



**KGI**

CHINA  
DEVELOPMENT  
FINANCIAL

**CORPORATE ACCOUNT OPENING  
APPLICATION FORM**  
公司账户开户申请表

**KGI SECURITIES (SINGAPORE) PTE. LTD.**

4 Shenton Way SGX Centre 2 #13-01 Singapore 068807

Tel: +65 6202 1188

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Co. Reg. No. 195500144H

GST. Reg. No. M200024966

**CORPORATE ACCOUNT APPLICATION 公司账户**

Applications must be accompanied by the certified true and clear copies of the following documents or their equivalents:

申请必须同时呈上以下文件的清晰公证副本 或者同等资料:

- Certificate of Incorporation/Registration; 公司注册文件
- Memorandum and Articles of Association; 备忘录和公司章程或者同等资料
- Board Resolution for the opening of trading account with KGI Securities (Singapore) Pte. Ltd. ("KGI Securities (Singapore)"); 进行交易的交易账户开户董事会决议
- Latest Audited Financial Statements or Annual Report; 最新的年度财务报告
- NRIC/ Passport of all Directors, Authorised Personnel & Witness 董事/经授权人员 及 见证人的身份证/护照

Please return this form to: **KGI SECURITIES (SINGAPORE) PTE. LTD.**

请将申请寄到: 4 Shenton Way SGX Centre 2 #13-01 Singapore 068807

**1. Company Details 公司信息**

Name of Organisation 机构名称

Registered Address 注册地址

Postal Code 邮政编码

Mailing Address (if different from above) 邮寄地址 (如与居住地址不同)

Postal Code 邮政编码

Telephone No. (Main Line) 电话(总机号)

Mobile Telephone No. 手机

Telephone No. (Direct Line) 电话(直拨号)

Fax No.: 传真号

Email Address (for receiving statement) 电子邮件 (供接收结单之用)

Company Website 公司网址

Organisation Type: 公司的构成:

Private Limited Company 私人有限公司

Sole Proprietorship 独资公司

Public Listed Company 公众上市公司

Partnership 合资公司

Others 其他

Incorporation / Registration Date (dd/mm/yy) 注册日期 (年/月/日)

Company Registration No. 注册码

GST- Registered (for Singapore Registered Companies)  
已注册消费税(新加坡注册公司)

Yes 是  No 否

Nature of Business 企业性质

Has the Applicant ever issued bearer shares? 是否发行无记名股票?

1. The Applicant has never issued bearer shares. 未曾发行无记名股票;

2. The Applicant has issued bearer shares, and (select one option by ticking the relevant box below) 过去曾发行无记名股票; (以下择一勾选):

Has converted such bearer shares into registered shares; or 已将无记名股票转为记名股票;

Has disclosed to KGI the information of holder(s) of bearer shares with controlling ownership 已提供具控制权之无记名股票股东资料予 KGI.

Shareholder's Equity/ Funds 股东权益/资金

Paid Up Capital 实收资本

Bank Name 银行:

Bank Account Number 银行账户号码:

Existing KGI Securities (Singapore) Pte. Ltd. Trading Account(s) 现有 KGI Securities (Singapore) Pte. Ltd. 账户

Yes 是  No 否

If yes, please specify Account No. 如果是, 请列出账户号码

Country of Incorporation/ Registration 注册国家

Singapore 新加坡

United States of America 美国

Others, please specify. 其他, 请称述。 \_\_\_\_\_

(1)  If country of incorporation/registration is United States of America, please complete and provide Form W-9 and acknowledge this subparagraph (1).

I/We hereby declare and agree that I am/we are a "U.S. person" for U.S. federal income tax purposes. I/We agree to notify KGI Securities (Singapore) within 30 days in writing, of any change in my/our status as a U.S. person for the purposes of U.S. federal income tax. I/We agree to indemnify KGI Securities (Singapore) in respect of any false or misleading information regarding my/our "U.S. person" status for U.S. federal income tax purposes. I/We shall hereby complete and provide Form W-9.

如成立/注册国为美国, 请填写完成并提供 W-9 表格并同意第 (1) 小节。

本人/本法人在此声明且同意, 在美国联邦税法目的下, 本人/本法人之「美国人士」身分有变更, 本人/本法人同意于会于三十日内主动通知 KGI Securities (Singapore); 若有关本人/本法人「美国人士」身分有任何错误或不实信息, 本人/本法人承诺将赔偿 KGI Securities (Singapore)。本人/本法人同意填写并提供 W-9 表格。

(2)  If country of incorporation is not in United States of America, please complete and provide Form W-8BEN-E and acknowledge this subparagraph (2).

I/We agree to notify KGI Securities (Singapore) within 30 days in writing, of any change in my/our status as a U.S. person for the purposes of U.S. federal income tax. I/We agree to indemnify KGI Securities (Singapore) in respect of any false or misleading information regarding my/our "U.S. person" status for U.S. federal income tax purposes. I/We hereby complete and provide Form W-8BEN-E.

如果注册的国家不在美国, 请填写并提供 W-8BEN-E 表格并同意第 (2) 小节。

于美国联邦税法目的下, 若本人/本法人之「美国人士」身分有变更, 本人/本法人同意于会于三十日内主动通知 KGI Securities (Singapore); 若有关本人/本法人「美国人士」身分有任何错误或不实信息, 本人/本法人承诺将赔偿 KGI Securities (Singapore)。本人/本法人同意填写并提供 W-8BEN-E 表格。

CORPORATE ACCOUNT APPLICATION 公司账户

Tax Residency Self-Certification 税务居民自我认证

(1) Entity Type (Please provide the account holder's status by ticking one of the following boxes)  
企业实体类型 (请依据帐户持有人的情形勾选下列之一)

(a) Financial Institution - Investment Entity 金融机构 - 投资实体

An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution

位于非参与管辖区域并且由另一金融机构所管理的投资实体

Please indicate the name of all Controlling Person(s) of the account holder: 请载明帐户持有人的所有控制人士

Each Controlling Person is required to complete "Controlling Person Tax Residency Self-Certification Form", which can be downloaded from KGI Securities (Singapore)'s website.  
每一控制人士均必须填写"控制人士税务居民自我认证表"(可于 KGI Securities (Singapore) 网站下载)

Other Investment Entity 其他投资实体

(b) Financial Institution - Depository Institution, Custodial Institution or Specified Insurance Company  
金融机构 - 存託机构, 保管机构或特定保险公司

If you have ticked (a) or (b) above, please provide, if any, the account holder's Global Intermediary Identification Number ("GIIN") obtained for FATCA purposes.  
如您勾选上述(a)或(b), 请提供帐户持有人的基于 FATCA 目的取得的全球中介识别码(GIIN)(如有)

□□□□□□-□□□□□□-□□□-□□□□

(c) Active NFE - a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation  
积极非金融机构 - 公司股票经常于具规模的证券市场中交易, 或公司属于此类公司的关联公司

Please indicate the name of the established securities market: \_\_\_\_\_

请载明显具规模的证券市场名称

Please indicate the name of the regularly traded corporation if you are a related entity of such a corporation: \_\_\_\_\_

如您属于此类股票经常于具规模的证券市场中交易的公司的关联公司, 请载明此公司的名称

(d) Active NFE - a government entity or central bank 积极非金融机构 - 政府组织或中央银行

(e) Active NFE - an international organisation 积极非金融机构 - 国际组织

(f) Active NFE - other than (c)-(e) (for example a start-up NFE or a non-profit NFE) 积极非金融机构 - 除(c)-(e)以外的组织 (例如: 新创非金融机构或非营利非金融机构)

(g) Passive NFE 消极非金融机构

Please indicate the name of all Controlling Person(s) of the account holder: 请载明帐户持有人的所有控制人士

Each Controlling Person is required to complete "Controlling Person Tax Residency Self-Certification Form", which can be downloaded from KGI Securities (Singapore)'s website.  
每一控制人士均必须填写"控制人士税务居民自我认证表"(可于 KGI Securities (Singapore) 网站下载)

(2) Country/Jurisdiction of Residence for Tax Purposes and related Taxpayer Identification Number or equivalent number ("TIN")  
税务居民所属国家/管辖区域及税务居民识别号或相当号码 ("TIN")

Please complete the following table indicating (i) where the account holder is tax resident and (ii) the account holder's TIN for each country/jurisdiction indicated. Please indicate **all** countries/jurisdictions (including Singapore and US, if applicable). If the account holder is not tax resident in any country/jurisdiction (e.g., because it is fiscally transparent), please indicate that on line 1 in the table below and provide its place of effective management or jurisdiction in which its principal office is located.

请於下方表格载明(i)帐户持有人的税务居民所属国家/管辖区域, 以及(ii)在每一国家/管辖区域的TIN。请载明所有国家/管辖区域(如有适用, 包含新加坡及美国)。如帐户持有人并非任何国家/管辖区域的税务居民(例如: 因为它的财务透明), 请在下方表格第一行载明并且提供帐户持有人有效管理的所在地或其主要办公处所的管辖区域。

If the account holder is a tax resident of Singapore, the TIN is the Unique Entity Number ("UEN"), the Income Tax Reference Number ("ITR"), or the Tax Reference Number assigned by IRAS ("ASGD").

如果帐户持有人为新加坡税务居民, TIN即为UEN, ITR或ASGD号码。

If a TIN is unavailable, please provide the appropriate reason A, B or C where indicated below:

如果无法提供TIN, 请依下述注明相关理由:

Reason A - The country/jurisdiction where the account holder is resident does not issue TINs to its residents.

原因A - 帐户持有人所属的该国家/管辖区域并未核发TIN予其居民

Reason B - The account holder is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the below table if you have selected this reason).

原因B - 帐户持有人无法取得TIN或相当号码 (如选择此原因, 请说明为何无法取得)

Reason C - No TIN is required. (Only select this reason if the domestic law of the relevant country/jurisdiction does not require the collection of the TIN issued by such jurisdiction).

原因C - 不需要TIN (只有相关国家/管辖区域的国内法律不要求收集TIN时才能选择此原因)

**CORPORATE ACCOUNT APPLICATION 公司账户**

Country/Jurisdiction of tax residence 税务居民所属国家/管辖区域	TIN	If no TIN available, enter Reason A, B or C 如果未提供 TIN, 填写原因 A, B 或 C	Explain why you are unable to obtain a TIN if you selected Reason B 如果选择原因 B, 请说明为何无法取得 TIN
1			
2			
3			
4			
5			

For more information, please visit the OECD or IRAS website: <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/>

欲了解更多信息, 请登入 OECD 或 IRAS 网址: <https://www.iras.gov.sg/IRASHome/Quick-Links/International-Tax/Common-Reporting-Standard-CRS/>

**(3) Declarations 声明**

- a. I/We understand that the information contained herein is covered by the full provisions of the terms and conditions governing the account holder's relationship with KGI Securities (Singapore) setting out how KGI Securities (Singapore) may use and share the information supplied by me/us.  
本人/我们瞭解此处提供的信息适用于帐户持有人与 KGI Securities (Singapore) 之间有关 KGI Securities (Singapore) 如何使用并分享本人/我们所提供信息的所有条款约定。
- b. I/We acknowledge that the information contained herein and information regarding the account holder and any reportable account(s) may be provided to the tax authorities of the country/jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which the account holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information.  
本人/我们确认此处提供的信息以及有关帐户持有人及应申请帐户的信息可能会提供给本帐户所在的税务机关, 并依据政府间就金融帐户信息交换有关的约定, 与帐户持有人为税务居民的其他国家/管辖区域的税务机关进行交换。
- c. I/We declare that the information given and the statements made herein are, to the best of my/our knowledge and belief, correct and complete.  
本人/我们声明所提供的信息及此处所作的陈述, 依本人/我们尽力所知及所信, 确属正确及完整。
- d. I/We undertake to advise KGI Securities (Singapore) of any change in circumstances which affects the account holder's tax residency status or causes the information contained herein to become incorrect or incomplete, and to provide KGI Securities (Singapore) with a suitably updated self-certification form within **30 days** of such change in circumstances.  
本人/我们承诺通知 KGI Securities (Singapore) 任何影响帐户持有人税务居民身分或导致此处提供的信息成为不正确或不完整的情事变更, 并且在发生此情事变更 **30 日内**, 提供 KGI Securities (Singapore) 妥适更新后的自我认证表。

**2. Supplementary Information 其他信息**

- a. Nature of Trading Account 账户交易的类型  
 Hedging 套期保值  
 Others 其他

Speculative 投机

Arbitrage 套利

- b. Main Trading Interest 主要交易兴趣:  
 Agriculture Futures 农产品期货  
 Spot Foreign Exchange 即期外汇  
 SGX OTC

Stock Indices Futures 股指期货  
 Energy Futures 能源期货  
 Others 其他

Interest Rate Futures 利率期货  
 Metals 金属期货

Note: Customer who is trading SGX OTC contracts is required to complete and submit the ECCP Form.  
备注: 凡交易新加坡交易所场外期货合约的客户需提交 ECCP 表格。

- c. Is the account intended for proprietary trading? 账户用于自主交易还是非自主交易?  Yes 是  No 否

- d. Past trading experience or knowledge in trading futures, options, foreign exchange and/or bullion?  
是否有期货、期权、外汇和/或金银交易方面的经验或知识?  Yes 是  No 否

If yes, please elaborate on the products traded and no. of years' experience: 如果是, 请说明所交易的产品和从事交易的年数:

Product/ No. of Years 产品/ 经验

Product/ No. of Years 产品/ 经验

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**CME GROUP MARKET DATA FEES 芝加哥商品交易所集团(CME Group)市场数据费 (如适用)**

3. With effect from 1 April 2015, CME Group will charge market data fees according to the customer or subscriber's profile.  
自 2015 年 4 月 1 日起, 芝加哥商品交易所集团将根据客户或订阅者的状态收取市场数据费。

Subscriber's profile 订阅者状态	Non-Professional 非专业人员	Professional 专业人员
Fees 费用	100% fee will be effective from 1 April 2015 自 2015 年 4 月 1 日起收取 100%费用  (Refer to Appendix A1 for Fee Schedule from CME Group) (见附录 A1 《芝加哥商品交易所集团费用明细表》)	- 50% fee waiver in 2015 (effective from 1 April 2015); and - 2015 年免收 50%费用(自 2015 年 4 月 1 日起) - 100% fee will be effective from 1 January 2016 - 自 2016 年 1 月 1 日起收取 100%费用  (Refer to Appendix A2 for Fee Schedule from CME Group) (见附录 A2 《芝加哥商品交易所集团费用明细表》)
Declaration as required by CME Group 芝加哥商品交易所集团要求的 声明文件	Please complete the attached <u>Schedule 4 (Exhibit A)</u> and <u>Schedule 7</u> Forms and return the completed forms to us. 请填写附件 4 之附录 A 和附录 7 中的表格并将交回给我们。	Please complete the attached <u>Schedule 7</u> Form and return the completed form to us. 请填写附录 7 中的表格并将交回给我们。

As such, please select a profile (from subparagraphs 3.1, 3.2 or 3.3), which is applicable to you. Kindly select ONE that applies.  
请从第 3.1、3.2 和 3.3 条中选择符合您自身情况的选项。只能选择一项。

- 3.1  I am / We are not trading in CME Group products through KGI Securities (Singapore);  
本人我们不通过 KGI Securities (Singapore)买卖芝加哥商品交易所的商品;

- 3.2  I am / We are a **NON-PROFESSIONAL SUBSCRIBER**, and hereby complete and provide Schedule 4 (Exhibit A) and Schedule 7 Forms.

本人我们是非专业订阅者, 特此填写并提交附件 4 之附录 A 和附录 7 中的表格。

\*note: In order to qualify for NON-PROFESSIONAL status, all of the following criteria must be met by the subscriber.

\*注: 订阅者必须满足下列全部条件, 才属于“非专业人员”。

- The subscriber must have an active futures trading account; and  
订阅者必须拥有一个活跃的期货交易账户;
- The subscriber must not be a member (or hold or lease any type membership) of any exchange; and  
订阅者不得是任何交易所的会员 (亦不得拥有或租用任何交易所的任何一类会员资格);
- The subscriber does not have a primary business purpose that involves trading; and  
订阅者的主营业务不涉及交易;
- The subscriber must not be registered or qualified as a professional trader or investment adviser with any stock, commodities or futures exchange or contract market, or with any regulatory authority, professional association or recognized professional body; and  
订阅者不得是在任何证券交易所、商品交易所、期货交易所、合约市场或者任何监管机构、专业协会或经认可的专业机构登记或获得资格认证的专业交易员或投资顾问;
- The subscriber must not be affiliated with any entity that is or may be considered a Professional User; and  
订阅者不得隶属于任何 (可能) 被视为专业用户的实体;
- The subscriber's use of Information must be solely for the Subscriber's personal, non-business use; and  
订阅者对市场资料的使用仅限于自身的非商业用途;
- The subscriber's use of Information must be limited to managing the Subscriber's own property and, for the avoidance of doubt, not in connection with the management of any property of any third party(ies) in any capacity, whether as a principal, officer, partner, employee or agent of any business or on behalf of any other individual, and whether or not the Subscriber receives any remuneration therefor; and  
订阅者对市场资料的使用必须以管理自有财产为限; 为避免疑义, 订阅者不得将市场资料用于管理第三方的财产, 不论是作为企业的委托人、合伙人、员工或代理人, 还是作为他人之代表, 亦不论订阅者为此是否收取报酬;
- The subscriber must not be acting on behalf of an institution that engages in brokerage, banking, investment, or financial activities; and  
订阅者不得代表从事经纪、银行、投资或金融活动的机构行事;
- The subscriber has no more than two (2) means for accessing Information from each Distributor; and  
订阅者从每一经销商处获取市场资料的管道不得超过两 (2) 条;
- The subscriber must view the Information only on a device that is capable of routing orders to the CME Globex Platform (an "Order Routing Device").  
订阅者只能在能将指令传送到 CME Globex 平台的设备 (“指令传送设备”) 上浏览市场数据。

- 3.3  I am / We are a **PROFESSIONAL SUBSCRIBER**, and hereby complete and provide Schedule 7 Form.

本人我们是专业订阅者, 特此填写并提交附录 7 中的表格。

\*note: Any subscriber who does not meet the qualifications of a Non-Professional or falls under the categories described below shall be considered a Professional. Notwithstanding anything else herein, Professionals shall include, without limitation:

\*注: 不满足非专业人员的条件或属于下述类型的任何订阅者, 均视为专业人员。即使本文件中有其他规定, 专业人员包括但不限于:

- Any person or entity that provides financial or similar services to any third party.  
向第三方提供金融或类似服务的任何人士或实体。
- Any person that is registered or qualified as a professional trader or investment adviser with any stock, commodities or futures exchange or contract market, or with any regulatory authority, professional association or recognized professional body.  
在任何证券交易所、商品交易所、期货交易所、合约市场或者任何监管机构、专业协会或经认可的专业机构登记或获得资格认证的专业交易员或投资顾问。
- Any person or entity that acts on behalf of an institution that engages in brokerage, banking, investment or financial activities.  
代表从事经纪、银行、投资或金融活动的机构行事的任何人士或实体。
- Any person or employee of an entity that holds any form of membership at any of the CME Group Designated Contract Markets ("DCM") or any other exchange.  
在芝加哥商品交易所集团的指定合约市场 ("DCM") 或其他交易所拥有任何一类会员资格的人, 或者是拥有此等会员资格的实体旗下的雇员。

I/We agree to notify KGI Securities (Singapore), in writing, of any change in my/our profile type declared in Paragraph 3 above, within 30 days. I/We agree to indemnify KGI Securities (Singapore) in respect of any false or misleading information regarding my/our profile type declared in Paragraph 3 above.

本人/我们同意, 如第 3 条中声明的订阅者状态类型发生变化, 将于 30 天内书面通知 KGI Securities (Singapore)。本人/我们同意, 如第 3 条中的订阅者状态类型声明存在虚假或误导性信息, 将对 KGI Securities (Singapore) 予以赔偿。

**DECLARATION OF BENEFICIAL OWNERSHIP 受益人身份声明**

I/We hereby certify & confirm that the following individual(s) and /or organization(s) ultimately own(s) or has/ have effective control over the Account ("Beneficial Owners"). (Kindly attach list if necessary). 我们在此证实并确认以下人员和/或机构 ("受益人") 享有对此账户最终的有效控制权。(如有需要请附上列表)。

Name in full 姓名	NRIC/ Passport No. 身份证 / 护照号码	Nationality 国籍	Shareholding (%) 股权
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

**BOARD OF DIRECTOR(S) 董事会**

Particulars of Directors (NRIC / Passport To Be Certified True Copy. Kindly attach list if necessary). 董事会信息 (认证为真实的身份证/护照副本。如有需要请附上列表。)

Name in full 姓名	NRIC/ Passport No. 身份证 / 护照号码	Nationality 国籍
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

**AUTHORISED PERSONNEL TO TRADE 经授权人员**

Particulars of Personnel Authorised to Deal on Behalf of the Company (NRIC/Passport To Be Certified True Copy. Kindly attach list if necessary.)  
(Note: All telephone confirmations of trades are contract binding.) 经授权代表公司处理事务的人员详细信息 (认证为真实的身份证/护照副本。如有需要请附上列表。)  
(注: 所有电话交易确认是有合同约定的。)

Name in full 姓名	NRIC/ Passport No./ 护照号码	Designation 职位	Tel. No. 电话号码
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Does any of the above Authorised Personnel to Trade own an individual and/or related trading account(s)\* with KGI Securities (Singapore)? 经授权人员是否曾经与 KGI Securities (Singapore) 开有其个人及/或相关交易户头?  Yes 是  No 否

\*Related trading account(s) include any individual (e.g. spouse or family members) or corporate or firm entity account in which the Authorised Personnel to Trade has a beneficial interest or control over the operation or management of the account. \*任何个人 (如代理方的夫妻或家庭成员) 户头或代理方拥有其实际权益或经营管理控制权的企业或公司个体户头, 皆应归纳为相关交易户头。

If yes, please specify account name(s) and/or account number(s): 若是, 请注明户头名字及/或户头编号:

Name of Authorised Trader's Personal/Related Trading Account(s) 经授权人员私人/相关交易户头名字	Authorised Trader's Personal/Related Trading Account(s) Number 经授权人员私人/相关交易户头编号
_____	_____
_____	_____



### AUTHORISED SIGNATORIES 指定签署人

Company Officials Authorised to issue instructions for withdrawal of funds/ securities placed with KGI Securities (Singapore). (NRIC / Passport To Be Certified True Copy. Kindly attach list if necessary.) 指定签署人 (认证为真实的身份证/护照副本。如有需要请附上列表。)

Name in full 姓名	NRIC/ Passport No. 护照号码	Designation 职位	Tel. No. 电话号码	Email 电子邮箱	Specimen Signature 签字样本
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____

### AUTHORISED INTER DEALER BROKER ("IDB") 授权交易商经纪

\*note: This section would be applicable to customers who wish to apply for over-the-counter (OTC) Clearing Services. Kindly skip this section if it is not applicable to you. \*注: 本节适用于有意申请场外 (OTC) 结算服务的客户。请跳过这一部分, 如果不适用于你。

Provision of Clearing Services for OTC Contracts on the Relevant Clearing Houses, including SGX-DC, where applicable  
新加坡交易所衍生品结算所(SGX-DC)等相关结算所提供的场外合约结算服务

Please read the "Terms and Conditions for Provision of Clearing Services for OTC Contracts" as set out in Clause B6 of KGI Securities (Singapore) Customer Trading Agreement, and complete the application below.

请阅读本附录中的《场外 (OTC) 合约结算服务条款及条件》, 并填写下列申请表。

#### Application 申请表

In consideration of KGI Securities (Singapore) agreeing at its sole and absolute discretion, from time to time, to permit the Customer to effect registration of the Customer's OTC transactions for clearing in accordance with the rules and regulations prescribed by the relevant exchanges and clearing houses through the following IDB registered with the relevant clearing houses and/or exchanges –

鉴于 KGI Securities (Singapore) 全权酌情决定允许本文件签署人 ( "客户" ) 通过下列在相关结算所和/或交易所注册的交易商经纪 ( IDB ) , 按照交易所和结算所拟定的规章及规定完成场外 ( OTC ) 交易的登记结算:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_
6. \_\_\_\_\_
7. \_\_\_\_\_
8. \_\_\_\_\_
9. \_\_\_\_\_
10. \_\_\_\_\_

The Customer hereby declares, warrants and agrees:-

客户特此声明、保证并同意:

- (a) that all information submitted in connection with this application is true and accurate in all aspects;  
所提供的与本申请表有关的一切信息均正确属实;
- (b) that the Customer has read and understood, and agrees to the Terms and Conditions for Provision of OTC Clearing Services for OTC Contracts set out in Clause B6 of KGI Securities (Singapore) Customer Trading Agreement;  
客户已阅读、理解并同意本附录中的《场外合约结算服务条款及条件》;
- (c) that the Customer acknowledges and agrees to the Terms and Conditions for Provision of Clearing Services for OTC Contracts set out in Clause B6 of the KGI Securities (Singapore) Customer Trading Agreement, as if the transactions to be covered under such agreement were also to include KGI Securities (Singapore) providing the Customer clearing services for OTC transactions as a clearing member and/or through a third party clearing member and not merely acting as a broker and/or clearing agent for the Customer with respect to transactions or other trading services; and  
客户认可并同意本附录中的《场外合约结算服务条款及条件》属于《KGI Securities (Singapore)客户交易协议》的一部分, 如同《客户交易协议》所涵盖的交易也包括 KGI Securities (Singapore) 作为结算成员和/或通过第三方结算成员向客户提供场外交易结算服务, 而非仅就相关交易或其他服务担任客户的经纪和/或结算代理人; 和
- (d) that KGI Securities (Singapore) shall submit to the Clearing House the name of each Authorised IDB or such other party and to consent to KGI Securities (Singapore) before allowing the Authorised IDB or such other party to register the Customer's OTC transaction through the applicable trade registration system of the relevant exchanges and/or clearing houses.  
如果客户使用交易商经纪, 客户明确同意 KGI Securities (Singapore) 披露该交易商经纪的名称等信息, 以授权交易商经纪通过相关交易所和/或结算所的交易登记系统进行场外交易的登记。

## ELECTRONIC BROKING FACILITIES AGREEMENT 电子经纪工具协议

### 1. AUTHORISED USE 授权使用

1.1 The Customer has the sole responsibility and shall be liable for the security and safekeeping of the Customer's user ID, password and/or PIN issued by KGI Securities (Singapore) Pte. Ltd., hereinafter referred to as "KGI Securities (Singapore)", and/or KGI Securities (Singapore) Electronic Broking Provider to the Customer. Accordingly, the Customer shall be fully responsible and liable for any Orders placed with KGI Securities (Singapore)'s Electronic Broking Provider, through the use of the Electronic Broking Facilities.

客户对由 KGI Securities (Singapore) Pte. Ltd., 下称 "KGI Securities (Singapore)" 和/或 KGI Securities (Singapore) 的电子经纪供应商提供给客户的客户用户名、密码和/或 PIN 的安全和保管承担全部责任和义务。因此, 客户应对通过使用电子经纪工具对 KGI Securities (Singapore) 的电子经纪供应商所下达的指令承担全部责任和义务。

1.2 The Customer agrees that KGI Securities (Singapore)'s Electronic Broking Provider shall be entitled to rely on the correct entry of a PIN in Order to ascertain whether any Order given to KGI Securities (Singapore)'s Electronic Broking Provider is that of the Customer's and to act on that assumption. The Customer shall be liable for all such Orders placed with KGI Securities (Singapore)'s Electronic Broking Provider.

客户同意 KGI Securities (Singapore) 的电子经纪供应商有权依据 PIN 的正确输入来确定给 KGI Securities (Singapore) 电子经纪供应商所下达的任何指令是否由客户本人下达并根据这一假设行事。客户应对向 KGI Securities (Singapore) 电子经纪供应商所下达的所有此类指令负责。

1.3 In placing Orders using the Electronic Broking Facilities, the Customer hereby agrees that any such Orders are only considered as having been received by KGI Securities (Singapore)'s Electronic Broking Provider upon them sending notification to the Customer through the Electronic Broking Facilities of its receipt and informing the Customer that the Order has been either accepted or rejected for execution. Any such notification shall be deemed to have been received by the Customer when the same is issued by KGI Securities (Singapore)'s Electronic Broking Provider and the Customer shall be bound thereby notwithstanding that such notification may not have actually been received by the Customer for any reason whatsoever. The Customer shall bear the sole responsibility of keeping records of the same.

在使用电子经纪工具下达指令时, 客户在此同意任何此类指令只有在 KGI Securities (Singapore) 的电子经纪供应商通过电子经纪工具向客户发送其已收到指令的通知并告知客户该指令被接受或拒绝执行之后方可认为 KGI Securities (Singapore) 的电子经纪供应商收到了指令。由 KGI Securities (Singapore) 的电子经纪供应商所发送的任何此类通知应被视为已由客户接收, 并对客户具有约束力, 无论客户是否因为任何原因可能并未真正收到通知。客户应对保存相同记录承担全部责任。

### 2. DISTRIBUTION AND INTELLECTUAL PROPERTY 传播和知识产权

2.1 The Customer is not entitled to and shall not reproduce, transmit, disseminate, sell distribute, broadcast, circulate and/or exploit (whether for commercial benefit or otherwise) the information and/or reports obtained from or through the use of the Electronic Broking Facilities, except with the express written consent of KGI Securities (Singapore) and KGI Securities (Singapore) Electronic Broking Facilities. The Customer shall also not use such information and/or records for any wrongful or illegal purpose.

客户没有权利且不得复制、传输、分发、出售、散布、广播、传递和/或利用(无论以商业利益为目的或其他)从电子经纪工具或通过电子经纪工具获得的信息和/或报告, 除非获得 KGI Securities (Singapore) 和 KGI Securities (Singapore) 电子经纪工具的明确书面同意。客户亦不得将此类信息和/或记录用于任何不正当或非法目的。

2.2 In requesting KGI Securities (Singapore) to provide the Electronic Broking Facilities, the Customer accepts and acknowledges the fact that all intellectual property rights (whether by way of copyright or otherwise) in the information and reports available and generated on the Electronic Broking Facilities as well as the Electronic Broking Facilities itself vest solely in and shall remain the exclusive property of KGI Securities (Singapore)'s Electronic Broking Provider. The Customer therefore agrees not to do anything what will violate or infringe KGI Securities (Singapore)'s Electronic Broking Provider intellectual property rights and shall take all-necessary measures to preserve and protect these rights.

在要求 KGI Securities (Singapore) 提供电子经纪工具时, 客户接受并认可电子经纪工具产生和提供的信息和报告以及电子经纪工具本身的知识产权完全属于 KGI Securities (Singapore) 的电子经纪供应商并始终为其专有财产。客户因此同意, 不会以任何方式侵犯或违反 KGI Securities (Singapore) 的电子经纪供应商的知识产权, 并采取所有必要措施保存和保护此类权利。

### 3. TRANSMISSION OF ELECTRONIC DATA 电子资料的传输

3.1 KGI Securities (Singapore) and KGI Securities (Singapore)'s Electronic Broking Provider shall not be liable to the Customer for any Loss suffered or incurred by the Customer due to any inability of the Customer to access the Electronic Broking Facilities for any reason whatsoever, or for any errors, defect, malfunction or failure (whether total or partial) of the Electronic Broking Facilities (or any part thereof) or interruption or delay in response time of the Electronic Broking Facilities whether resulting or arising from any repair or servicing of the Electronic Broking Facilities; any damage, destruction, breakdown, mechanical or other defect, howsoever caused, to the Electronic Broking Facilities (or any part thereof); any corruption or damage to the Electronic Broking Facilities (or any part thereof); any failure by KGI Securities (Singapore) and KGI Securities (Singapore)'s Electronic Broking Provider, its officers, employee, agents or servants to receive the Customer's instructions or Orders notwithstanding that the instruction or Order has been received by the Electronic Broking Facilities; or, any other cause whatsoever.

KGI Securities (Singapore) 和 KGI Securities (Singapore) 的电子经纪供应商对客户由于任何原因无法使用电子经纪工具, 或由于电子经纪工具(或其任何部分)的错误、缺陷、失误或故障(无论全部或部分)、或由于电子经纪工具的任何维修或维护所导致或造成的反应时间中断或延误、或由于任何原因对电子经纪工具(或其任何部分)造成的任何损坏、破损、停机、机械性或其他故障、电子经纪工具(或其任何部分)的任何侵蚀或损坏、KGI Securities (Singapore) 和 KGI Securities (Singapore) 的电子经纪供应商、其管理人员、员工、代理或雇员未能接收到客户的指示或指令(无论此类指示或指令是否已由电子经纪工具接收), 或任何其他原因而遭受或产生的任何损失不承担任何责任。

### 4. DISCLAIMER 免责声明

4.1 KGI Securities (Singapore) makes no warranty, guarantee or representation of any kind, express or implied, as to the quality or the merchantability or fitness for any particular use of purpose in relation to the information furnished under the Electronic Broking Facilities or any other features or aspect of the Electronic Broking Facilities, including but not limited to any generally circulating investment advice and/or access to information and/or the execution of any buy or sell recommendations and/or the cancellation or amendment of the same. 对于电子经纪工具所提供的信息或电子经纪工具的任何其他特点或方面的质量或相对任何特定使用目的的适销性或适当性, 包括但不限于投资建议和/或获取信息和/或执行任何购买或出售建议和/或对此类建议的取消或修改, KGI Securities (Singapore) 不作任何明确或暗示性的保证、担保或表示。

4.2 KGI Securities (Singapore)'s Electronic Broking Provider may, through the Electronic Broking Facilities, provide quotes on prices at which KGI Securities (Singapore)'s Electronic Broking Provider may be prepared to transact with the Customer. The Customer acknowledges that it is possible that errors may occur in any such prices so quoted by KGI Securities (Singapore)'s Electronic Broking Provider. In such circumstances, without prejudice to any rights it may have under statute or common law, neither party will be bound by any Transaction purported to have been entered into (whether or not confirmed by KGI Securities (Singapore)'s Electronic Broking Provider) at a price which was, or ought reasonably to have been known to either party to be materially incorrect at that time of the Transaction. The party asserting that such Transaction is avoided under this Clause shall give notice to the other within 7 Business Days of the Transaction. If the Customer gives notice to KGI Securities (Singapore) and KGI Securities (Singapore) Electronic Broking Provider under this Clause, KGI Securities (Singapore)'s Electronic Broking Provider shall determine, acting reasonably, whether the price quoted was materially incorrect. Except in the case of fraud, KGI Securities (Singapore) and KGI Securities (Singapore)'s Electronic Broking Provider does not accept any liability for any loss or damage suffered by the Customer as a result of the Customer's reliance on a price which the Customer knew, or ought reasonably to have known, to be materially correct.



KGI Securities (Singapore)的电子经纪供应商可通过电子经纪工具提供报价, KGI Securities (Singapore)电子经纪供应商将根据该报价与客户交易。客户承认 KGI Securities (Singapore)的电子经纪供应商的报价可能会出现错误。在此类情况下,在不影响法令或普通法所规定的任何权利的前提下,按照在发生交易时有实质性错误或双方应能得知有重大错误的价格所进行的交易(无论是否由 KGI Securities (Singapore)的电子经纪供应商确认)对双方均不具约束力。根据本条款确认此类交易无效的一方应在交易后的7个营业日内向另一方发出通知。如果客户根据本条款向 KGI Securities (Singapore)和 KGI Securities (Singapore)的电子经纪供应商发出通知, KGI Securities (Singapore)的电子经纪供应商应合理确定所报价格是否有重大错误。除欺诈情况外, KGI Securities (Singapore)和 KGI Securities (Singapore)的电子经纪供应商不对客户因依赖其所知或应能知道有重大错误的价格而蒙受的任何损失或损害承担任何责任。

- 4.3 KGI Securities (Singapore) shall not be responsible in any way whatsoever for the content, accuracy, timeliness or completeness of any information, data or other services provided through Electronic Broking Provider. As such, any information, data or services provided through the Electronic Broking Provider should not be relied upon in relation to any investment decision, trading activities or Orders placed by the Customer who shall, at all times, rely on its own assessment and judgment in respect of any investment decision or proposed Transaction.

KGI Securities (Singapore)不对通过电子经纪供应商提供的任何信息、数据或其他服务的内容、准确性、及时性或完整性承担任何责任。因此,由电子经纪供应商提供的任何信息、数据或服务不应作为任何投资决定、交易活动或下达指令的依据,客户应始终依靠其自身的评估和判断做出任何投资决定或拟定交易。

- 4.4 KGI Securities (Singapore) shall not be under any obligation to review the status of the Customer's Account for compliance with any applicable margin requirements. Notwithstanding this, KGI Securities (Singapore) may, in its sole and absolute discretion, review the status of a Customer's Account for the purposes of ensuring compliance with any applicable margin requirements provided that KGI Securities (Singapore) shall bear no liability whatsoever for any such review.

KGI Securities (Singapore)没有任何义务审核客户的账户状态,看其是否符合任何适用的保证金要求。尽管如此, KGI Securities (Singapore)可自行及独立酌情决定对客户的账户进行审核,以确保其遵守所有适用的保证金要求,但 KGI Securities (Singapore)不对任何此类审核承担任何责任。

- 4.5 KGI Securities (Singapore) reserve the right to, without the Customer's consent, either void from the outset or amend the terms of any OTC Transaction containing or based on any error that it reasonably believes to be obvious or palpable (a "Manifest Error", and such transaction a "Manifestly Erroneous Transaction"), which may include, but not limited to, an incorrect price (e.g. price freeze), date, time, Market or currency pair or any error or lack of clarity of any information, source, commentator, official, official result or pronouncement. KGI SECURITIES (Singapore) PTE. LTD. shall not be held liable for any customer loss arising from voiding or amending the trade.

4.5.1 If an OTC Transaction is based on a Manifest Error (regardless of whether the Customer or KGI SECURITIES (Singapore) PTE. LTD. gains from such error), KGI SECURITIES (Singapore) PTE. LTD. may act reasonably and in good faith to:

- void the OTC Transaction as if it had never taken place;
- close the OTC Transaction or any open position resulting from it at such price prevailing at the time KGI SECURITIES (Singapore) PTE. LTD. closes the OTC Transaction or any open position; or
- amend the OTC Transaction so that its terms are the same as the Transaction which would have been placed if there had been no Manifest Error.

4.5.2 If a Manifest Error has occurred and KGI SECURITIES (Singapore) PTE. LTD. chooses to exercise any of its rights under Section B5.3.1, and if the Customer has received any monies from KGI SECURITIES (Singapore) PTE. LTD. in connection with the Manifest Error, the Customer agrees that those monies are due and payable to KGI SECURITIES (Singapore) PTE. LTD. and the Customer agree to return an equal sum to KGI SECURITIES (Singapore) PTE. LTD. without delay.

## 5. RIGHTS OF ACCESS 使用权

- 5.1 KGI Securities (Singapore) shall bear no liability and shall not be responsible for any Loss of inconvenience that may be suffered by the Customer as a result of any action by a regulatory body in the exercise of its regulatory or supervisory functions over KGI Securities (Singapore). The Customer shall permit KGI Securities (Singapore) and/or any regulatory body to have access to such terminals as KGI Securities (Singapore) and/or the regulatory body may request, and the Customer shall co-operate in answering any of their queries in relation to any aspect of the Electronic Broking Facilities.

对于因监管机构对 KGI Securities (Singapore)实施管理或监督职能而导致客户蒙受的任何损失或不便, KGI Securities (Singapore)不承担任何义务和责任。客户应准许 KGI Securities (Singapore)和/或任何监管机构访问 KGI Securities (Singapore)和/或监管机构可能要求的终端,且客户应配合回答其与电子经纪工具的任何方面相关的任何问题。

## 6. SECURITY 安全

- 6.1 The Customer shall at all times ensure that the integrity and the security of the Electronic Broking Facilities are preserved and maintained. Accordingly the customer shall ensure, inter alia, that there is no unauthorized use of Customer user ID, password and/or PIN. The Customer shall forthwith on being aware of any unauthorized access or theft of the PIN(s) or security code(s) notify KGI Securities (Singapore) and KGI Securities (Singapore)'s Electronic Broking Provider and provide such particulars as KGI Securities (Singapore) and KGI Securities (Singapore)'s Electronic Broking Provider may require.

客户应始终确保电子经纪工具的完整性和安全性获得保全和维护。因此,除其他事物之外,客户应保证没有对客户用户名、密码和/或 PIN 的无授权使用。客户在得知 PIN 或安全代码的未经授权使用或失窃后应立即通知 KGI Securities (Singapore)和 KGI Securities (Singapore)的电子经纪供应商,并提供 KGI Securities (Singapore)和 KGI Securities (Singapore)的电子经纪供应商可能要求的细节。

- 6.2 The Customer shall bear the sole responsibility of complying with the obligations under this Clause. In the event that the Customer breaches its obligations under this Clause, the customer shall indemnify KGI Securities (Singapore) and KGI Securities (Singapore)'s Electronic Broking Provider for any loss that KGI Securities (Singapore) and KGI Securities (Singapore)'s Electronic Broking Provider may suffer as a consequence of such unauthorized access and use.

客户应对遵守本条款所规定的义务承担完全责任。如果客户违反其在本条款中所规定的义务,客户应就 KGI Securities (Singapore)和 KGI Securities (Singapore)的电子经纪供应商由于此类无授权使用和访问所遭受的任何损失向 KGI Securities (Singapore)和 KGI Securities (Singapore)的电子经纪供应商做出补偿。

## 7. RISK WARNING 风险警示

- 7.1 The Customer hereby represents and declares that it understands and accepts the following associated with the trading using the Electronic Broking Facilities: 客户在此表示并声明其理解并接受如下与使用电子经纪工具交易相关的条款:

- that the electronic trading and order routing systems differ from traditional open outcry pit trading, and that Transactions undertaken using an electronic system are subject to the rules and regulations of the exchange(s) offering the system and/or listing the contract. In this connection, the customer hereby undertakes, prior to engaging in such Transactions to familiarize itself with, and from time to time to keep itself updated on, the rules and regulations of the relevant exchange(s) offering the system and/or listing the relevant future contracts, and to understand, among other things, the system's order matching procedure, opening and closing procedures and prices, error trade policies and trading limitation or requirements, and 电子交易和买卖盘传递系统与传统公开喊价交易不同,使用电子系统进行的交易受到提供该系统和/或合同挂牌的交易所的规章和条例的约束。因此,客户在此承诺,在参与此类交易之前,了解并随时更新提供系统和/或相关期货合同挂牌的相关交易所的规章和条例,并了解系统的指令匹配程序、开盘和报收程序和价格、错误交易政策和交易限制或要求,以及

- (b) Trading through an electronic trading or order routing system exposes the Customer to risks associated with system or component failure. Such system or component failure may result in the inability to enter new Orders, execute existing Orders, or modify or cancel Orders previously entered, as well as a loss of Orders or order priority. 客户在通过电子交易或买卖盘传递系统进行交易时可能面临的与系统或其组成部分故障相关的风险。此类系统或组成部分故障可能造成无法输入新的指令、执行现有指令、或修改、或取消之前输入的指令，以及丢失指令或指令优先权。

## DECLARATION AND AGREEMENT 声明及协议

By signing this application and in consideration of KGI Securities (Singapore) Pte. Ltd. ("KGI Securities (Singapore)") opening an account in the name of the applicant herein as indicated in the Application, the applicant hereby 通过签署本申请表，并有鉴于 KGI Securities (Singapore) Pte. Ltd. ("KGI Securities (Singapore)") 将以申请表中所指明的申请人的名义开立账户，申请人在此

(i) declare, warrant and agree : 声明、保证和同意:

- (a) that all information submitted in connection with this application is true and accurate in all respects; 就本申请提交的所有相关信息在所有方面均是真实和准确的;
- (b) that the applicant has read, understood, accepted and agreed to the terms and conditions set out in this application, including the KGI Securities (Singapore) Customer Trading Agreement, General Agreements & Product Disclosure Statement (together with its accompanying "ACCOUNT OPENING GUIDE AND CAUTIONARY NOTES WHEN APPLYING FOR A CORPORATE TRADING ACCOUNT"), and Electronic Broking Facilities Agreement (collectively the "Terms") as well as such risk disclosure statements as may have been provided to the applicant and that the applicant has taken independent legal advice to resolve any doubts the applicant may have in relation to these terms and conditions. Without detracting from the preceding, the applicant specifically confirms and agrees that the applicant has the onus of ensuring that the applicant keeps itself updated on the Terms by regular review of the Terms as posted on the web-site of KGI Securities (Singapore); 申请人已阅读、理解、接受和同意本申请表中规定的条款和条件，包括 KGI Securities (Singapore) 客户交易协议、一般协议和产品披露声明（联同所附的“公司交易账户开户指南与注意事项”）、电子经纪工具协议（统称“条款”）以及或已提供给申请人的风险披露声明，且申请人已经取得独立的法律意见以解决申请人对此类条款和条件产生的任何疑问。在不影响前款规定的情况下，申请人特别确认并同意申请人有义务定期浏览在 KGI Securities (Singapore) 网站公布的条款以确保了解最新的规定。
- (c) that the applicant shall supply any additional information as KGI Securities (Singapore) may require in connection with the processing of this Application and the opening, operation and maintenance of any Account or facility established with KGI Securities (Singapore); 申请人应向 KGI Securities (Singapore) 提供为处理本申请表以及任何 KGI Securities (Singapore) 业务账户的开立、运作和维护而可能要求的任何额外信息。
- (d) that the applicant will execute all documents and instruments (including any security documents) and do all acts and things as may be required by KGI Securities (Singapore) in connection with the processing of this Application and the opening, operation and maintenance of any Account or facility established with KGI Securities (Singapore); 申请人将签署 KGI Securities (Singapore) 为处理本申请表以及任何 KGI Securities (Singapore) 业务账户的开立、运作和维护而可能要求签署的所有文件和契约（包括任何担保文件）并采取其所要求的所有行动。
- (e) the applicant is and will ensure the applicant will at all times remain in compliance with all laws to which it is subject to including, without limitation, all tax laws and regulations, exchange control requirements and registration requirements with regards the funds and assets of the Customer – generally "Tax Laws"; 申请人且将会确保申请人始终遵守对其有管辖权的各项法律，包括但不限于各类税法及条规、外汇管制条例以及客户的资金及资产相关的注册条规——统称“税法”；
- (f) Without detracting from the generality of (e) above, the applicant also represents and declares that any and all funds and assets the applicant placed and will place with KGI Securities (Singapore) and any profits that may accrue from their use are placed and will be dealt with in full compliance with the Tax Laws of the countries where the applicant is domiciled (ie. where the Customer calls as home), resident or deemed resident in, employed, engaged in any business or trade, of which the Customer is a citizen or general or permanent resident, and/or which the applicant is legally otherwise subject to. 在不影响前述条款(e)一般性的原则下，申请人也声明及宣布申请人已经且即将存放在 KGI Securities (Singapore) 的所有资金及资产以及从这类资金及资产的使用中产生的任何盈利的处理方式都将严格遵守申请人所在国（即客户认为是家乡的国家）、居住国或被视为在其居住的国家、受雇国、从事任何业务或贸易的国家的税法，客户是该国的公民或一般性居民或永久居民且/或申请人在法律上受该国法律的管辖。
- (g) that each of the applicant has read, understood and accepted the terms of the Risk Disclosure Statements attached hereto, that the Risk Disclosure Statements are not substitutes for taking independent advice, and that (because among other things KGI Securities (Singapore) is not the applicant fiduciary or investment adviser) no Transaction will be entered into on the basis of any statement, advice or information by KGI Securities (Singapore); and 各申请人业已阅读、理解和接受本申请表随附的风险披露声明中的条款，风险披露声明不得取代所应取得的独立意见，（由于 KGI Securities (Singapore) 并非申请人的信托或投资顾问），申请人不应依据 KGI Securities (Singapore) 提供的任何陈述、意见或信息而缔结交易。

ii) formally confirm and consent that insofar as KGI Securities (Singapore) may be required to hold securities for the account of the applicant that KGI Securities (Singapore) be authorized as it deems fit to appoint and delegate to such foreign custodians as it selects to perform any or all custodial duties required with respect to foreign securities as well as the respective consents of the applicant as set out in the provisions below, including 正式确认申请人对连同以下条款中所规定的各项事宜的同意，只要 KGI Securities (Singapore) 可能需要为申请人账户持有证券，KGI Securities (Singapore) 有权在其认为适当的情况下选择任命境外托管人并指定其履行任何或所有境外证券的相关托管责任，包括：

- (a) the consent for the opening of foreign trust accounts in clause A.7.3 in the Customer Trading Agreement ("CTA"); and 同意开立在客户交易协议 ("CTA") 第 A.7.3 条中的境外信托账户，以及
- (b) the consent for the disclosure of the information in clause A.27 in the CTA; and 同意披露在客户交易协议第 A.27 条中的信息。

iii) agree to receive Daily Activity Statement(s), Monthly Activity Statement(s) and/or trade Confirmation(s) (collectively, "Statements") via KGI Securities (Singapore) E-Statement Portal and/ or electronic mail address as specified in this Application Form. These services are available at no additional charge and will be effective until the applicant otherwise notifies KGI Securities (Singapore) in writing. All information technology system, in particular the electronic mail and KGI Securities (Singapore)

E-Statement Portal are vulnerable to disruption or failure and the reliability, timeliness, accuracy, quality, completeness and security of KGI Securities (Singapore) E-Statement Portal and/ or electronic mail ("Mishap") can never be assured. KGI Securities (Singapore) shall not be liable to the applicant for any and all risks, losses and damages including but not limited to consequential losses and damages in connection with or incidental to the Mishap, non-delivery, late delivery and/ or misdelivery of any and all of the Statements via the electronic mail and/ or KGI Securities (Singapore) E-Statement Portal;

正式确认同意接收由 KGI Securities (Singapore) 通过 KGI Securities (Singapore) E-Statement Portal, 或电子邮件方式发送到本申请表中所指定的电子邮件地址的每日交易确认书，每日交易结单，每月交易结单。该服务不另外收费，并在申请人另行书面通知 KGI SECURITIES (SINGAPORE) 之前持续提供。所有信息技术系统包括 KGI Securities (Singapore) E-Statement Portal 或电子邮件都有可能被中断或失败，因此可靠性、实时性、准确性、质量、完整性和安全性是不可能完全确定的。KGI Securities (Singapore) 将不会对申请人因交易确认书或交易结单延误、丢失、无法投递和错误投递而承受的一切风险，损失或损害承担责任和义务。

iv) formally agree to waive prior notice by KGI Securities (Singapore) and expressly consent to it assuming, from time to time the opposite side of our order(s) for its own account, an account of any person associated with or connected to it or an account in which it has direct or indirect interest, pursuant to Regulation 47C of the Securities and Futures (Licensing and Conduct of Business) Regulations of Singapore, and with Rule 3.4.14 of the Futures Trading Rules of the Singapore Exchange Derivatives Trading Limited. 根据新加坡证券与期货（许可及业务经营）规定第 47C 条以及新加坡衍生商品交易所期货交易规则第 3.4.14 条的规定，正式同意 KGI Securities (Singapore) 放弃另行通知，以及以明示的方式同意它将对手单的情况记入其自身账户、与其关联或相关的任何人员的账户、或其拥有直接或间接权益的账户中。

v) formally consent to the collection, use and transfer of the information you supply to KGI Securities (Singapore). The information that you supply KGI Securities (Singapore) will enable KGI Securities (Singapore) GROUP to provide you with any other products and services and will also enable KGI Securities (Singapore) GROUP to contact you via phone/E-mail/SMS where necessary. KGI Securities (Singapore) GROUP may (at its discretion) use the information collated to contact you for your views on our business and to notify you about important changes or other products or services which KGI Securities (Singapore) GROUP offer may be of interest to you. If you change your mind about being contacted in the future, please let us know by sending an email to us at info.sg@kgi.com. The information you provide to us may be accessed by or given to KGI Securities (Singapore) GROUP staff or contractors outside Singapore or companies. Furthermore, if KGI Securities (Singapore) enters into a joint venture or KGI Securities (Singapore) is sold to or merged with another business entity, your information may need to be disclosed to KGI Securities (Singapore)'s new business partners/owners as part of the transaction. KGI Securities (Singapore) will always take steps to ensure, as far as reasonably practicable, that your information is used by third parties to exercise necessary protection over your information. Unless required to do so by law or regulatory and/or other requirements, KGI Securities (Singapore) will not otherwise share, sell or distribute any of the information you provide without your consent.

正式同意我方收集、使用及转移您提供给我们信息。您提供给我们信息可以让 KGI (SINGAPORE) GROUP 向您提供您所要求的其他产品及服务,也让 KGI Securities (Singapore) GROUP 在必要时能够通过电话/电子邮件/简讯与您联系。KGI Securities (Singapore) GROUP 可(酌情)采用这类信息来联系您,了解您对本公司业务的看法并且将重要的变动信息以及您可能感兴趣的我们的其他产品或服务告知与您。未来,如果您针对我方与您联系的事宜改变观点,请通过电邮 (info.sg@kgi.com) 方式通知我们。您所提供给我们信息可能被提供给新加坡境外的我方员工或承包商或公司并被其所使用。此外,如果我方成立了合资企业或我方被出售给另一家商业实体或与之合并,作为交易过程的一部分,您的信息可能需披露给新的业务伙伴/业务所有者。我们将一如既往地采取可行的合理措施,确保您的信息在被第三方使用时获得必要的保护。除非法律规定或监管机构提出要求,否则我方在未获得阁下同意的情况下不会分享、出售或派发您的任何信息。

The Client further represents that the above information provided in the application form is true and correct and that any representations made are accurate to the best of the Client's knowledge. KGI Securities (Singapore) may rely fully on such information and representations for all purposes unless it receives notice otherwise. KGI Securities (Singapore) is hereby authorized to provide any information contained herein to any officers of the Singapore Exchange Derivatives Trading Limited, Monetary Authority of Singapore or such other organizations to whom KGI Securities (Singapore) may be obliged to disclose such information.

客户进一步声明,就客户所知,在申请表中提供的上述信息真实无误,且所做之任何表示均是准确的。除非另行收到通知,KGI Securities (Singapore)可为所有目的完全信赖此类信息和声明。KGI Securities (Singapore) 在此被授予向新加坡交易所衍生品交易有限公司、新加坡金融管理局或其他 KGI Securities (Singapore) 有义务向其披露此类信息的机构的任何管理人员提供本申请表中所包括的任何信息。

The original source of application form and agreements are in English language. They or any part of them may have been translated into other languages. The translated version(s) is/are solely a courtesy and office translation for information purposes only and the applicant cannot derive any rights from the translated version(s). In the event of a dispute about the contents or interpretation of relevant terms and conditions or in the event of a conflict, ambiguity, inconsistency or discrepancy between the English version and any other language version of any of KGI Securities (Singapore)'s documents/terms, the English language version shall apply and prevail and be conclusive and binding. The English version shall be used in legal proceedings. The English version of KGI Securities (Singapore)'s documentation is generally available on KGI Securities (Singapore)'s website at [www.kgiworld.sg] and shall in any event be made available (if the applicant has misplaced the applicant's original copy) and be sent to the applicant upon written request.

申请表和协议的原始版本为英文文本。全部或部分文本可能已转译为其它语言版本。提供译本为礼节所需,仅供参考,申请人不能从译本中获得任何权利。如对相关条款和条件的内容或解释存在争议,或如果任何 KGI Securities (Singapore)文件/条款的英文版和其它语言版本之间存在冲突、歧义、不一致或差异,应该以英文版本为准且英文版本具有最终效力及约束力。在法律程序中应使用英文版本。KGI Securities (Singapore)文件的英文版本通常在 KGI Securities (Singapore)的网站 [www.kgiworld.sg](http://www.kgiworld.sg) 公布,如申请人遗失原件,可通过书面形式要求重寄。

Name 姓名

Title 职位

Date 日期

Signature 签名

Name 姓名

Title 职位

Date 日期

Signature 签名

Name 姓名

Title 职位

Date 日期

Signature 签名

Company Stamp 公司盖章

\*Should you require additional space, kindly provide attachment. 如果您需要额外空间,请提供附件。

Signature of Witness 见证人签名

Name of Witness 见证人姓名

NRIC/ Passport No. of Witness 见证人身份证/护照号码

Designation of Witness 见证人职务

Date 日期



## RISK DISCLOSURE STATEMENTS 风险披露声明

### NOTIFICATION ON SGX FUTURES TRADING RULE (FTR) 1.6 ON EXCLUSION OF LIABILITY, DISCLAIMER OF WARRANTIES & STATUTORY IMMUNITY SGX期货交易规则(FTR)第1.6条有关责任排除、免除保证和法定豁免的通知书

The SGX-DT (the "Exchange") requires that this notification on the following Rule 1.6 be provided for your acknowledgement that it is acceptable and accepted by you:  
SGX-DT (“交易所”)要求向您提供有关如下第1.6条规定的通知书,请确认您可以接受并且已经接受该规定:

#### SGX FTR RULE 1.6 ON EXCLUSION OF LIABILITY, DISCLAIMER OF WARRANTIES & STATUTORY IMMUNITY SGX期货交易规则第1.6条有关责任排除、免除保证和法定豁免

##### 1.6.1 No Liability for Loss 对损失不承担责任

Unless otherwise expressly provided in this Rules or in any other agreements to which the Exchange is a party, the Exchange shall not be liable to any Person for any loss (consequential or otherwise, including, without limitation, loss of profit), damage, injury, or delay, whether direct or indirect, arising from:  
除非在本《规则》或交易所为缔约方的任何其他协议中另有明确规定,交易所不对任何人士因如下事项所直接或间接遭受的任何损失(无论是否相应而生,包括但不限于利润损失)、损害、伤害或延误承担任何责任:

- (a) any action taken by the Exchange in connection with the discharge of its regulatory responsibilities including the suspension, interruption or closure of the Markets; or  
交易所为履行其监管责任所采取的任何行动,包括市场的暂停、中断或关闭;或者
- (b) any failure or malfunction of Exchange Systems. 交易系统的任何故障或失误。  
“Exchange Systems” refers to any pre-trade, trade or post-trade systems, including QUEST, operated by the Exchange in connection with the Markets.  
“交易系统”指由交易所操控的与市场相关的任何交易前、交易中、或交易后系统,包括 QUEST 在内。

##### 1.6.1A Indemnity to the Exchange 给予交易所的赔偿

- (1) Each Trading Member indemnifies the Exchange and its directors, officers, employees, representatives and agents ("Indemnified Persons") against any loss or liability reasonably incurred or suffered by the Indemnified Persons where such loss or liability arose out of or in connection with:  
每一位交易成员应赔偿交易所及其董事、管理人员、员工、代表和代理人(“受补偿方”)由于下列原因造成的合理损失或责任:

- (a) any breach by the Trading Member of its obligations under the Rules; or  
交易成员违反《规则》规定的义务;或
- (b) any wilful, unlawful, reckless or negligent act or omission by the Trading Member.  
交易成员故意、非法、轻率或疏忽的行为或不行为。

- (2) Without prejudice to the generality of Rule 1.6.1A(1), in the event that any legal, arbitration or other proceedings are brought to impose any liability on the Indemnified Persons for an alleged failure on the part of any Indemnified Person to prevent or to require action by a Trading Member or any of its directors, officers, employees, representatives or agents, the Trading Member shall reimburse the Exchange for:  
在不影响规则 1.6.1A(1)一般性的情况下,如果有人通过法律诉讼、仲裁或其它程序要求受补偿方为未能阻止或促成交易成员或其董事、管理人员、员工、代表或代理人的某一行为承担责任,则交易成员应赔偿交易所下列费用:

- (a) all expenses and legal fees incurred by the Exchange in connection with such proceedings;  
该法律程序给交易所造成的一切支出和法律费用;
- (b) any payment made by the Exchange with the approval of the Trading Member in connection with any settlement of such proceedings; and  
交易所取得交易成员的同意后为达成法律程序的和解而支付的款项;以及
- (c) any payment made by the Exchange as a result of any order, award or judgment made in such proceedings.  
交易所按照该法律程序达成的命令、判决或决议而支付的款项。

The Trading Member shall render such co-operation as the Exchange reasonably requires in respect of such proceedings including without limitation the production of any document or records.

交易成员应配合交易所提出的与该法律程序有关的合理要求,包括但不限于提供文件或记录。

- (3) Without prejudice to Rule 1.6.1A(2), the cost to the Exchange of producing, pursuant to a court order or other legal process, records relating to the business or affairs of a Trading Member may, at the absolute discretion of the Exchange, be required to be paid to the Exchange by such Trading Member, whether such production is required at the instance of such Trading Member or at the instance of any other party.  
在不损害规则 1.6.1A(2)的情况下,交易所可酌情决定要求交易成员承担交易所根据法院命令或其它令状提交交易成员的业务或事务相关记录而产生的费用,无论该记录的提交是应交易成员要求还是第三方要求。

##### 1.6.2 Statutory Immunity 法定豁免

As provided under the Act, the Exchange or any Person acting on its behalf including any director or any Committee Member shall be immune from any criminal or civil liability for anything done (including any statement made) or omitted to be done with reasonable care and in good faith in the course of, or in connection with, the discharge or purported discharge of its obligations under the Act or this Rules.

根据《证券与期货法》,交易所或任何代表交易所行事的个人,包括任何董事或任何委员会成员,在其履行或声称履行《证券与期货法》或本《规则》所规定义务的过程或相关行为中,对其给予合理的注意并出于善意所采取或未能采取的任何行动,应免除任何刑事或民事责任。

##### 1.6.3 Disclaimer of Warranties 免除保证

All warranties and conditions, both express and implied as to condition, description, quality, performance, durability, or fitness for the purpose or otherwise of any of the Exchange Systems or any component thereof are excluded except as required by law. The Exchange does not warrant or forecast that the Exchange Systems, any component thereof or any services performed in respect thereof will meet the requirements of any user, or that operation of the Exchange Systems will be uninterrupted or error-free, or that any services performed in respect of the Exchange Systems will be uninterrupted or error-free.

除受到法律要求者以外,就任何交易系统或其任何组成部分而言,对于其状况、说明、质量、性能、耐用性或适用性不提供任何明确或暗示性的保证和条件。交易所不予保证或预测,交易系统、其任何组成部分或其履行的任何相关服务将可满足任何用户的要求,或交易系统的运行不会出现中断或错误,或交易系统履行的任何服务不会出现中断或错误。

## RISK DISCLOSURE STATEMENTS 风险披露声明

### 1.6.4. Index Related Disclaimers 指数相关免责声明

The Exchange, Index Provider and any other party involved in, or related to, making or compiling any index do not guarantee the originality, accuracy or completeness of such indices or any data included therein. Contracts on any index ("Index Contracts") are not sponsored, guaranteed or endorsed by the Index Provider or any other party involved in, or related to, making or compiling such indices. Neither the Index Provider nor any other party involved in, or related to, making or compiling any index makes any representations regarding the advisability of investing in such Index Contracts. Neither the Index Provider nor any other party involved in, or related to, making or compiling any index makes any warranty, express or implied, as to the results to be obtained by any person or any entity from the use of such index or any data included therein. Neither the Index Provider nor any other party involved in, or related to, making or compiling any MSCI Index makes any express or implied warranty, and expressly disclaims all warranties of merchantability and fitness for a particular purpose or use with respect to such index or any data included therein. Without limiting any of the foregoing, in no event shall an Index Provider or any other party involved in, or related to, making or compiling any index have any liability for any direct, special punitive, indirect, or consequential damages (including lost profits), even if notified of the possibility of such damages. In addition, neither the Exchange, an Index Provider nor any other party involved in, or related to, making or compiling any index shall have any liability for damages, claims, losses or expenses relating to any futures or options contracts that may be caused by any errors or delays in calculating or disseminating such index. "Index Provider" as used herein refers to MSCI, FTSE, IISL, NKS or such other index provider and their respective affiliates with whom the Exchange has or shall enter into agreements with for the creation and exploitation of indices and index-linked products.

交易所、指数供应商和任何其他涉及制定或编写任何指数或与之相关的当事方，不对此类指数或其中所包含的任何数据的原创性、准确性或完整性做出保证。指数供应商或任何其他涉及制定或编写此类指数或与之相关的当事方不对任何指数合同（“指数合同”）进行保证、担保或支持。无论指数供应商还是任何其他涉及制定或编写任何指数或与之相关的当事方均不对此类指数合同投资的合理性做出任何保证。无论指数供应商还是任何其他涉及制定或编写任何指数或与之相关的当事方，均不对任何人士或任何实体通过使用此类指数或其中所包含的任何数据而获得的结果做出任何明确或暗示性的保证。无论指数供应商还是任何其他涉及制定或编写任何 MSCI 指数或与之相关的当事方，均不对该指数或其所包含的任何数据用于某特定目的或用途的适用性和适当性做出任何明确或暗示性的保证，并明确免除所有保证。在不限前述规定的前提下，在任何情况下，无论指数供应商还是任何其他涉及制定或编写任何指数或与之相关的当事方，均不对任何直接、特别处罚、间接或相应而生的损失（包括利润损失）承担任何责任，即使被告知有此类损失的可能性。此外，无论交易所、指数供应商还是任何其他涉及制定或编写任何指数或与之相关的当事方，均不对由于此类指数的计算或传播中的任何错误或延误而可能造成的与任何期货或期权合同相关的损害、索赔、损失或费用等承担任何责任。“指数供应商”在此指交易所为创建和利用指数及指数相关产品而与之签署或即将签署协议的 MSCI、FTSE、IISL、NKS 或其他此类指数供应商及其各自的分支机构。

SGX FTR 1.6 - Exclusion of Liability, Disclaimer of Warranties & Statutory Immunity (26 April 2013) SGX 期货交易规则第 1.6 条 - 责任排除、免除保证和法定豁免 (2013 年 4 月 26 日)

SECURITIES AND FUTURES ACT (CAP. 289) 证券与期货法 (第 289 章)

SECURITIES AND FUTURES (LICENSING AND CONDUCT OF BUSINESS) REGULATIONS (Rg 10) 证券与期货 (许可及业务经营) 规定 (第 10 条)

RISK DISCLOSURE STATEMENT REQUIRED TO BE FURNISHED UNDER REGULATION 47 E (1) AND TO BE KEPT UNDER REGULATION 39 (2) (c) BY THE HOLDER OF A CAPITAL MARKETS SERVICES LICENCE TO TRADE IN FUTURES CONTRACTS OR LEVERAGED FOREIGN EXCHANGE CONTRACTS

根据第 47E(1) 条的规定，需向从事期货合同或杠杆外汇合同交易的资本市场服务许可证持有人提供风险披露声明，并由其根据第 39(2)(c) 条规定保管。

- This statement is provided to you in accordance with regulation 47E(1) of the Securities and Futures (Licensing and Conduct of Business) Regulations (Rg 10).  
本声明根据《证券与期货法》第 47E(1) 条提供。
- This statement does not disclose all the risks and other significant aspects of trading in futures, options and leveraged foreign exchange. In light of the risks, you should undertake such transactions only if you understand the nature of the contracts (and contractual relationships) into which you are entering and the extent of your exposure to the risks. Trading in futures, options and leveraged foreign exchange may not be suitable for many members of the public. You should carefully consider whether such trading is appropriate for you in the light of your experience, objectives, financial resources and other relevant circumstances. In considering whether to trade, you should be aware of the following:  
本声明无法披露期货、期权和杠杆外汇交易的全部风险及其他重要方面的信息。考虑到这些风险，您只应在理解您将缔结的合同性质（以及合同关系），以及您可能承受的风险程度之后进行交易。许多公众并不适合从事期货、期权和杠杆外汇交易。您应根据您的经验、目标、财务资源和其他相关情况仔细考虑此类交易是否适合您。就是否进行交易而言，您应当认识以下事项：

(a) Futures and Leveraged Foreign Exchange Trading 期货和杠杆外汇交易

(i) Effect of 'Leverage' or 'Gearing' "杠杆" 或 "传动" 作用

Transactions in futures and leveraged foreign exchange carry a high degree of risk. The amount of initial margin is small relative to the value of the futures contract or leveraged foreign exchange transaction so that the transaction is highly 'leveraged' or 'geared'. A relatively small market movement will have a proportionately larger impact on the funds you have deposited or will have to deposit; this may work against you as well as for you. You may sustain a total loss of the initial margin funds and any additional funds deposited with the firm to maintain your position. If the market moves against your position or margin levels are increased, you may be called upon to pay substantial additional funds on short notice in order to maintain your position. If you fail to comply with a request for additional funds within the specified time, your position may be liquidated at a loss and you will be liable for any resulting deficit in your account.

期货和杠杆外汇交易具有高度风险性。相对于期货合同或杠杆外汇交易的价值，起始保证金的金额很少，因此该交易高度依赖“杠杆作用”或“传动作用”。相对微小的市场活动将会对您在押或即将存入的资金造成较大的影响，这可能对您有利，亦可能对您不利。您可能损失全部起始保证金以及为维持仓位而在交易所存入的额外资金。如果市场向不利于您的仓位的发展趋势或保证金金额提高，您可能被临时要求支付大量额外资金以便维持您的仓位。如果您未能在指定时间内遵守额外资金的缴纳要求，您可能会被追平仓，并且您将对您的账户因此出现的任何亏欠承担责任。

(ii) Risk-Reducing Orders or Strategies 风险降低指令或策略

The placing of certain orders (e.g. 'stop-loss' orders, where permitted under local law, or 'stop-limit' orders) which are intended to limit losses to certain amounts may not be effective because market conditions may make it impossible to execute such orders. At times, it is also difficult or impossible to liquidate a position without incurring substantial losses. Strategies using combinations of positions, such as 'spread' and 'straddle' positions may be as risky as taking simple 'long' or 'short' positions.

下达旨在将损失限制于特定数额内的某些指令（如当地法律许可的“止损”指令或“止损限价”指令）不一定有效，因为市场条件可能导致此类指令无法执行。有时，很难或者不可能在不遭受重大损失的情况下平仓。使用头寸组合的策略，例如“跨价”头寸和“跨期套利”头寸可能与采用简单的“多头”或“空头”头寸具有同样的风险。

(b) Options 期权

(i) Variable Degree of Risk 风险程度变化

Transactions in options carry a high degree of risk. Purchasers and sellers of options should familiarise themselves with the type of options (i.e. put or call) which they contemplate trading and the associated risks. You should calculate the extent to which the value of the options would have to increase for your position to become profitable, taking into account the premium paid and all transaction costs. 期权交易具有高度风险性。期权的买方和卖方应了解其考虑进行交易的期权类型（如卖出或买入期权）和相关风险。您应计算您的仓位获利需要期权增加的价值，并将支付的期权费及所有交易费用考虑在内。



## RISK DISCLOSURE STATEMENTS 风险披露声明

The purchaser of options may offset its position by trading in the market or exercise the options or allow the options to expire. The exercise of an option results either in a cash settlement or in the purchaser acquiring or delivering the underlying interest. If the option is on a futures contract or leveraged foreign exchange transaction, the purchaser will have to acquire a futures or leveraged foreign exchange position, as the case may be, with associated liabilities for margin (see the section on Futures and Leveraged Foreign Exchange Trading above). If the purchased options expire worthless, you will suffer a total loss of your investment which will consist of the option premium paid plus transaction costs. If you are contemplating purchasing deep-out-of-the-money options, you should be aware that, ordinarily, the chance of such options becoming profitable is remote. 期权买方可通过市场交易、行使期权或允许期权失效以平仓。行使期权可导致现金结算或由买方取得或提供潜在权益。如果是期货合同或杠杆外汇交易期权，买方将必须获得期货或杠杆外汇头寸（视不同情况而定），以及相关的保证金责任（见上文期货和杠杆外汇交易部分）。如果您购买的期权到期而未能获利，您将损失全部投资，这包括已支付的期权价格和交易费用。如果您考虑购买深度虚值期权，您应了解这种期权通常很难获利。

Selling ('writing' or 'granting') an option generally entails considerably greater risk than purchasing options. Although the premium received by the seller is fixed, the seller may sustain a loss well in excess of the amount of premium received. The seller will be liable to deposit additional margin to maintain the position if the market moves unfavourably. The seller will also be exposed to the risk of the purchaser exercising the option and the seller will be obligated to either settle the option in cash or to acquire or deliver the underlying interest. If the option is on a futures contract or a leveraged foreign exchange transaction, the seller will acquire a futures or leveraged foreign exchange position, as the case may be, with associated liabilities for margin (see the section on Futures and Leveraged Foreign Exchange Trading above). If the option is 'covered' by the seller holding a corresponding position in the underlying futures contract, leveraged foreign exchange transaction or another option, the risk may be reduced. If the option is not covered, the risk of loss can be unlimited. 出售（“售出”或“授予”）期权一般要比购买期权承受更大的风险。尽管卖方收到的期权费是固定的，但卖方遭受的损失可能会超过其获得的权利金。如果市场向不利趋势发展，卖方将必须存放更多的保证金以维持仓位。卖方亦将承受买方行使期权的风险，而卖方将必须以现金结算期权，或取得或提供潜在权益。如果是期货合同或杠杆外汇交易期权，卖方将获得期货或杠杆外汇头寸（视不同情况而定），以及相关的保证金责任（见上文期货和杠杆外汇交易部分）。如果卖方持有原始期货合同、杠杆外汇交易或另一期权的相应仓位，则就所“包含”的期权而言，风险可能降低。如果期权未包含在内，则损失风险不可估量。

Certain exchanges in some jurisdictions permit deferred payment of the option premium, limiting the liability of the purchaser to margin payments not exceeding the amount of the premium. The purchaser is still subject to the risk of losing the premium and transaction costs. When the option is exercised or expires, the purchaser is responsible for any unpaid premium outstanding at that time. 某些司法辖区内的交易所允许延迟支付期权费，以限制买方对保证金的支付责任不超过期权费数额。买方可能仍需承受损失期权费和交易费用的风险。在期权被行使或到期后，由买方负责支付届时任何未付的期权费。

### (b) Additional Risks Common to Futures, Options and Leveraged Foreign Exchange Trading 期货、期权和杠杆外汇交易的其他共同风险

#### (i) Terms and Conditions of Contracts 合同的条款和条件

You should ask the corporation with which you conduct your transactions for the terms and conditions of the specific futures contract, option or leveraged foreign exchange transaction which you are trading and the associated obligations (e.g. the circumstances under which you may become obligated to make or take delivery of the underlying interest of a futures contract or a leveraged foreign exchange transaction and, in respect of options, expiration dates and restrictions on the time for exercise). Under certain circumstances, the specifications of outstanding contracts (including the exercise price of an option) may be modified by the exchange or clearing house to reflect changes in the underlying interest.

您应向执行交易的公司索取您所交易的具体期货合同、期权或杠杆外汇交易的条款和条件以及相关义务（例如在何种情况下您有义务交付或接收期货合同或杠杆外汇交易中的潜在权益，以及与期权相关的到期日和行权时间限制）。在特定情况下，交易所或结算所可能对某些未完成合同的条款（包括期权的行使价格）加以修改，以反映潜在权益的变化。

#### (ii) Suspension or Restriction of Trading and Pricing Relationships 交易暂停或限制和定价关系

Market conditions (e.g. illiquidity) or the operation of the rules of certain markets (e.g. the suspension of trading in any contract or contract month because of price limits or 'circuit breakers') may increase the risk of loss by making it difficult or impossible to effect transactions or liquidate/offset positions. If you have sold options, this may increase the risk of loss.

市场条件（如非流动性）或某些市场规则的实施（如因涨跌停板或“断路器”措施造成任何合同交易或合同月份的暂停）将造成难以或无法执行交易或平仓，从而可能增加损失的风险。如果您出售了期权，这可能增加损失风险。Further, normal pricing relationships between the underlying interest and the futures contract, and the underlying interest and the option may not exist. This can occur when, e.g., the futures contract underlying the option is subject to price limits while the option is not. The absence of an underlying reference price may make it difficult to judge 'fair' value.

此外，潜在权益和期货合同之间、潜在权益和期权之间的正常定价关系可能不复存在。例如，当包含期权的期货合同受到价格限制而期权不受此限时，即可能发生这种情况。在缺乏基本参考价格的情况下，很难判定何为“公平”价值。

#### (iii) Deposited Cash and Property 存放现金和资产

You should familiarise yourself with the protection accorded to any money or other property which you deposit for domestic and foreign transactions, particularly in a firm's insolvency or bankruptcy. The extent to which you may recover your money or property may be governed by specific legislation or local rules. In some jurisdictions, property which had been specifically identifiable as your own will be pro-rated in the same manner as cash for purposes of distribution in the event of a shortfall.

您应了解您用于国内和海外交易而存放的任何款项或其他资产所应获得的相应保障，特别是在证券公司倒闭或破产的情况下。您能够收回的款项或资产数额可能受到具体立法或地方法规的管辖。在某些司法辖区，在金额短缺的情况下，可认定专属于客户的资产将会如现金一样按比例分配给客户。

### (c) Commission and Other Charges 佣金和其他费用

Before you begin to trade, you should obtain a clear explanation of all commissions, fees and other charges for which you will be liable. These charges will affect your net profit (if any) or increase your loss.

在开始交易之前，您应获得有关您将需要支付的所有佣金、费用和其他收费的说明。这些费用将影响到您的可得净利润（如有）或增加您的损失。

### (d) Transactions in Other Jurisdictions 在其他辖区的交易

Transactions on markets in other jurisdictions, including markets formally linked to a domestic market, may expose you to additional risk. Such markets may be subject to a rule which may offer different or diminished investor protection. Before you trade, you should enquire about any rules relevant to your particular transactions. Your local regulatory authority will be unable to compel the enforcement of the rules of the regulatory authorities or markets in other jurisdictions where your transactions have been effected. You should ask the firm with which you conduct your transactions for details about the types of redress available in both your home jurisdiction and other relevant jurisdictions before you start to trade.

如果您在其他司法辖区内的市场（包括与本地市场有正规联系的市场）进行交易，您可能需要承担额外风险。此类市场可能采用对投资者提供不同或较低保障的规则。在您进行交易前，应先行查询与您特定交易相关的任何规则。本地监管机构将无法要求客户进行交易所属的其他司法辖区内的市场或监管机构执行有关规则。因此，在进行交易前，您应向您进行交易的公司查询本地司法辖区及其它相关司法辖区所提供的补偿类型及相关详情。

### (e) Currency Risks 货币风险

The profit or loss in transactions in foreign currency-denominated futures and options contracts (whether they are traded in your own or another jurisdiction) will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency. 如果在外汇期货和期权合同交易中，需要将合同货币转换成另一种货币，则交易的损益（不论是在本地司法辖区或另一司法辖区进行交易）将受到汇率波动的影响。

## RISK DISCLOSURE STATEMENTS 风险披露声明

(f) Trading Facilities 交易工具

Most open-outcry and electronic trading facilities are supported by computer-based component systems for the order-routing, execution, matching, registration or clearing of trades. As with all facilities and systems, they are vulnerable to temporary disruption or failure. Your ability to recover certain losses may be subject to limits on liability imposed by the one or more parties, namely the system provider, the market, the clearing house or member firms. Such limits may vary. You should ask the firm with which you conduct your transactions for details in this respect.

大多数公开期货交易市场和电子交易设施依靠电脑系统进行交易中的指令传送、执行、对盘、登记或结算。所有工具和系统均有可能出现暂时中断或故障。您获得的损失赔偿或会受到系统供应商、市场、结算所或成员公司等一方或多方的责任限制。有关限制可能不同。您应向您进行交易的公司查询有关详情。

(g) Electronic Trading 电子交易

Trading on an electronic trading system may differ not only from trading in an open-outcry market but also from trading on other electronic trading systems. If you undertake transactions on an electronic trading system, you will be exposed to risks associated with the system including the failure of hardware and software. The result of any system failure may be that your order is either not executed according to your instructions or not executed at all.

通过电子交易系统进行交易不仅与在公开期货市场不同，亦可能与其他电子交易系统不同。如果您通过电子交易系统进行交易，您须承担与该系统相关的风险，包括软硬件故障。系统故障可能导致您的指令无法根据您的指示执行，甚至完全不能执行。

(h) Off-Exchange Transactions 场外交易

In some jurisdictions, firms are permitted to effect off-exchange transactions. The firm with which you conduct your transactions may be acting as your counterparty to the transaction. It may be difficult or impossible to liquidate an existing position, to assess the value, to determine a fair price or to assess the exposure to risk. For these reasons, these transactions may involve increased risks. Off-exchange transactions may be less regulated or subject to a separate regulatory regime. Before you undertake such transactions, you should familiarize yourself with the applicable rules and attendant risks.

在某些司法辖区，公司可获准进行场外交易。为您进行交易的公司可能是您交易的对手方。在这种情况下，有可能难以或根本无法平掉现有仓位、估算价值、厘定公平价格或评估风险。基于这些原因，这些交易可能涉及更多风险。对场外交易的监管可能比较宽松，或遵循不同的监管体制。因此，在您进行此类交易前，应先了解适用的规则和相关风险。

*Note: "Margin" means an amount of money, securities, property or other collateral, representing a part of the value of the contract or agreement to be entered into, which is deposited by the buyer or the seller of a futures contract or in a leveraged foreign exchange transaction to ensure performance of the terms of the futures contract or leveraged foreign exchange transaction.*

注：“保证金”指一定数额的资金、有价证券、资产或其他担保物，代表所订立的合同或协议的一部分价值，由期货合同或杠杆外汇交易的卖方或买方存入以确期货合同或杠杆外汇交易条款的履行。

SFA Form 13 - Risk Disclosure Statement (Rev. 26 Nov 2010) SFA 表 13 — 风险披露声明 (2010年11月26日修订版)

### COMMODITY TRADING ACT (CHAPTER 48A) 商品交易法 (第48A章)

### COMMODITY TRADING REGULATIONS 商品交易规定

### RISK DISCLOSURE STATEMENT REQUIRED TO BE FURNISHED BY A COMMODITY BROKER OR SPOT COMMODITY BROKER

### 风险披露声明要求由商品经纪人或现货商品经纪人提供

1. This statement is provided to you in accordance with section 32 (1) of the Commodity Trading Act. 本声明根据商品交易法第32(1)条提供。
2. The intention of this statement is to inform you that the risk of loss in trading in commodity contracts and in spot commodity contracts can be substantial. You should therefore carefully consider whether such trading is suitable for you in light of your financial condition.  
本声明旨在告知您商品合同和现货商品合同交易具有极大风险。您因此应根据您的财务状况仔细考虑是否适合从事此类交易。
3. In considering whether to trade, you should be aware of the following: 对于是否进行交易，您应认识如下内容：
  - (a) Margin: You may sustain a total loss of the initial margin and any additional margins that you deposit to establish a position or maintain positions in the commodity market or spot commodity market. If the market moves against your positions, you may be called upon to deposit a substantial amount of additional margins, on short notice, in order to maintain your positions. If you do not provide the required margins within the prescribed time, your positions may be liquidated at a loss, and you will be liable for any resulting deficit in your account.  
保证金：您在商品市场或现货商品市场中建立或维持仓位而存放的初始保证金和任何附加的保证金可能会完全损失。如果市场向不利于您的仓位的趋势发展，您可能被临时要求存入大量的额外保证金，以便维持您的仓位。如果您未能在指定时间内支付所需的保证金，您可能被迫平仓，并且您将要对您的账户因此出现的任何亏欠承担责任。
  - (b) Liquidation of position: Under certain market conditions, you may find it difficult or impossible to liquidate a position.  
平仓：在特定市场条件下，可能难以或无法平仓。
  - (c) Contingent orders: Placing contingent orders, such as “stop-loss” or “stop-limit” order, will not necessarily limit your losses to the intended amounts, since market conditions may make it impossible to execute such orders.  
有条件式指令：下达有条件式指令（如“止损”指令或“止损限价”指令）不一定能够将损失限制在特定数额内，因为市场条件可能使得此类指令无法执行。
  - (d) “Spread” position: A “spread” position may not be less risky than a simple “long” or “short” position.  
“跨价”仓位：跨价仓位可能会与简单的“多头”和“空头”仓位具有同样的风险。
  - (e) Leverage: The high degree of leverage that is often obtainable, trading in commodity contracts and spot commodity trading because of the small margin requirements can work against you as well as for you. The use of leverage can lead to large losses as well as gains.  
杠杆作用：在商品合同交易和现货商品交易中经常可实现高度的杠杆效应，因为小额的保证金要求对您可有有利有弊。使用杠杆效应可能带来巨额损失也可能带来巨额利润。
  - (f) Foreign markets transactions: Funds placed with a commodity broker or spot commodity broker for the purpose of participating in foreign markets, such as \_\_\_\_\_ or \_\_\_\_\_ transactions, may not enjoy the same level of protection as funds placed in commodity markets located in Singapore.  
外国市场交易：为参与外国市场交易（如 \_\_\_\_\_ 或 \_\_\_\_\_）而存放在商品经纪商或现货商品经纪商处的资金，可能无法享有与存放于新加坡商品市场交易所的资金同等的保障。
4. This brief statement cannot disclose all the risks and other significant aspects of the commodity market or of the commodity futures market. You should therefore carefully study trading in commodity contracts and spot commodity trading before you trade.  
本简要声明无法披露商品市场的全部风险及其他重要方面的信息。您因此应在进行交易前仔细地研究商品合同交易和现货商品交易。

**RISK DISCLOSURE STATEMENTS 风险披露声明**

Note: "Margin" means an amount of money or collateral deposited by the buyer or the seller of a commodity contract or spot commodity contract to ensure performance of the terms of the contract. 注: "保证金"指商品合同或现货商品合同的买方或卖方为确保合同条款的履行而存放的一定数额的资金或担保物。

**CTA/CTR 2001 2nd Schedule Form 3 - Risk Disclosure 第二附件 表3 — 风险披露**

I/ We hereby acknowledge that I / we have received and understood the nature and contents of this Risk Disclosure Statements.  
我(们)在此确认我/我们已收到并了解此风险披露声明的内容与性质。

The original source of application form and agreements are in English language, versions of these in other languages are directly translated from the English version. In event of any disputes, the English version of the Application Form and agreements shall prevail.  
申请表和协议的中文版本系从英文版本直接翻译而来,如有任何争议,以英文版本为准。

_____ Name 姓名	_____ Title 职位	_____ Date 日期	_____ Signature 签名
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_____ Name 姓名	_____ Title 职位	_____ Date 日期	_____ Signature 签名
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_____ Name 姓名	_____ Title 职位	_____ Date 日期	_____ Signature 签名
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\_\_\_\_\_  
Company Stamp 公司盖章

\*should you need additional space, kindly provide attachment. 如果您需要额外空间,请提供附件。

\_\_\_\_\_  
Signature of Witness 见证人签名

\_\_\_\_\_  
Name of Witness 见证人姓名

\_\_\_\_\_  
NRIC/ Passport No. of Witness 见证人身份证/护照号码

\_\_\_\_\_  
Designation of Witness 见证人职衔

\_\_\_\_\_  
Date 日期