

CLIENT INFORMATION STATEMENT

客戶資料表格

(CORPORATE 公司)

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SC 16 v.1
CE Number: AAF640



南華期貨有限公司
South China Commodities Ltd.

Account Name
戶口名稱

Account No.
戶口號碼

本公司專用 (For Internal Use Only)

Name of Company / Corporation 公司名稱

In English 英文

In Chinese 中文

Trading Name 經營名稱 (if different from above 如異於上述)

Corporate Information 公司資料

Place of Incorporation / Establishment
註冊/成立地點

Date of Incorporation
成立日期

Registered Number in Country of Incorporation / Establishment
註冊地的註冊編號

Business Registration Number (Hong Kong) 香港商業登記編號

Registered Office in Country of Incorporation / Establishment 註冊地的註冊辦事處地址

Principal Place of Business in Hong Kong (If Different from Registered Office) 香港總辦事處地址 (如異於註冊辦事處)

Business Phone Number 公司電話

Facsimile Number 傳真號碼

E-mail Address 電子郵箱

Brief Description of Nature of Business 請簡述公司業務性質

Nature of Entity (i.e. Private Limited Company, Public Limited Company, Association, Society etc.)
公司性質 (如私人有限公司, 公衆有限公司, 協會, 社團等)

Address for Correspondence and Forwarding of Confirmations and Statements 單據往來地址

☐ Registered Office 公司註冊地址

☐ E-mail Address 電子郵箱

☐ Place of Business 香港公司地址

☐ SMS 手機短訊

☐ Others (specify) 其他 (請註明)

Does your corporation maintain a "no conviction record" under the anti-money laundering or anti-terrorist financing related legislation? 就反洗黑錢條例或反恐怖分子籌資活動條例閣下的公司是否維持“無犯罪紀錄”? ☐ Yes 是 ☐ No 否

Does your corporation operate in the business which is particularly susceptible to money laundering risk (For example, money changer or casino business that handles large amount of cash)? ☐ Yes 是 ☐ No 否
閣下的公司所經營的業務是否特別容易蒙受較高的洗黑錢風險 (例如找換業或博彩業等會接觸大量現金之行業)?

Financial Background 財務狀況

Authorized Capital 法定股本 Paid-up Capital 繳足股本

Net Asset Value (in HK\$) 資產淨值(港幣)

Net Profit (after tax) in preceding 3 years 以上三年除稅後溢利

Year 年份 HK\$ 港幣

Year 年份 HK\$ 港幣

Year 年份 HK\$ 港幣

Address of Properties 物業地址

Corporate Structure 公司結構

The individual who holds 10% or more of the ultimate beneficial interest in the Company (not applicable to public listed companies) 有百分之十或以上之公司最終權益擁有人 (不適用於上市公司)

① Last Name 姓: Given Name 名: (%) 百分率:

Address 地址

HKID No. (or Passport No. and country of issue) 身份證或護照號碼 Nationality 國籍

Source of property 財產來源: ☐ HKSAR 香港特別行政區 ☐ China 中國 ☐ Others 其他

I confirm that I have maintained a "no conviction record" under the anti-money laundering and anti-terrorist financing related legislation. 本人確認本人就反洗黑錢條例或反恐怖分子籌資活動條例仍然維持"無犯罪紀錄"。 ☐ Yes 是 ☐ No 否

I confirm that I am not engaged in the industry which is particularly susceptible to money laundering risk (For example, money changer or casino business that handles large amount of cash). 本人確認本人從事的行業不是特別容易蒙受較高的洗黑錢風險(例如找換業或博彩業等會接觸大量現金之行業)。 ☐ Yes 是 ☐ No 否

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Address 地址

HKID No. (or Passport No. and country of issue) 身份證或護照號碼 Nationality 國籍

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Particular of Directors of the company 董事資料細節

- ① Last Name 姓: Given Name 名:
Address 地址
HKID No. (or Passport No. and country of issue) 身份證或護照號碼 Nationality 國籍
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Credit Reference 信貸參考

Bank References (including address, type of account and account number) 銀行提述 (包括地址、戶口類別及號碼)

Name of Bank 銀行名稱 Address 地址
Type of Account 戶口類別 Account Number 戶口號碼

Other Brokerage or Dealer references (including address, type of account (eg. cash or margin and nature of securities) and account number): 其他經紀或交易商提述 (包括地址、戶口類別(現金或按金及證券性質)及戶口號碼)

Name of Broker 經紀名稱 Address 地址
Type of Account 戶口類別 Account Number 戶口號碼

Investment Objectives and Experience 投資目的及經驗

Investment Objectives 投資目的

- ☐ Capital Investment and Income 資本投資及收入 ☐ Hedging 對沖
☐ Speculation 投機 ☐ Others (specify) 其他

Investment Experience 投資經驗

	Years/年	Average Portfolio Value (HK\$) 平均貨值(以港幣計)
<input type="checkbox"/> Debentures or Other Securities 股票、債券及其他證券	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> Leveraged Foreign Exchange 槓桿外匯	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> Precious Metals 貴重金屬	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> Futures / Options 期貨/期權	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> Derivatives Products 衍生產品	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> Others : (specify) 其他 (請註明)	<input type="text"/>	<input type="text"/>

Other Accounts 其他戶口

Particulars of any and all other accounts (whether individual, joint, corporate, trustee) beneficially held, owned or operated by the Company, its subsidiaries or related companies for on its or their behalf or for any other person(s), body or corporation or in which the Company, its subsidiaries or related companies has an interest (whether direct or indirect) with South China Commodities Limited or any of its subsidiaries or associated companies

其他戶口詳情(無論個人、聯名、公司、託管)，本公司或本公司代表他人、公司、有直接或間接利益在南華期貨有限公司及其附屬或聯營公司由本公司實益持有、擁有或運作。

Account Name 戶口名稱 Account Number 戶口號碼

Trading Authorization 交易授權

Will the account be traded under or pursuant to Power of Attorney or Trading Authorization?

戶口會否授權第三者交易

- ☐ No 否
☐ Yes 是 If yes, please furnish signed Power Attorney or Trading Authorization 若會，請提交交易授權書

Relationship of authorized representative to Company 客戶與授權人關係:

Authorized Person(s) 交易授權者

The following person(s) is or are authorized on behalf of the Company to give written and / or oral instructions in relation to the trading of the account. 本公司現授權下列人士以書面或口頭指示在本戶口進行交易事宜

1. Last Name 姓 Given Name 名 Present Position 現時職位

HKID/ Passport No. 香港身份證號碼或護照號碼

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Office Tel. No. 公司電話 Residential Tel. No. 住宅電話 Mobile No. 流動電話 E-mail Address 電子郵箱

Address 地址

I confirm that I am not related to any of your directors, officers or employees. 本人確認與貴公司任何董事，主任及職員無任何關連 If related, please state 若有關連，請列明

Name 姓名 Position 職位

Name of Company 公司名稱

I confirm that I am not an employee or consultant of a member of the Stock Exchange / Futures Exchange / Licensed Dealer or Trader.* 本人確認本人不是聯交所會員 / 期交所會員 / 持牌買賣商之職員或顧問* If yes, please state 若是，請列明：

I confirm that I am not a senior officer / director or in control of company listed on any exchange / market.* 本人確認本人不是任何其股份可在交易所 / 市場的公司之高級職員 / 董事* If yes, please state 若是，請列明：

Position 職位

Name of Company 公司名稱

Client's Signature (Company Chop) 客戶簽署 (公司蓋印)

Date 日期

2. Last Name 姓 Given Name 名 Present Position

HKID/ Passport No. 香港身份證號碼或護照號碼

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Office Tel. No. 公司電話 Residential Tel. No. 住宅電話 Mobile No. 流動電話 E-mail Address 電子郵箱

Address 地址

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Name 姓名 Position 職位

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Position 職位

Name of Company 公司名稱

Client's Signature (Company Chop) 客戶簽署 (公司蓋印)

Date 日期

Declaration 聲明書

We represent that the contents and information provided by us in this Client Information Statement are true, complete and correct and that the representations made by us herein are accurate. You may or are entitled to rely entirely upon such contents information and representations for all purposes, unless you receive notice in writing from us of any change thereof. We hereby undertake to notify you in writing forthwith upon any material change in the information provided herein. You are further and hereby authorized at any time to contact any person or persons, including the Company's banks, brokers, advisers or any credit agency, for or relating to the purpose of verifying the information provided by us in this Client Information Statement.

You are further and hereby authorized to accept any fax and/or email message from us as the original instruction, and we shall fully indemnify you from and against all losses, damages, interest, costs, expenses, actions, demands, claims, proceedings whatsoever which you may incur, suffer or sustain as a result of or arising from the exercise of that instruction. We hereby waive any of your, if any, liabilities that may arise from these authorizations.

本公司茲聲明在客戶資料表格內的資料及內容屬真實、完整、正確及附上上述內容準確，除非接到更改有關聲明內容的書面通知，否則閣下有權在任何用途上完全依賴這些資料及聲明，本公司承諾以書面通知閣下，若此資料有任何修改，閣下現被授權在任何時間接觸任何人(等)，包括本公司往來銀行、經紀、顧問或任何信貸機構，核實本公司在客戶資料表格中所提供有關資料。

閣下現被授權接受任何本公司發出之傳真及／或電郵訊息為原本指示及閣下因執行此指示而招致、蒙受或遭受一切損失、賠款、利息、成本、費用及一切因法律行動而招致、蒙受或遭受之索償，向閣下作出賠償保證及保障閣下不會因此蒙受損失。本公司免除閣下因此授權所引起的責任及損害(如有)。

Print Full Name(s)
公司名稱

For and on behalf of the Client (Company Chop)
公司授權人簽署(公司蓋印)

Date
日期

COMMODITIES TRADING ACCOUNT 期貨交易帳戶

I/We hereby also confirm my/our request for opening the following Account(s) by signing my/our name(s) next to the Account(s) and I/we have been invited to read the South China Commodities Trading Agreement and the terms and conditions posted on the SCtrade.com website in a language I/we prefer and I/we fully understand and agree to be bound by them in full. I/We also have been invited to ask questions and take independent advice if I/we wish.

本人/吾等確認要求開設下列帳戶及在帳戶旁簽署其姓名。本人/吾等同意並已被邀請按照本人/吾等所選擇的語言閱讀南華期貨交易協議書的內容、條款及刊載於南華互動金融網網址內的協議、條款，本人/吾等完全理解並同意履行及遵守該協議書內之條款。本人/吾等已被邀請如本人/吾等有任何意願可提出及徵求獨立意見。

Account 帳戶	Client's signature (Company Chop) 客戶簽署 (公司蓋印)	
Commodities Account 期貨帳戶		Remarks Date 日期:
Commodities Account (On-line Trading Service) 期貨帳戶(網上交易服務)		Remarks Date 日期:

Acknowledgement by Client 客戶之確認

The Client confirms that the following relevant risk disclosure statement(s) (as indicated below) was/were provided in a language of the Clients choice; and the Client was invited to read the risk disclosure statement, to ask question and take independent advice if the Client wishes.

客戶証實以客戶選擇之語言的而在下面列明之有關風險披露聲明書已被提供；客戶邀請閱讀，提出問題及徵求獨立的意見如客戶有此意願。

Type of Risk Disclosure Statement 風險披露聲明書	Client's signature (Company Chop) 客戶簽署 (公司蓋印)	
Risk of commodities trading as set out in the South China Commodities Trading Agreement 期貨交易的風險在南華期貨交易協議書列明		Remarks Date 日期:
Risk of electronic Online trading as set out in the South China Commodities Trading Agreement 電子網上交易的風險在南華期貨交易協議書列明		Remarks Date 日期:

Witness Name
見證人姓名

Occupation
職業

Address
地址

If signed outside of Hong Kong, signing of this Agreement should be witnessed by a duly appointed Notary Public, solicitor or other competent person.
如於香港以外地方簽署，須由正式任命的公證人、律師或其他相關能力人士見證簽署

Witness Signature 見證人簽署

Date 日期

Declaration by Registered Person 註冊人士聲明書

I, have invited the applicant(s) to read the contents of the South China Commodities Trading Agreement in a language which he/they understand(s) and prefer(s). I have also invited the applicant(s) to ask questions and take independent advice if he/they wish(es).

Date CE No.

Registered Person's Signature

Note: This Client Information Statement must be accompanied by the following certified true copies:-

此客戶資料表格必需附帶以下文件的核證副本

- ☐ I) Memorandum & Articles of Association 公司組織章程大綱及細則
- ☐ II) Certificate of Incorporation 註冊成立證書
- ☐ III) Business Registration Certificate 商業登記證
- ☐ IV) Board resolution(s) on approving account opening with us and the appointment of authorized person(s) to operate the account
董事會決議之核證申請開立戶口及委任授權人仕運作戶口
- ☐ V) Copies of HKID / Passport of Directors and shareholders 董事及股東身份證/護照副本
- ☐ VI) Copies of HKID / Passport of authorized person(s) 授權人士身份證/護照副本
- ☐ VII) Latest annual return filed with the Companies Registry 最新周年報表
- ☐ VIII) Latest audited financial statements (if any) 最近公司審計帳目 (如有提交)
- ☐ IX) Letter of Guarantee and the copy of HK identity card or passport of guarantor
擔保書並連同擔保人的香港身份證明文件或護照副本
- ☐ X) Application by an individual for registration of business carried on by him in Hong Kong (for unlimited company)
個人在香港經營業務的商業登記申請書(適用於無限法律責任公司)
- ☐ XI) Trading Authorization with Info. Statement (the Authorized Representative) 授權書及獲授權人資料表
- ☐ XII) Copy of valid Address Proof within the last 3 months (For the Corporation and Authorized Representative)
最近三個月內之有效地址證明文件 (公司及其獲授權人)

For non-Hong Kong company, please provide the following additional certified true copies:-

香港境外公司需連附上以下附加文件的核證副本:-

- ☐ i) Latest (recent 3 months) bank account statement or utilities bill showing proof of address. 最新三個月內的地址證明(銀行或水電帳單)
- ☐ ii) Registered Agent's Certificate identifying the current directors and officers, verified or issued by the registered agent of the Company
確認現任董事及高級人員的在職證書或註冊代理證書
- ☐ iii) Information on the true beneficial ownership of the Company 公司實益擁有權的真確資料
- ☐ iv) Subscriber Appointment of First Director(s) 第一次董事委任
- ☐ v) Consent to act as Director(s) 董事就任同意書
- ☐ vi) Certificate of Incumbency or equivalent issued by the Company's registered agent in the place of incorporation within the last 6 months
最近6個月內之核證真實副本的存續證明或其他相等證明文件由成立國家的註冊代理人發出

For Internal Use Only

Version 版本

Handled by 處理:

Approved and Accepted By 批核及接納:

Signature 簽署:

Authorized Signature 授權代表簽署:

Date 日期:

Date 日期:

Name of the Company : _____ ("the Company")

Registered Office : _____

To: South China Commodities Limited

Certified Extracts of the Resolutions

Passed by the Directors of the Company on _____, 20_____.

LIMITED COMPANY MANDATE

1) That account or accounts ("the Accounts") be opened/continued with South China Commodities Limited (herein referred to as "South China") for the purchase and sale (including short sale) or otherwise dealing in (as the case may be) futures contracts including other related products or otherwise and in accordance with such terms and conditions which South China may from time to time prescribe for the Accounts. For the purpose of this Resolutions (1), "futures contract" means (a) a contract or an option on a contract made under the rules or conventions of a futures market; (b) interests, rights or property which is interests, rights or property, or is of a class or description of interests, rights or property, prescribed by notice under section 392 of the Securities and Futures Ordinance as being regarded as futures contracts in accordance with the terms of the notice, but does not include interests, rights or property which is interests, rights or property, or is of a class or description of interests, rights or property, prescribed by notice under section 392 of the Securities and Futures Ordinance as not being regarded as futures contracts in accordance with the terms of the notice; (c) any instruments commonly known as futures contracts and the definition of "futures contract" in Schedule 1 of the Securities and Futures Ordinance; and

2) That the Company has commercial reasons for opening the Accounts with South China for the purpose of South China acting on behalf of the Company on any exchange or market in Hong Kong and anywhere in the world.

3) That South China be given a list ("the List") of the names of the Directors, officers, and other authorized persons of the Company (together with their signatures and particulars of any required signing arrangements) authorized to give oral or written instructions on behalf of the Company, by telephone or in person or by letter or otherwise to purchase and sell (including short sale) or otherwise dealing in (as the case may be) futures contracts in all matters affecting the Accounts, in particular in relation to payment or transfer or funds, to deliver or transfer of futures contracts into or out of the Accounts and that South China shall be advised in writing from time to time of any changes in the List or the signing arrangements particularized below together with a copy of the Resolution of the Board authorizing the same and specimens of any new signatures.

4) That without prejudice to Resolution (3) above, South China be requested and authorized to effect all transactions in futures contracts (as the case may be) in response to instructions given or purport to be given by or on behalf of the Company whether by the authorized persons under Resolution (3) above or not South China is entitled but not obligated to insist on such instructions being confirmed by the Company in writing. In the event of South China acting on any such instructions, whether the same be subsequently so confirmed or not and whether authorized persons in the List or not, the Company acknowledges that South China will thereby be and be deemed to be acting at the Company's request, for the Company's benefit and at the Company's risk and that the Company will be bound by such instructions.

5) That the Company do hereby confirm and agree to enter into the Client Information Statement which has/have supplied to the Company.

6) That the authorized persons set out in the List hereunder be authorized to sign and/or confirm the Client Information Statement, such letters or memoranda and all other agreements and documents relating to the operation of the Accounts as South China may from time to time require.

7) That the Company acknowledges that due to the volatile nature of futures contracts markets, the purchase and sale (including short sale) or otherwise dealing in futures contract involve a high degree of risk. This is a risk that the Company is prepared to accept.

THE LIST

Names, Capacities and Specimen signatures of Directors, Officers and other signatories referred to in Resolution (3) above.

Name	Position	Specimen Signature
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

SIGNING ARRANGEMENT

Payment or delivery instruction(s) given by any _____ of the above signatories will be valid.

ORAL INSTRUCTIONS

Given by any one of _____ will be valid.

We hereby certify that the foregoing is a full true and correct copy of the Resolutions duly and regularly passed and adopted by the Board of Directors of the Company at a meeting thereof duly called and held and that the Resolutions have been duly recorded in the Minute Book of the Company and that the same have not been rescinded or modified and are now in full force and effect.

We further certify that the Company is duly organized and existing and has the power to take the action called for by the foregoing Resolutions.

Date: the _____ day of _____ 20_____.

Chairman (Company Chop)

Director / Secretary* (Company Chop)
(*Delete if not appropriate)