

Name	
Account No.	
Sales	



國元國際
GUOYUAN INTERNATIONAL

國元期貨(香港)有限公司
GUOYUAN FUTURES
(HONG KONG) LIMITED

**FUTURES CLIENT'S ACCOUNT
OPENING INFORMATION FORM
(CORPORATE)**



國元國際
GUOYUAN INTERNATIONAL

國元期貨(香港)有限公司
GUOYUAN FUTURES
(HONG KONG) LIMITED

國元期貨(香港)有限公司
Guoyuan Futures (Hong Kong) Limited (Hereinafter "Guoyuan")

17/F, Three Exchange Square, 8 Connaught Place, Central, Hong Kong

Telephone: (852) 3769 6828

Facsimile: (852) 3769 6999

國元証券(香港)有限公司全資附屬公司

SFC CE No. : APW833

A wholly owned subsidiary of Guoyuan Securities (Hong Kong) Limited

FATCA No.: 397FZN.00002.ME.344

FUTURES CLIENT'S ACCOUNT OPENING INFORMATION FORM (CORPORATE)

MARKET TRADE TYPE:

Hong Kong Global All Market

Due to regulatory requirement, please fill the true information

(Please tick "✓" the appropriate field, # Delete whichever inapplicable)

Company Information ("Client")

Company Name (English):

Company Name (Chinese):

Account Name (If different from above):

Business Nature:

Place of Incorporation / Establishment#:

Date of Incorporation / Establishment #:

Hong Kong Business Registration No.#:

Incorporation Number:

Registered / Office Address:

(Please see Appendix for the address proof requirement.)

Correspondence Address:

Mobile Phone Number:

Office Phone Number:

Email address:

Facsimile Number:

Open an Internet Trading? Yes No

Delivery of Statement:

Email

Correspondence Address

Do any of Client's shareholder, directors, partners, authorized person(s), the person(s) ultimately responsible for giving instructions for the Account or the ultimate beneficial owner(s) of the Account ("Relevant Person(s)") are entrusted with prominent public functions, such as senior political or government officials, judicial officials, military officials, senior executive of state owned corporations, important director of political party, or family members or close associates of the above-mentioned parties?

No Yes, please specify:

Do any of the Client's shareholders, directors, partners, authorized person(s), the person(s) ultimately are responsible for giving instructions for the Account or the ultimate beneficial owner(s) of the Account ("Relevant Person(s)") has any relationship with the director(s) or employee(s) of Guoyuan or any of its subsidiaries?

No Yes, please specify:

Do any of the Client's directors, shareholders or authorized persons, are licensed by or registered with Securities and Futures Commission or Hong Kong Monetary Authority? (If "yes", please provide employer's consent letter)

No Yes, please specify:

Is the Client, licensed by or registered with Securities and Futures Commission or Hong Kong Monetary Authority?

No Yes, please specify:

Paid Up Capital: \$	Source of wealth:
Annual Profit:	Source of funds:
Estimated Total Assets:	Estimated Total Liabilities:

Receiving Bank Account (1)

Bank Name:	<input type="checkbox"/> HKD	<input type="checkbox"/> USD	<input type="checkbox"/> RMB	<input type="checkbox"/> OTHERS _____
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Bank Account Name & Number:

Receiving Bank Account (2)

Bank Name:	<input type="checkbox"/> HKD	<input type="checkbox"/> USD	<input type="checkbox"/> RMB	<input type="checkbox"/> OTHERS _____
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Bank Account Name & Number:

Is this Account is the ultimate beneficial owner of the Account? Yes No

If "No", please provide the information:

English Name (Surname First):	中文姓名: _____ (Mr./Ms.)
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Date of Birth:	Place of birth:	Nationality:	Other Nationality (If any) :
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Type of ID:	ID Number: _____ (Please attach copy)
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Residential Address:

Mobile Phone Number:	Residential Phone Number:
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Personal email:

Name of Employer:

Business Nature:	Position:
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Office Address:

_____	Office Phone:
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Do you are entrusted with prominent public functions, such as senior political or government officials, judicial officials, military officials, senior executive of state owned corporations, important director of political party, or family members or close associates of the above-mentioned parties? No Yes, please specify:

Do you are a SFC licensed or HKMA registered person? (If you are a SFC licensed or HKMA registered person, please provide consent letter from the employer.)	<input type="checkbox"/> No <input type="checkbox"/> Yes, please provide CE number:
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Do you relates to any employee or director of Guoyuan Securities (Hong Kong) Limited and it's subsidiaries?	<input type="checkbox"/> No <input type="checkbox"/> Yes, Name: _____ Relationship: _____
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Relationship to Account Holder:

The following individuals is authorized on behalf of the Client to give written Payment Instruction:

Name	Nationality	Place of birth	ID Card/ Passport No. and issuing country	Contact Phone	Signature Specimen

Any _____ of total _____ signature(s) # together with Company chop shall be valid

The following individuals is authorized on behalf of the Client to give verbal or written Trading Instructions :

Name	Nationality	Place of birth	ID Card/ Passport No. and issuing country	Contact Phone	Signature Specimen

Any _____ of total _____ signature(s) # together with Company chop shall be valid

Specimen of Company Chop:

Investment Experience	
Equities:	<input type="checkbox"/> Nil <input type="checkbox"/> Yes(____ Years)
Bonds/Funds:	<input type="checkbox"/> Nil <input type="checkbox"/> Yes(____ Years)
Futures/Options:	<input type="checkbox"/> Nil <input type="checkbox"/> Yes(____ Years)
Foreign Exchange/Gold:	<input type="checkbox"/> Nil <input type="checkbox"/> Yes(____ Years)
Other (Please specify):	_____ (____ Years)
Investment Goals	a) Investment Plan: <input type="checkbox"/> Short <input type="checkbox"/> Medium <input type="checkbox"/> Long
	b) Risk Tolerance Level: <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
Investment Objective:	<input type="checkbox"/> Capital Appreciation <input type="checkbox"/> Dividend Yield <input type="checkbox"/> Hedging <input type="checkbox"/> Speculation <input type="checkbox"/> Others, Please Specify : _____
Client knowledge on derivative products:	
(a)	Did Client undergone training or attended courses that provide general knowledge of the nature and risk of derivatives? <input type="checkbox"/> Yes <input type="checkbox"/> No
(b)	Did Client currently or previously work in related to derivative products? <input type="checkbox"/> Yes <input type="checkbox"/> No
(c)	Did Client execute five or more transactions in derivative products within the past three years? <input type="checkbox"/> Yes <input type="checkbox"/> No
<i>If client do not have any of the above knowledge and experience, the client will be characterized as without knowledge of derivatives products. Before trading in derivatives products, the attention of client must be drawn to the risks associated with derivatives products, as described in "Risk Disclosure and Disclaimer Statement".</i>	

Supporting Documents *	
Registered in Hong Kong	Registered in Overseas
1. Certificate of Incorporation;	1. Certificate of Incorporation;
2. Memorandum and Articles of Association;	2. Memorandum and Articles of Association;
3. Business Registration Certificate;	3. Shareholder and Director List;
4. Shareholder and Director List;	4. Board Resolution authorizing the execution of this Account Opening Information Form, the Margin Client's Securities Agreement and the relevant documents;
5. Latest Annual Return and subsequent form(s) filed with the Hong Kong Companies Registry (<i>Being certified by a company registry or a professional third party</i>);	5. ID and address proof copy of all Shareholder, Director and Authorized Person;
6. Board Resolution authorizing the execution of this Account Opening Information Form, the Margin Client's Securities Agreement and the relevant documents;	6. ID copy of Ultimate Beneficiaries and the residential address proof (and permanent address, if different);
7. ID and address proof copy of all Shareholder, Director and Authorized Person(s);	7. Certificate of Incumbency (issued in the last 6 months) (<i>Being certified by a company registry or a professional third party</i>);
8. ID copy of Ultimate Beneficiaries and the residential address proof (and permanent address, if different);	8. Office or Correspondence Address Proof (within the last 3 months);
9. Office or Correspondence Address Proof (within the last 3 months);	9. Details of the ownership and structure control of the company (e.g. An ownership chart).
10. Details of the ownership and structure control of the company (e.g. An ownership chart).	
Remark: Unless specified otherwise, the above documents copy must be certified true by the professional person such as a notary public, branch manager of a FATF bank, lawyer, certified public accountant, or Justice of Peace. The above documents can also be certified by the designated staff at our Office upon presentation of the originals.	

Client Confirmation

- 1 We confirm that the information which we provide in this **Futures Client’s Account Opening Information Form** is true, correct and complete in all respects. You are entitled to rely fully on such information for all purposes, unless you receive notice in writing of any change therein.
- 2 We understand and received the terms and conditions stated in **Futures Client’s Agreement** including the Risk Disclosure and Disclaimer Statement, Terms and Conditions of Internet Trading, the Content about the Foreign Account Tax Compliance Act (“FATCA”) of the United States of America, and Personal Information Statement (if acceptable), accept and agree to be bounded by them.
- 3 We acknowledge that we have carefully read and fully understand the content of **“Risk Disclosure and Disclaimer Statement”**. If we decide to trade the Derivatives Products, we agree to bear the risks involved. We confirm that we shall make our own risk assessment, or seek independent professional advice, and the we have sufficient net worth to be able to assume the risks and bear the potential losses before trading the Derivatives Products, we understand that Guoyuan does not encourage the clients to trade the Derivatives Products if they do not have any knowledge or experience trading to the Derivatives Products.
- 4 We acknowledge and confirm that the **Risk Disclosure and Disclaimer Statement** were provided to us in the language of our choice.
- 5 We were invited to read the **Risk Disclosure and Disclaimer Statement** carefully, to ask questions and take independent advice if we wish.
- 6 We understand that if the required information and the supporting documents* are not fully completed or submitted, Guoyuan may delay the opening of the account.



Signature of Director / Authorized Person (With Company’s Chop)

Date

Self-Declaration about Foreign Account Tax Compliance Act (“FATCA”) of the United States of America matters:

- We are **NOT** a U.S. Nationality / Permanent Resident / Other U.S. Person / or US taxpayer.
- We are U.S. Nationality / Permanent Resident / Other U.S. Person / or US taxpayer.

If Client are U.S. Nationality / Permanent Resident / Other U.S. Person / or US taxpayer., please provide Taxpayer Identification Number (TIN)

TIN: _____

- 1 We confirm that the information which we provide in this **FATCA Declaration** is true, correct and complete in all respects.
- 2 If there is any change in the above information, we agree that we will inform and submit a new declaration to Guoyuan (HK) within 30 days from the date of change.
- 3 Should there be any false statements or/and delay to inform Guoyuan for any changes from me, making Guoyuan sued for any damages including Guoyuan’s own asset and other assets held on behalf of it’s clients by the U.S. authorities. We are willing to undertake all the lost of Guoyuan.

Client Signature with agree and confirm:



Signature of Director / Authorized Person (With Company’s Chop)

Date

To: Guoyuan Futures (Hong Kong) Limited (“Guoyuan”)
 17/F, Three Exchange Square, 8 Connaught Place, Central, Hong Kong

Account No.:

Self-Certification Form – Entity

Important Notes:

- This is a self-certification form provided by an account holder to a reporting Guoyuan for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting Guoyuan to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- An account holder should report all changes in its tax residency status to the reporting Guoyuan.
- All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (*) are required to be reported by the reporting Guoyuan to the Inland Revenue Department.

Part 1 Identification of Entity Account Holder

(For joint or multiple account holders, complete a separate form for each entity account holder.)

(1) Legal Name of Entity or Branch * _____

(2) Jurisdiction of Incorporation or Organisation _____

(3) Hong Kong Business Registration Number _____

(4) Current Business Address

Line 1 (e.g. Suite, Floor, Building, Street, District) _____

Line 2 (City) * _____

Line 3 (e.g. Province, State) _____

Country * _____

Post Code/ZIP Code _____

(5) Mailing Address (Complete if different to the current business address)

Line 1 (e.g. Suite, Floor, Building, Street, District) _____

Line 2 (City) _____

Line 3 (e.g. Province, State) _____

Country _____

Post Code/ZIP Code _____

Part 2 Entity Type

Tick one of the appropriate boxes and provide the relevant information.

Financial Institution	<input type="checkbox"/> Custodial Institution, Depository Institution or Specified Insurance Company <input type="checkbox"/> Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity’s assets) and located in a non-participating jurisdiction
Active NFE	<input type="checkbox"/> NFE the stock of which is regularly traded on _____, which is an established securities market <input type="checkbox"/> Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market <input type="checkbox"/> NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities <input type="checkbox"/> Active NFE other than the above (Please specify _____)
Passive NFE	<input type="checkbox"/> Investment entity that is managed by another financial institution and located in a non-participating jurisdiction <input type="checkbox"/> NFE that is not an active NFE

Part 3 Controlling Persons (Complete this part if the entity account holder is a passive NFE)

Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official.

Complete Form IR1457 (Self-Certification Form – Controlling Person) for each controlling person.

(1)	(5)
(2)	(6)
(3)	(7)
(4)	(8)

Part 4 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) *

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a **resident for tax purposes** and (b) the account holder’s TIN for each jurisdiction indicated. Indicate **all** (not restricted to five) jurisdictions of residence.

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.

If the account holder is not a tax resident in any jurisdiction (e.g. fiscally transparent), indicate the jurisdiction in which its place of effective management is situated.

If a TIN is unavailable, provide the appropriate reason A, B or C:

- Reason A** – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
- Reason B** – The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.
- Reason C** – TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

Jurisdiction of Residence	TIN	Enter Reason A, B or C if no TIN is available	Explain why the account holder is unable to obtain a TIN if you have selected Reason B
(1)			
(2)			
(3)			
(4)			
(5)			

Part 5 Declarations and Signature

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the Guoyuan for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the Guoyuan to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

I certify that I am authorized to sign for the account holder of all the account(s) to which this form relates.

I undertake to advise Guoyuan of any change in circumstances which affects the tax residency status of the entity identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide Guoyuan with a suitably updated self-certification form within 30 days of such change in circumstances.

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

Signature _____

Name _____

Capacity _____ (e.g. director or officer of a company, partner of a

Date (dd/mm/yyyy) _____ partnership, trustee of a trust etc.)

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).

To: Guoyuan Futures (Hong Kong) Limited ("Guoyuan")
17/F, Three Exchange Square, 8 Connaught Place, Central, Hong Kong

Account Number:

Self-Certification Form – Controlling Person

Important Notes:

- This is a self-certification form provided by a controlling person to a reporting to Guoyuan for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting Guoyuan to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- A controlling person should report all changes in his/her tax residency status reporting to Guoyuan.
- All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (*) are required to be reported by the reporting to Guoyuan to the Inland Revenue Department.

Part 1 Identification of Controlling Person

(1) Name of Controlling Person

Title (e.g. Mr., Mrs., Ms., Miss)

Last Name or Surname*

First or Given Name*

Middle Name(s)

(2) Hong Kong / China Identity Card or Passport Number

(3) Current Residence Address

Line 1 (e.g.: Suite, Floor, Building, Street, District)

Line 2 (City)*

Line 3 (e.g.: Province, State)

Country*

Post Code

(4) Mailing Address (Complete if different to the current residence address)

Line 1 (e.g.: Suite, Floor, Building, Street, District)

Line 2 (City)

Line 3 (e.g.: Province, State)

Country

Post Code

(5) Date of Birth* (dd / mm / yyyy)

(6) Place of Birth (Not compulsory)

Town / City

Province / State

Country

Part 2 The Entity Account Holder(s) of which you are a controlling person

Enter the name of the entity account holder of which you are a controlling person.

Entity	Name of the Entity Account Holder
(1)	
(2)	
(3)	

Part 3 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”)*

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the controlling person is a **resident for tax purposes** and (b) the controlling person’s TIN for each jurisdiction indicated. Indicate **all** (not restricted to five) the jurisdictions of residence.

If the controlling person is a **tax resident of Hong Kong**, the TIN is the Hong Kong Identity Card Number.

If a TIN is unavailable, provide the appropriate reason A, B or C:

Reason A --- The jurisdiction where the controlling person is a resident for tax purposes does not issue TINs to its residents.

Reason B --- The controlling person is unable to obtain a TIN. Explain why the controlling person is unable to obtain a TIN if you have selected this reason.

Reason C --- TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

Jurisdiction of Residence	TIN	Enter Reason A, B, or C if no TIN is available	Explain why the controlling person is unable to obtain a TIN if you have selected Reason B
(1)			
(2)			
(3)			
(4)			
(5)			

Part 4 Type of Controlling Person

Tick the appropriate box to indicate the type of controlling person for each entity stated in Part 2

Type of Entity	Type of Controlling Person	Entity(1)	Entity (2)	Entity (3)
Legal Person	Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who exercises control/ is entitled to exercise control through other means (i.e. not less than 25% of voting rights)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who holds the position of senior managing official/ exercises ultimate control over the management of the entity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trust	Settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Beneficiary or member of the class of beneficiaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Legal Arrangement other than Trust	Individual in a position equivalent/similar to settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/ trustee/ protector/ beneficiary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Part 5 Declarations and Signature

I acknowledge and agree that (i) the information contained in this form is collected and may be kept by Guoyuan for the purpose of automatic exchange of financial account information, and (ii) such information and information regarding the controlling person and any reportable account(s) may be reported by Guoyuan to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with tax authorities of another jurisdiction or jurisdictions in which the controlling person may be resident for tax purposes pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap. 112).

I certify that I am the controlling person / I am authorized to sign for the controlling person # of all the account(s) held by the entity account holder(s) to which this form relates.

I undertake to advise to Guoyuan of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide to Guoyuan with a suitably updated self-certification form within 30 days of such change in circumstances.

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

Signature _____

Name _____

Capacity _____

Date (dd/mm/yyyy) _____

Indicate the capacity if you are not the individual identified in Part 1. If signing under a power of attorney, attach a certified copy of the power of attorney.)

#Delete as appropriate


WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000)

Appendix: Address proof requirement

This is reference from SFC's Guideline on Anti-Money Laundering and Counter-Terrorist Financing chapter 4.8.10 (or same equivalence as outside of Hong Kong) about verify address methods.

- (a) a recent utility bill issued within the last 3 months;
- (b) recent correspondence from a Government department or agency (i.e. issued within the last 3 months);
- (c) a statement, issued by an authorized institution, a licensed corporation or an authorized insurer within the last 3 months;
- (d) a record of a visit to the residential address by the financial institute (FI);
- (e) an acknowledgement of receipt duly signed by the customer in response to a letter sent by the FI to the address provided by the customer;
- (f) a letter from an immediate family member at which the individual resides confirming that the applicant lives at that address in Hong Kong, setting out the relationship between the applicant and the immediate family member, together with evidence that the immediate family member resides at the same address (for persons such as students and housewives who are unable to provide proof of address of their own name);
- (g) mobile phone or pay TV statement (sent to the address provided by the customer) issued within the last 3 months;
- (h) a letter from a Hong Kong nursing or residential home for the elderly or disabled, which an FI is satisfied that it can place reliance on, confirming the residence of the applicant;
- (i) a letter from a Hong Kong university or college, which an FI is satisfied that it can place reliance on, that confirms residence at a stated address;
- (j) a Hong Kong tenancy agreement which has been duly stamped by the Inland Revenue Department;
- (k) a current Hong Kong domestic helper employment contract stamped by an appropriate Consulate (the name of the employer should correspond with the applicant's visa endorsement in their passport);
- (l) a letter from a Hong Kong employer together with proof of employment, which an FI is satisfied that it can place reliance on and that confirms residence at a stated address in Hong Kong;
- (m) a lawyer's confirmation of property purchase, or legal document recognising title to property; and
- (n) for non-Hong Kong residents, a government-issued photographic driving license or national identity card containing the current residential address or bank statements issued by a bank in an equivalent jurisdiction where the FI is satisfied that the address has been verified.

Supporting Documents Checklist:			
Registered in Hong Kong		Registered in Overseas	
<input type="checkbox"/>	Certificate of Incorporation;	<input type="checkbox"/>	Certificate of Incorporation;
<input type="checkbox"/>	Memorandum and Articles of Association;	<input type="checkbox"/>	Memorandum and Articles of Association;
<input type="checkbox"/>	Business Registration Certificate;		
<input type="checkbox"/>	Latest Annual Return and subsequent form(s) filed with the Hong Kong Companies Registry <i>(Being certified by a company registry or a professional third party)</i> ;	<input type="checkbox"/>	Certificate of Incumbency (issued in the last 6 months) <i>(Being certified by a company registry or a professional third party)</i> ;
<input type="checkbox"/>	Shareholder and Director List;	<input type="checkbox"/>	Shareholder and Director List;
<input type="checkbox"/>	Board Resolution authorizing the execution of this Account Opening Information Form, the Margin Client's Securities Agreement and the relevant documents;	<input type="checkbox"/>	Board Resolution authorizing the execution of this Account Opening Information Form, the Margin Client's Securities Agreement and the relevant documents;
<input type="checkbox"/>	ID and address proof copy of all Shareholder, Director and Authorized Person;	<input type="checkbox"/>	ID and address proof copy of all Shareholder, Director and Authorized Person;
<input type="checkbox"/>	ID copy of Ultimate Beneficiaries and the residential address proof (and permanent address, if different);	<input type="checkbox"/>	ID copy of Ultimate Beneficiaries and the residential address proof (and permanent address, if different);
<input type="checkbox"/>	Office or Correspondence Address Proof (within the last 3 months);	<input type="checkbox"/>	Office or Correspondence Address Proof (within the last 3 months);
<input type="checkbox"/>	Details of the ownership and structure control of the company (e.g. An ownership chart) ;	<input type="checkbox"/>	Details of the ownership and structure control of the company (e.g. An ownership chart) ;
<input type="checkbox"/>	Client Money Standing Authority;	<input type="checkbox"/>	Client Money Standing Authority;
<input type="checkbox"/>	Letter of Guarantee;	<input type="checkbox"/>	Letter of Guarantee;
<input type="checkbox"/>	Receiving Bank Account (if applicable);	<input type="checkbox"/>	Receiving Bank Account (if applicable);
<input type="checkbox"/>	Form W-8BEN-E (if applicable);	<input type="checkbox"/>	Form W-8BEN-E (if applicable);
<input type="checkbox"/>	Recent proof of income/asset (if applicable);	<input type="checkbox"/>	Recent proof of income/asset (if applicable);
<input type="checkbox"/>	Recent 3 month's transaction record (if applicable).	<input type="checkbox"/>	Recent 3 month's transaction record (if applicable).

Witness (Completed by Guoyuan specify appointed person or the professional person)#	
I hereby witness the signature(s) of the Client with the original ID card / passport and address proof.	
	
_____	_____
Signature by Witness	Date
Print Name:	
Professional / Capacity:	
Name of Employer:	Telephone:
# Professional Person can be the notary public/ branch manager of a FATF bank/ lawyer/ certified public account/ Justice of Peace.	

Declaration by the licensed representative of Guoyuan Futures (Hong Kong) Limited

I, undersigned and declare that:

- the **Risk Disclosure and Disclaimer Statement** have been provided to the Client in English or Chinese (as the case may be), being the language of the Client's choice;
- I have invited the Client to read the said **Risk Disclosure and Disclaimer Statement** and encourage the Client to ask questions and take independent advice if the Client so wishes; and

Signature by Licensed Representative

Date

Name of Licensed Representative:

SFC CE Number:

Inspection by Compliance Supervisor of Guoyuan Futures (Hong Kong) Limited

I undersign and declare that according to client's provided information, with the witness person certified true copy the original ID card/ passport and address proof, and Declaration by the licensed representative of Guoyuan Futures (Hong Kong) Limited, has done multi-task of compliance inspection.

Signature by Compliance Supervisor

Date

Name of Compliance Supervisor:

Acknowledge and Accept by Responsible Officer, For and on behalf of Guoyuan Futures (Hong Kong) Limited

Signature by Responsible Officer

Date

Name of Responsible Officer:

BOARD RESOLUTIONS

We hereby certify that the following resolutions have been passed by the board of directors ("Board") of _____ ("Company") at a meeting of the Board duly convened and held at _____ (Location) on _____ (Date & Time) at which a quorum was present and acted throughout in accordance with the following resolutions have been duly passed in accordance with the constitution of the Company and have been duly recorded in the minute book of the Company and that no action have been taken to rescind or amend the said resolutions and that the same are now in full force and effect.

IT WAS RESOLVED THAT:

- 1) a futures trading **Futures** account trading account* ("Account") be opened and maintained in the name of the Company with Guoyuan Futures (Hong Kong) Limited ("GYF") for the purpose of holding funds relating to any purchases, sales, holdings and other dealings in futures as the Company may instruct GYF as its agent to effect from time to time on behalf of the Company and that the Account be maintained and all such purchases, sales, holdings and other dealings be effected subject to and in accordance with the provisions of terms and conditions stated therein the Agreement for Futures trading Account ("Agreement") to be issued by GYF to the Company in connection with the opening of the Account; and
- 2) the Account Opening Information Form and the Agreement (collectively, the "Account Opening Documents") in such form as completed and produced to the meeting be and are hereby approved and any _____ director(s) / authorized person* of the Company be authorized to sign any of the Account Opening Documents for and on behalf of the Company and the signed originals thereof be delivered to GYF.
- 3) The Company authorize any of the following individual(s)(the "Authorized Persons") to give oral and/or written instruction(s) to GYF in relation to (i) the operation of the account(s) maintained by the Company with GYF and (ii) to effect purchases, sales, holdings and other dealings in futures. Any instruction(s) given by the Authorized Persons shall be absolutely binding on the Company. GYF shall have no obligation whatsoever to inquire about or confirm the authority of the Authorized Persons in giving any instructions. The Company accept full responsibility for all oral and/or written instruction(s) given by the Authorized Persons on the Company's behalf."

Specimen signature(s) to effect futures transactions:
Name : Title : Authorized Signature :
Name : Title : Authorized Signature :
Name : Title : Authorized Signature :
Name : Title : Authorized Signature :
Name : Title : Authorized Signature :
Signing authority Any _____ of the above may sign and effect futures transaction(s).

Specimen signature(s) for 1) account Opening and / or 2) to effect payment, withdrawal and/or fund transfer transactions*:
Name : Title : Authorized Signature :
Name : Title : Authorized Signature :
Name : Title : Authorized Signature :
Name : Title : Authorized Signature :
Name : Title : Authorized Signature :
Signing authority Any _____ of the above may sign and effect payment withdrawal and/or fund transfer transaction(s).

Duly authorized for and on behalf of

Date:
20170228

*Delete if inapplicable

GUARANTEE (only for Corporate Client)

Warning Notice to the Guarantor(s)

1. The Client (as defined below) has applied to utilize the securities and/or futures trading services and related services rendered by Guoyuan Futures (Hong Kong) Limited (“GYF”) on the security of the Guarantee to be executed by the undersigned Guarantor.
2. Guarantor’s liability under the Guarantee will be unlimited, if he/she/they decide to go on with the transaction and sign and execute the Guarantee.
3. Guarantors are recommended to instruct his/her/their own professional advisers (including lawyer) who will be able at every stage of the transaction to protect your interests and to give you independent professional (including legal) advice.

To: Guoyuan Futures (Hong Kong) Limited

In consideration of your agreeing to provide or continue to provide to _____
_____ (name of the Client)

of _____
_____ (address of the Client)

(the “Client”) futures trading and related services pursuant to an agreement between you and the Client as amended from time to time (the “Agreement”) (receipt of a copy whereof is hereby acknowledged), the undersigned hereby agrees as follows:

I/We, the Guarantor(s) (see Schedule 1 below for particulars of the Guarantor(s)), in consideration of Guoyuan Futures (Hong Kong) Limited’s (“GYF”) having agreed to open a futures contracts trading account (“Account”) and from time to time making advances to or giving credit or granting time to above-named client of GYF (hereinafter referred to as the “Principal”) under and in accordance with the terms and conditions in the Client Agreement for Futures Contracts Trading signed by the Principal (together, the “Agreements”), I / We, the undersigned, DO HEREBY GUARANTEE to GYF that the Principal will observe and perform the covenants terms and conditions on the part of the Principal under the Agreements AND I / WE HEREBY AGREE AND COVENANT with GYF and DECLARE as follows:-

1. Fully to indemnify and save GYF harmless from any and all damages which GYF may suffer on the Account of the Principal’s default in the observance and performance of the covenants terms and conditions contained in the Agreements or any of them.
2. The Guarantor will pay GYF on demand and hereby guarantees the repayment to GYF on demand of all sums of money which now are or shall hereafter become due to GYF from the Principal in respect of any transaction in the account of the client at GYF with all interest, costs, commission and other charges and expenses which GYF may charge against the Principal and all costs, charges and expenses which GYF may incur in enforcing or obtaining payment of the sums of money due to GYF from the Principal. It shall not be necessary for GYF to make any demand on or take any action against the Principal before making any demand on or recovering payment from me / us.
3. This guarantee shall continue in force and be a continuing guarantee and shall be applicable to the whole outstanding balance that may become due to GYF from the Principal.
4. Where the Guarantor consists of more than one person the liability of the Guarantor hereunder shall be deemed to be the joint and several liabilities of such persons.
5. This guarantee shall not be determined or affected by the death of the Guarantor or of any one or more of the persons constituting the Guarantor. The Guarantor or the survivor or survivors of such persons aforesaid and the personal representatives of the Guarantor or any of such persons who may be dead may at any time give GYF notice in writing to determine this guarantee at a date not less than three calendar months after the receipt by GYF of such notice. This guarantee shall cease with respect to all future transaction after the determination date. However, the Guarantor shall remain liable to the extent of the amount due to GYF from the Principal at the same date with interest and for such costs and expenses as aforesaid.
6. Notwithstanding any such notice of determination as aforesaid this guarantee shall as well before as after such notice of determination be a security for all monies becoming due to GYF from the Principal in respect of any transaction entered into prior to the date of this guarantee under the provision of Clause 5.
7. It shall be lawful for GYF after notice to determine this guarantee has been given or after payment of the monies hereby guaranteed has been demanded of the Guarantor to continue any existing or to open any new Account with the Principal. No money thereafter paid into such Account shall be appropriated in discharge of any monies hereby guaranteed unless expressly directly by the person paying the same at the time of such payment to be so appropriated.
8. The bankruptcy or insolvency of the Principal shall not affect or determine the liability of the Guarantor under this guarantee but such liability shall continue in full force and effect until GYF shall have been repaid all monies due to GYF from the Principal immediately before the bankruptcy or insolvency of the Principal.
9. This guarantee shall not be revocable or discharged or impaired by the winding up of the Principal or by any change in the constitution of the Principal.
10. So long as there are any monies outstanding under the Principal’s Account with GYF, this guarantee shall be irrevocable and binding as a continuing security on me / us, my / our assigns, executors and administrators.

11. This guarantee and GYF's rights under it shall be in addition to and shall not be affected or prejudiced by GYF's holding or taking any other or further securities which GYF may now or hereafter hold from or on Account of the Principal or by GYF's varying, releasing or omitting or neglecting to enforce any such securities or by GYF's varying or determining any credit to the Principal or by GYF's renewing bills of exchange, promissory notes or other negotiable instruments or giving time for payment or granting any other indulgence to or making any other arrangements with or accepting any composition from the Principal or any person or persons, corporation or corporations liable on any bills of exchange, promissory notes or other negotiable instruments or securities held or to be held by GYF.
12. All dividends compositions and monies received by GYF from the Principal or from the assets of the Principal capable of being applied by GYF in reduction of the indebtedness of the Principal shall be regarded for all purposes as payments of the amount due. My / our right to subrogate GYF in respect thereof shall not arise until GYF shall have received the full amount of GYF's claims against the Principal.
13. No assurance, security or payment may be avoided under any enactment relating to insolvency under the provisions of the Companies Ordinance (Cap.32). No release settlement or discharge which may have been given or made on the faith of any such assurance, security or payment shall prejudice or affect GYF's right to recover from the Guarantor to the full extent of this guarantee.
14. GYF shall be at liberty but not bound to resort for GYF's own benefit to any other means of payment at any time and in any order GYF think fit without thereby diminishing the liability of the Guarantor. GYF may put this guarantee in force either for the payment of the outstanding balance after resorting to other means of payment or for the balance due at any time notwithstanding that other means of payment have not been resorted to.
15. Any Account stated by GYF and the Principal or on his behalf may be adduced by GYF and shall be accepted by the Guarantor as conclusive evidence of the amount be due from the Principal to GYF. Any payment to GYF by the Principal on Account of his liability whether for advances or interest or charges and any acknowledgement by acquiescence in Account or otherwise by or on behalf of the Principal of such liability shall operate as an acknowledgement of the liability of the Guarantor according to the terms thereof.
16. A certificate by an officer of GYF as to the money and liabilities for the time being due to GYF from the Principal shall be conclusive evidence in any legal proceedings against me / us or any of us.
17. Any indebtedness of the Principal now or hereafter held by the Guarantor is hereby subordinated to the indebtedness of the Principal to GYF. Such indebtedness of the Principal to the Guarantor if GYF so require shall be collected, enforced and received by the Guarantor as trustee for GYF and be paid over to GYF on Account of the indebtedness of the Principal to GYF but without reducing or affecting in any manner the liability of the Guarantor under the other provisions of this guarantee.
18. GYF shall so long as any money remains owing hereunder have a lien therefor on all monies now or hereafter standing to the credit of the Guarantor with GYF on any Account.
19. Nothing done or omitted by GYF in pursuance of any authority or permission contained in this guarantee shall affect or discharge the liability of the Guarantor under it.
20. This guarantee shall continue notwithstanding the death of the Principal.
21. Notwithstanding that the Principal is a committee or association or other unincorporated body which has no legal existence, this guarantee shall be valid and binding on me / us and have effect as though I / we were joint and several Principal debtors.
22. This guarantee shall continue to bind the Guarantor notwithstanding any amalgamation that may be effected by GYF with any other company or companies, person or persons or notwithstanding any reconstruction by GYF involving the formation of and transfer of all or any of GYF's assets to a new company or notwithstanding the sale of all or any part of GYF's undertaking and assets to another company whether the company or companies with which GYF amalgamate or the company to which GYF transfer all or any of GYF's assets either on a reconstruction or sale as aforesaid shall or shall not differ in their or its objects character and constitution from GYF it being the intent of the Guarantor that this guarantee shall remain valid and effectual in all respects in favor of, against and with reference to and that the benefit of this guarantee and all rights conferred upon GYF hereby may be assigned to and enforced by any such company or companies, person or persons and proceeded on in the same manner to all intents and purposes as if such company or companies, person or persons had been named herein instead of GYF.
23. Any notice required to be given or made under this guarantee may be given or made by leaving the same or sending it through telegram or telex or sending it through the post in a prepaid envelope addressed to GYF's registered office or last known place of abode. A notice so given or made shall be deemed to be given or made on the day it was so left or the day following that on which it is posted as the case may be.
24. It is understood and agreed that none of the terms or provisions of this guarantee may be waived, altered, modified or amended except in writing duly signed for and on GYF's behalf.
25. This guarantee shall be governed by and interpreted in accordance with the laws of the Hong Kong Special Administrative Region and I / we accept the jurisdiction of the Hong Kong Courts.

SCHEDULE 1: PARTICULARS OF THE GUARANTOR(S)

Name of Guarantor: _____

ID / Passport / CI / BR No.: _____

(please attached the copy of certificate)

Telephone No. / Fax No.: _____

Residential/Registered Address: _____

DATED this _____ day of _____

(For individual guarantor(s) only)

Guarantor Name)
)

Guarantor's Signature

Witness Name:)
ID / Passport No.:)
Address:)

Witness's Signature

(For corporate guarantor only)

SEALED with the Common Seal)
of and SIGNED by)

Guarantor's Signature

Witness Name:)
ID / Passport No.:)
Address:)

Witness's Signature

Client Money Standing Authority

Standing Authority under Securities & Futures (Client Money) Rules

This authority is given pursuant to the Securities and Futures (Client Money) Rules, which covers money held or received by you in Hong Kong (including any interest derived from holding the money which does not belong to you) in one or more segregated account(s) on My / Our behalf ("Monies").

I / We authorize you to:

1. Combine or consolidate any or all segregated accounts of any name whatsoever and either individually or jointly with others, maintained by Guoyuan Securities Brokerage (Hong Kong) Limited and / or Guoyuan Futures (Hong Kong) Limited and / or any of its Associates ("Guoyuan (Hong Kong)") from time to time and you may transfer any sum of Monies to and between such segregated account(s) to satisfy My / Our obligations or liabilities to any member of the Guoyuan (Hong Kong, whether such obligations and liabilities are actual or contingent, primary or collateral, secured or unsecured, or joint or several; and
2. Transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by members of the Guoyuan (Hong Kong).

You may do any of these things without giving Me / Us notice.

This authority is given to Guoyuan Securities Brokerage (Hong Kong) Limited in consideration of its agreeing to continue to maintain securities cash and / or margin account(s) for Me / Us and to Guoyuan Futures (Hong Kong) Limited in consideration of its agreeing to continue to maintain Commodity Futures Account(s) for Me / Us.

This authority is given without prejudice to other authorities or rights which Guoyuan (Hong Kong) may have in relation to dealing in Monies in the segregated accounts.

This authority is valid for a period of 12 months from the date of signing this Form.

This authority may be revoked by giving you written notice to Guoyuan Futures (Hong Kong) Limited address specified on this Form. Such notice shall take effect upon the expiry of 14 days from the date of your actual receipt of such notice.

I / We understand that this authority shall be deemed to be renewed on a continuing basis without My / Our written consent if you issue me / us a written reminder at least 14 days prior to the expiry date of this authority, and I / We do not object to such deemed renewal before such expiry date.

In the event of any difference in interpretation or meaning between the Chinese and English version of this authority, I / We agree that the English version shall prevail.

I / We have read, understand and accept the contents of this authority.



Signature of Director / Authorized Person (With Company's Chop)

Date