_____	_____	_____
董事签署	姓名	日期
Name of Director Signature(s)	Printed Name	Dated