

Account No.

客戶號碼：\_\_\_\_\_

**Account Opening Form – Futures Account**

**開戶表 – 期貨戶口**



**保利達集團**

**Polytec Group**

**亨達期貨有限公司**

**Hantec Futures Limited**

**亨達期貨有限公司**

**Hantec Futures Limited**

**OPENING INFORMATION FORM (INDIVIDUAL / JOINT ACCOUNT)**

**開戶資料表格 (個人/ 聯名戶口)**

Account Number 客戶賬號		A/C Opening Date 開戶日期	
Name English 客戶姓名 英文		<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Miss <input type="checkbox"/> Ms.	
Chinese 中文		<input type="checkbox"/> 先生 <input type="checkbox"/> 太太 <input type="checkbox"/> 小姐 <input type="checkbox"/> 女士	
Date of Birth 出生日期		Date of Birth 出生日期	
I.D / Passport No. 身份證/護照號碼 (Please attach copies 請附上文件副本)		Issued in 簽發地點	
Marital Status <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Others 婚姻狀況 獨身 已婚 其它		Nationality 國籍	
Home Address 住宅地址 <input type="checkbox"/> Rented 租住 <input type="checkbox"/> With parents 與父母同住 <input type="checkbox"/> Owned 自置 ( <input type="checkbox"/> Mortgage 按揭 <input type="checkbox"/> Non-mortgage 非按揭)			
Business Address 商業地址			
All Correspondence and Statements to be sent to 所有書信及賬單請寄交本人之		<input type="checkbox"/> Home Add. 住宅地址 <input type="checkbox"/> Home Fax 住宅傳真 <input type="checkbox"/> Business Add. 商業地址 <input type="checkbox"/> Business Fax 商業傳真 <input type="checkbox"/> Email 電子郵箱 <input type="checkbox"/> Collect in Person (Reason) 自取 (原因) _____	
Home Tel. No. 住宅電話		Home Fax. No. 住宅傳真	
Business Tel. No. 商業電話		Business Fax. No. 商業傳真	
Mobile Phone / Pager No. 手提電話 / 傳呼機		Email Address 電子郵址	
Current Employer (or Name of Business) 僱主名稱 (或商號)			
Occupation / Nature of Business 職業 / 業務性質		Year of Service 服務年期	
Bank Account Information 銀行賬戶資料			
Bank Name 銀行名稱		Branch 分行	
Account Name 賬戶名稱		A/C No. 賬戶號碼	
Client Investment Experience (Years) 客戶投資經驗(年資)  <input type="checkbox"/> Less than 1 year (少於一年) <input type="checkbox"/> 1 to 3 Years (一至三年) <input type="checkbox"/> 3 to 5 Years(三至五年) <input type="checkbox"/> 5 to 10 Years (五至十年) <input type="checkbox"/> Over 10 Years(十年以上)		Client Investment Objective(s) 客戶投資目的  <input type="checkbox"/> Conservation of capital 保本投資 <input type="checkbox"/> Income 收入來源 <input type="checkbox"/> Long-term growth 長線增值 <input type="checkbox"/> Short-term trading 短期買賣 <input type="checkbox"/> Speculation 投機性資本增值 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Others, please specify 其他, 請描述 _____	

<p>Experienced Products 曾投資的產品</p> <p><input type="checkbox"/> Stocks 證券</p> <p><input type="checkbox"/> Warrants 認股權證</p> <p><input type="checkbox"/> Futures 期貨</p> <p><input type="checkbox"/> Options 期權</p> <p><input type="checkbox"/> ELN 高息票據</p> <p><input type="checkbox"/> Others, please specify 其他請註明: _____</p>	<p>Source of Income 收入來源</p> <p><input type="checkbox"/> Nil 沒有                      <input type="checkbox"/> Salary 薪金</p> <p><input type="checkbox"/> Commission 佣金      <input type="checkbox"/> Rent 租金</p> <p><input type="checkbox"/> Dividend 股息          <input type="checkbox"/> Interest 利息</p> <p><input type="checkbox"/> Business Profit 業務溢利</p> <p><input type="checkbox"/> 其他 Others: _____</p>
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<p>Annual Income (HKD) 每年收入(港幣)</p> <p><input type="checkbox"/> Under \$100,000 (10 萬元以下)</p> <p><input type="checkbox"/> \$100,001 to \$500,000</p> <p><input type="checkbox"/> \$500,001 to \$1,000,000</p> <p><input type="checkbox"/> \$1,000,001 to \$3,000,000</p> <p>Others, please specify 其他請註明 _____</p>	<p>Estimated Net Asset Value (HKD) 估計資產淨值(港幣)</p> <p><input type="checkbox"/> Under \$100,000 (10 萬元以下)</p> <p><input type="checkbox"/> \$100,001 to \$500,000</p> <p><input type="checkbox"/> \$500,001 to \$1,000,000</p> <p><input type="checkbox"/> \$1,000,001 to \$3,000,000</p> <p><input type="checkbox"/> Others, please specify 其他請註明 _____</p>
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\*\*\*If the account consists of more than one individual, each of them hereby declares that the account is a joint account with right of survivorship.      若賬戶超過一人，每人需宣告本賬戶為聯名賬戶連同生存者取得權。

### Declaration by Client 客戶聲明

1. Are you the ultimate beneficial owner(s) in relation to the Account? 你是否此戶口的最終權益擁有人?

Yes 是

No 否, please state the following 請作下列披露:

Name of the ultimate beneficial owner(s) 最終權益擁有人姓名: \_\_\_\_\_ ID NO. 身份證號碼: \_\_\_\_\_

Whether the ultimate beneficial owner(s) of the account is / are a director or an employee of any member of Hong Kong Exchange and Clearing Ltd.

本賬戶最終權益人是否香港交易所會員之董事或僱員                       Yes 是                       No 否

2. Are you a relative of an employee of Hantec Securities Company Ltd/ Hantec Futures Limited?

閣下與亨達証券有限公司/ 亨達期貨有限公司之職員是否有親屬關係?

Yes 是, Name 職員名稱: \_\_\_\_\_ Relationship: 關係: \_\_\_\_\_

No 否

3. Are you an employee of any participant of Hong Kong Futures Exchange or a registered person under the Securities and Futures Ordinance?

閣下是否其他香港期貨交易所參與者之僱員或任何根據證券及期貨條例註冊之人士?

Yes 是, Participant Name 參與者名稱: \_\_\_\_\_

Position 職位: \_\_\_\_\_ (CE No. 中央編號: \_\_\_\_\_)

No 否

## Acknowledgement 確認

I / We confirm that I / We have read and agree to the terms of Standard Agreement For Futures Client and Risk Disclosure Statement which have been explained to the client in a language that the client understands.

本人 / 吾等確認本人 / 吾等已詳閱並同意期貨客戶標準協議書的條款及風險披露聲明，而且該等條款已經以本人 / 吾等明白的語言向本人 / 吾等解釋。

I / We represent that the information on this Opening Information Form is true, complete and correct and that the representations in the attached agreement are accurate. Your company is entitled to rely fully on such information and representations for all purposes, unless your company receives notice in writing of any change. Your company is authorized at any time to contact anyone, including my / our banks, brokers or any credit agency, for the purpose of verifying the information provided on this Client Confidential Profile.

本人 / 吾等在本客戶開戶資料表格提供之一切資料均屬真實及完整無誤，而附上之客戶協議書內所有陳述亦屬準確。除非貴公司收到更改有關聲明內容之書面通知，貴公司有權在任何用途上完全依信此等資料聲明，貴公司有權隨時聯絡任何人士，包括本人 / 吾等之往來銀行、經紀或任何信貸調查機構，以求實本客戶機密資料內所載之內容。

Signature(s) 客戶簽署

Signature(s) 客戶簽署- Joint Account / 聯名戶口

Date 日期

Date 日期

Specimen Signature(s) 簽名式樣

The signature appended below are my / our specimen signature(s) against which you are authorized to effect my / our instructions in respect of funds transfers and deposit or withdrawal or other business in my / our accounts with you. I / We further agree that I / we will observe and be willing to be bound by your client agreement and that such instructions if bear any \_\_\_\_\_ of the below signatures will be valid and effective to all intents and purposes.

附列以下簽署乃本人 / 吾等之簽名式樣，憑本人 / 吾等之簽名式樣其中 \_\_\_\_\_ 名簽署，即可發出有效指令，授權 貴公司從本人 / 吾等之賬戶內存入或支付款項或進行其他交易，並同意具有本人 / 吾等之簽名式樣之指令均會遵守及受約束於客戶章則。

1. Specimen Signature(s) 簽名式樣

3. Specimen Signature(s) 簽名式樣  
Joint Account / 聯名戶口

2. Specimen Signature(s) 簽名式樣

4. Specimen Signature(s) 簽名式樣  
Joint Account / 聯名戶口

## Acknowledgement of the Internet Futures Trading Agreement / 確認互聯網期貨買賣協議書

I/We intend to use the Electronic Trading Service. I have read and understood the content of the Internet Futures Trading Agreement and accept and agree to be bound by the same.

本人/吾等欲使用電子交易服務。本人/吾等確認已閱讀並明白互聯網期貨買賣協議書，並且接受及同意受該協議書約束。

Signature(s) 客戶簽署

Signature(s) 客戶簽署- Joint Account / 聯名戶口

Date 日期

Date 日期

Password Delivery:密碼送遞:  In person 親自到取  By Mail 郵寄  By Email:電郵: \_\_\_\_\_

**Declaration by licensed Representative****持牌代表聲明**

I, a licensed representative, declare that I have provided the above client with the Standard Agreement for Futures Client, Risk Disclosure Statement in a language of the Client' s choice and invited the client to read the Risk Disclosure Statement, ask questions and take independent advice if the customer so wishes.

本人，以持牌代表身份，確認本人已按照上述客戶所選擇的語言提供期貨客戶標準協議書、風險披露聲明及邀請客戶閱讀該風險披露聲明、提出問題及徵求獨立意見(如客戶有此意願)。

Signed by licensed Representative

持牌代表簽署

Name of Staff :職員姓名

CE Number 中央編號

Date 日期

**Checklist**

- Duly signed Client' s Agreement, ID copy and Appendix. 已簽署之客戶協議書、身份證副本及附件。
- Document showing client' s latest address (e.g. utilities bills etc.).近期地址證明 (例如水電費單等)。
- Copies of the I.D. cards / passports of the Authorized Persons. 各授權人士身份證 / 護照的副本。

Input by  
資料輸入Check by  
核對Approve by  
批核



保利達集團

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亨達期貨有限公司

Hantec Futures Limited

香港期貨交易所參與者

Participant of Hong Kong Futures Exchange Ltd.

## 「評估客戶對衍生工具的認識」表格

<p>評估客戶對衍生工具的認識的條件</p> <p>1. 本人於過去三年，曾執行五次或以上有關衍生產品(不論是否在交易所買賣)的交易，例如：衍生權證、牛熊證、股票期權、期貨、商品、結構性產品及交易所買賣基金等。</p> <p>2. 本人於現時或過去擁有與衍生產品有關的工作經驗*。（* 對於企業客戶，請提供負責掌管帳戶或作出投資決策的最終控制者之姓名及相關資料。） 職位：_____ 工作年期：_____</p> <p>_____ 最終控制者之姓名(企業客戶適用)：</p> <p>_____ 其他資訊：</p> <p>_____</p> <p>3. 本人曾接受有關衍生產品的培訓或修讀相關課程*。（* 對於企業客戶，請提供負責掌管帳戶或作出投資決策的最終控制者之姓名及相關資料。） 最終控制者之姓名(企業客戶適用)：</p> <p>_____ 請提供詳情：</p> <p>_____</p> <p>4. 本人/我們確認已仔細閱讀及完全明白，由亨達期貨有限公司提供，並以本人/我們所選擇之語言(英文或中文)的「就在交易所買賣的衍生產品所附帶的風險作出解釋」。本人/我們並願意承擔交易相關衍生產品所帶來的潛在風險。</p>
<p>客戶聲明</p> <p>本人/我們謹此聲明本人/我們已符合如下所示之上述評估條件並已提供相關資料：</p> <p><input type="checkbox"/> 條件(1)      <input type="checkbox"/> 條件(2)      <input type="checkbox"/> 條件(3)      <input type="checkbox"/> 條件(4)</p>
<p>客戶簽署 (所有聯名客戶必須簽署)</p> <p>_____</p> <p>帳戶號碼：</p> <p>帳戶姓名：</p> <p>簽署日期：</p>



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## “Assess a Client’s Knowledge of Derivatives” Form

### Criteria for Assessing a Client’s Knowledge of Derivatives

1. I have executed five or more transactions in derivative products (whether traded on an exchange or not), e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures, Commodities, Structured Products and ETFs, etc. within the past three years.

2. I have current or previous work experience related to derivative products\*.

(\* For corporate client, please provide the name(s) and information relevant to the ultimate person(s) who control(s) the account or make(s) investment decision)

Position: \_\_\_\_\_ No. of years of experience: \_\_\_\_\_

Name(s) of Ultimate Person: (For corporate clients only) \_\_\_\_\_

Other information: \_\_\_\_\_

3. I have undergone relevant training or attended relevant courses on derivative products\*.

(\* For corporate client, please provide the name(s) and information relevant to the ultimate person(s) who control(s) the account or make(s) investment decision)

Name(s) of Ultimate Person: (For corporate clients only) \_\_\_\_\_

Please provide details: \_\_\_\_\_

4. I/We acknowledge that I/we have read and fully understood the document entitled “Explanation of Risks Associated with Exchange-Traded Derivative Products” provided by Hantec Futures Limited in a language of my/our choice (English or Chinese).

I/We am/are willing to accept the risks associated with trading derivative products.

### Client Declaration

I/We hereby declare that I/we have fulfilled the above-mentioned assessment criterion/criteria as indicated below and provided the relevant information.

Criterion 1       Criterion 2       Criterion 3       Criterion 4

Client Signature : (All account holders of joint account must sign jointly)

Account No:

Account Name:

Date: