

**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 LIMITEDExchange 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 (公司戶口)**FUTURES & OPTIONS TRADING ACCOUNT APPLICATION (Corporate 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) 開立及維持公司交易戶口 :

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

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。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。

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. 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

公司名稱 Company Name : _____

註冊成立日期 Date of Incorporation : _____ 註冊成立國家 Country of Incorporation : _____

註冊成立證書號碼 Certificate of Incorporation No. : _____ 商業登記證號碼 Business Registration No. : _____

業務性質 Nature of Business : _____

註冊辦事處 Registered Office : _____

香港聯絡地址 Hong Kong Correspondence 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 : _____

2. 股本 Share Capital

法定股本 : _____ 股, 每股面值 _____ 元之股份

Authorized share capital : _____ shares of _____ par value each

已繳足股本 : _____ 股, 每股面值 _____ 元之股份

Paid up share capital : _____ shares of _____ par value each

3. 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. : _____**4. 申請人之任何董事或主要股東是否任何其股份可在交易所或市場買賣的公司之高級人員或董事或控制該公司之人士?****是 / 否 (如是, 謹請附上詳細資料)**Is any director or substantial shareholder of the Applicant a senior officer or director or in control of any company whose shares are traded on any exchange or market? **Yes/No*** (If yes, please attach details)

5. 申請人之任何董事或主要股東是否證券及期貨事務監察委員會註冊人士（例如：交易商、顧問或代表）或該人士之僱員？
是 / 否（如是，謹請說明）
 Is any director or substantial shareholder of Applicant a person registered with the Securities and Futures Commission (e.g. as a dealer, adviser or representative) or an employee of such person? **Yes/No*** (If yes, please specify)
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6. 申請人之任何董事或主要股東是否**新富證券有限公司**或該公司任何附屬公司之任何董事或僱員之親屬？
是 / 否（如是，謹請說明）
 Is any director or substantial shareholder of the Applicant a relative of any director or employee of **SANFULL FUTURES LIMITED** or any of that company's subsidiaries? **Yes/No*** (If yes, please specify)
-

7. **公司結構 Corporate Structure**

擁有公司百分之十或以上最終權益擁有人（*上市公司不用填寫*）
 Ultimate beneficial who holds 10% or more interest of the Company (*Not applicable to Public Listed Company*)

名稱 Name	地址 Address	百分比 %
_____	_____	_____
_____	_____	_____
_____	_____	_____

公司董事資料（*上市公司不用填寫*）
 Particulars of Director of the Company (*Not applicable to Public Listed Company*)

姓名 Name	地址 Address	身份證號碼 HKID No.
_____	_____	_____
_____	_____	_____
_____	_____	_____

8. **公司秘書 Company Secretary**

姓名 Name : _____ 電話號碼 Telephone : _____

9. **財政狀況 Financial Profile**

證券投資經驗 Experience in Securities Investment :

- 一年以下 Less than 1 year ; 一年至三年 1 to 3 years ;
 三年至五年 3 to 5 years ; 五年以上 More than 5 years ;

投資目標 Investment Objectives :

- 短線 Short term ; 長線 Long term ; 投機 Speculation ; 對沖 Hedge ;
 資產增值 Capital Gain ; 股息收益 Dividend Income ; 其他 Others ; _____

過去一年稅前純利（以港元計） Net Profit Before Tax In Preceding Year(HK\$) :

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

資產淨值（以港元計） Net Asset Value(HK\$) :

- 少於 Less than \$100,000 ; \$100,001 - \$300,000 ; \$300,001 - \$500,000 ;
 \$500,001 - \$1,000,000 ; \$1,000,001 - \$5,000,000 ; 多於 Over \$5,000,000 ;

信貸參考 Credit Reference : (銀行或其他經紀商提述 Bank or other Dealer references)

銀行或經紀商名稱 Name of Bank/Dealer	地址 Address	戶口類別 Type of Account	戶口編號 Account Number
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

10. 公司董事或同一集團的聯營/附屬公司是否新富的客戶？
 Is any director of the company or associate/affiliate company of the same group of companies maintained a trading account with SFL?

否 No

是 (如是, 謹請說明) :

Yes (If yes, please specify) : _____

11. 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 : _____

12. 最終負責作出交易指示的人士姓名或法人團體 :

Person or entity ultimately responsible for originating the instruction in relation to a transaction :

申請人 Applicant

授權人士 / 其他。 請填寫以下資料 :

Authorized Person/Others. Please complete the following :

姓名 Name : _____

香港身份證 / 護照號碼

HKID/Passport No. : _____

職業

Occupation : _____

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 : _____

13. 代表收取交易的商業或經濟利益及 / 或承擔其商業或經濟風險的人士或法人團體 (即「最終實益擁有人」)。(如有需要, 可提供附件。)

Person or entity (i.e. "ultimate beneficiary") that stands to gain the commercial or economic benefit of the transaction and/or bear its commercial or economic risk. (Use separate sheet if necessary.)

申請人 Applicant

授權人士 / 其他。 請填寫以下資料 :

Authorized Person/Others. Please complete the following :

姓名 Name : _____

香港身份證 / 護照號碼

HKID/Passport No. : _____

(如屬個人) (if an individual)

職業

Occupation : _____

(如屬個人) (if an individual)

註冊成立國家

Country of Incorporation : _____

(如屬公司) (if a corporation)

註冊成立日期

Date of Incorporation : _____

(如屬公司) (if a corporation)

註冊成立證書號碼

Certificate of Incorporation No. : _____

(如屬公司) (if a corporation)

商業登記證號碼

Business Registration No. : _____

(如屬公司) (if a corporation)

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 : _____

14. 授權人士 Authorized Persons

為使擔任授權人士的個人人士可運作戶口, 其必須提供要求提供的個人資料, 並且於提供要求提供的資料前閱讀並接納客戶合約有關新富的個人資料政策及實務常規。(如有需要, 可提供附件。)

It is necessary for each individual acting as an Authorized person to supply the requested personal data in order for him to operate the Account as such, not to read and accept SFL's policies and practices relating to personal data in the Client Agreement before providing the requested information. (Use separate sheet if necessary.)

以下人士獲授權代表吾等運作該戶口 :

The following persons are Authorized to operate the Account on our behalf :

Name in English	姓名 (中文)	在申請人公司內之職位 或職銜 / 職業 Position or title in Applicant/Occupation	香港身份證 / 護照號碼 HKID/Passport No.	簽名樣式 Specimen Signature
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(A)				
(B)				

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

- 上述人士任何一個人
Any one of the above-named persons
- 上述人士任何兩個人
Any two of the above-named persons
- 其他。請詳盡：Others. Please provide details : _____

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

- 只執行買賣指示
Trading Only
- 只執行交收指示
Settlement Only
- 執行所有指示
All Instructions
- 其他。請詳盡
Others. Please provide details

<p>(A) 授權人士作出以下聲明： Authorized Person to provide the following declaration :</p> <p>本人接受委任為授權人士並聲明 I have accepted the appointment as the Authorized Person and declare that</p> <p>本人 是 / 並非 新富的僱員，但本人擁有足夠的股份以控制或影響申請人，申請人之董事局或申請人業務的管理。 I am/am not an employee of SFL but I have sufficient shareholding to control or influence the Applicant, its board or the conduct of the Applicant's business*.</p> <p>授權人簽署： Signature of Authorized Person : _____</p>
<p>(B) 授權人士作出以下聲明： Authorized Person to provide the following declaration :</p> <p>本人接受委任為授權人士並聲明 I have accepted the appointment as the Authorized Person and declare that</p> <p>本人 是 / 並非 新富的僱員，但本人擁有足夠的股份以控制或影響申請人，申請人之董事局或申請人業務的管理。 I am/am not an employee of SFL but I have sufficient shareholding to control or influence the Applicant, its board or the conduct of the Applicant's business*.</p> <p>授權人簽署： Signature of Authorized Person : _____</p>

附註： 按照新富的政策，除非僱員擁有足夠的股份以控制或影響申請人，申請人之董事局或申請人業務的管理，否則僱員概不能擔任授權人士。

Note : It is the policy of SFL that none of its employees should be an Authorized Person, except where the employee has sufficient shareholding to control or influence the Applicant, its board or the conduct of the Applicant's business.

吾等承諾以書面知會新富有關授權人士往後的任何委任、變更、撤銷或免任。
We undertake to inform SFL in writing of any subsequent appointment, change, revocation or removal of an Authorized Person.

吾等明白及接納任何獲授權人士的任何撤銷或變更，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。
We understand and accept that any revocation or change of any Authorized person 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.

15. 聲明及授權 Declaration and Authorization

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。

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.

16. 授權書 Power of Attorney

吾等以下可撤銷及擔保形式委任新富擔任吾等的合法授權代表簽署任何文件，以及作出所有按新富真誠認為必須及吾等合理作出以貫徹或基於本合約條款而產生的事宜。

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

17. 風險披露聲明書 Risk Disclosure Statements

吾等確認載於本合約的風險披露聲明書已按吾等選擇語言（英文或中文）提供予吾等，且獲邀閱讀風險披露聲明書，提出問題與徵求獨立的意見。

We confirm that the risk disclosure statements in this Agreement have been provided in a language of our choice (English or Chinese) and that we have been invited to read the risk disclosure statements, to ask questions and take independent advice if we so wish.

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。

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)

於 _____ 面前蓋上公印
The Common Seal of

(公司申請人正楷名稱) (print name of corporate applicant)

was affixed in the presence of :

董事簽署 Signature of Director
董事姓名 Name of Director :

見證人簽署 Signature of Witness
見證人姓名 Name of Witness :

董事簽署 Signature of Director
董事姓名 Name of Director :

見證人簽署 Signature of Witness
見證人姓名 Name of Witness :

附註 Notes :

1. 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.
2. 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.
3. 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的申請人各人員會晤及核對其身份，以及查核其香港身份證或護照正本及授權其簽署本戶口申請書的文件。

I certify that I have met and identified each of the Applicant's officers who executed this Account Application before me, and reviewed the original of his HKID card or passport and the documents authorizing him to sign this Account Application.

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 :

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 (所有核證副本必須經由公司秘書、董事、律師 (倘為香港註冊成立公司) 或執業會計師或公證人 (倘非香港註冊成立公司) 核證) :

This Account Application must be accompanied by the following documents (all certified copies must be certified by (in the case of a company incorporated in Hong Kong) the Company Secretary, a Director, a lawyer, or by (in the case of a company not incorporated in Hong Kong) a certified public accountant or notary public, to be true copies) :

- 名列第十四項各授權人士身份證 / 護照的副本
Copies of the I.D. cards/passports of the Authorized Persons named in item 14.
- 申請人商業登記證的核證副本
A certified copy of the Business Registration Certificate of the Applicant.
- 註冊成立證書的核證副本
A certified copy of Certificate of Incorporation.
- 組織章程大綱及章程細則或其他公司章程性質文件的核證副本
A certified copy of Memorandum and Articles of Association or other constitutive documents.
- 正確及最近期的現任董事及人員名單
A list of the current directors and officers to be accurate and up to date.
- 批准本合約條款及按上述形式簽署本合約董事會決議案的核證副本
A certified copy of board resolutions approving the terms and authorizing the execution of this Agreement in the manner above.
- 由董事作出之書面擔保及彌償契約
Deed of Guarantee and Indemnity signed by director(s).
- 倘申請人並非最終實益擁有人，則須隨附最終實益擁有人之註冊成立證書及商業登記證的核證副本 (如屬公司) 或身份證 / 護照的副本 (如屬個人)
If an ultimate beneficiary is not an Applicant, a certified copy of the Certificate of Incorporation and the Business Registration Certificate (if a corporation) or a copy of the I.D. cards/passports (if an individual) of the ultimate beneficiary.

在提交及由新富查對、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:

證券交易戶口申請書 (公司戶口)
BOARD RESOLUTION

AT A MEETING OF THE BOARD OF DIRECTORS OF

_____ (the "Company") duly constituted in accordance
with the laws of _____ and the Company's constitution, and held at _____

on _____ day of _____, the following matter was noted, documents tabled and the resolutions duly and effectively passed:-

1. IT WAS NOTED THAT the Company intends to make application to open a commodities trading account with Sanfull Futures Limited ("SFL") relating to the sale and purchase of futures and options products.
2. TABLED BEFORE the meeting are copies of:-
 - a. CLIENT AGREEMENT (2008 Edition) relating to the sale and purchase of futures and options;
 - b. ACCOUNT APPLICATION (Corporate Accounts);Copies of which for identification purposes are attached hereto and deemed to form a part of these minutes.
3. IT WAS RESOLVED THAT:-
 - a. the Company should make an application for the opening of account with SFL;
 - b. the terms and conditions as set out in the Client Agreement, and Account Application be and are hereby approved and accepted;
 - c. any one Director of the Company be and is hereby Authorized to execute, complete and deliver to SFL the Client Agreement, Account Application, and any other documents contemplated by or incidental thereto under the common/corporate* seal of the Company where necessary provided that such seal shall be affixed in the presence of such additional Director(s) and/or the Company's Secretary as may be required in the Company's constitution.
 - d. The following persons set out below be and are hereby appointed as the Authorized Persons and that their names be entered into and that they sign the Account Application as such:-

1. _____	2. _____
3. _____	4. _____
 - e. subject to 3(f) below, any _____ of the Authorized Persons mentioned in Item 3(d) above be and is/are* hereby Authorized to give all instruction and receipts on behalf of the Company to SFL as may from time to time be required or desirable in connection with the Client Agreement, Account Application and the Company's account with SFL or otherwise;
 - f. any _____ of the Authorized Persons mentioned in Item 3(d) above be and is/are* hereby Authorized to give, on behalf of the Company, such instructions to SFL as may relate to the trading in, including the purchase or sale of, any securities whether or not such activity involves a change in the amount to which the Company is indebted to SFL.
4. IT WAS FURTHER RESOLVED THAT the authority conferred by Item 3(e) and 3(f) above shall remain in full force and effect until 5 days (or such shorter period as SFL may accept) after written notice of their revocation certified in the same manner as set out below shall be received by SFL.

CERTIFICATE

The undersigned, Company Secretary/Director*# of

_____ (the "Company") hereby certifies that the foregoing is a full, true and correct copy of resolutions duly, regularly and effectively passed and adopted by the Board of Directors of the Company on the date stated therein; that said resolutions appear in the statutory books of the Company and that the same have not been rescinded or modified and are now in full force and effect.

The undersigned hereby further certifies that the Company is duly organised and existing and has the power to take the action called for in the foregoing resolutions.

Dated the _____ day of _____

Signature of the Company Secretary/Director*#
(with company chop)

Name of the Company Secretary/Director*#

* delete whichever is not applicable

Director to sign only if there is no Company Secretary