

**新富期貨有限公司**

香港期貨交易所有限公司參與者

及註冊交易商

CE : 編號 : APX230

香港皇后大道中 183 號 中遠大廈 20 字樓

電話 : (852) 2853 2222 傳真 : (852) 2545 3711

SANFULL FUTURES LIMITED

Exchange Participant of Hong Kong Futures Exchange Limited and

Licensed Corporation of the Securities and Futures Commission

CE Ref : APX230

Suite 2001-6, 20/F, Cosco Tower,

183 Queen's Road Central, Hong Kong

Tel : (852) 2853 2222 Fax : (852) 2545 3711

期貨及期權交易戶口申請書 (個人或聯名戶口)**FUTURES & OPTIONS TRADING ACCOUNT APPLICATION (Individual or Joint Accounts)**

致：新富期貨有限公司 (「新富」)

To：SANFULL FUTURES LIMITED ("SFL")

帳戶編號：

Account No. : _____

懇請新富按照本戶口申請書條款及客戶協議 (二零零八年版) 開立及維持：

Pursuant to the terms of this Account Application and the Client Agreement of 2008 Edition, please open and maintain:

 個人交易戶口
an Individual Trading Account 聯名交易戶口
a Joint Trading Account

本戶口申請書所用詞語與客戶協議所界定者具相同涵義。

Terms defined in the Client Agreement have the same meaning when used in this Account Application.

本人 / 吾等明白為使新富有充分資料開立及管理該戶口必須提供本申請書要求提供的個人資料。本人 / 吾等已閱讀並接納客戶協議有關新富的個人資料政策及實務常規。

I/We understand that it is necessary for me/us to supply the personal data requested on this application form in order to enable you to open the Account; otherwise SFL will not have sufficient information to open and administer the Account. I/We have read and accept SFL's policies and practices relating to personal data in the Client Agreement.

1. 申請人資料 PARTICULARS OF THE APPLICANT(S)

A (1) 姓名 (中文)：先生 / 太太 / 小姐* _____

Name (in English)：Mr./Mrs./Miss* _____

(2) 出生日期 Date of Birth：_____ 國籍 Nationality：_____

香港身份證或護照號碼 Hong Kong Identity Card or Passport No：_____

(3) 住址 Residential Address：_____

居住年期 Year of Residence：_____ 住宅電話 Home Phone No.：_____

申請人住所是屬於那類？ What type of residence does Applicant belong?

 自置 Self owned； 家屬物業 Family property； 租用 Rent； 其他 Others：_____

如屬自置，物業有否按揭 (若有，請註明貸款人) If owned, does Applicant have a mortgage on the property (identify the lender if yes)：_____

(4) 移動號碼 Mobile Phone：_____ 傳真號碼 Facsimile：_____

主要電子郵件地址 Primary E-mail address：_____

額外電子郵件地址 Additional E-mail address：_____ (有需要者請提供 Supply if necessary)

(5) 往來銀行 Bankers：

請指示新富用作支付款項之申請人銀行賬戶

Please indicate the bank account for payment of money by SFL

 銀行 Bank：_____ 分行 Branch：_____ 賬戶號碼 Account No.：_____ 銀行 Bank：_____ 分行 Branch：_____ 賬戶號碼 Account No.：_____

(6) 僱主 (如屬自僱，謹請註明)：

Employer (if self-employed, so state)：_____

業務 / 受僱工作性質：

Nature of Business/Employment：_____

服務僱主年期：

Years of Service with Employer：_____ 職位 Position：_____

(7) 營業地址 Business Address：_____

營業電話 Office Phone No.：_____

(8) 財政狀況 Financial Profile

商品投資經驗 Experience in Commodities Investment :

一年以下 Less than 1 year ; 一年至五年 1 to 5 years ; 五年以上 More than 5 years ;

投資目標 Investment Objectives :

投資 Investment ; 投機 Speculation ;
 對沖 Hedging ; 其他 Others :

承受風險 Risk Tolerance :

高 Aggressive ; 中 Moderate ; 低 Conservative ;

每年收入(以港元計) Annual income (HK\$) :

少於 Less than \$250,000 ; \$250,001 - \$500,000 ; \$500,001 - \$750,000 ;
 \$750,001 - \$1,000,000 ; \$1,000,001 - \$2,000,000 ; 多於 Over \$2,000,000 ;

資產淨值 (以港元計)(不包括居住地方, 汽車, 傢俬及人壽保險等)

Net Assets (HK\$) : (Excluding place of residence, motor vehicles, furniture, life insurance policies, ...etc.)

少於 Less than \$250,000 ; \$250,001 - \$500,000 ; \$500,001 - \$750,000 ;
 \$750,001 - \$1,000,000 ; \$1,000,001 - \$2,000,000 ; 多於 Over \$2,000,000 ;

申請人否在下列任何公司開立戶口 (請於所有適當方格加上「✓」號)
Does the Applicant have accounts with any of following (tick appropriate boxes)?

- 新富金號 San Fu & Company
 新富證券有限公司 Sanfull Securities Limited
 其他 Others :

B (只供聯名戶口 JOINT ACCOUNTS ONLY) (如有需要, 可提供附件 Use separate sheet if necessary)

Name (in English) : Mr./Mrs./Miss* _____

(2) 出生日期 Date of Birth : _____ 國籍 Nationality : _____

香港身份證或護照號碼 Hong Kong Identity Card or Passport No : _____

(3) 住址 Residential Address : _____

居住年期 Year of Residence : _____ 住宅電話 Home Phone No. : _____

申請人住所是屬於那類? What type of residence does Applicant belong?

自置 Self owned ; 家屬物業 Family property ; 租用 Rent ; 其他 Others : _____

如屬自置, 物業有否按揭 (若有, 請註明貸款人) If owned, does Applicant have a mortgage on the property (identify the lender if yes) : _____

(4) 移動號碼 Mobile Phone : _____ 傳真號碼 Facsimile : _____

主要電子郵件地址 Primary E-mail address : _____

額外電子郵件地址 Additional E-mail address : _____ (有需要者請提供 Supply if necessary)

(5) 往來銀行 Bankers :

請指示新富用作支付款項之申請人銀行賬戶
Please indicate the bank account for payment of money by SFL

銀行 Bank : _____ 分行 Branch : _____ 賬戶號碼 Account No. : _____

銀行 Bank : _____ 分行 Branch : _____ 賬戶號碼 Account No. : _____

(6) 僱主 (如屬自僱, 謹請註明) :

Employer (if self-employed, so state) : _____

業務 / 受僱工作性質 :
Nature of Business/Employment : _____

服務僱主年期 : _____ 職位 : _____
Years of Service with Employer : _____ Position : _____

(7) 營業地址 Business Address : _____

營業電話 Office Phone No. : _____

(8) 財政狀況 Financial Profile

商品投資經驗 Experience in Commodities Investment :

一年以下 Less than 1 year ; 一年至五年 1 to 5 years ; 五年以上 More than 5 years ;

投資目標 Investment Objectives :

投資 Investment ; 投機 Speculation ;
 對沖 Hedging ; 其他 Others : _____

承受風險 Risk Tolerance :

高 Aggressive ; 中 Moderate ; 低 Conservative ;

每年收入(以港元計) Annual income (HK\$) :

少於 Less than \$250,000 ; \$250,001 - \$500,000 ; \$500,001 - \$750,000 ;
 \$750,001 - \$1,000,000 ; \$1,000,001 - \$2,000,000 ; 多於 Over \$2,000,000 ;

資產淨值 (以港元計)(不包括居住地方, 汽車, 傢俬及人壽保險等)

Net Assets (HK\$) : (Excluding place of residence, motor vehicles, furniture, life insurance policies, ...etc.)

少於 Less than \$250,000 ; \$250,001 - \$500,000 ; \$500,001 - \$750,000 ;
 \$750,001 - \$1,000,000 ; \$1,000,001 - \$2,000,000 ; 多於 Over \$2,000,000 ;

申請人否在下列任何公司開立戶口 (請於所有適當方格加上「✓」號)
Does the Applicant have accounts with any of following (tick appropriate boxes)?

- 新富金號 San Fu & Company
 新富證券有限公司 Sanfull Securities Limited
 其他 Others : _____

2 通訊方式 CORRESPONDENCE METHOD :

申請人的所有成交單據、買賣確認書及其他書信以下列方式發送到 (請選擇一種方式) :

All contract notes, trading confirmation, and other correspondences to be sent to Applicant through the following channel (Choose ONE only) :

住址 Residential Address 營業地址 Business Address 電子郵件地址 E-mail address

通訊地址 Correspondence Address: _____

(附註: 除月結單必須以郵遞方式發送外, 所有成交單據、買賣確認及其他書信皆會以上述方式發送。)

(Note: Except Monthly Statement have to be sent by mail, all contract notes, trading confirmations and other correspondences will be dispatched according to the above-chosen channel.)

3 申請人是否證券及期貨事務監察委員會註冊人士 (例如: 交易商、顧問代表) 或該人士之僱員? (如是, 謹請說明)

Is Applicant a person registered with the Securities and Futures Commission (e.g. as a dealer, adviser or representative) or an employee of such person? (If yes, please specify)

否 No

是, 僱主資料如下: (請附上僱主許可信)

Yes, the Employer's details are as follow : (Please supply Letter of Approval from your Employer)

交易商名稱 Licensed Corporation Name

職位 Position

註冊號碼 CE Number

4 申請人是否新富期貨有限公司、新富證券有限公司、新富金號或該公司任何附屬公司之任何董事、經紀或僱員之親屬? (如是, 謹請說明)

Is Applicant a relative of any director, account executive or employee of **SANFULL FUTURES LIMITED, SANFULL SECURITIES LIMITED, SAN FU & COMPANY** or any of these company's subsidiaries? (if yes, Please specify)

否 No

是 (請附上詳細資料)

Yes (Please provide details) _____

公司名稱 Company Name

職員名稱 Staff Name

關係 Relationship

5 授權第三者: AUTHORIZED THIRD PARTY :

按照客戶合約條款, 委任以下人士為授權第三者, 有權代表本人/吾等操作戶口:

Subject to the terms of the Client Agreement, the following person is appointed as an Authorized Third Party with authority to operate the Account on my/our behalf :

姓名 Name : _____ (中文) (Chinese) _____ (英文) (English)

別名(如有) : _____ 職業 : _____
Alias (if any) : _____ Occupation : _____

香港身份證 / 護照號碼 : (請提供影印本並標示「副本」字樣)
HKID/Passport No. : (Please supply photocopy marked "COPY") _____

地址 Address : _____

電話號碼 Telephone : _____ 移動號碼 Mobile Phone : _____

傳真號碼 Facsimile : _____ 電子郵件地址 E-mail address : _____

授權第三者簽名樣式

Specimen Signature of Authorized Third Party : _____

商品投資經驗 Experience in Commodities Investment :

一年以下 Less than 1 year ; 一年至五年 1 to 5 years ; 五年以上 More than 5 years ;

授權範圍 Authorized Authority :

只執行買賣指示 Trading Instructions Only 只執行交收指示 Settlement Instructions Only 執行所有指示 All Instructions

授權第三者作出以下聲明 : Authorized Third Party to provide the following declaration :

本人接受委任為授權人士，並聲明
I have accepted the appointment as the Authorized Person and hereby declare that

(1) 本人 是 / 不是* 新富的僱員，
I am/am not* an employee of SFL,

(2) 本人與申請人的關係為：(倘無關係請填「無」)
My relationship with the Applicant is: (if no relationship, put "nil") 配偶 spouse 其他 Other: _____

授權第三者簽署

Signature of Authorized Third Party : _____

附註 按照新富的政策，除非僱員是申請人的配偶，否則僱員概不能擔任授權第三者。
Note : It is the policy of SFL that none of its employees should be an Authorized Third Party, except where the employee is the spouse of the Applicant.

請提供各授權第三者的個別授權書。
Please supply a separate Authorization for each Authorized Third Party.

本人 / 吾等承諾以書面知會新富有關授權第三者往後的任何委任、變更、撤消或免任。
I/We undertake to inform SFL in writing of any subsequent appointment, change, revocation or removal of an Authorized Third Party.

本人 / 吾等明白及接納任何獲授權第三者的任何撤消或變更，本人 / 吾等必須以書面通知新富，且僅會於新富收妥該通知書當日起計五個交易日後 (或新富可接受的較短時間) 生效。
I/We understand and accept that any revocation or change of any Authorized third party must be notified to SFL by me/us in writing and shall not take effect until 5 trading days (or such shorter period as SFL may accept) after the day of actual receipt of such written notification by SFL.

6 聯名戶口適用 FOR JOINT ACCOUNTS : (如有需要，可提供附件 Use separate sheet if necessary)

新富已獲授權執行下述人士的指示 SFL is Authorized to act on the instructions of :

吾等任何一人 Any one of us.
 上述第 5 欄所指之授權第三者 Authorized Third Party stated in Item 5 above 其他，請說明： Others, please state : _____

7 最終受益人 ULTIMATE BENEFICIARY :

最終負責作交易指示的人士或法人團體：
Person or entity ultimately responsible for originating the instruction in relation to a transaction :

自己 Self
 授權人士 / 其他。 請填寫以下資料：
Authorized Person/Others. Please complete the following :
 個人 Personal

姓名 Name : _____ (中文) (Chinese) _____ (英文) (English)

別名(如有) : Alias (if any) :	職業 : Occupation :
香港身份證 / 護照號碼 : (請提供影印本) HKID/Passport No. : (Please supply photocopy)	
住址 : Residential Address :	
電話號碼 Telephone :	移動號碼 Mobile Phone. :
傳真號碼 Facsimile :	電子郵件地址 E-mail address. :
僱主名稱 : Name of Employer :	
職位 Position :	工作年期 Years of services :
與申請人關係 : (倘無關係請填「無」) Relationship to Applicant : (if no relationship, put "nil")	

法人團體 Legal Entity

姓名 Name :	(中文) (Chinese)	(英文) (English)
商業登記號碼 / 註冊成立證書號碼 : (請提供影印本) Business Registration/Certificate of Incorporation No. : (Please supply photocopy)		
註冊成立國家 : Country of Incorporation :	已發行股本 : Issued Share Capital :	
業務性質 Business Nature :	業務年期 Years in Business :	
主要營業地址* : Residential /Principal Business Address* :		
董事姓名 Name of Director(s) :		
與申請人關係 : (倘無關係請填「無」) Relationship to Applicant : (if no relationship, put "nil")		

8 電子交易服務 THE E-SERVICE :

申請人是否現要求新富根據本合約第 4 條之條款提供電子交易服務 :

Applicant hereby request SFL to provide the E-Service on the terms and conditions set out in Clause 4 of this Agreement. :

否 No

是, 本人 / 吾等同意受有關使用電子交易服務之條款約束。電子交易服務之電郵地址為 :

Yes, I/We agree to bound by the terms of using the E-Service. The email address for the E-Service is :

同上

Same as above

電子郵件地址

E-mail address. :

9 授權書 POWER OF ATTORNEY

本人 / 吾等以不可撤銷及擔保形式委任新富任本人 / 吾等的合法授權代表簽署任何文件, 以及作出所有新富真誠認為必須及本人 / 吾等合理作出以貫徹或基於本合約條款而產生的事宜。

I/We irrevocably and by way of security appoint SFL as my/our lawful attorney to execute any documents and do all things which SFL in good faith considers necessary and which I/we ought reasonably to do in furtherance or as a consequence of the terms of this Agreement.

10 聲明 DECLARATION

(1) 本人 / 吾等聲明及確認本戶口申請書上提供及隨附的資料皆為真確、完整及最近期, 而新富除非接獲本人 / 吾等以書面通知有任何變更, 否則有權完全依賴此等資料及聲明作一切用途。新富獲授權在任何時間聯絡任何人士 (包括本人 / 吾等的銀行、經紀或任何信貸機構), 以確定本戶口申請書上提供及隨附的資料。

I/We declare and represent that the information provided on or with this Account application is accurate, complete and up-to-date, and that SFL is entitled to rely fully on such information and representations for all purposes, unless SFL receives notice in writing of any change. SFL is Authorized at any time to contact anyone, including our banks, brokers or any credit agency, for purposes of verifying the information provided on or with this Account Application.

(2) 本人 / 吾等謹聲明上述所載有關最終受益人 (等) 的資料均屬真實、完整及正確。

I/We declare that the information provided herein in relation to the Ultimate Beneficiary(ies) is true, complete and correct.

- (3) 本人 / 吾等確認載於本合約的條文已按本人 / 吾等選擇語言 (英文或中文) 提供予本人 / 吾等, 且獲邀閱讀, 提出問題與徵求獨立的意見。
I/We confirm that the contents in this Agreement have been provided in a language of my/our choice (English or Chinese) and that I/we have been invited to read, ask questions and take independent advice if I/we so wish.
- (4) 本人 / 吾等確認載於本合約的風險披露聲明書已按本人 / 吾等選擇語言 (英文或中文) 提供予本人 / 吾等, 且獲邀閱讀風險披露聲明書, 提出問題與徵求獨立的意見。
I/We confirm that the risk disclosure statements in this Agreement have been provided in a language of my/our choice (English or Chinese) and that I/we have been invited to read the risk disclosure statements, to ask questions and take independent advice if I/we so wish.
- (5) 本人 / 吾等 確認本人 / 吾等已閱讀並知悉了解「恆生指數期貨」免責聲明、「恆生指數期權」免責聲明及「香港期交所」免責聲明的內容。
I/We the undersigned acknowledge that I/We have read and am/are aware of and understand the contents of the Hang Seng Indices Futures Disclaimer, the Hang Seng Indices Options Disclaimer and HKFE Disclaimer.
- (6) 本人 / 吾等 已接獲新富根據本合約第 22 條所指之有關合約細則文件。
I/We confirm that I/We have received the related contract specifications as indicated on Clause 22 of this Agreement.

本人 / 吾等已閱讀並完全明白本合約條款, 且同意受該等條款約束。

I/We have read and fully understood the terms of this Agreement and agree to be bound by them.

簽訂作契約於

Executed as a deed on _____ .
(填上日期) (insert date)

簽署、蓋印及送達：

Signed, sealed and delivered by：

申請人簽署

Applicant's Signature

見證人簽署 (見下列附註)

Witness Signature (see notes below)

見證人香港身份證 / 護照號碼

Name and HKID / Passport No.
of Witness

(A) _____ (L.S.) _____

(B) _____ (L.S.) _____

附註 Notes：

- 本協議書 **必須** 在新富僱員或任何其他註冊人 (按證券及期貨事務監察委員會條例 (第二十四章) 第二節解釋) 或註冊人的同系人士或太平紳士、銀行分行經理、律師、執業會計師或公證人見證下簽定。
This Agreement **MUST** be signed and witnessed before an employee of SFL, or before any other registered person (within the meaning of section 2 of the Securities and Futures Commission Ordinance (Cap. 24) or an affiliate of a registered person, or before a Justice of the Peace, branch manager of a bank, lawyer, certified public accountant or notary public.
- 倘本協議書在律師、執業會計師或公證人見證下簽定, 則必須填妥以下核證一欄。
Where this Agreement is signed and witnessed before a lawyer, certified public accountant or notary public, the lawyer, certified public accountant or notary public must complete the Certification below.
- 電子交易條例 (第五百五十三章) 認可的核證服務, 如香港郵政提供的核證服務亦適用。
Certification services that are recognized by the Electronic Transactions Ordinance (Cap. 553), such as the certification services available from the Hongkong Post, may also be employed.

核證 (如戶口申請書非在新富僱員面前簽署請填此欄)

CERTIFICATION (to be completed where Account Application not signed before an employee of SFL)

本人證實已經與在本人面前簽署本戶口申請書及名列其上的申請人會晤及核對其身份, 以及查核其香港身份證或護照正本。

I certify that I have met and identified the Applicant(s) named in this Account Application who executed this Account Application before me, and reviewed the original of his/their HKID card(s) or passport(s).

見證人簽署 Signature of Witness

姓名 (正楷)

Name (please print) :

職業 (正楷)

Profession (please print) :

日期

Date :

註冊人聲明 DECLARATION BY SFL'S REGISTERED PERSON

本人確認已經按申請人所選擇語言（英文或中文）提供載於客戶協議的風險披露聲明書，並已邀請申請人閱讀該風險披露聲明書、提出問題及徵求獨立的意見。

I confirm that I have provided the risk disclosure statements in the Client Agreement in a language of the Applicant's choice (English or Chinese), and have invited the Applicant to read the risk disclosure statements, ask questions and take independent advice if the Applicant wishes.

註冊人簽署 Signature of Registered Person

註冊人姓名 (正楷)

Name of registered person (please print) : _____

CE 編號 (正楷)

CE Number (please print) : _____

日期

Date : _____

本戶口申請書必須隨附以下文件：

This Account Application must be accompanied by the following documents :

- 所有申請人及最終實益持有人 (如有別申請人) 的香港身份證 / 護照的副本
Copies of the HKID or passport of all Applicants and ultimate beneficiaries (if different from Applicant(s))
- 證明申請人姓名及地址之電費單或銀行月結單 (倘第一段及第二段所示地址不同，則指證明有關地址的電費單或銀行月結單各一份)
A utility bill or bank statement verifying Applicant's name and address (for each address stated in paragraph 1 and in paragraph 2 if different)
- 名列第五項各授權人士的香港身份證 / 護照的副本 (如適用)
Copies of the HKID or passport of the Authorized Persons named in item 5. (if applicable)

在提交及由新嘉查對、簽署及批核一切所需文件之前，不得開始進行買賣。

Trading must not commence until all required documents are presented and the documentation checked, signed and approved by SFL.

由客戶經理填寫

TO BE COMPLETED BY ACCOUNT EXECUTIVE

客戶背景 Client's Background :						
客戶經理認識客戶多久 : How long known to Account Executive: _____ 年 Years / 月 Months						
經現有客戶介紹 Referred by existing client : _____ A/C# : _____						
交易戶口收費 Trading Account Fees & Charges:						
商品類別 Commodities	佣金 Brokerage Rate	最低佣金 Min Comm	交收費 Settlement Fee	即日 Day Trade	過夜 Overnight	其他 Others
HSI-F						
MHSI-F						
透支利率 Overdraft Interest Rate : 優惠利率 Prime Lending Rate + _____ % (年息 P.A.)						
存款息率 Credit Balance Deposit Rate : 儲蓄利率 Saving Rate - _____ % (年息 P.A.)						
客戶信貸資料 Client Credit Information (Completed by Account Manager)						
Existing Combined Exposure Limit : _____ Contracts			Proposed Combined Exposure Limit : _____ Contracts			
Existing Limit in HSI-F : _____ Contracts			Exposure Limit in Mini-HSI-F : _____ Contracts			
Margin Requirement : _____ Standard/Hedge			Margin Variation : _____ Standard			
其他條款 Other Terms : _____						
Initial Deposit : _____			Approved Trading : _____ Contracts			
客戶經理簽署 Account Executive's Signature : _____			部門主管批核 Department Head's Approval : _____			

*** 只供內部專用 For Internal Use Only ***			
處理人 Prepared By :	查核人 Checked By :	批核人 Approved By :	資料輸入人 Data Input By:
Name :	Name :	Name :	Name: