



混沌天成國際證券期貨有限公司  
CIF SECURITIES FUTURES LIMITED

(香港证监会注册号码 CE number: BMV833)

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

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**证券及期货账户开户申请表 (个人客户)**  
**Securities and Futures Account Opening Form (Individual 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

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自 2020年3月10日起生效

Effective from 10<sup>th</sup> March 2020

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

## 开户清单

### ACCOUNT OPENING CHECKLIST

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):**

附有照片之有效身份证明档或护照副本

Copy of valid Identity documents with photo or passport

现居住地址证明（如最近三个月的水电费单、银行结单，等等）

Current residential address proof (e.g. recent 3 months' Water Bill or Electricity Bill, Bank Statement, etc)

W-8-Ben 表格-适用于《海外账户税收合规法案》

W-8-Ben form, applicable to FATCA

税务居民身分自我证明表格 - 适用于「经合组织」《共同汇报标准》的法规

CRS Tax Residency Self-Certification Form, applicable to OECD-Common Reporting Standard 「 CRS 」 Regulations.

其他文件 Others

➤ 如为个人专业投资者\*：提供最近 12 个月内发出的资产证明文件，显示单独或联同有联系者于某联权共有帐户拥有的投资组合不少于 800 万港币或等值外币，以及需签署《B 类专业投资者确认函》。

Individual Profession Investors\*: Provide asset proofs within 12 months, either alone or with any of your associates on a joint account, having a portfolio of not less than \$8 million or its equivalent in any foreign currency and signed the “Notice of Treatment as a Professional Investor (Category B)”

\* 个人专业投资者的定义载于《专业投资者规则》第 5 条所指的个人专业投资者。

\* Individual Professional Investors is defined in section 5 of the Professional Investor Rules.

▲ 联名户口请每位户口持有人各分别填写一份开户申请表。

For joint account, each client is required to complete a separate Account Opening Form.

▲ 账户申请者需为该账户最终实益拥有人。

The Applicant must be the final beneficial

▲ 带\*项目为必填信息。

The information with \* must be completed

<b>*1. 账户类别 Account Type (非全权委托 Non-Discretionary)</b>
<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
<b>*2. 投资者类别 Investor Type</b>
<input type="checkbox"/> 一般投资者 General Investor
<input type="checkbox"/> 个人专业投资者 Individual Professional Investor (需要提供有关证明 Need to provide necessary documents for evidence)
<b>3. 投资者信息 Investor Information</b>
*姓名(中文) Name (Chinese): _____ (拼音/英文): (Pinyin/English) _____
*性别 Gender: <input type="checkbox"/> 男 Male <input type="checkbox"/> 女 Female *出生日期 Date of Birth: _____ 年 Year _____ 月 Month _____ 日 Day
*国籍 Nationality: _____
*教育程度 Education: <input type="checkbox"/> 中学或以下 High School or below <input type="checkbox"/> 大专 Diploma <input type="checkbox"/> 本科 Bachelor <input type="checkbox"/> 硕士或以上 Master or above
*证件类别 Identification Type: <input type="checkbox"/> 中国香港/中国居民身份证 HK/ Chinese ID <input type="checkbox"/> 其他国家身份证/护照 Other Passport/ ID
*证件签发地 Country of Issuance: _____ *证件号码 ID Number: _____
*电邮地址 E-mail Address: _____
*手机号码 Phone Number: (+ _____) 联系电话 Contact number: _____
*常住地址 Residential address: _____
*常住物业性质 Property of residential: <input type="checkbox"/> 自有房屋 Self-owned <input type="checkbox"/> 租用 Rent <input type="checkbox"/> 宿舍 Dormitory <input type="checkbox"/> 与父母同住 Live with parents <input type="checkbox"/> 其他 Others
*通信地址 Contact Address: <input type="checkbox"/> 常住地址 Residential address <input type="checkbox"/> 公司/单位地址 Corporate address <input type="checkbox"/> 其他 Other _____
*就业情况 Employment: <input type="checkbox"/> 受雇 Employed <input type="checkbox"/> 自营 Self-employed (选择受雇或自营, 则以下公司/单位信息必填 If choose self-employed, then need to fill the following information)
<input type="checkbox"/> 退休 Retirement <input type="checkbox"/> 其他 Others: _____
公司/单位名称 Corporate Name: _____
职衔 Title: _____ 公司/单位电话 Corporate Phone No.: _____
公司/单位地址 Corporate Address: _____
在该公司/单位工作年限 Working experience: _____ 年 Year(s)
公司/单位所属行业 Industry: _____
*财富来源 Source of Income: <input type="checkbox"/> 薪酬 Salary <input type="checkbox"/> 自营公司收入 Revenue from self-employed company <input type="checkbox"/> 租金 Rent <input type="checkbox"/> 储蓄 Savings <input type="checkbox"/> 退休金 Retirement Pension <input type="checkbox"/> 其他 Others
^客户确认资金并非来源于或涉及非法所得。 Client confirms the source of fund is not arising from proceeds of crime.
*个人年收入(港币) Annual Income (HKD):
<input type="checkbox"/> <20万 Less than 200,000 <input type="checkbox"/> 20万-50万 200,000 - 500,000 <input type="checkbox"/> 50万-100万 500,000 - 1 Million <input type="checkbox"/> >100万 More than 1 Million

**\*个人净资产（港币） Personal Net Assets:**

- <50 万 Less than 500,000                       50 万-200 万 500,000 - 2 Million  
 200 万-1000 万 2 Milion - 10 Million                       >1000 万 More than 10 Million

**4. 银行账户资料 Bank Information**

香港本地银行账户资料记录（以便接收证券/期货交易账户内的转出资金）

Hong Kong Local Bank Account (for transferring funds from Securities/ Futures 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. 投资经验 Investment Experience**

\*投资目的 Objectives:  对冲 Hedging

资本增值 Capital appreciation

投机 Speculation     其他 Others

\*风险承受能力 Risk Tolerance level:

极高            (可承受账户资产50%-100%损失)  
VeryHigh (50%-100% loss in the account is tolerable)

高            (可承受账户资产30%-50%损失)  
High (30%-50% loss in the account is tolerable)

中            (可承受账户资产20%-30%损失)  
Normal (20%-30% loss in the account is tolerable)

低            (可承受账户资产10%-20%损失)  
Low (10%-20% loss in the account is tolerable)

很低            (可承受账户资产0%-10%损失)  
VeryLow (0%-10% loss in the account is tolerable)

投资经验 Investment Experience:

\*曾投资产品 Products    投资年限 Year    投资次数 Times

证券 Securities                      \_\_\_\_\_

交易所买卖基金 ETF                      \_\_\_\_\_

基金 Funds                      \_\_\_\_\_

外汇 Forex                      \_\_\_\_\_

期货/期权

Futures/Options                      \_\_\_\_\_

固定收益产品（债券）

Fixed Income Instruments                      \_\_\_\_\_

衍生产品 Derivatives                      \_\_\_\_\_

其他 Other                      \_\_\_\_\_

**6. 客户对衍生产品的认识 Client's Knowledge of Derivative Products**

\*客户是否在过去三年曾执行过至少五次任何衍生产品的交易 (不论是否在交易所卖)? Has Client executed at least 5 transactions in any derivative products (whether traded on an exchange or not) within the past 3 years?

否 No     是 Yes

\*客户现时或过往之工作经验是否与衍生及/或结构性产品有关? Has any of Client's current or past work experience been related to derivative and/or structured products?

否 No     是, 请提供职业及其性质 Yes, please state the occupation and its nature:

\*客户是否已仔细阅读及完全明白买卖衍生产品所附带的风险, 并愿意承担交易衍生产品所带来的潜在风险? Has Client read and understand the risk of trading Derivative Products, and willing to take the risk of it?

否 No     是 Yes

\*客户曾否接受或参加由学术或金融机构提供有关衍生及/或结构性产品之网上或教室形式之培训或课程? Has Client ever undergone training or attended courses in relation to derivative and/or structured products, either in the form of online or classroom,

<p>offered by academic or financial institutions?</p> <p><input type="checkbox"/> 否No <input type="checkbox"/> 是Yes</p>	
<b>7. 身份披露 Disclosures</b>	
<p>*阁下是否为香港证监会的持牌人/注册人? Are you a registered person under the Securities and Futures Commission?</p> <p><input type="checkbox"/> 否 No <input type="checkbox"/> 是Yes, 中央编号CE No.:</p>	<p>*是否任何持牌法团或注册机构的董事/职员? Are you director(s) or employee(s) of any stock exchange of Hong Kong Limited or Hong Kong Futures Exchange Limited?</p> <p><input type="checkbox"/> 否 No <input type="checkbox"/> 是Yes, 法团名称Incorporate Name:</p>
<p>*阁下是否我司或其关联公司的董事或雇员? Are you a Director or employee of our Company or its group of companies? <input type="checkbox"/> 否No <input type="checkbox"/> 是Yes</p> <p>*阁下是否我司或其集团公司的董事或雇员亲属? Any relatives is a Director or staff of our Company or its group of companies? <input type="checkbox"/> 否No <input type="checkbox"/> 是Yes,</p> <p>员工姓名Employee Name: 关系Relationship:</p>	<p>*阁下配偶或直系亲属, 是否已在我司或其关联公司开立账户? Do/ Does your spouse(s) or relatives have account in our Company or its group of companies?</p> <p><input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes, 帐户号码 Account No.:</p> <p>客户名称Client Name: 关系Relationship:</p>
<p>*阁下是否担任或曾担任重要公职之政界人士, 或以上人士之家人(包括配偶、伴侣、子女或父母, 或该名个人的子女的配偶或伴侣)及其他关系密切的人? Is the Client linked to politically exposed persons, or the closed members of the aforesaid person (including spouse, companion, children or parents, or spouse or companion of the children) and other closely connected person?</p> <p><input type="checkbox"/> 否No <input type="checkbox"/> 是, 請說明 Yes, please specify:</p>	<p>*阁下(包括聯名账户各持有人)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 the Client (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)</p> <p><input type="checkbox"/> 否No <input type="checkbox"/> 是, 請說明 Yes, please specify:</p>
<p>*阁下是否與任何地方的交易所上市公司的高級人員/董事/大股東有任何的關連? Does the Client have relationship with senior officers/directors/substantial shareholders of any company whose shares are traded on any exchange?</p> <p><input type="checkbox"/> 否No <input type="checkbox"/> 是, 上市編號 Stock Code:</p> <p>公司名稱 Company Name:</p>	<p>*阁下是否单独, 或与配偶共同持有任何我司的公司客户35%以上的权益? Do you own 35% or above account interest of our company alone or with your spouse together?</p> <p><input type="checkbox"/> 否 No</p> <p><input type="checkbox"/> 是Yes, 帐户号码Account No.:</p>
<b>8. 交易相关 Information related to trading</b>	
<p>*交易方式 Trading Tools</p>	<p>如阁下通过网上交易方式进行交易。请提供手提电话号码以接收双重认证密码 If you place your orders through internet trading, please provide a mobile phone number for receiving Two-factor authentication password:</p> <p>(+ ) _____</p>
<p>*交易结单及实时通知 Trading Statement and prompt notifications</p>	<p>所有交易结单及实时通知将通过电子邮件方式发送至阁下邮箱, 请填写电子邮箱 All correspondence of the Account and prompt notifications will be sent to your E-mail address below: _____</p> <p>注意: 若邮箱地址变更, 请及时通知混沌天成国际, 如混沌天成国际寄电子账单后连续两次收到错误反馈, 混沌天成国际可以选择邮寄形式取代电子通讯。邮寄结单将会征收港币 20 元年费。有关费用会于每年第一季由相关户口直接扣除。 Client should notify CIF of any changes in the email address. If CIF receives error</p>

	messages twice following sending email to the said address, CIF may use physical mail for communication. A paper statement service annual fee of HK\$20 will be charged. The fee will be directly debited from each relevant account in the first quarter of the year.
*Client's Agreement and Statement Language 客户协议书及月结单语言	请选择以下其中一项月结单语言 Please select one of the following Statement Language  <input type="checkbox"/> 中文 Chinese <input type="checkbox"/> 英文 English
<b>9. 收集个人资料声明 Personal Information Collection Statement</b>	
<p>本人明白，混沌天成国际证券期货有限公司 (以下简称 «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本人的同意之前不能如此使用本人的个人资料。除非本人透过电邮 (电邮地址: cs@cifs.com.hk) 或电话 (客服专线: 2596 8220) 作出反对，否则本人确认同意混沌天成国际如此使用本人的个人资料。</p> <p>I understand that CIF Securities Futures Limited (Collectively called 'CIF') intends to use my names, telephone numbers and addresses for direct marketing financial products/services but it cannot so use my personal data without our consent. Unless I have expressed our objection by phone (number: 2596 8220) or by email (email address: cs@cifs.com.hk), I hereby consent to CIF use of my personal data in direct marketing.</p> <p>如本人是欧洲联盟 (欧盟) 《通用数据保障条例》2016下新制定的数据保障监管框架内人士，必须另外签署收集个人资料同意书及阅读已由欧盟委员会刊发的相关指引资料。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 Consent Form” and read the relevant guideline.</p> <p>阁下是否同意进行A股交易及同意《客户协议书》第25.21及25.22条所涵盖的沪港通及深港通个人资料的收集、储存、使用、披露和转移的条款及细则? Do you agree to trade A-shares through China Connect and consent the terms and conditions of collection, store, use, disclose and transfer of Client Information through Shanghai and Shenzhen Connect pursuant to the Client Agreement Section 25.21 and 25.22?</p> <p><input type="checkbox"/> 同意 I agree      <input type="checkbox"/> 不同意 I do not agree</p>	
<b>10. 客户确认 Acknowledgement by clients</b>	
<p>本人向混沌天成国际申请开立证券现金账户/证券保证金账户/期货账户，本人在此确认在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。除本人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。本人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。</p> <p>本人已仔细阅读、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。本人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 (如本人有此意愿)。</p> <p>I wish to open Securities Cash account/ Securities Margin account/ Futures account with CIF. I confirm 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 true, 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.</p>	

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.  
 客户签名确认以上条款及细则 Client acknowledges the above terms and conditions by signing here.



客户签名 Client Signature

日期 Date

**11. 见证人见证 Witness Testimony**

本人是认可核证人，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 am a recognized certifier, 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 .....

**12. 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 .....

**13. 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 .....

混沌天成国际证券期货有限公司 CIF Securities Futures Limited

内部专用 For Internal Use Only

录入人/日期 Settlement Input, Date:

核查人/日期 Settlement Checker, Date: