

FUTURES ACCOUNT
期貨戶口

Individual	個人
Joint	聯名
Sole Proprietorship	獨資經營
Partnership	合夥經營

Client Information Statement
客戶資料表格

DOCUMENT REQUIRED FOR OPENING OF ACCOUNT BY INDIVIDUAL / JOINT / PARTNERSHIP / SOLE PROPRIETOR 個人 / 聯名 / 合夥經營 / 獨資經營戶口開戶所需文件

INDIVIDUAL OR JOINT ACCOUNT 個人或聯名戶口

- ☐ Photocopy of the I.D. Card or Passport or Valid Official Identity Document (with biodata page containing the bearer's photograph and biographical details) of each individual/joint account holder 個人或每位聯名戶口持有人身份證或護照或有效身份證明文件 (載有持有人的相片及個人資料的個人資料頁) 副本
- ☐ Residential Address Proof (e.g. electricity bill, bank statement, etc., dated within 3 months) 住宅地址證明 (如電費單、銀行帳單等日期需為三個月內)
- ☐ Financial Status Proof issued within 3 months (if required by UOB Kay Hian Futures (Hong Kong) Limited) 3個月內發出的財務狀況證明 (如大華繼顯期貨(香港)有限公司要求)

e.g. (1) Copy of Bank Statement or Bank Book 銀行帳單或存摺副本
(the front page and the latest updated page 首頁及最近紀錄)

**Mandatory document for registered bank account number.
必須提供此文件作登記銀行戶口之用**

- (2) Other Accepted Valid Document e.g. monthly salary statement or letter from employer confirming current salary 其他有效文件 (如每月薪金結單或僱主確認目前薪金的函件)

PARTNERSHIP/SOLE PROPRIETOR ACCOUNT 合夥經營/獨資經營者戶口

- ☐ Photocopy of Business Registration Certificate 商業登記牌照副本
- ☐ Photocopy of the I.D. Card or Passport or Valid Official Identity Document of Each Partner or Sole Proprietor 合夥人或獨資經營者身份證或護照或有效身份證明文件副本
- ☐ Copy of Latest Financial Statement/Accounts 最新的財務報表或帳目副本
- ☐ List of Partners or Shareholders 合夥人或股東名單
- ☐ Residential Address Proof of Each Partner or Sole Proprietor (e.g. electricity bill, bank statement, etc., dated within 3 months) 合夥人或獨資經營者住宅地址證明 (如電費單、銀行帳單等日期需為三個月內)

Where any document provided by the sole/joint account holder is in a language other than Chinese or English, certified English translation of such document should also be provided. 如個人 / 聯名戶口持有人提供的任何文件是以中文或英文以外的語言書寫，則應提供該文件的核證英文譯本。

APPLICABLE TO NON FACE-TO-FACE ACCOUNT OPENING PROCEDURE: 適用於非面對面開戶程序：

Method 1 : Personal cheque received (ONLY applicable to INDIVIDUAL OR JOINT ACCOUNT)

方法 1 : 收取的個人支票 (僅適用於個人或聯名戶口)

- ☐ Issued from a licensed bank in Hong Kong 由香港持牌銀行開出
Payable to "UOB KAY HIAN FUTURES (HONG KONG) LIMITED" 抬頭寫上「大華繼顯期貨(香港)有限公司」
- ☐ Cheque amount not less than HK\$10,000 支票金額不少於港幣\$10,000
- ☐ Client name shown on cheque 在支票上寫上客戶姓名

Method 2 : Witnessed by Professional

方法 2 : 由專業人士見證

- ☐ Execution not in the presence of employee of UOB Kay Hian Futures (Hong Kong) Limited
並非在大華繼顯期貨(香港)有限公司的員工見證下簽署

The execution of this Form should be witnessed and documents as required above should be certified by the professional specified in the form. 本表格的簽署應由本表格指明的專業人士見證，而上文所需的文件應由本表格指明的專業人士核證。

Notes 注意：

1. Any deletion or amendment must be initialed by all account holders. 任何刪除或修改必須由客戶簽署作實。
2. UOB Kay Hian Futures (Hong Kong) Limited reserves the right to decline any account opening request without providing any reason.
大華繼顯期貨(香港)有限公司保留在不給予任何理由下，拒絕任何開戶申請的權利。

UOB KAY HIAN FUTURES (HONG KONG) LIMITED (CE No.: AHY424)

大華繼顯期貨（香港）有限公司（中央編號：AHY424）

www.ustrade.com.hk

- ☐ **Individual** 個人
- ☐ **Partnership** 合夥經營
- ☐ **Sole Proprietorship** 獨資經營

Account No.:*(for official use only)***1. Account Holder(s) 戶口持有人**

1. (Sole Account Holder/Main Account Holder 個人戶口持有人/主要戶口持有人)

In English 英文姓名

In Chinese 中文姓名

2. (Joint Account Holder 聯名戶口持有人)

In English 英文姓名

In Chinese 中文姓名

2. Residential Address 住宅地址

1. (Sole Account Holder/Main Account Holder 個人戶口持有人/主要戶口持有人)

(For U.S. address, please also see box 11.7 on page 8 如屬美國地址，請同時參見第 8 頁的方格 11.7)

☐ Self-owned 自置 Approx. net value (less mortgage) of property 物業淨值約數(扣除按揭) HK\$ (港幣)☐ Rented 租用☐ Living with family/relative 與家人/親戚同住

2. (Joint Account Holder 聯名戶口持有人)

(For U.S. address, please also see box 11.7 on page 8 如屬美國地址，請同時參見第 8 頁的方格 11.7)

☐ Self-owned 自置 Approx. net value (less mortgage) of property 物業淨值約數(扣除按揭) HK\$ (港幣)☐ Rented 租用☐ Living with family/relative 與家人/親戚同住**3. Personal Particulars 個人資料****3.1. Sole Account Holder/Main Account Holder 個人戶口持有人/主要戶口持有人**HKID No. or Passport No.
身份證號碼或護照號碼Country of issue
簽發地點Gender
性別Date of Birth
出生日期

Marital Status 婚姻狀況

☐ Single 未婚 ☐ Married 已婚☐ Others (Please specify) 其他(請註明) _____

Country of Birth* 出生國家

☐ Hong Kong 香港☐ People's Republic of China 中國☐ U.S. 美國☐ Others (Please specify) 其他(請註明) _____

Nationality* 國籍

☐ Chinese 中國 ☐ U.S. Citizen 美國公民☐ Others (Please specify) 其他(請註明) _____

(Please provide us with completed Form W-9 and US Taxpayer Identification No. below. Form W-9 is available at <http://www.ustrade.com.hk> or from our Client Services Dept.) (請提供一份已完成的 W-9 表格及美國稅務號碼。W-9 表格可在本公司網站 <http://www.ustrade.com.hk> 下載或客戶服務部索取。)

U.S. Taxpayer Identification No. 美國稅務號碼

* Please also see box 11.7 on page 8 請同時參見第 8 頁的方格 11.7

Foreign Tax Resident Information 國外納稅人資料

Are you a foreign tax resident? 閣下是否國外納稅人?

☐ Yes 是☐ No 否

If yes, please list the country or countries in which you are a tax resident. 如是，請列出閣下納稅所屬之國家。

Country 國家

Foreign Tax Identifying Number 國外稅務號碼

Mobile Phone No. 手提電話

Residential Phone No. 住宅電話

Business Phone No. / Fax No. 公司電話 / 傳真號碼

Education Level 教育程度

☐ Primary or below 小學或以下☐ Secondary 中學☐ University or above 大學或以上**3.2 Joint Account Holder 聯名戶口持有人**HKID No. or Passport No.
身份證號碼或護照號碼Country of issue
簽發地點Gender
性別Date of Birth
出生日期

Marital Status 婚姻狀況

☐ Single 未婚 ☐ Married 已婚☐ Others (Please specify) 其他(請註明)

Country of Birth* 出生國家

☐ Hong Kong 香港☐ People's Republic of China 中國☐ U.S. 美國☐ Others (Please specify) 其他(請註明)

Nationality* 國籍

☐ Chinese 中國 ☐ U.S. Citizen 美國公民☐ Others (Please specify) 其他(請註明)(Please provide us with completed Form W-9 and US Taxpayer Identification No. below. Form W-9 is available at <http://www.ustrade.com.hk> or from our Client Services Dept.)(請提供一份已完成的 W-9 表格及美國稅務號碼。W-9 表格可在本公司網站 <http://www.ustrade.com.hk> 下載或客戶服務部索取。)

U.S. Taxpayer Identification No. 美國稅務號碼

* Please also see box 11.7 on page 8 請同時參見第 8 頁的方格 11.7

Foreign Tax Resident Information 國外納稅人資料

Are you a foreign tax resident? 閣下是否國外納稅人?

☐ Yes 是☐ No 否

If yes, please list the country or countries in which you are a tax resident. 如是，請列出閣下納稅所屬之國家。

Country 國家

Foreign Tax Identifying Number 國外稅務號碼

Mobile Phone No. 手提電話

Residential Phone No. 住宅電話

Business Phone No. / Fax No. 公司電話 / 傳真號碼

Education Level 教育程度

☐ Primary or below 小學或以下☐ Secondary 中學☐ University or above 大學或以上Relationship with Main Account Holder
與主要戶口持有人(1)的關係☐ Friends 朋友 ☐ Relatives 親屬 ☐ Others 其他☐ Immediate Family 直系親屬 (Please specify 請註明)

4. Employment Information 工作資料

4.1 Sole Account Holder / Main Account Holder 個人戶口持有人/主要戶口持有人

Name of Employer (or if self-employed, name of Business) 僱主名稱 (若自僱, 請填業務名稱)

Work or Business address 工作或營業地址

Occupation (or type of Business) 職業或業務性質

Year(s) employed 任職年期

4.2 Joint Account Holder 聯名戶口持有人

Name of Employer (or if self-employed, name of Business) 僱主名稱 (若自僱, 請填業務名稱)

Work or Business address 工作或營業地址

Occupation (or type of Business) 職業或業務性質

Year(s) employed 任職年期

5. Bank Information 銀行資料

Bank Name 銀行名稱

Bank Code 銀行代碼

Account No. 戶口號碼

Swift code 銀行國際代碼

(For foreign bank account only 只適用於海外銀行戶口)

The bank account's beneficiary must have the same name as the account holder(s) of this account. 銀行受益人必須跟本戶口持有人的名稱相同。 Valid registered bank account proof (Bank Statement / Bank Book / Bank Card) is required. 請提供有效的登記銀行戶口的證明 (發出3個月內的銀行結單 / 存摺 / 銀行咭) The bank account number must same no. as the bank proof 銀行戶口號碼必需與銀行證明相同。

6. Financial Background 財務狀況 (Note: Aggregate amounts for Joint Account 聯名戶口以總數填寫)

Estimated annual income (HK\$) 估計年薪 (以港幣計)

☐ < \$200,000

☐ \$200,000 – \$500,000

☐ \$500,001 – \$1,000,000

☐ \$1,000,001 – \$3,000,000

☐ \$3,000,001 – \$5,000,000

☐ > \$5,000,000

Approximate net value of assets (in HK\$, including place of residence, cash deposit at Bank, shares, bonds, warrants etc.

淨資產約值 (以港幣計, 包括居住地方、銀行存款、股票、債券、認股權證等)

☐ < \$500,000

☐ \$500,000 – \$1,000,000

☐ \$1,000,001 – \$3,000,000

☐ \$3,000,001 – \$5,000,000

☐ \$5,000,001 – \$10,000,000

☐ > \$10,000,000

Expected source of funding 資金來源

☐ Salary 薪金

☐ Saving 儲蓄

☐ Investment 投資

☐ Others (Please specify) 其他 (請註明)

7. Investment Objectives/ Experience and Level of Risk Taking 投資目的 / 經驗及風險承受水平

Main Investment Objectives 主要投資目的 (Please select one) (請選取一項)

☐ Capital Preservation 保本

☐ Dividend Yield 股息收益

☐ Capital Appreciation 資本增值

☐ Hedging 對沖

☐ Speculation 投機

☐ Others (Please specify) 其他(請註明)

Investment Experience 投資經驗	None 無	<1 year 不足一年	1 – 2 years 一至二年	2 – 5 years 二至五年	Over 5 years 五年以上
Equities / Debentures 股票/債券	☐	☐	☐	☐	☐
Warrant/Stock Options/Futures 認股權證/股票期權/期貨	☐	☐	☐	☐	☐
Forex 外匯	☐	☐	☐	☐	☐
Precious metals (e.g. Gold) 貴金屬(如黃金)	☐	☐	☐	☐	☐
Mutual Funds / Unit Trust 互惠基金/單位信託基金	☐	☐	☐	☐	☐
Hedge Funds 對沖基金	☐	☐	☐	☐	☐
Structured Investment Products 結構性投資產品	☐	☐	☐	☐	☐
Fixed Income Securities (e.g. Bonds) 固定收入證券(如債券)	☐	☐	☐	☐	☐
Others (Please specify) 其他(請註明)	☐	☐	☐	☐	☐

Level of Risk Taking 風險承受水平

☐ High 高

☐ Medium 中

☐ Low 低

8. Credit Reference 信貸諮詢

Bank reference(s) (including type of account and account number) 銀行諮詢(包括戶口類別及號碼)

Name of Bank 銀行名稱

Type of Account 戶口類別

Account No. 戶口號碼

Other Brokerage or Dealer reference(s) (including the name, type of account (e.g. cash, margin and nature of securities account) and account number): 其他經紀或交易商諮詢(包括名稱、戶口類別(如現金或保證金及證券戶口性質)及戶口號碼)

Name of Broker 經紀名稱

Type of Account 戶口類別

Account No. 戶口號碼

9. Other Accounts 其他戶口

Particulars of any and all other accounts (whether individual, joint, corporate, trustee) beneficially held, owned or operated by me for or on my behalf or for any another person(s), body or corporation or in which I have an interest (whether direct or indirect) with UOB Kay Hian Futures (Hong Kong) Limited. 任何及所有其他在大華繼顯期貨(香港)有限公司開設、由本人或本人代表他人、團體或公司實益持有、擁有或運作、或本人擁有直接或間接利益的戶口(無論個人、聯名、公司、託管)的詳情。

Account Name 戶口名稱

Account No. 戶口號碼

UOB Kay Hian Futures (Hong Kong) Limited
6/F Harcourt House,
39 Gloucester Road,
Hong Kong
Attn: Client Services Department

TRADING AUTHORISATION – INDIVIDUAL 交易授權 – 個人

Will the account be traded by other person(s) on your behalf? 戶口會否授權第三者交易?

☐ Yes 會

☐ No 否

10. Trading Authorization – Individual 交易授權人 – 個人

I / We hereby authorize following person(s) to give written and / or oral instructions in relation to the trading of the account.
本人 / 吾等僅此授權下列人士可以書面及 / 或口頭發出與本戶口交易有關的指示。

1. Name of Authorized Person 獲授權人士姓名

ID No. 身份證號碼* (or Passport No. & Country of issue 或護照號碼及簽發地點)

Relationship 客戶與獲授權人之關係

Contact Number 聯絡電話

Reason 原因: _____

Specimen Signature 簽名式樣: _____

Confirmed and Signed By Client 由客戶確認及簽署

2. Name of Authorized Person 獲授權人士姓名

ID No. 身份證號碼* (or Passport No. & Country of issue 或護照號碼及簽發地點)

Relationship 客戶與獲授權人之關係

Contact Number 聯絡電話

Reason 原因: _____

Specimen Signature 簽名式樣: _____

Confirmed and Signed By Client 由客戶確認及簽署

3. Name of Authorized Person 獲授權人士姓名

ID No. 身份證號碼* (or Passport No. & Country of issue 或護照號碼及簽發地點)

Relationship 客戶與獲授權人之關係

Contact Number 聯絡電話

Reason 原因: _____

Specimen Signature 簽名式樣: _____

Confirmed and Signed By Client 由客戶確認及簽署

* Please provide valid I.D. Copy of authorized person. 請提供獲授權人士之有效身份證明文件副本。

** This Authorization would not be effective unless a telephone confirmation has been made by UOB Kay Hian Futures (Hong Kong) Limited. 此交易授權必須經大華繼顯期貨(香港)有限公司電話確認後, 方可生效。

11. Declaration 聲明書

- 11.1a ☐ I/We am/are not acting as an intermediary for the account. The trading orders placing with UOB Kay Hian Futures (Hong Kong) Limited are not for any of my/our clients or any ultimate beneficiary. 本人/吾等並非以戶口中介人的身份行事。向大華繼顯期貨(香港)有限公司作出的買賣指令，均非本人/吾等為本人/吾等的客戶或任何最終受益人作出。
- 11.1b ☐ I/We am/are acting as an intermediary for the account. The ultimate beneficiary is (please provide information on separate sheets if there are more than one ultimate beneficiary) 本人/吾等以戶口中介人的身份行事。最終受益人為 (如有多於一名最終受益人，請在獨立的紙張上填寫資料)

Name 姓名 HKID/Passport No 香港身份證號碼/護照號碼 Contact No. 聯絡電話號碼

Correspondence Address 聯絡地址

For ultimate beneficial owner(s) who is/are U.S. Person(s), please provide his/her U.S. Taxpayer Identification number:

最終實益擁有人如屬美國人士，請提供他/她的美國稅務號碼:

- 11.1c Individual ultimately responsible for giving instructions in relation to transactions to be conducted through the account is (please provide information on separate sheets if there are more than one such individual): 最終負責就該戶口進行交易發出指示的人士 (如有多於一名有關人士，請在獨立的紙張上填寫資料) :

Name 姓名 HKID/Passport No 香港身份證號碼/護照號碼

Correspondence Address 聯絡地址

Contact No. 聯絡電話號碼

- 11.2 Do you have any relationship with the director(s) or employee(s) of UOB Kay Hian Futures (Hong Kong) Limited or their respective associated companies? 閣下是否與大華繼顯期貨(香港)有限公司之董事或僱員或其各自之聯營公司有任何關係?

- ☐ No 否
- ☐ Yes, I have the following relationship with the director(s) or employee(s) of UOB Kay Hian Futures (Hong Kong) Limited or their respective associated companies: 是，本人與大華繼顯期貨(香港)有限公司之董事或僱員或其各自之聯營公司有以下關係：

Name of Director or Employee (with Name of Associated Companies, if not UOB Kay Hian Futures (Hong Kong) Limited) 董事或僱員姓名 (如並非大華繼顯期貨(香港)有限公司，請寫上聯營公司名稱) / Relationship 關係

- 11.3 Do you have any relationship with the senior management or director or management shareholder or controlling shareholders of any listed company whose shares are traded on any exchange including Hong Kong?

閣下是否與任何地方交易所包括香港的任何上市公司的高級管理層或董事或管理層股東有任何關係?

- ☐ No 否
- ☐ Yes, I have the following relationship with the senior management, director, management shareholder or controlling shareholders of the listed company named below whose shares are traded on the exchange named below: 是，本人與股份在下列交易所交易的下述上市公司的高級管理層、董事或管理層股東有以下關係：

(Name of Director or Employee (with Name of Listed Company and Exchange) 董事或僱員姓名 (連同上市公司及交易所名稱) / Relationship 關係)

- 11.4 Are you a director, an employee or an accredited person of any exchange participant of the Hong Kong Exchange or any licensed or registered person of the Securities and Futures Commission? 閣下是否香港交易所之交易所參與者或證監會持牌人或註冊人之董事、僱員或認可人士?

- ☐ No 否
- ☐ Yes, I am a director or an employee or an accredited person of the following exchange participant of the Hong Kong Exchange or licensed or registered person of the Securities and Futures Commission: 是，本人為以下香港交易所參與者或證監會持牌人或註冊人之董事、僱員或認可人士：

(Position and Name of Relevant Exchange Participant, License or Registered Person 相關交易所參與者、持牌或註冊人士的職位及姓名 Please provide consent letter issued by the relevant entity. 請提供相關實體發出的書面同意書)

11.5 **Futures Account (期貨戶口)**

We understand and agree that the interest rate charged for unsettled debit balance of the futures trading account will be either 2% over Prime rate or Cost of fund, whichever is higher. 本人/吾等明白及同意就本期貨戶口借方結餘收取的利率，將為最優惠利率加年息 2 厘或借貸成本計算，以兩者較高者為準。

11.6 **For Joint Account (只適用於聯名戶口)**

All written instructions for this Account have to be given by all account holders jointly unless all account holders jointly sign below and indicate that such written instructions will be given by 除非所有戶口持有人共同在下面簽署並指示該書面指示將由以下人士發出，否則本聯名戶口之所有書面指示以全體聯名持有人名義發出。

☐ any one of us 任何一方

☐ any _____ of us 任何_____方 Please specified: 請列明 _____
(Applicable to more than 2 joint account holders) (適用於兩位以上聯名戶口持有人)

All joint account holders must sign here 全體聯名戶口持有人必須於此處簽署

11.7 For client with U.S. Indicia to establish as a non-U.S. account* (只供具備美國指標的客戶設立非美國戶口之用)

(you may be required to complete a copy of the "Explanation of a U.S. Address" or "U.S. Phone Number" 閣下可能需要填寫一份「美國地址的說明」或「美國電話號碼的說明」)

By signing this form I confirm that I am not resident in the U.S. for tax purposes and that I am not a U.S. citizen
本人簽署此表格確認本人並非就美國稅務目的而言的美國居民並且本人不是美國公民。

Name of Client(s) 客戶姓名

Client's Signature(s)/Business Chop 客戶簽署/業務印章

Date 日期

Explanation to support your Non-U.S. Status for Client with U.S. Birthplace (who has already provided Non-U.S. Identification Document). 對於在美國出生（亦已提供非美國身份證明文件）的客戶而言，請提供證明閣下的非美國身份的說明。

*Please contact our Client Services Department for more details on U.S. Indicia. 有關美國指標的詳程，請聯絡本公司客戶服務部。

Other Services 其他服務

(1) Internet Trading Account 互聯網交易戶口

- ☐ I/We hereby request UOB Kay Hian Futures (Hong Kong) Limited to provide the Internet Trading services with respect to the Account. I/We confirm I/we have considered all the risks involved, and have thoroughly read and understood the provisions of the Internet Trading Terms and Conditions and agree to be bound by the same and acknowledge receipt of all other terms and conditions applicable to opening of account with UOB Kay Hian Futures (Hong Kong) Limited including without limitation, the Futures Client Agreement. 本人/吾等謹此要求大華繼顯期貨(香港)有限公司提供戶口的互聯網交易服務。本人/吾等確認本人/吾等已考慮所涉及的所有風險，並已經徹底閱讀並明白互聯網交易條款與細則，並同意受這些條款與細則的約束及確認收妥在大華繼顯期貨(香港)有限公司開立戶口適用的所有其他條款與細則，包括但不限於期貨客戶協議。

Please provide E-mail Address * 請提供電郵地址：

(For the purpose of application for Internet Trading Account)(為申請互聯網交易戶口之用)

* Limit to 30 characters

不多於30字

(2) Service of Statements 送達結單

Other letters or printed materials will be sent to address designated by Client. P.O. Boxes are not accepted. 其他信件或印刷品將寄往客戶所選擇之郵寄地址。郵政信箱恕不接受。

☐ **Receive E-mail Statement (No monthly Charge)** 以電郵收取結單(免月費)

E-mail Address * 電郵地址

[illegible]

* Limit to 30 characters

不多於30字

I / We hereby confirm that the above email address is for my / our own use only and shall not be accessible by any officer or employee of UOB Kay Hian Futures (Hong Kong) Limited or its associated entity. 本人/吾等謹此確認以上電郵地址為本人/吾等所擁有，並且不會讓大華繼顯期貨(香港)有限公司或其有聯繫實體之僱員登入及使用。

Name of Client(s) 客戶姓名

Client's Signature(s)/Business Chop 客戶簽署/業務印章

I/We confirm that I/we have thoroughly read and understood the terms and conditions of the above-mentioned other services and agree to be bound by the same. 本人/吾等確認本人/吾等已徹底閱讀及明白上述其他服務的條款與細則，並同意接受上述其他服務的約束。

Dated this _____ of _____ of _____
 日期 Day (日) Month (月) Year (年)

In the presence of:
於見證下:

Name of Client(s)
客戶姓名

Name of Client(s)
客戶姓名

Name of witness
見證人姓名

Client's Signature(s) / Business Chop
客戶簽署/業務印章

Client's Signature(s) / Business Chop
客戶簽署/業務印章

Witness Signature
見證人簽署

12. Derivative Knowledge Assessment 衍生工具認識評估

For Joint account client, each account holder must complete this section separately.
若閣下為聯名戶口，每位聯名戶口持有人必須個別地填寫此評估。

Do you meet any one of the following criteria? 閣下是否符合以下任何一項評估條件?

Criteria: 條件

- (i) I have executed five or more transactions in derivative products (whether traded on an exchange or not), e.g. Stock Options, futures, Callable Bull/Bear Contracts, Derivative Warrants, Structured Products and ETFs, etc. (within the past 3 years) 本人/我們(於過去三年)曾執行5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：股票期權、期貨、牛熊證、衍生權證、結構性產品及交易所買賣基金等。

Relevant Financial Institution(s) 金融機構名稱: _____

Product Type 產品種類: _____

Trading Period 交易期間: _____

- (ii) I have current or previous work experience related to derivative products. 本人/我們於現時或過去擁有與衍生產品的工作經驗。

Name of Employer 公司名稱: _____

Department 部門名稱: _____ Position 職位: _____

Working Year 工作年期: _____

- (iii) I have undergone training and/or attended courses either in form of online or classroom offered by academic institutions or financial institutions on derivative and/or structured products. 本人/我們已經接受及/或參加由學術機構或金融機構所提供有關衍生工具/或結構性產品的在線或教室形式培訓及/課程。

Name of Training/ Courses 相關培訓或課程名稱: _____

Name of Organized Institution 舉辦機構名稱: _____

Attendance Date 出席日期: _____

You are required to complete a derivative knowledge assessment questionnaire if you would like to receive recommendations in relation to derivative transaction. You can access the form in our website or contact your Salesperson. 如果本公司向閣下提出衍生工具交易建議，閣下需要另外填寫衍生工具知識評估問卷。閣下可以訪問我們網站上的表格或聯繫您的銷售人員。

Yes 是 ☐

No 否 ☐

Yes 是 ☐

No 否 ☐

Yes 是 ☐

No 否 ☐

13. Acknowledgement and Consent 確認及承諾

- 13.1 I/We hereby confirm and acknowledge that I/we have thoroughly read and understood the "Personal Information Collection Statement" before furnishing this Client Information Statement. 本人/吾等謹此確實及確認，在提交此客戶資料表格前，本人/吾等已徹底閱讀及明白“個人資料收集聲明”。

I/We represent that the contents and information provided by me/us in this Client Information Statement are true, complete, correct and not misleading in any respect and that the representations made by me/us herein are accurate. You may or are entitled to rely entirely upon such contents information and representations for all purpose, unless you receive notice in writing from me/us of any change thereof. I/We hereby undertake to notify you in writing forthwith upon any material change(s) in the information provided herein. 本人/吾等茲申述在客戶資料表格內的資料及內容屬實、完整、正確，且在任何方面均無誤導，及附上申述內容準確，除非貴司收到更改有關聲明內容的書面通知，否則貴司可或有權在任何用途上完全依賴這些資料及申述，本人/吾等謹此承諾，若於此提供的資料有任何修改，本人/吾等將立即以書面通知貴司。

You are further and hereby authorized at any time to contact any person or persons, including my/our banks, brokers, advisers or any credit agency, for or relating to the purpose of verifying the information provided by me/us in this Client Information Statement and obtaining information about me/us. 貴司現被授權在任何時間接觸任何人（等）包括本人/吾等往來銀行、經紀、顧問或任何信貸機構，核實本人/吾等在客戶資料表格中所提供有關資料及取得關於本人/吾等的資料。

I/We agree to provide you with such information/documents as may be requested by you from time to time in connection with the application for the opening of the Account. 本人/吾等同意向貴司提供貴司就開立戶口申請可能不時要求的有關資料/文件。

I/We understand that my/our submission of this Form and the acceptance of this Form by you in no way implies approval for opening of the Account for me/us and you reserve the unconditional right to reject this application. 本人/吾等明白本人/吾等提交此表格及貴司接納此表格概不會以任何方式意味着批准為本人/吾等開立戶口，而貴司保留無條件拒絕此份申請的權利。

13.2 Acknowledgement of Risk Disclosure Statement and Acceptance of Terms and Condition of Futures Client Agreement 風險披露聲明的確認及期貨客戶協議書、條款及細則的接納

I/We have read the Risk Disclosure Statement and I/ we have been invited to ask questions and take independent advice, if I/we wished. 本人/吾等已閱讀風險披露聲明及已獲邀請提出問題及徵求獨立的意見(如本人/吾等有此意願)。

I/We also confirm receipt of Futures Client Agreement, Terms & Condition. 本人/吾等確認已收妥期貨客戶協議書、條款及細則。

I/We hereby confirm that the Risk Disclosure Statement and Terms and Condition of Futures Client Agreement have been fully explained to me/us by a Licensed Person in a language of my/our choice (English or Chinese) and I/we fully understand, acknowledge and agree to be bound by them. 本人/吾等確認持牌人士已以本人/吾等選擇的語言(英文或中文)向本人/吾等充份解釋風險披露聲明及期貨客戶協議書、條款及細則，而本人/吾等完全明瞭、確認並同意受該等條文約束。

I/We confirm that you have pointed out to me that the said Risk Disclosure Statement and Terms and Condition of Futures Client Agreement are general in nature and have not been prepared to specifically cater for my/our own circumstances, background and investment experience and I/we should in addition consider my/our own circumstances, financial strength, investment objectives and experience, my/our own needs, the offering document of the investment products concerned, the taxation implications, foreign exchange control aspects (if relevant), the law of the place of domicile and residence in making the investment decision. 本人/吾等確認貴司已向本人指出上述風險披露聲明、期貨客戶協議書、條款及細則屬一般性質，而並沒有因應本人/吾等自身的狀況、背景及投資經驗而特別編製。在作出投資決定時，本人/吾等應在此之上考慮本人/吾等自身的狀況、財政實力、投資目標及經驗、本人/吾等自身的需要、所涉及的投資產品的發售文件、稅務影響、外匯管制方面(如適用)、所在地及居住地的法律。

I/We have been advised that before I/we transact any derivatives product, I/we have to make sure that I/We have sufficient relevant knowledge and investment experience. 本人/吾等獲告知，在本人/吾等買賣任何衍生產品前，本人/吾等須確保本人/吾等具備充分的相關知識及投資經驗。

I/We confirm that I/we possess sufficient net worth to assume the risk and bear the possible losses of trading in securities and investment products and I/we will before instructing you to effect any purchase transaction relating to securities and investment products, re-assess whether by then I/we still have sufficient net worth to assume the risk and bear the possible losses of purchasing the securities and investment products I/we intend to trade in the light of the then circumstances, including my/our financial position, funding requirements and any other obligations I/we have assumed. 本人/吾等確認本人/吾等具備充分的資產淨值承擔買賣證券及投資產品的風險，並承受可能出現的損失，而本人/吾等將在指示貴司執行關於證券及投資產品的任何購買交易前，將計及屆時的情況(包括本人/吾等的財務狀況、資金需求及本人/吾等已承擔的任何其他義務)，重新評估本人/吾等屆時是否仍有足夠的資產淨值承擔購買本人/吾等擬買賣的證券及投資產品的風險，並承受可能出現的損失。

13.3 Derivative Knowledge Assessment 衍生工具認識評估

I hereby acknowledge that I have received, read and fully understood the “Derivatives Product Features and Risk Disclosures” provided by UOB Kay Hian (Hong Kong) Limited in a language of my choice. 本人謹此確認，在本人選擇的語言，本人已收妥由大華繼顯(香港)有限公司提供的“衍生產品特點及風險披露”，並已參閱及明白其內容。

I hereby affirm that the information provided in the derivative knowledge assessment is accurate as of the moment of provision and undertake to inform UOB Kay Hian (Hong Kong) Limited about any changes in mentioned information. 本人確認所提供的評估資料在提供時均屬真確，並承諾於資料有任何變動時通知大華繼顯(香港)有限公司。

Dated this _____ of _____ of _____
日期 日 月 年

In the presence of :
於見證下 :

Name of Client(s)
客戶姓名

Name of Client(s)
客戶姓名

Name of witness
見證人姓名

Client's Signature(s) / Business Chop
客戶簽署/業務印章

Client's Signature(s) / Business Chop
客戶簽署/業務印章

Witness Signature
見證人簽署

Remarks 註釋

Any deletion or amendment must be initialed by all account holders/partners. 如有任何刪除或修訂，須由全體戶口持有人/合夥人草簽。

Chinese version of the Agreement is only for reference. The English version of the Agreement shall prevail in the event of inconsistency between the two versions. 協議書的中文本僅供參考。中、英文本之間如有任何不一致，則應以英文本為準。

Important Notice to Client(s) 客戶須知:

The Agreement referred in the above will govern the service(s) provided or to be provided to you. You are advised to read and understand the Agreement, to ask questions and to seek independent legal advice before you sign.

上文所指的協議書將規管已向或將向閣下提供的服務。懇請閣下在簽署前細閱及理解協議書，提問並尋求獨立的法律意見。

This document does not constitute nor is it intended to be nor should it be construed as offer or solicitation to deal in futures or any investment products. 此文件並不構成，亦非旨在且不應被詮釋為要約或誘使買賣期貨或任何投資產品。

Declaration by Licensed Person 持牌人聲明

I, the licensed person named below, have fully explained the contents of the Risk Disclosure Statement to the Client at the place stated below in a language of the Client's choice (English or Chinese). 本人為下述持牌人，已在下址用該客戶選擇的語言(英文或中文)，向該客戶充份解釋本項風險披露聲明的內容。

I have also advised the Client that before the Client transacts any derivatives product the Client has to make sure that he/it has sufficient relevant knowledge and investment experience and I have invited the Client to ask questions and take independent advice if he/it so wishes. 本人已建議客戶在買賣任何衍生產品前，須確保其具備充份的相關知識及投資經驗，而本人已邀請客戶提出問題及徵求獨立的意見(如其有此意願)。

Print name of licensed person
持牌人士正楷姓名

CE Number of licensed person
持牌人士的中央編號

Signature of licensed person
持牌人士簽署

Place at which risk disclosure statement explained
在上述地點解釋風險披露聲明

Execution not in the presence of employee of UOB Kay Hian Futures (Hong Kong) Limited

並非在大華繼顯(香港)有限公司的員工見證下簽署

If the account opening documentation (including this Client Information Statement) in respect of the Account is not executed in the presence of an employee of UOB Kay Hian Futures (Hong Kong) Limited, please arrange for other person licensed or registered with the Securities and Futures Commission, an affiliate of a licensed or registered person, a Justice of the Peace, or a professional person such as a branch manager of a bank, certified public accountant, lawyer or notary public to witness your signing of this Client Information Statement (at various places) and sight your identification documents and make the certification. 如戶口的開戶文件(包括此客戶資料表格)並非在大華繼顯期貨(香港)有限公司的員工見證下簽署，請安排證券及期貨事務監察委員會的持牌人士或註冊人士、持牌人士或註冊人士的關聯方、太平紳士，或銀行分行經理、註冊會計師、律師或公證人等專業人士見證閣下(在不同位置上)簽署此客戶資料表格、檢查閣下的身份證明文件，並作出證明。

The required identification documents should be certified by any one of the following: 而要求的身份證明文件須按以下任何方式核證：

- (i) a solicitor practising in Hong Kong;
一名香港執業律師；
- (ii) a certified public accountant practising in Hong Kong;
一名香港執業會計師；
- (iii) a current member of The Hong Kong Institute of Chartered Secretaries practising in Hong Kong;
一名香港執業的香港特許秘書公會現有會員；
- (iv) a trust company registered under Part VIII of the Trustee Ordinance (Chapter 29 of the Laws of Hong Kong) carrying on trust business in Hong Kong;
一家根據《受託人條例》(香港法例第29章)第VIII部註冊，並在香港進行信託業務的信託公司；
- (v) an authorised institution under the Banking Ordinance (Chapter 155 of the Laws of Hong Kong);
《銀行條例》(香港法例第155章)下的認可機構；
- (vi) a licensed corporation under the Securities and Futures Ordinance (Chapter 571 of the Laws of Hong Kong);
《證券及期貨條例》(香港法例第571章)下的持牌法團；
- (vii) authorized insurer, appointed insurance agent or authorised insurance broker under the Insurance Companies Ordinance (Chapter 41 of the Laws of Hong Kong);
《保險公司條例》(香港法例第41章)下的獲授權保險人、獲委任保險代理人或獲授權保險經紀；
- (viii) a lawyer, a notary public, an auditor, a professional accountant, a trust or company service provider or a tax advisor practicing in a Financial Action Task Force (FATF) member / comparable jurisdiction acceptable to UOB Kay Hian Futures (Hong Kong) Limited;
在打擊清洗黑錢財務行動特別組織(FATF)成員/大華繼顯期貨(香港)有限公司接納的可比司法管轄區執業的律師、公證人、核數師、專業會計師、信託或公司服務供應商或稅務顧問；
- (ix) a member of the judiciary in a FATF member / comparable jurisdiction acceptable to UOB Kay Hian Futures (Hong Kong) Limited; FATF
成員/大華繼顯期貨(香港)有限公司接納的可比司法管轄區的司法機構成員；
- (x) an officer of an embassy, consulate or high commission of the country of issue of the passport; and
簽發護照的國家的大使館、領事館或高級專員公署的高級職員；及
- (xi) Justice of the Peace.
太平紳士。

The certifier must sign and date the copy document (printing his/her name clearly in capitals underneath) and clearly indicate his/her position.

The certifier must state that it is a true and complete copy of the original (or words to similar effect).

核證人必須簽署副本文件並寫上日期(在下面以正楷清楚寫上其姓名，且清楚註明其職位)。核證人必須註明其為原件的真實及完整的副本(或具有類似作用的字眼)。

Our Data Protection Policy 我們的個人資料保護政策

UOB Kay Hian (Hong Kong) Limited/UOB Kay Hian Futures (Hong Kong) Limited (the "Company") values the protection of your personal data. The Company recognises its responsibilities in relation to the collection, holding, processing or use of personal data of account applicants or holders under the Personal Data (Privacy) Ordinance (Cap. 486) (the "Ordinance"). All personal data collected by the Company shall be treated in accordance with this Personal Information Collection Statement (this "Statement") and the provisions of the Ordinance. The Company may collect personal data (as defined in the Ordinance) (which data may relate to yourself or your authorised signatories) from you, in connection with its dealings with you. You must supply the personal data as required by the Company. If you fail to supply the required personal data, the Company may refuse to open and/or maintain an account for you.

大華繼顯期貨（香港）有限公司/大華繼顯期貨（香港）有限公司（「本公司」）非常注重閣下的個人資料的保護。本公司承認其在《個人資料（私隱）條例》（香港法例第486章）（「私隱條例」）下關於收集、持有、處理或使用戶口申請人或持有人的個人資料的責任。本公司收集所得的所有個人資料均會依照本《個人資料收集聲明》（「本聲明」）以及私隱條例的規定處理。本公司可就本公司與閣下的事務往來向閣下收集可能是關於閣下本人或閣下的獲授權簽署人士的個人資料（定義見私隱條例）。閣下必須按照本公司要求提供個人資料。倘若閣下未有提供所要求的個人資料，本公司可拒絕為閣下開立及/或維持戶口。

1. Purposes of Collection 收集個人資料的目的

The Company may use your personal data (whether provided by you or any other person, and whether provided before or after the date you receive this document) for the following purposes:

本公司可使用閣下的個人資料（不論是否由閣下或任何其他人士提供，亦不論是否在閣下收到本文件的日期之前或之後提供）作以下用途：

- (a) offering, providing and marketing to you the products/services of the Company and/or any holding company, subsidiary or affiliate (within or outside Hong Kong)(the "Group") or our business partners (see "Use of Data in Direct Marketing" below), and administering, maintaining, managing and operating such products/services; 向閣下發售、提供及推銷本公司及/或任何控股公司、附屬公司或關聯公司（在香港境內或境外）（「本集團」）或我們的業務夥伴的產品/服務（見下文「在直銷中使用個人資料」），以及處理、維持、管理及操作有關產品/服務；
- (b) activities relating to operating your account such as purchasing, investing, advising, exchanging, acquiring, disposing of and generally dealing in and with all kinds of securities, futures and options (if applicable) on your behalf, carrying out transactions at your instructions, on-going account administration and contacting you; 與閣下的戶口的運作有關的活動，例如代表閣下購買、投資、諮詢、兌換、收購、處置及整體地買賣所有類型的證券、期貨及期權（如適用）；按照閣下的指示進行任何交易；持續性的戶口管理及與閣下聯絡等；
- (c) activities relating to the processing of your application to open an account with the Company and maintaining your account, including but not limited to client verification procedures, conducting credit reporting, processing your application for grant of credit or margin facilities or the continuation and review of such credit or margin facilities; 與處理閣下在本公司開立戶口的申請及維持閣下的戶口有關的活動，包括（但不限於）客戶身份核實程序、進行資信報告、處理閣下關於授予信貸或保證金融資，或繼續提供及檢討該等信貸或保證金融資的申請；
- (d) determining the amount of indebtedness owned to or by customers; 釐定欠下客戶（或客戶欠下）的債務的金額；
- (e) collection of amounts outstanding from customers and those providing security for customers' obligations; 向客戶（以及為客戶的義務提供擔保的人士）收取尚欠的金額；
- (f) maintenance and verification of particulars and data; 資料及數據的維護及核對；
- (g) any other purpose relating to the provision of banking, investment and/or other financial services and facilities by the Group; 與本集團提供銀行、投資及/或其他金融服務及設施有關的任何其他目的；
- (h) to provide you with information about your account and account statements; 向閣下提供關於閣下的戶口的資料及戶口結單；
- (i) to conduct research and statistical analysis; and 進行調查研究及統計分析；及
- (j) complying with the obligations, requirements or arrangements for disclosing and using data, including notification requirements that apply to the Company or any member of the Group, according to any law binding or applying to them within or outside Hong Kong including without limitation the United States Foreign Account Tax Compliance Act ("FATCA"). 依據香港或香港以外地區適用於本公司或本集團任何成員或對其有約束力的任何法律（包括（但不限於）美國《海外帳戶稅收合規法案》（「FATCA」）），遵守有關披露及使用個人資料的義務、要求或安排（包括適用於本公司或本集團任何成員的通知要求）。

2. Transfer of Personal Data 轉交個人資料

Personal data held by the Company will be kept confidential but may be transferred to the following persons within or outside Hong Kong solely for the purposes set out above (excluding direct marketing purposes): 本公司將把所持有的個人資料保密，但可僅就上文所列的目的而言（除直銷目的外）將該等個人資料轉交下列人士（不論在香港境內或境外）：

- (a) other entities within the Group (including direct and indirect subsidiaries) providing banking, investment and/or other

financial services; 本集團內提供銀行、投資及/或其他金融服務的其他實體 (包括直接及間接附屬公司);

- (b) the Company's agents, nominees, professional advisers, researchers and other third party service providers that offer services to the Group in connection with the operation of its banking, investment and/or financial services business; 就本集團的銀行、投資及/或金融服務業務的運作向其提供相關服務的本公司代理、代名人、專業顧問、研究員及其他第三方服務供應商;
- (c) credit reporting agencies; 資信報告代理;
- (d) financial regulators, government bodies, other regulatory authorities, individuals or corporations who have the right to such data and information as prescribed by law within or outside Hong Kong; 根據香港或香港以外地區的法律規定有權取得該等個人資料的金融規管機構、政府組織、其他監管機構、個人或公司;
- (e) the Hong Kong Inland Revenue Department, the United States Internal Revenue Service and any other taxing authority to whom the Company or any member of the Group is under an obligation or otherwise required to make disclosures under the requirements of any law (including without limitation FATCA); 香港稅務局、美國國家稅務局及本公司或本集團任何成員依據任何法律 (包括但不限於 FATCA) 規定有責任或在其他方面須向其作出披露的任何其他稅務機關;
- (f) where transactions are executed outside Hong Kong, the relevant stock exchange, clearing house or regulatory bodies; and 就任何在香港以外進行的交易而言, 相關的證券交易所、結算所或監管機構; 及
- (g) authorized employees of the Company. 本公司的獲授權僱員。

3. Use of Data in Direct Marketing 在直銷中使用個人資料

- (a) The Company intends to use your personal data held by the Company for the purpose of direct marketing. Such personal data include your name, demographic data, contact details, account number, products and other portfolio information, transaction pattern and behaviour, financial background and investment objectives and experience. 本公司擬把本公司持有的閣下的個人資料用於直銷。有關個人資料包括姓名、人口統計資料、聯絡資料、戶口號碼、產品及其他投資組合資料、交易模式及行為、財務背景及投資目標及經驗。
- (b) The following classes of services, products and subjects may be marketed 可用作推銷下列類別的服務、產品及推銷主體:
 - (i) financial, investment, wealth management, securities, retirement, insurance and related services and products; 財務、投資、財富管理、證券、退休、保險及相關服務及產品;
 - (ii) reward, loyalty or privileges programmes, promotional offers and related services; and 獎賞、忠誠或優惠計劃、推廣優惠及相關服務;
 - (iii) invitations to financial and investment seminars/events/forums. 邀請參加財務及投資研討會/活動/論壇。
- (c) Data held by the Company relating to a data subject will be kept confidential but the Company may provide such information to the following parties whether inside or outside Hong Kong for the purposes set out in paragraph (a) above: 本公司將把其持有的關於某個人資料主體的個人資料保密, 但本公司可就上文(a)段所載的目的而言, 向以下人士 (不論在香港境內或境外) 提供有關資料:
 - (i) the ultimate holding company of the Company, its subsidiaries, representative offices and/or affiliates of the Company; 本公司的最終控股公司、其附屬公司、代表辦事處及/或本公司的關聯公司;
 - (ii) the service providers of the Company including the registrar, transfer agent, the custodian, administrative service agent, share distributors, securities and investment service providers and the auditor of each products offered by the Company; 本公司的服務供應商 (包括登記處、過戶代理、託管人、行政服務代理、股份分銷商、證券及投資服務供應商, 以及本公司提供的每項產品的核數師);
 - (iii) any agent, contractor or third party service provider who provides administrative, research, design, launch, telecommunications, printing, letter shopping, mailing, computer, payment, securities clearing and settlement or other services to the Company in connection with the operation of its business; 就本公司的業務運營而言, 向本公司提供行政、研究、設計、推出、電訊、列印、郵件處理、郵寄、電腦、付款、證券結算及交收或其他服務的任何代理、承包商或第三方服務供應商;
 - (iv) the intermediaries of the company including third party financial institutions (e.g. banks, independent financial advisors, insurers), third party product issuers, correspondent banks which may handle or process payment to/from data subjects; 本公司的中介機構, 包括第三方金融機構 (例如: 銀行、獨立財務顧問、保險人)、第三方產品發行人、可能處理向/來自個人資料主體的付款的往來銀行;
 - (v) the employees, officers, directors and agents of the Company; 本公司僱員、高級職員、董事及代理;
 - (vi) any party (including but not limited to, any regulatory authorities, governmental authorities, tax, law enforcement authorities) entitled thereto by law or regulation (whether statutory or not); and 法例或規例 (不論法定與否) 下有權獲取個人資料的任何人士 (包括 (但不限於) 任何規管機構、政府機構、稅務、執法機構); 及
 - (vii) any other member of the Group. 本集團任何其他成員。

- (d) In addition to marketing the above services, products, facilities and marketing subjects itself, the Company also intends to provide the data described in (a) above to all or any of the persons described in paragraph (c) above for use by them in marketing those services, products and subjects, and the Company requires my written consent (which includes an indication of no objection) for that purpose. 除推廣上述服務、產品、設施及推銷主體本身外，本公司亦擬向上文(c)段所述的全部或任何人士提供上文(a)部分所述的個人資料，以供他們用於推廣該等服務、產品及推銷主體，而本公司就此而言需要本人的書面同意（包括表示不反對）。

Before using your personal data for the purposes and providing to the transferees set out above, the Company must obtain your written consent, and only after having obtained such written consent, may use and provide your personal data for any promotional or marketing purpose. 在將閣下的個人資料用於上文所載的用途並向上文所載的人士轉交閣下的個人資料前，本公司必須取得閣下的書面同意，而本公司只可在取得有關書面同意後，使用及提供閣下的個人資料作任何宣傳或推廣用途。

You may in future withdraw your consent to the use and provision of your personal data for direct marketing without charges. 閣下今後可在毋須支付費用下，撤回閣下關於將閣下的個人資料用作（及提供作）直銷用途的同意。

Please complete the following and/or check the appropriate box(es) below. They represent your present choice whether or not to receive direct marketing contact or information. This replaces any prior choice communicated by you to the Company. 請填寫下文，及/或剔選下文合適的方格。它們代表閣下目前關於是否接收直銷聯繫或資料的選擇。這取代閣下先前告知本公司的任何選擇。

- ☐ I/We wish the Company to use my/our personal data (including the data mentioned in paragraph (a) above) for direct marketing of services, products and subjects mentioned in paragraph (b) above and wish to receive direct marketing materials through the following channel(s): 本人/吾等希望本公司將本人/吾等的個人資料（包括上文(a)段所述的個人資料）用作上文(b)段所述的服務、產品及推銷主體的直銷，並希望透過以下渠道收取直銷材料：
- | | |
|---|-----------------------------------|
| ☐ Mail 郵寄 | ☐ Phone 電話 |
| ☐ E-mail 電郵 | ☐ SMS 短訊 |
| ☐ All channels (including mail, e-mail, phone and SMS) 所有渠道（包括郵寄、電郵、電話及短訊） | |
- ☐ I/We do not wish the Company to use my/our personal data (including the data mentioned in paragraph (a) above) for direct marketing of services, products and subjects mentioned in paragraph (b) above and do not wish to receive direct marketing materials. 本人/吾等不希望本公司將本人/吾等的個人資料（包括上文(a)段所述的個人資料）用作上文(b)段所述的服務、產品及推銷主體的直銷，且不希望收取直銷材料。
- ☐ I/We consent to the transfer by the Company of my/our personal data (including the data mentioned in paragraph (a) above) to the parties listed in paragraph (c) above for direct marketing of services, products and subjects mentioned in paragraph (b) above. 本人/吾等同意本公司將本人/吾等的個人資料（包括上文(a)段所述的個人資料）轉交上文(c)段所述的人士，作上文(b)段所述的服務、產品及推銷主體的直銷。
- ☐ I/We do not consent to the transfer by the Company of my/our personal data (including the data mentioned in paragraph (a) above) to the parties listed in paragraph (c) above for direct marketing of services, products and subjects mentioned in paragraph (b) above. 本人/吾等不同意本公司將本人/吾等的個人資料（包括上文(a)段所述的個人資料）轉交上文(c)段所述的人士，作上文(b)段所述的服務、產品及推銷主體的直銷。

Access to Personal Data 個人資料的查閱

Under the Ordinance you have the right to enquire whether the Company holds personal data in relation to you, and to request access to and correction of your personal data. You may make such a request to: 根據私隱條例，閣下有權查詢本公司是否持有關於閣下的個人資料並有權要求查閱及更改閣下的個人資料。閣下可向以下人士提出上述要求：

Client Services Department 客戶服務部

6/F Harcourt House, 39 Gloucester Road, Hong Kong

香港告士打道 39 號夏慤大廈 6 樓

Tel 電話: +852 2136 1818

Fax 傳真: +852 2501 0726

In accordance with the terms of the Ordinance, a reasonable fee may be charged for processing any data access request. 根據私隱條例的條款，可就存取個人資料的任何請求收取合理的費用。

I/We have carefully read, fully understood and agreed to accept and bound by this Statement.

本人/吾等已仔細閱讀、完全明瞭及同意接納並受此聲明約束。

Name of Client(s) 客戶姓名

Account Number 戶口號碼

Client's Signature(s) 客戶簽署/業務印章

Business Chop (if any) 業務印章 (如有)

Date 日期

AE Name			Commission			
	Hong Kong (HK\$)		US (US\$)		Others ☐	
AE Code	Manual	% Min \$	Manual	% Min \$	Manual	% Min \$
	Online	% Min \$	Online	% Min \$	Online	% Min \$
Client Introduced by:	AE ☐					
	Staff (specify)					
	Other Client					
How long has the Client been known to the introducer?						
Do you know the Client personally?						
How long has the Client been known to you?						
I hereby declare to the best of my knowledge and belief, that the information provided by the Client in this Client Trading Agreement is true, complete, and correct. I confirmed the date of certifying the supporting documents is the same as the date of this declaration unless I have specified the date of certification on each certified true copy of supporting document.						
Signature by AE				Date		
Trading Limit Suggested HK\$100,000 ☐ HK\$200,000 ☐						
Others: (Please specify) _____						
Reason for Proposal						
If over HK\$200,000, pass to Credit Department or Management for approval						
Approved by				Date		

Document Checklist for Individual or Joint Account (Y = received; N = not received)

HKID / Passport Copy (Main Holder)		Client Information Statement	
Address Proof (within 3 months)			
Facility Letter		Others	
HKID / Passport Copy (Joint A/C Holder or Authorised Trading Person)			
Opt-out Request Form			

Document Checklist for Sole Proprietorship and Partnership Account (Y = received; N = not received)

Business Registration Certificate		HKID / Passport Copy by Each Partner or Sole Proprietor	
Latest Financial Statements / Account		List Partners or Shareholders	
Others			

Checked by Client Services Staff:

Date:

Date of Account Opening:



UOB KAY HIAN FUTURES (HONG KONG) LIMITED

大華繼顯期貨（香港）有限公司

6/F Harcourt House, 39 Gloucester Road, Hong Kong | Tel: (852) 2521 8787 | Fax: (852) 2521 2066

www.uobkayhian.com.hk