

根據《證券及期貨條例》就第2類、第3類及第5類受規管活動獲發牌的持牌法團CE編號AAZ038及香港期貨交易所有限公司(期交所)期貨委託商  
 A corporation licensed for Type 2, Type 3 and Type 5 regulated activities under the Securities and Futures Ordinance with CE no. AAZ038  
 and Futures Commission Merchant of Hong Kong Futures Exchange Limited (HKFE)

HKFE

帳號 Account No.:
帳號 Account No.:

附表 SCHEDULE 4

Foreign Futures / FX

**客戶資料表 CUSTOMER INFORMATION FORM**

(個人/聯名帳戶 INDIVIDUAL/JOINT ACCOUNT)

客戶主任姓名： Name of Account Executive:	(期貨 Futures) (外匯 Forex)	客戶主任編號： AE Code:	(期貨 Futures) (外匯 Forex)
與客戶主任認識多久： How Long known to AE:		推薦人： Introduced By:	
申請開戶日期： Application Date:		帳戶形式： Account Type:	<input type="checkbox"/> 個人帳戶 Individual Account <input type="checkbox"/> 聯名帳戶 Joint Account

**A. 個人資料 Personal Information**

**個人/聯名帳戶主要戶口持有人  
Individual/Primary Joint Account Holder**

1 客戶姓名 Customer Name  
 先生 Mr. / 女士 Ms. / 太太 Mrs. / 小姐 Miss / 博士 Dr.

(英文)  
 (English) 先寫姓氏 Surname first

(中文)  
 (Chinese)

**聯名帳戶第二戶口持有人資料  
Secondary Joint Account Holder**

客戶姓名 Customer Name  
 先生 Mr. / 女士 Ms. / 太太 Mrs. / 小姐 Miss / 博士 Dr.

(英文)  
 (English) 先寫姓氏 Surname first

(中文)  
 (Chinese)

與主要戶口持有人關係 Relationship with Primary Account Holder:

直系親屬 Immediate Family 請註明 Please specify \_\_\_\_\_  
 親戚 Relative  朋友 Friends  其他 Other: \_\_\_\_\_

2 住宅地址 Residential Address

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

郵政編號 Postal Code

住宅地址 Residential Address  
 (如與主要戶口持有人不同 If different from Primary holder)

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

郵政編號 Postal Code

3 電郵地址 E-mail Address (最多50個字母 Max. 50 characters)

\_\_\_\_\_  
 (只須由個人/主要帳戶持有人填寫 For Individual/Primary Joint Account Holder Only)

4 交易確認通知和帳戶結單遞送至 Trading confirmations and Statements to be sent to your (祇選擇一項 Please check one only)

電郵地址及/或客戶會於輝立網頁內的查數網查閱 E-mail address and/or Customer will examine by using e-Check at www.poems.com.hk  
 (如客戶未能成功接收以電子郵件形式寄出的交易確認通知及帳戶結單，客戶可使用查數網查閱)  
 (If Customer cannot successfully receive Confirmations and Statements by e-mail, Customer can examine them by using e-Check)

住宅地址 Residential Address  辦公室地址 Office Address

5 香港身份證號碼/護照號碼 HKID Card No/ Passport No

簽發地點 Place of Issue

\_\_\_\_\_  
 \_\_\_\_\_

香港身份證號碼/護照號碼 HKID Card No/ Passport No

簽發地點 Place of Issue

\_\_\_\_\_  
 \_\_\_\_\_

6 住宅電話 Home Phone no

7 流動電話 Mobile Phone no

8 辦公室電話 Business Phone no

9 國籍/公民身份 Nationality/Citizenship

10 出生日期 (日/月/年) Date of birth (DD/MM/YY)

11 傳呼機號碼 Pager No

12 傳真機號碼 Fax No

住宅電話 Home Phone no

流動電話 Mobile Phone no

辦公室電話 Business Phone no

國籍/公民身份 Nationality/Citizenship

出生日期 (日/月/年) Date of birth (DD/MM/YY)

傳呼機號碼 Pager No

傳真機號碼 Fax No

13 婚姻狀況 Marital Status:

單身 Single  已婚 Married  離婚 Divorced

婚姻狀況 Marital Status:

單身 Single  已婚 Married  離婚 Divorced

## B. 業務/工作狀況 Business /Employment Status

1 職業/業務性質 Occupation/Business

2 職位 Job Title

3 僱主名稱 Name of employer

4 受僱年期 Years with Employer

5 辦公室地址 Office Address

郵政編號 Postal Code

職業/業務性質 Occupation/Business

職位 Job Title

僱主名稱 Name of employer

受僱年期 Years with Employer

辦公室地址 Office Address

郵政編號 Postal Code

## C. 財政狀況 Financial Situation

1 流動資產 (HK\$) Liquid Asset (HK\$)

2 資產淨值 (HK\$) Net Worth (HK\$)

3 年薪 (HK\$) Annual Income: (HK\$)

<HK\$100,000

HK\$100,000 - HK\$200,000

HK\$200,001 - HK\$ 500,000

HK\$500,001 - HK\$1,000,000

>HK\$1,000,000

4 住屋業權 Ownership of Residence

擁有 owned -

已抵押 Mortgaged

沒有抵押 Not mortgaged

沒有 Not owned -

租住 Rented

與家人同住 Living with Family

流動資產 (HK\$) Liquid Asset (HK\$)

資產淨值 (HK\$) Net Worth (HK\$)

年薪 (HK\$) Annual Income: (HK\$)

<HK\$100,000

HK\$100,000 - HK\$200,000

HK\$200,001 - HK\$500,000

HK\$500,001 - HK\$1,000,000

>HK\$1,000,000

住屋業權 Ownership of Residence

擁有 owned -

已抵押 Mortgaged

沒有抵押 Not mortgaged

沒有 Not owned -

租住 Rented

與家人同住 Living with Family

## D. 投資經驗 Investment Experience

(如屬聯名帳戶，則需由主要帳戶持有人填寫D, E及F部份)  
Please fill in by the **Primary Account Holder** for Joint Account in respect of Sections D, E & F)

A 客戶是否已有下列經驗 Does the customer have the following experience? (如有，請註明每年平均交易金額 If yes, please specify average transaction amount per year.)

- 香港上市股票 HK listed stocks: \_\_\_\_\_
- 香港期貨和期權 HK Futures & Options: \_\_\_\_\_
- 海外期貨和期權 Overseas Futures & Options: \_\_\_\_\_
- 其他 Others: \_\_\_\_\_ 交易數目 Amount: \_\_\_\_\_
- 海外上市股票 Overseas listed stocks: \_\_\_\_\_
- 互惠基金或單位信託 Mutual funds or unit trust: \_\_\_\_\_
- 槓桿式外匯 Leveraged Foreign Exchange: \_\_\_\_\_
- 沒有 None

B 投資目的 Investment Objective:

- 賺取收入 Generating Income
- 資本增長 Capital Appreciation
- 對沖 Hedging
- 投機 Speculation
- 其他 Others: 1 \_\_\_\_\_ 2 \_\_\_\_\_ 3 \_\_\_\_\_

C 投資經驗年期 Years of Experience in Investment:

證券經驗 Experience in Securities Investment:

- 沒有 Nil
- 一至三年 1-3 years
- 三至五年 3-5 years
- 五至十年 5 - 10 years
- 超過十年 Over 10 years

期貨投資經驗 Experience in Futures Investment:

- 沒有 Nil
- 一至三年 1-3 years
- 三至五年 3-5 years
- 五至十年 5 - 10 years
- 超過十年 Over 10 years

期權投資經驗 Experience in Options Investment:

- 沒有 Nil
- 一至三年 1-3 years
- 三至五年 3-5 years
- 五至十年 5 - 10 years
- 超過十年 Over 10 years

槓桿式外匯投資經驗 Experience in Leverage Foreign Exchange Investment:

- 沒有 Nil
- 一至三年 1-3 years
- 三至五年 3-5 years
- 五至十年 5 - 10 years
- 超過十年 Over 10 years

## E. 其他資料 Other Information

1 閣下從何處得知輝立證券資料 How did you know Phillip Commodities (HK) Limited?

報章或雜誌 Newspaper or Magazines

親友轉介 Referral

輝立課程 Phillip Course

輝立投資中心 Phillip Investor Centre

Cyberquote

其他 Other \_\_\_\_\_

2 閣下選擇輝立證券的原因 Reason for Choosing Phillip Commodities (HK) Limited as your Brokerage firm?

親友轉介 Referral

輝立的可靠性 Phillip's Reliability

完善的投資服務 Comprehensive Investment Service

輝利市 POEMS

其他 Other \_\_\_\_\_

## F. 客戶聲明 Declaration by Customer

只供個人/聯名戶口使用 For Individual/Joint Account

1 你是否此帳戶的最終實益擁有人？(即你是否為本身而非為第三者運作此帳戶?)

Are you the ultimate beneficial owner(s) in relation to the Account? (i.e. Are you acting for your own account and not for a third party?)

是 Yes

否，帳戶的最終實益擁有人是 No, details of the ultimate beneficial owner(s) is/are:

姓名 Name: \_\_\_\_\_

地址 Address: \_\_\_\_\_

護照/身份證號碼/簽發地點 Passport/ID No./Place of issue: \_\_\_\_\_

2 你是否：(i)交易所參與者或就第2類受規管活動(期貨合約買賣)獲發牌的中介人(持牌法團)的僱員或代理人；或(ii)就第2類受規管活動獲註冊的中介人(註冊機構)的僱員或代理人，並直接參與該受規管活動？(如是，請提供你僱主的書面同意)

Are you an employee or agent of: (i) an exchange participant or an intermediary (licensed corporation) licensed for Type 2 Regulated Activity (dealing in futures contracts); or (ii) an intermediary (registered institution) registered for Type 2 Regulated Activity and directly involved in the Regulated Activity? (If yes, please provide your employer's consent letter)

是，有關的交易所參與者或中介人的名稱是：

否 No

Yes, the name of the related exchange participant or intermediary is: \_\_\_\_\_

請註明：期貨交易參與者/非期貨交易參與者

Please specify: exchange participant of HKFE or exchange participant of Non-HKFE

3 你是否與輝立商品或聯營公司的職員/代理人有親戚關係？

Are you a relative of an employee/agent of Phillip Commodities (HK) Limited or its associated companies?

是，職員/代理人的名稱

Yes. Name of Employee/agent: \_\_\_\_\_

否 No

4 你是否：就第3類受規管活動(槓桿式外匯買賣)獲發牌的中介人(持牌法團)的僱員或代理人，並直接參與該受規管活動？

Are you an employee or agent of: intermediary (Licensed corporation) licensed for Type 3 Regulated Activity?

是，有關的中介人的名稱是：

否 No

Yes, the name of the intermediary is: \_\_\_\_\_

請註明

Please specify: \_\_\_\_\_

5 \* 只供槓桿式外匯交易戶口使用 Only for Leveraged Foreign Exchange Trading Client

客戶是否委託授權人運作及處理與本戶口有關事宜？

Are you appoint any Particular of appointee to operate and deal with all matters in relation to the Account?

是，請填妥委託帳戶授權書

Yes. Please complete the "Appointment of Authorized Person".

否 No.

## G. 銀行資料 Bank Reference

此戶口將用作交收銀行戶口，而本公司發出之支票將依據以下之戶口名稱。

This account will be used as the settlement bank account and the cheque issued by the Company will be accorded to the account name below.

銀行帳戶紀錄(只供存款用途) BANKING ACCOUNT RECORD (For fund deposit only)

除客戶另行指示外，客戶的款項將會被轉入下列銀行帳戶：

Unless otherwise to be instructed by you, all monies payable to you are to be credited to the following bank account:

銀行 Bank: \_\_\_\_\_ 帳戶名稱 Account Name: \_\_\_\_\_

分行 Branches: \_\_\_\_\_ 帳戶號碼 Account Number: \_\_\_\_\_

帳戶類別 Account Type(s):  儲蓄 Saving  往來 Current  其他 Others \_\_\_\_\_

## H. 客戶確認及承諾 Customer Acknowledgement and Consent

### 關於風險披露聲明及其他商品交易及槓桿式外匯交易附加聲明的確認

#### Acknowledgement regarding Risk Disclosure Statement and other additional statements for commodity trading and Leveraged Foreign Exchange Trading

本公司邀請客戶參閱載於期貨客戶協議及槓桿式外匯交易協議附表3的風險披露聲明及免責聲明和其他按照相關法律、規定或其他監管相關市場的交易所規定而提供附加聲明的確認。

- 客戶確認本公司以客戶選擇的語言（英文或中文）提供期貨客戶協議及槓桿式外匯交易協議及其附表。
- 客戶進一步確認本公司已經邀請客戶閱讀風險披露聲明，提出問題及徵求獨立的意見(如客戶有此意願)。
- 客戶確認本公司已經邀請客戶閱讀列於期交所規則、證券及期貨(合約限量及須申報的持倉量)規則及由證監會發出的有關指引內的申報規定及責任。(只適用於期貨戶口)

The Company refers the Customer to the Futures Client Agreement and Leveraged Foreign Trading Client Agreement Risk Disclosure Statements & Disclaimers in Schedule 3 and any other additional statements provided pursuant to relevant laws, the Rules or the rules of the other exchanges governing the relevant market.

- The Customer acknowledges that the Futures Client Agreement and Leveraged Foreign Trading Client Agreement and the Schedules attached were provided in a language (English or Chinese) of the Customer's choice.
- The Customer further acknowledges that it was invited to read the Risk Disclosure Statement, ask questions and take independent advice, if the Customer wished.
- The Customer acknowledges that it was invited to read the reporting requirements and the responsibilities of reporting set out in the Rules of the HKFE and in the Securities and Futures (Contracts Limits and Reportable Positions) Rules and related guidance notes issued by the SFC. (Only for Commodities Account)

### 關於提供準確資料的確認

#### Acknowledgement regarding accuracy of information provided

載於本客戶資料表中的資料是真實和準確的。客戶將會通知輝立商品(香港)有限公司有關上述資料的任何重要改變。輝立商品(香港)有限公司獲授權隨時聯絡任何人，包括客戶的銀行、經紀或任何信用調查機構，藉以核實本客戶資料表中所提供的資料。輝立商品(香港)有限公司的个人資料收集聲明列於附表2中。

The information contained in this Customer Information Form is true and accurate. The customer and the authorized person will notify Phillip Commodities (HK) Limited of any material change of that information. Phillip Commodities (HK) Limited is authorized at any time to contact anyone, including Customer's banks, brokers or any credit agency, for the purpose of verifying the information provided on this Customer Information Form. A copy of Phillip Commodities (HK) Limited's Personal Information Collection Statement is attached as Schedule 2.

## I. 客戶簽署 Execution by Customer

戶口種類 Account Type

商品交易戶口 Commodities Trading Account

請選擇要交易的市場 Please select the following Exchange Market.

本地期貨/香港期貨交易所 Local Futures/HKFE

外國期貨/非香港期貨交易所 Foreign Futures/Non-HKFE

請為我/我們(在下面簽名的客戶)開立商品交易帳戶。我/我們已經閱讀並明白期貨客戶協議的條款及附表3中風險披露，並接受這些條款的約束。  
Please open a Commodities Account for me/us, the undersigned Customer(s). I/We have read and understand the provisions of the Commodities Client Agreement and Risk Disclosure Statement as set out in Schedule 3 and accept to be bound by the same.

僅供公司使用 For Office use:

主要負責客戶事務的持牌代表的全名和CE編號

Full Name and CE No. of the licensed representative who will be primarily responsible for the Customer's affairs:

(全名 Full Name)

(CE編號 CE No.)

槓桿式外匯交易戶口 Leveraged Foreign Exchange Trading Account

請為我/我們(在下面簽名的客戶)開立槓桿式外匯帳戶。我/我們已經閱讀並明白槓桿式外匯交易協議及附表3中風險披露聲明，並接受這些條款的約束。

Please open a Leverage Foreign Exchange Account for me/us, the undersigned Customer(s). I/We have read and understand the provisions of the Leverage Foreign Exchange Trading Client Agreement and Risk Disclosure Statement as set out in Schedule 3 and accept to be bound by the same.

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

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

個人/主要帳戶持有人姓名  
Name of Individual/Primary Joint Account Holder:

聯名帳戶第二持有人姓名:  
Name of Secondary Joint Account Holder:

日期 Date:

日期 Date:

(聯名帳戶適用 For Joint Account only)

此帳戶可根據以下指示方式操作 (請在合適的方格內打上"✓"號) The Account can be operated on the instruction of (please tick the appropriate box):

任何一個帳戶持有人的指示  
Either one of the account holders

兩個帳戶持有人的指示  
Both account holders

## 其他服務 Other Services

電子交易服務 Electronic Services

我/我們欲使用電子服務。我/我們已經閱讀並明白附表一中闡明網上交易協議的條款，並接受這些條款的約束。  
I/We want to use the Electronic Services specified in this Agreement. I/We have read and understand the provisions of the On-Line Trading Agreement as set out in Schedule 1 and accept to be bound by the same.

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

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

日期 Date:

日期 Date:

注意 Note:

- 請隨本申請表格附上全部帳戶持有人之身份證副本。  
Please attach an ID card copy of all account holders with this application.
- 客戶必須在輝立的僱員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。  
This form should be completed and signed by the customer in front of Phillip's employee. Otherwise, please see note 6 below.
- 任何刪除或修改必須由客戶簽署作實。  
Any deletion or amendment must be initialed by all account holders.
- 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住宅地址。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。  
Customer 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 home address. P.O Boxes are not accepted. Please enclose the address proof dated within the latest three months.
- 不能以第三者支票交收。  
Third-party cheques cannot be used to settle any trading transaction.
- 如開戶文件並非在輝立的僱員面前簽立，客戶必須遵從以下其中一個程序要求：  
If this document is not executed by the Customer in front of Phillip's employee, Customer should comply with either one of the following procedural requirements:
  - 客戶須交給輝立由客戶已簽立的、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"輝立商品(香港)有限公司"及其數額不得少於10,000港元(或輝立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  
Customer should send Phillip a personal cheque bearing your name shown in your identity document and drawn on your account with a licensed bank in Hong Kong with your sign physical copy of the Leverage Foreign Exchange Trading Client Agreement and same signature(s) as shown on this Form in favour of Phillip Commodities (HK) Limited" for not less than HK\$10,000. Your new account will not be activated until the cheque is cleared; or
  - 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、輝立的聯繫人士、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。  
The signing of this Form and sighting of related identity documents should be certified by any other licensed or registered person, an affiliate of Phillip, a JP (Justice of Peace), or a professional person such as a branch manager of a bank, certified public accountant, lawyer or notary public.

## 職員／經紀聲明 Declaration by Staff / Account Executive

### (只適用於期貨戶口 / ONLY FOR COMMODITIES A/C)

我，\_\_\_\_\_ (持牌人姓名正楷)，確認已經以客戶選擇的語言(英文或中文)提供了載於以期貨客戶協議附表3內的風險披露聲明及免責聲明，並且我已經邀請客戶閱讀該風險披露聲明，提出有關問題及徵求獨立的意見(如客戶有此意願)。

I, \_\_\_\_\_ (Print name of licensed person) confirm that I have provided the Risk Disclosure Statements & Disclaimers as set out in Futures Client Agreement Schedule 3 in a language (English or Chinese) of the Customer's choice and that I have invited the Customer to read the Risk Disclosure Statements, ask questions and take independent advice, if the Customer wishes.

(請用正楷填寫 Please complete in block letters)

職員／經紀簽署  
Signature of Staff/ AE:

CE編號  
CE No.:

職員／經紀姓名  
Name of Staff/ AE:

日期  
Date:

### (只適用於槓桿式外匯戶口 / ONLY FOR LEVERAGED FOREIGN EXCHANGE TRADING A/C)

我，\_\_\_\_\_ (持牌人姓名正楷)，確認已經以客戶選擇的語言(英文或中文)提供了載於以槓桿式外匯買賣交易協議附表3內的風險披露聲明及免責聲明，並且我已經邀請客戶閱讀該風險披露聲明，提出有關問題及徵求獨立的意見(如客戶有此意願)。

I, \_\_\_\_\_ (Print name of licensed person) confirm that I have provided the Risk Disclosure Statements & Disclaimers as set out in Leveraged Foreign Exchange Trading Agreement Schedule 3 in a language (English or Chinese) of the Customer's choice and that I have invited the Customer to read the Risk Disclosure Statements, ask questions and take independent advice, if the Customer wishes.

(請用正楷填寫 Please complete in block letters)

職員／經紀簽署  
Signature of Staff/ AE:

CE編號  
CE No.:

職員／經紀姓名  
Name of Staff/ AE:

日期  
Date:

### 只供本行使用 For Official Use Only

#### 文件查核列 Document check list

已獲銀行及信貸參考(例如：銀行結單、屋契等)  
Bank and Credit Reference obtained (eg. Bank Statement, deed of residence etc.)

是 Yes  否 No

取得身份證或護照副本  
I.D. Card/ Passport Copy obtained

是 Yes  否 No

取得地址證明副本  
Address proof obtained

是 Yes  否 No

Employer Consent letter obtained (if applicable)

是 Yes  否 No

Applicable to Non face-to-face account opening procedure:

Personal cheque received (if applicable)

issued from a licensed bank in HK

payable to "Phillip Commodities (HK) Ltd"

cheque amount not less than HK\$10,000

client name shown on cheque

same signature on cheque and A/C Opening Form

cheque copy retained

cheque cleared

#### 文件查核 Document checked by

職員姓名：  
Name of Staff:

職員簽署：  
Signature:

#### 客戶資料核對 Customer information verified by

職員姓名：  
Name of Staff:

職員簽署：  
Signature:

保證金限額  
Margin Limit

日期：  
Date:

#### 持倉限額及開戶批核 Limit and Account Opening approved by

職員姓名：  
Name of Staff:

職員簽署：  
Signature:

#### 外國期貨交易/槓桿式外匯交易 Foreign Futures Trading/ Leveraged Foreign Exchange Trading

保證金限額  
Margin Limit

日期：  
Date:

#### 限額批核 Limit approved by

職員姓名：  
Name of Staff:

職員簽署：  
Signature: