富昌期貨
FULBRIGHT FUTURES

FULBRIGHT FUTURES LIMITED 富昌期貨有限公司
25/F-26/F, LHT Tower, 31 Queen's Road Central, Hong Kong
香港皇后大道中31號陸海通大廈25至26樓
(CE No. 中央編號: AME963)

Private & Confidential 資料保密
Account No. 帳戶號碼:
Date Opened 開戶日期

ACCOUNT OPENING FORM 開 戶 表 格 (For Personal/Joint Account/Sole Proprietor/Partnership) (私人/聯名/全東/合夥公司)

Name(s) of Account 客戶姓名	Name in English/Joint A/C/Sole Proprietor/Partnership	中文姓名/聯名/全東/合夥公司	I.D. Card/Passport No. 身份證/護照號碼	Sex 性別

Nationality 國籍	Date of Birth 出生日期	Age 年齡	Education Level 教育程度 ☐ University or above 大學或以上 ☐ Post Secondary 大專 ☐ Secondary 中學 ☐ Others 其他________

Full Residential Address (In English BLOCK Letters and in Chinese) 住宅地址 (請以中英文正楷填寫)

Years of Residence 在上址居住年數	Home Tel No. 住宅電話號碼	Pager/Portable Phone No. 傳呼機/手提電話號碼	Fax No. 圖文傳真號碼	E-mail 電郵

☐ Owned 自置 ☐ Mortgaged 按揭 Monthly Instalment 每月供款 $__________ ☐ Relative's 親屬樓宇
☐ With Parents 與父母同住 ☐ Rented 租用 Monthly Rental 每月租金 $__________ ☐ Quarters 宿舍

Own Property Address (other than above) 私人物業地址 (除以上住址)

Employer's Name 任職公司名稱	Employer's Address (in English BLOCK Letters and in Chinese) 公司地址 (請以中英文正楷填寫)

Nature of Business 業務性質	Position 職位	Years of Service 服務年數	Office Tel. No.公司電話號碼	Office Fax No.公司圖文傳真號碼

Main Banker's Name 主要往來銀行 ☐ Savings 儲蓄戶 ☐ Current 支票戶 ☐ Fixed 定期戶
A/C No.帳戶號碼

Source of Information 資訊來源 ☐ Newspapers 報章/Magazine雜誌 ☐ TV電視/Radio電台 ☐ Friends 朋友/Own 自己 ☐ Financial Adviser Broker 財務顧問 ☐ Others 其他________

Client is the spouse of another client of Fulbright Futures Limited: 客戶是另一位在富昌期貨有限公司客戶之配偶:
☐ No否 ☐ Yes是, Name of spouse 配偶姓名:__________ Account Number 帳戶號碼: __________

Client is in control, either alone or with client's spouse, of 35% or more of the voting rights of another corporate client of Fulbright Futures Limited: 客戶、單獨或連同客戶之配偶，控制另一在富昌期貨有限公司開立的公司客戶戶口35%或以上的投票權: ☐ No否 ☐ Yes是, Name of Account 帳戶名稱: __________ Account Number 帳戶號碼: __________

1) Are you the ultimate beneficial owner(s) in relation to the Account? i.e. Are you acting for your own and not for a third party? 閣下是否此戶口最終權益擁有人？即是閣下是否為閣下本身而不是第三者處理戶口？
☐ Yes. 是。 ☐ No, details of the ultimate beneficial owner(s) is/are 不是，戶口最終權益擁有人細節如下：

Name: 姓名：	Passport / ID No. / Place of Issue: 護照／身份證號碼／簽發地：
Address: 地址：	Telephone No.: 電話號碼：

2) Are you an employee or agent of a participant of a stock / futures exchange, or a licensed person/licensed representative registered with the Securities and Futures Commission or an exempt licensed person or licensed representative? 閣下是否股票／期貨交易所參與者，或於證監會註冊之註冊人士或註冊代表又或為豁免註冊人士或註冊代表之僱員或代理人?
☐ No. 不是。 ☐ Yes, the name of the related exchange participant or registered / exempted person is:
是，有關連之交易所參與者或註冊／豁免人士名稱：__________

3) Are you an employee of Fulbright Futures Limited? 閣下是否富昌期貨有限公司的僱員？ ☐ No. 不是。 ☐ Yes. 是 。

4) Are you the relative of an employee or an account executive of Fulbright Futures Limited? 閣下是否富昌期貨有限公司僱員／營業經紀的親屬？
☐ No. 不是。 ☐ Yes. 是 。 Employee/Account Executive's Name & Relationship 僱員／營業經紀姓名及關係: __________

Send Confirmation and Statements to 結 單 及 帳 單 郵 寄 往 ☐ Residential Address 住址 ☐ Business Address 公司地址 ☐ E-mail 電郵 ☐ Fax 圖文傳真
☐ Other Correspondence Address其它通訊地址: __________

In order to comply with Section 5.1 (a) of Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission, please complete the following question
請提供以下資料以便遵守證券及期貨事務監察委員會持牌人或註冊人操守準則之第5.1(a)項要求

Annual Income (HK$) 每年收入(港幣) ☐ less than 少於 $200,000 ☐ $200,001 - $500,000 ☐ $500,001 - $800,000 ☐ $800,001 - $1,000,000 ☐ over 多於 $1,000,000

Investment Objective(s)/Habit(s)投資目標/習慣 ☐ Conservative 穩健 ☐ Speculation 投機 ☐ Hedging 對沖 ☐ Investment 投資 (Long 長/Medium 中/Short Term 短線)

Investment Experience 投資經驗

Stock 股票	☐ Yes 是 ____ Year(s) 年	☐ No 否	Warrants 認股權證/ Stock Options 股票期權	☐ Yes 是 ____ Year(s) 年	☐ No 否
Forex 外匯交易/ Precious metals 貴金屬	☐ Yes 是 ____ Year(s) 年	☐ No 否	Futures & Options 期貨及期權	☐ Yes 是 ____ Year(s) 年	☐ No 否
Mutual Funds 互惠基金/Unit Trust 單位信託基金	☐ Yes 是 ____ Year(s) 年	☐ No 否	Hedge Funds 對沖基金	☐ Yes 是 ____ Year(s) 年	☐ No 否
Structured Investment Products 結構性產品	☐ Yes 是 ____ Year(s) 年	☐ No 否	Fixed Income Securities (e.g. bonds, etc.) 固定收益證券(如債券等)	☐ Yes 是 ____ Year(s) 年	☐ No 否

Others 其他__________

Assessment of Client's Knowledge of Derivatives 客戶對衍生工具的認識評估
(please answer all questions) (請回答所有問題)

a) Have you undergoing any training or attending any courses that provide general knowledge of the nature and risks of derivatives (e.g. relevant online or classroom courses offered by academic institutions or financial institutions)? If yes, please specify: 你是否已接受任何有關介紹一般衍生產品之性質及風險的培訓或課程 (例如由學術機構或金融機構所提供之網上課程或教室課程)? 如有，請註明:
Name of course/seminar 課程/研討會名稱: __________ Organizer 主辦機構: __________
Year of Participation 參與年份: __________

b) Do you have any current or previous work experience related to derivative products? If yes, please specify: 你現時或過去是否擁有與衍生產品有關的工作經驗? 如是，請註明:
Name of employer 任職公司名稱: __________ Position 職位: __________

c) Have you executed 5 or more transactions in any derivative products within the past three years? If yes, please state the derivative product(s) you have traded:
你曾否在過去三年執行過五次或以上有關任何衍生產品的交易? 如有，請提供有關產品的名稱:

Callable Bull/Bear Contracts (CBBC) 牛熊證	☐	Derivative Warrants 衍生認股證	☐	Exchange Traded Funds (ETF) 交易所買賣基金	☐
Rights 供股權	☐	Futures and Options 期貨或期權合約交易	☐	Stock Options 股票期權	☐

Others (please specify) 其他 (請註明) :

Assessment Result 評估結果 (FOR OFFICIAL USE ONLY 只供本公司使用)	The above Client is characterized as a client 上述客戶被歸類為	☐ without knowledge of derivatives 「對衍生工具沒有認識」	☐ with knowledge of derivatives 「對衍生工具有認識」

I/We certify that the above information is correct
本人（等）確認上述資料正確

Name of client in block letters:
客戶姓名﹝請用正楷字體填寫﹞：

Date 日期：

* * * FOR OFFICIAL USE ONLY 只供本公司使用 * * *		
Introduced by : 介紹人：	Documentation Checked by: 文件查核：	Approved by: 批准：
Name of Account Executive: 客戶主任姓名：	Client known to Account Executive for: 與客戶主任相識年期：	Bank and Credit references obtained: Yes/No 已獲銀行及信貸參考： 是/否
Brokerage佣金: Min.最低佣金:	Credit Limit: 信貸額:	Interest Rate: 利率:
AML Record Checked by: AML 記錄查核: Is the Client a PEP? 客戶是否一名政界人士? Yes 是 ☐ No 否 ☐		Is the Client a terrorist suspects? 客戶是否一名涉嫌恐怖分子? Yes 是 ☐ No 否 ☐

WHITE - Original 白色 - 正本
BLUE - Copy 藍色 - 副本

Please return both the original and the copy after account opening.
We will return to you the stamped copy of the account opening form.
開戶後，請把正副本一併交回，本公司稍後將已蓋章之副本寄回貴客。

CLIENT ACCOUNT OPENING EXECUTION FORM 客戶開戶執行表格

(For Personal/Joint Account/Sole Proprietor/Partnership) (私人/聯名/全東/合夥公司)

Please open a Futures Trading Account for me/us, the undersigned Client(s). I/We have read and understood the provisions of the Futures Client's Agreement as set out in the Standard Terms and Conditions of Fulbright Futures Limited and I/we accept to be bound by the same.
請為本人（等）（在下面簽名的客戶）開立期貨交易帳戶。本人（等）已經閱讀並明白在富昌期貨有限公司的標準章則中，所載之期貨客戶協議書的條款，並接受這些條款的約束。

Signature of Individual/Primary Joint Account Holder:
個人／主要帳戶持有人簽署：

Date 日期：

Signature of Secondary Joint Account Holder:
聯名帳戶第二持有人簽署：

Date 日期：

只適用於聯名帳戶

ⓧ

Witness Signature
見證人簽署

Date 日期：

Witness Name 見證人姓名：

Witness Occupation 見證人職業：

OTHER SERVICE 其他服務 (Please indicate the following service you want by ticking "v" and signing the appropriate boxes below)（請在以下適當的方格加上"v"選出所需的服務種類並簽署）

☐ **Internet Futures Trading 互聯網期貨交易**

I/We want to use the Internet Futures Trading Services. I/We have read and understood the provisions of the Internet Trading Agreement as set out in the Standard Terms and Conditions of Fulbright Futures Limited and I/we accept to be bound by the same.
本人（等）欲使用互聯網期貨交易服務。本人（等）已經閱讀並明白在富昌期貨有限公司的標準章則中，所載之互聯網交易協議書的條款，並接受這些條款的約束。

Signature of Individual/Primary Joint Account Holder
個人／主要帳戶持有人簽署：

只適用於互聯網交易帳戶

Signature of Secondary Joint Account Holder:
聯名帳戶第二持有人簽署：

只適用於互聯網交易之聯名帳戶

☐ Please send Internet Trading Account No. and Password to me/us via "Short Message Service" (SMS) or E-mail.
本人(等)欲以手提電話短訊或電子郵件收取網上交易帳號及密碼。

ⓧ

Witness Signature (the same witness and date as stated above)
見證人簽署（見證人及日期同上）
(只適用於互聯網交易帳戶)

ACCEPTED AND CONFIRMED BY FULBRIGHT FUTURES LIMITED 富昌期貨有限公司接受及確認

SIGNED by:
簽署由：
its authorized director(s)/Responsible Officer(s)
獲授權董事／負責人員
for and on behalf of
FULBRIGHT FUTURES LIMITED
代表富昌期貨有限公司

ⓧ

Date 日期：

ⓧ

Witness Signature (Name: , a staff of Fulbright Futures Limited)
見證人簽署（姓名： ， 富昌期貨有限公司僱員）

Date 日期：

RECEIPT OF AGREEMENTS AND OTHER LEGAL DOCUMENTS 協議書及其他法律文件之收取

I/We acknowledge receipt of the following the Standard Terms and Conditions of Fulbright Futures Limited 本人（等）確認已收取了下列富昌期貨有限公司之標準章則:

English and Chinese versions of the Standard Terms and Conditions (which set out the Futures Client's Agreement, the Risk Disclosure and Disclaimer Statements, the Internet Futures Trading Agreement and the Notice of Personal Data)
標準章則之英文及中文版本（包括期貨客戶協議書、風險披露及免責聲明書，互聯網期貨交易協議書及個人資料告示）
(I/We agree that if there is a discrepancy between English and Chinese versions of the Standard Terms and Conditions, the English version shall prevail.)（本人（等）同意標準章則之中英文版本文義有歧義，將以英文版本為準。）

Signature of Individual/Primary Joint Account Holder:
個人／主要帳戶持有人簽署：

Date 日期：

Signature of Secondary Joint Account Holder:
聯名帳戶第二持有人簽署：

只適用於聯名帳戶

Date 日期：

DECLARATION BY CLIENT 客戶聲明

The Client acknowledges that the Risk Disclosure and Disclaimer Statements and the Risk Disclosure Statement in the Internet Futures Trading Agreement (if applicable) were provided in a language of Client's own choice (English or Chinese) and the Clients was invited to read the Risk Disclosure and Disclaimer Statements and the Risk Disclosure Statement in the Internet Futures Trading Agreement (if applicable), to ask questions and take independent advice if the Client wishes. If the Client is characterized as "without knowledge of derivatives", the Client further acknowledge that the Client has carefully read the relevant risks associated with futures and options trading which specified in the Risk Disclosure and Disclaimer Statements and fully understood the relevant risks herewith.
客戶確認已按照客戶選擇的語言（英文或中文）獲得風險披露及免責聲明書及互聯網期貨交易協議書所載之風險披露聲明書（如適用）及已獲邀請閱讀該風險及免責聲明書及互聯網期貨交易協議書所載之風險披露聲明書（如適用）、提出問題及徵求獨立的意見（如客戶有此意願）。如客戶被歸類為「對衍生產品沒有認識」，客戶進一步確認已仔細閱讀在風險披露及免責聲明書內所列明的有關期貨及期權買賣所涉及的風險，並完全明白其中所述之相關風險。

Signed by:
簽署：

Name of client in block letters:
客戶姓名﹝請用正楷字體填寫﹞：

Date 日期：

DECLARATION BY STAFF 職員聲明

I, a licensed or registered person, hereby declare that I have provided the above Client with a copy of the Risk Disclosure and Disclaimer Statements and the Risk Disclosure Statement in the Internet Futures Trading Agreement (if applicable) in a language of Client's choice (English or Chinese) and invited the Client to read the Risk Disclosure and Disclaimer Statements in the Futures Client's Agreement, and the Risk Disclosure Statement in the Internet Futures Trading Agreement (if applicable), to ask questions and take independent advice if the client wishes. If the Client is characterized as "without knowledge of derivatives", I further declare that I have explained to the Client the relevant risks associated with futures and options trading which specified in the Risk Disclosure and Disclaimer Statements and the Client fully understood the relevant risks herewith.
本人，以持牌人或註冊人身份，確認本人已按照上述客戶選擇的語言（英文或中文）提供風險披露及免責聲明書及互聯網期貨交易協議書所載之風險披露聲明書（如適用），及提示客戶閱讀期貨客戶協議書之風險披露及免責聲明書及互聯網期貨交易協議書所載之風險披露聲明書（如適用）、亦邀請客戶如有需要可以提出問題及徵求獨立的意見。如客戶被歸類為「對衍生產品沒有認識」，本人進一步確認已向客戶解釋在風險披露及免責聲明書內所列明的有關期貨及期權買賣所涉及的風險，及客戶已完全明白其中所述之相關風險。

Signed by:
簽署：

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Name of licensed or registered person in block letters:
註冊人姓名﹝請用正楷字體填寫﹞：

CE No./中央編號：

Date 日期：

EMPLOYEE PRIMARILY RESPONSIBLE 主要負責客戶事務之

for Client's affairs 僱員的全名 :

Registration(s) maintained by the employee 僱員所註冊的類別 :

CE No. of the employee 僱員的中央編號 :

ACCOUNT OPENING PROCEDURES FOR INDIVIDUAL CLIENT 開設個人戶口須知

If client opens an individual account with Fulbright Futures Limited, please complete and sign the following documents and provide the following supporting documents:
客戶如欲在富昌期貨有限公司開設個人戶口，請簽妥下列表格及提供下列證明文件：

Please complete and sign the following documents 需要簽署文件

☐ 1) Account Opening Form 開戶表格
☐ 2) Client Account Opening Execution Form 客戶開戶執行表格

Please provide the following supporting documents 需要提供文件

☐ 1) Hong Kong Identity Card or Passport Copy 香港身份証或護照影印本
☐ 2) Residential Proof (e.g. rates demand note) 住址証明 (例如差餉單)
☐ 3) Bank Account Proof (e.g. bank statement) 銀行戶口証明 (例如銀行月結單)

ACCOUNT OPENING FORM 開戶表格

Notes 注意：

1 The attached Client Account Opening Execution Form in relation to the operation of the Account must be signed by the client.
客戶必須簽署本開戶表格所附有關操作帳戶的客戶開戶執行表格。

2. Any instruction bearing any one or more of the specimen signatures of the authorized persons will be binding on the client.
任何指示若由一式或多過一式上述有效獲授權人士的簽署者對客戶是有法律約束。

3. Joint Account Holders and Partners of Partnership are each required to complete separately.
聯名客戶及合夥公司各合夥人請分別填寫一份。

CLIENT ACCOUNT OPENING EXECUTION FORM 客戶開戶執行表格

Notes 注意：

1. Please attach an ID card copy of all account holders with this application.
請隨本申報表格附上全部帳戶持有人之身份證副本。

2. This form should be completed and signed by the Client in front of Fulbright employee or account executive. Otherwise, please see Note 6 below.
客戶必須在富昌的僱員或持牌經紀面前填妥及簽署本表格；如非親身開戶，請參看下方的註解6。

3. 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。

4. Client can choose home address, office address or e-mail address as all the statements will be sent to this address. And other printing matters will be sent to address designated by Client. P.O. Boxes are not accepted. Please enclose the address proof dated within the latest three months.
客戶可選擇以住宅地址、辦公室地址或電郵地址收取帳戶結單，而其他印刷品將寄往客戶所選擇之郵寄地址。郵政信箱恕不接受。請附上在最近三個月內之地址證明文件。

5. Third-Party cheque(s) cannot be used to settle any trading transaction.
不能以第三者支票交收。

6. If this document is not executed by the Client in front of Fulbright employee or account executive, Client should comply with either one of the following procedural requirement:
如開戶文件並非在富昌的僱員或持牌經紀面前簽立，客戶必須遵從以下其中一個程序要求：

(i) Client should send Fulbright a personal cheque bearing his/her name shown in his/her identity document and drawn on his/her account with a licensed bank in Hong Kong with his/her same signature(s) as shown on this Form in favour of "**Fulbright Futures Limited**" for not less than HK$10,000 (or such other amount as may be advised by Fulbright). His/her new account will not be activated until the cheque is cleared; or
客戶必須交給富昌由客戶在香港的持牌銀行開立的帳戶所簽發（該簽名須與此開戶表格上的客戶簽名相符）並載有客戶在身份證明文件上所顯示的姓名的個人支票，而該支票抬頭人須為"**富昌期貨有限公司**"及其數額不少於10,000港元（或富昌通知客戶的其他數額）。客戶的新帳戶必須待支票兌現後才可使用；或

(ii) The signing of this Form and sighting of related identity documents should be certified by any other licensed or registered person, an affiliate of Fulbright, a JP (Justice of Peace), or a professional person such as a branch manager of a bank, certified public accountant, lawyer or notary public.
此開戶表格及有關的身份證明文件的見證，須由其他持牌人或註冊人、富昌的聯繫人士、太平紳士、銀行分行經理、執業會計師、律師或公證人加以驗證。