

附件 3. Trading Code Application Form for Overseas Institutional Client

Date of application:

Futures Firm or Overseas Broker	Holly Su Futures (Hongkong) Co., Ltd.				
Internal Funds Account	B023(+弘苏客户号)				
Principal-Agent Relations	Holly Futures Co., Ltd				
Trading Code Requested and Type	<input type="checkbox"/> SHFE <input type="checkbox"/> ZCE <input checked="" type="checkbox"/> DCE CFFEX <input type="checkbox"/> INE <input type="checkbox"/> Hedging <input type="checkbox"/> Arbitrage <input type="checkbox"/> Speculation				
Investor Classification	<input type="checkbox"/> Regular Investor <input type="checkbox"/> Professional Investor				
Client Information					
Name	Must be identical to the name shown on the business registration certificate (BRC)				
Business Registration Certificate No.	Must be identical to the number shown on BRC				
Local Tax ID Number	Same as BRC				
Country and Region	Foreign Country	Country	BRC issuing country	Province/State	Identical to BRC
		City	Identical to BRC; can be left blank if not applicable		
	Hong Kong, Macau, Taiwan	<input type="checkbox"/> Hong Kong <input type="checkbox"/> Macau <input type="checkbox"/> Taiwan			
Registered Capital	In the local currency and as indicated on relevant documentation		Term of Operation	As indicated on the BRC issued by the country where the institutional client is established	
Registered Address	The official registered address of the institutional client				
Scope of Business	Drop-down lists contain many available categories and sub-categories; multiple selections permitted. For example: Manufacturing – Food Production – Other Food Production Sectors – HFCS				
Organizational Form	<input type="checkbox"/> Company limited by shares <input type="checkbox"/> Limited partnership <input type="checkbox"/> General partnership <input type="checkbox"/> Other				
Investor Type	<input checked="" type="checkbox"/> General legal person: <input type="checkbox"/> Financial <input type="checkbox"/> Investment & Consulting <input type="checkbox"/> Real estate <input type="checkbox"/> Industrial				

	<input type="checkbox"/> Agricultural <input type="checkbox"/> Commerce <input type="checkbox"/> Conglomerate <input type="checkbox"/> Other		
Tel.	Formatted as <i>country code-region code-number</i> ; the region code should be “0” if a mobile number is given; multiple contact numbers can be delimited with comma (,).		
Fax	Fax number in use		
E-mail		Website	Can be left blank if not available
Contact Address		Postal Code	Should correspond to the contact address; can be left blank if not applicable
Board of Directors	<input type="checkbox"/> No <input type="checkbox"/> Yes		
Executive Director or Legal Representative			
Name	Must be identical to the name shown on valid ID	Date of Birth	Formatted as YYYY-MM-DD, e.g., 1956-07-20
Country and Region	ID issuing country or region	Province / State	Province/State indicated on ID
City	City indicated on valid ID (can be left blank if not applicable)	Postal Code	Can be left blank if not applicable
ID Number (fill out one only)	Passport		
	Permanent Residence Permit	Director or legal rep. with permanent resident status in China	
	Permanent Identity Card	Hong Kong and Macau director or legal rep.	
	Taiwan Compatriot Permit	Taiwan director or legal rep.	
Supporting ID Number (fill out at least one)	Passport	Only applicable to and mandatory for foreign director or legal rep. with permanent resident status in China	
	Driver's License		
	Local Tax Payer No.		
	Local Social Security No.		
	Local identity card (excluding Hong Kong and Macau)	Not available to Hong Kong and Macau director or legal rep.	
	Mainland Travel Permit (Hong Kong and Macau)	Only applicable to Hong Kong and Macau director or legal rep.	

	Other		
Futures Settlement Account			
Account Name	Account Number	Bank	Branch
Account name must be identical to the name given under the “Trader Information” section. Account must be opened under the trader’s own name. Multiple accounts may be registered here.	Corresponding account number	<input type="checkbox"/> ICBC <input type="checkbox"/> ABC <input type="checkbox"/> BOC <input type="checkbox"/> CCB <input type="checkbox"/> BOCOM <input type="checkbox"/> SPDB <input type="checkbox"/> Industrial Bank <input type="checkbox"/> HSBC <input type="checkbox"/> Everbright Bank <input type="checkbox"/> CMB <input type="checkbox"/> CITIC Bank <input type="checkbox"/> Minsheng Bank <input type="checkbox"/> Other Bank <input type="checkbox"/> Other 1	Branch at where the account is opened
Authorized Person for Account Opening			
Name	Must be identical to the name shown on the ID		
Country and Region	ID issuing country or region	Province / State	Province/State indicated on ID
City	City indicated on the ID (can be left blank if not available)	Postal Code	Can be left blank if not applicable
ID Type (select one only)	<input type="checkbox"/> Passport <input type="checkbox"/> Foreigner’s Permanent Residence Card <input type="checkbox"/> Local ID <input type="checkbox"/> Mainland Travel Permit for Taiwan Resident <input type="checkbox"/> Driver’s license <input type="checkbox"/> Local tax record <input type="checkbox"/> Local social security document <input type="checkbox"/> Mainland Travel Permit (HK and Macau) <input type="checkbox"/> Armed Forces Certificate <input type="checkbox"/> Police Officer Certificate <input type="checkbox"/> Soldier Certificate <input type="checkbox"/> Household Register <input type="checkbox"/> Taiwan Compatriot Travel Certificate <input type="checkbox"/> Home-Return Permit <input type="checkbox"/> Other	ID Number	Must be identical to the number shown on the ID
Tel.	Follow the instructions for “Tel.” under the “Client Information” section	E-mail	E-mail in use
Contact Address	Address in use		
Authorized Trader			
<input type="checkbox"/> Same as the “authorized person for account opening” (skip this section) <input type="checkbox"/> Different from the “authorized person for account opening” (fill out this section; refer to the section above for			

instructions)			
Name			
Country and Region		Province / State	
City		Postal Code	
ID Type (select one only)	<input type="checkbox"/> Passport <input type="checkbox"/> Foreigner's Permanent Residence Card <input type="checkbox"/> Local ID <input type="checkbox"/> Mainland Travel Permit for Taiwan Resident <input type="checkbox"/> Driver's license <input type="checkbox"/> Local tax record <input type="checkbox"/> Local social security document <input type="checkbox"/> Mainland Travel Permit (HK and Macau) <input type="checkbox"/> Armed Forces Certificate <input type="checkbox"/> Police Officer Certificate <input type="checkbox"/> Soldier Certificate <input type="checkbox"/> Household Register <input type="checkbox"/> Taiwan Compatriot Travel Certificate <input type="checkbox"/> Home-Return Permit <input type="checkbox"/> Other	ID Number	
Tel.		E-mail	
Contact Address			

Authorized Person for Fund Transfer

- Same as the "authorized person for account opening" (skip this section)
- Same as the "authorized trader" (skip this section)
- Different from both (fill out this section; refer to the "Authorized Person for Account Opening" section for instructions)

Name			
Country and Region		Province / State	
City		Postal Code	
ID Type (select one only)	<input type="checkbox"/> Passport <input type="checkbox"/> Foreigner's Permanent Residence Card <input type="checkbox"/> Local ID <input type="checkbox"/> Mainland Travel Permit for Taiwan Resident <input type="checkbox"/> Driver's license <input type="checkbox"/> Local tax record <input type="checkbox"/> Local social security document <input type="checkbox"/> Mainland Travel Permit (HK and Macau) <input type="checkbox"/> Armed Forces Certificate <input type="checkbox"/> Police Officer Certificate <input type="checkbox"/> Soldier Certificate <input type="checkbox"/> Household Register <input type="checkbox"/> Taiwan Compatriot Travel Certificate <input type="checkbox"/> Home-Return Permit <input type="checkbox"/> Other	ID Number	
Tel.		E-mail	
Contact Address			

Settlement Statement Verifier

- Same as the “authorized person for account opening” (skip this section)
- Same as the “authorized designated trader” (skip this section)
- Same as the “authorized person for fund transfer” (skip this section)
- Different from all three above (fill out this section; refer to the “Authorized Person for Account Opening” section for instructions)

Name			
Country and Region		Province / State	
City		Postal Code	
ID Type (select one only)	<input type="checkbox"/> Passport <input type="checkbox"/> Foreigner’s Permanent Residence Card <input type="checkbox"/> Local ID <input type="checkbox"/> Mainland Travel Permit for Taiwan Resident <input type="checkbox"/> Driver’s license <input type="checkbox"/> Local tax record <input type="checkbox"/> Local social security document <input type="checkbox"/> Mainland Travel Permit (HK and Macau) <input type="checkbox"/> Armed Forces Certificate <input type="checkbox"/> Police Officer Certificate <input type="checkbox"/> Soldier Certificate <input type="checkbox"/> Household Register <input type="checkbox"/> Taiwan Compatriot Travel Certificate <input type="checkbox"/> Home-Return Permit <input type="checkbox"/> Other	ID Number	
Tel.		E-mail	
Contract Address			
Add. Info from Exchange	<input type="checkbox"/> Futures firm creates account directly CFFEX: Client is registered with _____ (branch of futures firm) with branch code _____ ZCE: <input type="checkbox"/> Cotton <input type="checkbox"/> Sugar <input type="checkbox"/> Chemical <input type="checkbox"/> Grain <input type="checkbox"/> Edible oil <input type="checkbox"/> Coal <input type="checkbox"/> Building materials <input type="checkbox"/> Metallurgy <input type="checkbox"/> Other		

We, the undersigned, undertake to:

1. abide by the laws, regulations, and other applicable rules of the Chinese futures market;
2. provide legitimate and valid identity documents for the named entities and individuals to create an account under our company’s name and true identity for trading in China’s futures market;
3. provide true, accurate, and complete account opening materials (either pre-existing or filled out by our company), with name and identification number identical to those shown on identity documents; and
4. not apply for multiple accounts under different nationalities or identities either at this time or anytime in the future; promptly update our company’s account opening materials at the futures firm and overseas broker if the name or the number appearing on relevant valid identity document changes; and timely renew any expiring identity document.

We will assume all legal liabilities resulting from a breach of the above undertakings.

Overseas Client Signature (or Seal):

Date:

We have carefully reviewed the account opening materials of the above overseas trader, and find them to be true, legitimate, valid, and complete, and the information provided in the *Trading Code Application Form for Overseas Institutional Trader* is fully consistent with the information provided in said overseas trader's identity documents, account opening materials, and the Futures Brokerage Contract.

Official seal of futures firm / Signature of an executive director or the legal representative of overseas broker:

Date:

Notes:

1. Futures firm and overseas broker only need to upload the above information to the unified account opening system; paper application form need not be submitted.
2. When creating account for Taiwanese institutional traders, the futures firm and overseas broker should enter relevant information in simplified Chinese. When creating account for other institutional traders, futures firm and overseas broker should enter relevant information in English, and further provide, as part of the photocopy of the application form, the Chinese translation of the application, which translation is to be either stamped with the official seal of futures firm or affixed with the signature of an executive director or the legal representative of overseas broker.
3. English names should be entered in the format shown on the identifications. In particular, any space between English words should be entered as a half-width space; any symbol used to delimit or join words, including commas (,) and hyphens (-), should be entered in their half-width form without space before or after; names should not be separated with line breaks or paragraph breaks.
4. At SHFE, ZCE, and DCE, trading codes are classified into "hedging," "arbitrage," and "speculation," with the last being the default choice when applying for a new code. At INE, trading codes are classified into "hedging" and "general," defaulting to the latter. At CFFEX, trading codes are classified into "hedging," "arbitrage," and "speculation;" the applicant will need to make a selection on the application.
5. Overseas trader who opens account directly through a futures firm is only permitted to create futures settlement accounts at margin depository banks. This restriction on futures settlement account does not apply to overseas traders who open account (i) directly through an overseas broker; (ii) through a futures firm by way of an overseas broker; or (iii) through an overseas broker who trades directly on the exchange. If the overseas trader has created a futures settlement account at a bank other than a margin depository bank, it should select "Other 1" as its bank and provide the corresponding account details.
6. For the "additional information from exchange" box: (1) Futures firm opens account directly. This box should be filled by the futures firm that directly applies for a CFFEX trading code for the overseas trader. (2) ZCE. For applications for ZCE trading code, futures firms and overseas brokers should check the appropriate box based on the scope of business of the overseas trader.

附件 4:

关于交易者符合大连商品交易所特定品种 交易者适当性制度要求的证明

大连商品交易所：

兹证明（英文单位名称），商业登记证，（商业登记证号码全部数字）满足大连商品交易所特定品种交易者适当性制度中关于可用资金、知识测试及交易经历的要求，即：

- 一、客户申请交易编码前 5 个交易日每日结算后保证金账户可用资金余额均不低于人民币 10 万元或者等值外币；
- 二、客户具备期货基础知识，了解特定品种相关业务规则，已通过特定品种期货交易知识测试；
- 三、客户具备符合交易所要求的境内外期货交易经历。

开户经办人（签字）

开户机构（盖章）

日期