

CLIENT APPLICATION FORM

客户申请表



Please complete all information as accurately as possible in block capital letters with a black or blue pen or electronically.
 请使用黑色或蓝色水笔, 尽可能准确地以粗体正楷填写所有信息。

PART 1 | CLIENT DETAILS
第1部分 一般客户详细信息

Appointing Introducing Broker (if relevant)
 指定介绍经纪人(如相关): _____

First name (as shown on passport/ID) 名(与护照/身份证上相同): _____	Last name: 姓: _____
Date of birth 出生日期(日/月/年): / / DD/MM/YY	Tax Identification Number (TIN): No TIN 纳税识别号: 无纳税识别号:
City of birth 出生城市: _____	Country of birth 出生国家: _____
Nationality: 国籍: _____	Additional nationalities: 第二国籍: _____
Are you a US citizen? Yes No 您是美国公民吗? 是 否	Are you a US resident for tax purposes? Yes No 您是美国税收居民吗? 是 否

Current residential address / 邮寄地址: _____

City/Zip code / 城市/邮政编码: _____

State/Province / 州/省: _____ Country/ 国家: _____

Postal address (if different): 邮寄地址(如不同): _____

Mobile phone (Primary telephone number) / 常用手机号码: _____

Landline (Secondary telephone number is optional) / 备用电话号码(可选): _____

Account holder's email / 账户持有人的电子邮件: _____

Status of employment (current or any position held within the last year) / 职业, 目前和去年担任的任何职位(勾选所有相关选项):

Employed, public sector/ 国营企业职工
 Employed, private company/ 民营企业职工
 Self-employed/ 个体经营者
 Executive management/board, public sector/ 国营企业行政管理人员/董事会成员
 Unemployed/ 失业
 Student/ 学生
 Executive management/board, private company/ 民营企业行政管理人员/董事会成员
 Political office/ 行政机关

Name of current employer* / 当前雇主的名称*: _____

Position/title* / 职位/职衔*: _____

* Not relevant if you are a student, unemployed or retired / 如果您是学生、待业或已退休则无需填写。

CLIENT APPLICATION FORM

客户申请表



The company's nature of business is one of following / 公司的业务性质是下列哪一个选项::

- Antique / Art dealers / Auction houses / 古董、艺术品经销商/ 拍卖行
- Attorney at law / 律师
- Automotive / 汽车
- Catering / Restaurants / 餐饮/餐厅
- Cleaning services / 保洁服务
- Construction / Demolition / 建造/拆卸
- Digital currencies / 电子货币
- Gambling / Betting / 赌博/博彩
- Money remittance / Currency exchange providers / 汇兑/货币兑换商
- Non-profit / Charity / 非盈利组织/慈善机构
- Oil and gas exploration and production / 石油勘探开发
- Precious metals and stones / 贵金属与矿石
- Private military firms / 私营军事企业
- Real estate / 房地产
- None of the above / 其它

Are you a politically exposed person (PEP**)? 您是否是政治敏感人物?	Yes 是	No 否	Are you connected to a PEP? 您是否与政治敏感人物有联系?	Yes 是	No 否
--	----------	---------	---	----------	---------

DECLARATION FOR TAX PURPOSES - COMMON REPORTING STANDARD (CRS) / 纳税声明

Only complete this section if you are a tax resident to more/other countries than your country of residence as stated above.
Please complete the following table indicating (i) the countries, where you are tax resident, (ii) your Tax Identification Number (TIN) for each country indicated or (iii) if the country to which you are a tax resident does not issue a TIN number.
仅当您需要上述居住所在国家以外的更多/其他国家纳税时,才需要填写本部分。
请填写以下表格,指出(i)您需要纳税的国家,(ii)您在指出的各个国家的纳税识别号(TIN),或(iii)您需要纳税的国家是否签发纳税识别号。

Country of tax residence / 需纳税国家	Tax Identification Number (TIN) / 纳税识别号	No TIN available (x) / 无纳税识别号 (X)

** For further information regarding politically exposed persons, we refer to the Definitions and Explanations section of this form / 更多关于政治敏感人物的信息,请查阅定义和解释一章。

PART 2 | PROFILE AND SCOPE OF CLIENT RELATIONSHIP (ALL FIELDS ARE MANDATORY)

第2部分 客户关系的资料 and 范围 (所有字段均为必填项)

ANNUAL INCOME / 年收入

Salary after tax in Euro / 税后工资 (欧元)

0-50,000	150,001-200,000	750,001-1,000,000	3,000,001-4,000,000
50,001-100,000	200,001-500,000	1,000,001-2,000,000	4,000,001-5,000,000
100,001-150,000	500,001-750,000	2,000,001-3,000,000	> 5,000,000

Secondary source(s) of income, if applicable (in Euro) / 其他次要收入来源 (如适用)。

Dividends/interests from stocks/bonds etc
股票/债券等的股息/利息

Royalties / 版税

Dividends/interests from own company
自己公司的股息/利息

Others / 其他 _____

Total amount of Secondary source(s) of income after tax (in Euro) / 税后次要收入总额 (欧元)

0-50,000	150,001-200,000	750,001-1,000,000	3,000,001-4,000,000
50,001-100,000	200,001-500,000	1,000,001-2,000,000	4,000,001-5,000,000
100,001-150,000	500,001-750,000	2,000,001-3,000,000	> 5,000,000

TOTAL WEALTH / 财富总额

Primary source(s) of total wealth (in Euro) / 财富总额的主要来源

Savings from salary/pension / 工资/养老金储蓄

Inheritance / 遗产

Trading profit / 交易利润

Profit from selling own company / 出售自己公司所获得的利润

Royalties / 版税

Other / 其他 _____

Choice of account currency / 账户货币的选择: _____

INVESTABLE ASSETS (EUR) / 可投资资产 (欧元)

Value of cash & securities / 现金和证券价值

< 5,000	100,001-200,000	500,001-750,000	2,000,001-3,000,000
5,001-10,000	200,001-300,000	750,001-1,000,000	3,000,001-4,000,000
10,001-50,000	300,001-400,000	1,000,001-1,500,000	4,000,001-5,000,000
50,001-100,000	400,001-500,000	1,500,001-2,000,000	> 5,000,000

How much do you intend to invest with Saxo Bank? (in Euro) / 您计划在盛宝银行投资的金额是多少?

< 5,000	100,001-200,000	500,001-750,000	2,000,001-3,000,000
5,001-10,000	200,001-300,000	750,001-1,000,000	3,000,001-4,000,000
10,001-50,000	300,001-400,000	1,000,001-1,500,000	4,000,001-5,000,000
50,001-100,000	400,001-500,000	1,500,001-2,000,000	> 5,000,000

PART 3 | RISK DISCLOSURE (MANDATORY)
第3部分 | 风险披露(强制)

In order to comply with EU regulations, i.e. the MiFID directive, Saxo Bank provides you with the Risk Disclosure statement on complex products below. 为了遵守欧盟法规(例如MiFID指令), 盛宝银行向您提供以下有关复杂产品的风险披露声明。

INFORMATION ABOUT THE CHARACTERISTICS OF CERTAIN COMPLEX PRODUCTS AND THE RISKS ASSOCIATED WITH THEM
有关某些复杂产品的特征及其相关风险的信息

Below is an overall description of the characteristics of certain complex products and their markets and of the risks associated with these products. Further information is available on the last pages of the General Business Terms of Saxo Bank A/S and on www.saxobank.com under the section Education.

以下是对某些复杂产品的特征及其市场, 以及这些产品相关风险的整体描述。进一步信息载于盛宝银行普通商业条款的最后几页, 以及www.saxobank.com 网站的“盛宝学堂”部分。

Trading in financial products always involves a risk. As a general rule, you should therefore only trade in financial products if you understand the products and the risks associated with them.

金融产品的交易始终涉及风险。按照一般规则, 您应该仅交易已熟知产品本身及其相关风险的金融产品。

FOREIGN EXCHANGE TRADING (FOREX) / 外汇交易(Forex)

When trading in foreign exchange, the investor speculates in the development of the price of one currency relative to another, where one is sold and the other is purchased. By way of example, an investor may sell British pounds (GBP) against the US dollar (USD) if he expects that the USD will increase relative to the GBP.

当进行外汇交易时, 投资者需要推断一种货币相对另一种货币的价格走势, 其中一种货币被卖出, 另一种货币被买入。例如, 如果投资者预计美元(USD)兑英镑(GBP)将升值, 即可卖出英镑而买入美元。

Foreign exchange is traded as a margin product, which means that you can invest more money than is available in your account by borrowing money from Saxo Bank. Foreign exchange may be traded as FX Spot, FX Forward or FX Options. FX Spot is the purchase of one currency against the sale of another for immediate delivery. FX Forward and FX Options transactions are settled on an agreed date in the future at prices which are agreed on the date of the transaction. FX Forward trading involves an obligation to make the transaction at the agreed price on the settlement date. A purchaser of FX Options has a right to make a transaction in the underlying FX Spot currency pair on the expiry date if the price is more favourable than the market price at this time. On the other hand, a seller of options has an obligation to enter into a transaction with the purchaser (Saxo Bank) on the settlement date if requested by the purchaser. Purchased options therefore involve a limited risk in the form of premium which is payable when the contract is made, while options that have been sold involve an unlimited risk in the form of changes to the price of the underlying FX Spot currency pair.

外汇交易是保证金产品交易, 这意味着您可以向盛宝银行借入资金, 以高于账户资金的金额进行投资。外汇交易有外汇即期、外汇远期或外汇期权三种形式。外汇即期系指买入一种货币的同时卖出另一种货币, 交易完成后即时交割。外汇远期和外汇期权交易则按照交易当日议定的日期和价格, 在以后交割。外汇远期涉及按议定价格在交割日期完成交易的义务。如果议定价格比到期日的市场价格更有利, 则外汇期权的买方有权在到期日进行标的外汇即期货币对的交易。换言之, 如果买方要求, 则期权卖方有义务于交割日与买方(盛宝银行)进行交易。因此, 购买的期权涉及期权费形式的有限风险, 期权费在订立合约时支付, 而已经售出的期权则涉及标的外汇即期货币对价格变动的无限风险。

The currency exchange market is the world's largest financial market with 24 hour trading all working days. It is characterised, among other things, by a relatively low profit margin compared to other products. A high profit is therefore subject to a large trading volume, which is achieved for instance by margin trading as described above. When trading in foreign exchange, a gain net of costs, such as commission and spread, realised by one market player will always be offset by another player's loss. Foreign exchange transactions are always made with Saxo Bank as counterparty this implies that any position opened with Saxo Bank can only be closed with Saxo Bank. Overall, OTC transactions may involve greater risk compared to for example trading in securities like shares due to the fact that in OTC transactions there is no central counterparty and either party to the transaction bears certain credit risk and risk of default on the other party. Saxo Bank quotes prices on the basis of the prices that can be obtained in the market. However, this does not necessarily mean that your gain or loss is offset by a loss or gain on the part of Saxo Bank as Saxo Bank seeks to hedge its risks with other counterparties.

外汇交易市场是全球最大的金融市场, 全天候24小时进行交易。与其他产品相比, 它的特征就是(其中包括)利润率相对较低。因此, 要获得丰厚的利润就需要有较大的成交量, 例如, 可以通过上述的保证金交易来实现。当进行外汇交易时, 一个市场参与者实现的扣除成本(如佣金和价差)收益, 始终会由另一个参与者的亏损来抵销。外汇交易的开展始终以盛宝银行作为对手方, 这意味着在盛宝银行建立的任何头寸仅可在盛宝银行结清。整体而言, 由于场外交易没有中心对手方, 且交易的任何一方均承担特定的信用风险以及另一方违约的风险, 与股票等证券交易相比, 场外交易可能涉及更大的风险。盛宝银行根据可从市场获得的价格进行报价。然而, 这并不意味着您的收益或亏损由盛宝银行方的亏损或收益来抵销, 因为盛宝银行会寻求与其他对手方对冲其风险。

PART 3 | RISK DISCLOSURE (MANDATORY)
第3部分 | 风险披露 (强制)

As foreign exchange is margin traded, allowing you to take a larger position than you would otherwise be able to based on your funds with Saxo Bank, a relatively small negative or positive market movement can have a disproportionately significant effect on your investment. This can be both advantageous and disadvantageous to you. This makes the potential gain quite high, even if the deposit is relatively small, but also a significant loss if the trade goes against you. If your total exposure on margin trades exceeds your deposit, you risk losing more than your deposit.

由于外汇交易是一种保证金交易,允许您买入比您在盛宝银行的账户拥有的资金更大的头寸,因此相对较小的有利或不利的市场波动,就会对您的投资带来较大的影响。这可以是有利或不利的。这令潜在的收益十分巨大,即使存款数额相对较小,但若交易与您背道而驰,也会带来重大的损失。如果您的保证金交易的敞口总额超过您的存款,则可能面临亏损远超存款的风险。

CFDS / CFD

A CFD - or Contract for Difference - is speculation in changes in values. The product allows you to speculate in future increases or decreases in the value of a specific asset, amongst others, forex, precious metals, indexes and shares however it should be noted that no physical delivery of the underlying asset will occur. If your speculations prove to be correct, you will make a profit from the difference in value (less costs), but you will have to pay the difference in value (plus costs) if your speculations turn out to be wrong. Being tied to an underlying asset, the value of a CFD depends on that asset. CFDs are always margin traded (see the above paragraph on foreign exchange transactions). CFDs are traded with Saxo Bank as the counterparty this implies that any position opened with Saxo Bank can only be closed with Saxo Bank.

Overall, OTC transactions may involve greater risk compared to for example exchange traded products like shares due to the fact that in OTC transactions there is no central counterparty and either party to the transaction bears certain credit risk and risk of default on the other party. However, the price always moves with the price of the underlying product, which is in most cases traded on a regulated market. The price and liquidity of CFDs on individual shares mirror the price and liquidity of the share on the market in which the share is admitted for trading, whereas, for instance, index CFDs are over-the counter (OTC) products with a price fixed by Saxo Bank on the basis of the price and liquidity of the underlying shares, the futures market, estimated future dividends, the effects of interest rates, etc.

CFD (差价合约) 是对价值变动的一种投机。利用该产品,您可以推断特定资产(尤其是外汇、贵金属、指数和股份)未来价值的增加或减少。然而,应注意,并没有发生标的资产的实质交割。如果您的推断被证明是正确的,则可以从价值差价中获利(扣除成本),如果您的推断错误,则必须支付价值差价(包括成本)。CFD与标准标的资产捆绑在一起,其价值取决于资产。CFD仅以保证金方式交易(参见上述外汇交易部分)。CFD交易以盛宝银行作为对手方,这意味着在盛宝银行建立的任何头寸仅可在盛宝银行结清。整体来说,由于场外交易没有中心对手方,且交易的任何一方均承担特定的信用风险以及另一方违约的风险,与股票等交易所交易产品相比,场外交易可能涉及更大的风险。然而,价格始终随标的资产的价格而波动,而标的资产大多数情况下是在受监管市场进行交易的。个别股份CFD的价格和流动性,反映在该股份获准进行交易的市场上该股份的价格和流动性,而如果指数CFD是一种场外交易(OTC)产品,价格则由盛宝银行根据标的股份的价格和流动性、期货市场、预计未来股息、利率影响等来制定。

As CFDs are margin traded, allowing you to take a larger position than you would otherwise be able to based on your funds with Saxo Bank, a relatively small negative or positive movement in the underlying instrument can have a significant effect on your investment over a very short period of time. CFD trading therefore involves a relatively high level of risk. This makes the potential gain quite high, even if the deposit is relatively small. If your total exposure on margin trades exceeds your deposit, you risk losing more than your deposit.

由于CFD以保证金方式交易,允许您买入比您在盛宝银行的账户拥有的资金更大的头寸,相对较小的有利或不利的市场波动,就会对您的投资带来不成比例的较大影响。因此,CFD交易的风险相对较高。这令潜在的收益十分巨大,即使存款数额相对较小。如果您的保证金交易的敞口总额超过您的存款,则可能面临亏损远超存款的风险。

FUTURES / 期货

Futures trading involves speculating on the price of a specific underlying asset going up or down in the future. A future gives the holder a standardised obligation to either buy or sell the underlying asset at a specified price at a certain date in the future. The underlying asset may, for instance, be raw materials, agricultural produce or financial products. Depending on the nature of the future, the asset either has to be settled for the price difference or by actual delivery at the settlement date however it should be noted that no physical delivery of the underlying asset will occur. Futures are always traded on margin (see "Foreign exchange trading" above). Futures are always traded in a regulated market, either by direct trading in the stock exchanges' trading systems, or by reporting of transactions.

期货交易涉及推测特定标的资产的价格在未来是上涨还是下跌。期货赋予持有人一种标准化义务,即在未来的特定日期,按指定价格买入或卖出标的资产。例如,标的资产可以是原材料、农产品或金融产品。根据期货的性质,资产必须在交割日按照价差或实物交割,然而,应注意,并没有发生标的资产的实质交割。期货仅以保证金方式交易(参见上述“外汇交易”)。期货始终在受监管的市场进行交易,可在证券交易所的交易系统中直接交易,或通过交易报告进行交易。

As futures are margin traded, allowing you to take a larger position than you would otherwise be able to based on your funds with Saxo Bank, a relatively small negative or positive market movement can have a significant effect on your investment. Futures trading therefore involves a relatively high degree of risk. This makes the potential gain quite high, even if the deposit is relatively small, but also a significant loss if the trade goes against you. If your total exposure on margin trades exceeds your deposit, you risk losing more than your deposit

由于期货以保证金方式交易,允许您买入比您在盛宝银行的账户拥有的资金更大的头寸,因此标的工具相对较小的有利或不利的市场波动,就会对您的投资带来较大的影响。因此,期货交易的风险相对较高。这令潜在的收益十分巨大,即使存款数额相对较小。但若交易与您背道而驰,也会带来重大的损失。如果您的保证金交易的敞口总额超过您的存款,则可能面临亏损远超存款的风险。

LISTED OPTIONS / 交易所期权

Option trading is highly speculative and is not suitable for all investors due to the risks involved. Buyers and sellers of listed options should familiarize themselves with the type of option (i.e. put or call, bought or sold) they intend to trade and the associated risks. Listed options are traded with Saxo Bank as counterparty to the trades this implies that any position opened with Saxo Bank can only be closed with Saxo Bank.

期权交易具有很高的投机性,且由于面临较高的风险,并不适合所有投资者。交易所期权的买方和卖方都应熟悉其想要交易的期权类型(如看跌或看涨、买入或卖出)及相关风险。交易所期权是以盛宝银行作为对手方进行交易的。这说明,在盛宝银行建立的任何头寸仅可在盛宝银行结清。

A listed option gives you the right or the obligation to either buy or sell a specified amount or value of a particular underlying asset at a fixed exercise price, by the option being exercised either before or on its specified expiration date. A listed option which gives you the right to buy or the obligation to sell is a call option and a listed option that gives you the right to sell or the obligation to buy is a put option.

交易所期权给予您在指定到期日或之前,按照固定行使价买入或卖出指定金额的特定标的资产的权利和义务。给予您买入权利或卖出义务的交易所期权是看涨期权,给予您卖出权利或买入义务的交易所期权是看跌期权。

A listed option that is in the money on expiry will always be exercised.
到期时成为价内期权的交易所期权将可以行使。

Trading listed options involves a high level of risk. Listed options that gives you the right to either sell or buy an underlying asset (bought listed options) might expire worthless and your initial investment (i.e. premium and transaction costs) will be lost. Listed options that gives you the obligation to either sell or buy an underlying asset (sold listed options) can result in substantial (potentially unlimited) losses. To assure you will be able to cover losses on sold listed options Saxo Bank will require margin charges. Nonetheless, potential losses can exceed the margin charged and you will be liable for these losses.

交易交易所期权面临高度风险。给予您买入或卖出标的资产(买入交易所期权)权利的交易所期权到期时可能一钱不值,而您的初始投资(即期权费和交易成本)将亏损。给予您卖出或买入标的资产(卖出交易所期权)权利的交易所期权可能导致重大(可能无限)亏损。为确保您能够弥补卖出交易所期权的亏损,盛宝银行将要求提供保证金。尽管如此,潜在亏损仍可能超过收取的保证金,而您将需要承担这些亏损。

If your total exposure on margin trades exceeds your deposit, you risk losing more than your deposit. If the underlying asset of a listed option is a margin traded product (i.e. a derivative), and if the listed option is being exercised by the buyer, then the buyer (in case of a call option) or the seller (in case of a put option) of the listed option will will acquire a position in the underlying margin traded product with associated risks as well as liabilities to provide margin.

如果您的保证金交易的敞口总额超过您的存款,则可能面临亏损远超存款的风险。如果交易所期权的标的资产是一种保证金交易产品(即衍生产品),且如果交易所期权是由买方行使,则交易所期权的买方(如果是看涨期权)或卖方(如果是看跌期权)将获得标的保证金交易产品的头寸,包括相关风险以及提供保证金的责任。

Before trading listed options, you should carefully read the manual on listed options available on www.home.saxo

交易交易所期权之前,您应该仔细阅读本行网站上的交易所期权手册: www.home.saxo

PART 4 | CLIENT DECLARATION
第4部分 客户分类

I CONFIRM: 本人进一步确认:

That the information provided by me and inserted in this form is correct and that I acknowledge that I shall be obliged to inform Saxo Bank immediately in case of any changes to this information;

本人提供的及填入本表的信息是准确的,且本人确认,如果此信息有任何变动,本人有义务立即通知盛宝银行;

That the investment amount has been chosen by me taking my total financial circumstances into consideration and is by me considered reasonable under such circumstances;

本人选定的投资额已考虑本人的整体财务情况,且是在此情况下本人认为是合理的;

To have received satisfactory answers to all my questions regarding the terms, conditions and other issues relating to the relevant products.

已收到对本人提出的关于相关产品的条款、条件及其他问题的满意答复。

I ACKNOWLEDGE AND COONSENT TO PERSONAL INFORMATION* SUBMITTED BY ME TO SAXO BANK:

本人确认并同意,本人提交给盛宝银行的个人信息*:

May be shared with any Introducing Broker for the purpose of completing the due diligence and approving my application in case I have appointed such Introducing Broker.

在本人已指定介绍经纪人的情况下,可就完成尽职调查和批准本人申请的目的,与任何该等介绍经纪人分享。

May be used to undertake a search with a third party authentication service provider for the purposes of verifying my identity. To do so the third party authentication service provider may check the details I supply against any particulars on any database (public or otherwise) to which they have access. They may also use my details in the future to assist other companies for verification purposes. A record of the search will be retained.

可用于为验证本人身份而对第三方认证服务提供商进行搜索。为此,第三方认证服务提供商可根据其查阅的任何资料库(公开或其他形式)中的任何详细信息,与本人提供的详细信息核对。他们亦可使用本人的详细信息在未来协助其他公司进行验证。需要保留搜索记录。

May be disclosed to other companies within the Saxo Bank Group***. Some companies of the Saxo Bank Group are located in countries where data protection laws may not provide an equivalent level of protection to the laws of Denmark.

本人在注册成为盛宝银行客户之时或随后提交的或以其他方式为盛宝银行拥有的本人的个人信息(包括本人的姓名、身份证号、地址等)以及客户信息(包括账户信息、项目、投资等),可向盛宝银行集团***内部的其他公司披露。盛宝银行集团*部分公司所在国家的数据保护法可能无法提供与丹麦法律相同水平的保护。

The information may be disclosed for the purposes of meeting regulatory requirements (incl. in pursuance of the Danish Act on Measures to Prevent Money Laundering), but also for conducting risk management, providing and executing investment advice, investment services, assistance with client inquiries and for general administration purposes, in order for Saxo Bank A/S to offer its 24/7 service to the client.

您的个人信息可出于以下目的对外披露:根据监管要求(包括履行丹麦的反洗钱措施法案)、执行风险管理、提供和执行盛宝银行集团*提供的投资建议、投资服务、协助回答您的咨询或出于一般管理措施的目的,以便盛宝银行向您提供7天24小时的服务。

* for further information, please go to the Definitions and Explanation section.

更多信息,请查阅定义和解释一章。

***The Saxo Bank Group is currently comprised of the companies listed on our website / 盛宝银行集团目前由在我们网站上列明的公司组成: www.home.saxo

PART 4 | CLIENT DECLARATION

第4部分 客户分类

I DECLARE BY MY SIGNATURE / 本人声明本人签名即表示:

- (A) To understand and accept that the relationship between Saxo Bank and me, any order, instruction and Contract and this Client Application Form are governed by and interpreted in accordance with Danish law as the sole and exclusive governing law.
(A) 已经理解并接受盛宝银行与本人之间的法律关系、任何订单、指令、合约, 以及本客户申请表均由丹麦法律专属管辖并依其解释。
- (B) To understand and accept that the Maritime & Commercial Court of Copenhagen shall have exclusive jurisdiction to settle any disputes which may arise in connection with (i) the relationship between Saxo Bank and me/us, (ii) the General Business Terms including any order and Contract and (iii) this Client Application Form. However, Saxo Bank reserves the right to commence proceedings in any competent court and jurisdiction that it may find suitable, including, but not limited to, jurisdictions in which I am a citizen or resident and jurisdictions in which I possesses assets.
(B) 已经理解并接受哥本哈根海事和商业法院对下列原因引起或与其有关的任何争议拥有专属管辖权: (i) 盛宝银行与本人的法律关系, (ii) 普通商业条款, 包括任何订单和合约, 以及 (iii) 本客户申请表。但是前述规定并不影响盛宝银行向其认为适当的任何有权法院或司法辖区提起法律程序的权利, 其中包括但不限于本人国籍地或居住地的司法辖区和本人资产所在地的司法辖区。
- (C) To understand and accept that this part 4, litra (A)-(C) shall survive any termination of the relationship between Saxo Bank and me.
(C) 已经理解并接受本文第4部分的(A)-(C)条款会在盛宝银行与本人的法律关系终止后继续有效。
- (D) To have read, understood and agreed to the General Business Terms¹ (including the Risk Disclosure Statement), the Business Terms for International Transfer of Funds, Terms of Use, Market Conduct Information, the Commissions, Charges & Margin Schedule and all of their contents;
(D) 已阅读、了解并同意普通商业条款² (包括风险披露声明)、国际资金转移业务条款、使用条款、市场行为规则, 佣金、收费及保证金附件以及所有其他内容;
- (E) To understand and accept that the General Business Terms (including the Risk Disclosure Statement), the Business Terms for International Transfer of Funds, Market Conduct Information, the Commissions, Charges & Margin Schedule as well as the Conflict of Interest Policy and the Order Execution Policy and any other relevant terms and conditions (as amended from time to time) apply to my entire trading relationship with Saxo Bank;
(E) 了解并接受普通商业条款 (包括风险披露声明)、国际资金转移业务条款、使用条款、市场行为规则, 佣金、收费及保证金附件以及利益冲突政策和订单执行政策, 以及适用于本人与盛宝银行所有交易关系的任何其他相关条款和条件 (经不时修订);
- (F) To have received, read and understood the product information material relating to the relevant products. Further, I have been informed of and accept that the product information material can be found on Saxo Bank's website at all times.
(F) 已收到、阅读并了解与相关产品相关的产品信息材料;
- (G) That Saxo Bank will not sent me Key Information Documents ("KID") in paper form, however relevant KIDs will be available online via the trading platform prior to trading, that in the event of a Stop-out of my positions I will not receive KIDs prior to execution of my positions and that I may always contact Saxo Bank to receive KIDs in a paper format.
For further information see: <https://www.home.saxo/legal/key-information-documents/kid>
(G) 盛宝银行不会向本人提供纸质版本的重要信息文件 (Key Information Documents), 但相关文件可以通过交易平台在交易前在线获得。在止损离场的情形下, 本人不会事先收到重要信息文件, 但本人总是可以通过联系盛宝银行以获得重要信息文件的纸质版本。
更多详情请点击: <https://www.home.saxo/legal/key-information-documents/kid>

MARKETING CONSENT / 同意市场营销:

I hereby agree to and acknowledge that companies in the Saxo Bank Group may provide me with marketing material regarding investments and related services, including new products and services offered by the Saxo Bank Group, and newsletters, market updates and investment opportunities by e-mail, sms, regular mail or telephone.

本人在此同意并确认, 盛宝银行集团的旗下公司可通过电子邮件、短信、平信或电话的方式, 向我提供与投资和 Related 服务 (包括盛宝银行集团提供的全新产品和服务) 有关的营销材料, 以及新闻通讯、市场最新资讯和投资商机等资料。

MANDATORY / 必填项:

I hereby declare that I have read and understood the Risk Disclosure statement on complex products.

本人特此声明, 本人已经了解有关复杂产品的风险披露声明。

Date / 日期: _____

Signature / 签名: _____

Please note that all information supplied is kept confidential in accordance with the Danish Financial Services Act.

请注意, 提供的所有信息都会根据《丹麦金融服务法》予以保密。

1 <https://www.home.saxo/legal/general-business-terms/saxo-general-business-terms>

2 <https://cn.saxobank.com/legal/general-business-terms/saxo-general-business-terms>

DEFINITIONS AND EXPLANATIONS / 定义和解释

CLIENT CLASSIFICATION / 客户分类:

In accordance with the MiFID Directive, Saxo Bank is under an obligation to segment and classify the bank's clients into three categories: Retail, Professional and Eligible Counterparty.

All clients will, as a point of departure, be classified as Retail Clients, in order to grant them the highest level of regulatory protection. However, if you feel that this initial classification does not reflect your current level of knowledge and experience in certain (or the entire range of) investment and hedge products, you may select another classification in the Account - MiFID - Status Window on SaxoTreasurer or by contacting your Account Manager.

根据《欧盟金融工具市场法规》(MiFID)指令,盛宝银行必须将其客户划分为三类:零售、机构和合格对手方。所有客户都将(作为起点)被归类为零售客户,以给予他们最高水准的监管保护。尽管如此,如果您认为此初始分类未能反映您对于某类(或所有)投资产品的知识和经验,您可以通过我们交易平台中的“客户资料屏幕”,或通过联系我们的客户经理,选择另外一种分类。

DOCUMENTATION / 文件留档:

To comply with anti-money laundering regulations as well as to comply with tax legislation, Saxo Bank is required by law to obtain the following documentation. Saxo Bank also reserves the right to request further documentation at any time during the approval process. To obtain the most up to date requirements for your country please contact us at +45 39 77 40 01 or please visit Account FAQs on www.home.saxo.

为遵守反洗钱法规,盛宝银行需要依法获得以下文件。盛宝银行还保留在审批过程中随时要求提供进一步文件的权利。如需了解有关您所在国家的最新规定,请通过以下方式联系我们:致电 +45 39 77 40 01 或访问我们的网站 www.home.saxo 查阅“账户常见问题”。

PROOF OF IDENTITY / 身份证明	PROOF OF RESIDENTIAL ADDRESS / 居住地址证明
<p>Types of acceptable documents / 可接受文件的类型:</p> <ul style="list-style-type: none"> ■ Valid Passport (Identification & signature page required) ■ Valid Driver's License ■ Valid National Identity Card <p>■ 有效护照(必须包含身份证明页和签字页)</p> <p>■ 有效驾驶证</p> <p>■ 有效身份证</p> <p>Identity documents must be current and valid, issued by official government authority and include:</p> <p>身份证明文件必须是最新且有效的,由政府机关签发,并包括:</p> <ul style="list-style-type: none"> ■ Full name ■ Unique personal identification number ■ Date and place of birth ■ Clear visible picture which identifies the person ■ Signature <ul style="list-style-type: none"> ■ 全名 ■ 唯一的身份证件号码 ■ 出生日期和出生地 ■ 可确认当事人的清晰照片 ■ 签名 	<p>This document must be valid and include the current residential address of the holder and be issued by an official government authority.</p> <p>此文件必须有效,且包括持有人的当前居住地址,并由政府机关签发。</p> <p>Types of acceptable documents / 可接受文件的类型:</p> <ul style="list-style-type: none"> ■ Valid National Identity Card ■ Valid Government issued insurance or medical card ■ Tax Statement (issued within the last 6 months) <ul style="list-style-type: none"> ■ 有效身份证 ■ 政府签发的有效保险或医疗卡 ■ 税单(最近6个月内签发的)

INFORMATION ON THE GUARANTEE FUND:

Information sheet on the Guarantee Fund - Basic information about the coverage of deposits / 信息表 - 关于存款担保的基本信息:

Saxo Bank is covered by the Guarantee Fund. According to the Executive Order on the Guarantee Fund's coverage of depositors and investors, it is required that new customers are provided with the following information.

盛宝银行由 THE GUARANTEE FUND 提供保证支持。

根据 THE GUARANTEE FUND 针对存款人和投资人保证行为的行政命令规定, 必须向新客户提供以下信息。

Deposits in Saxo Bank A/S are covered by / 盛宝银行存款担保方:	The Guarantee Fund / 投资者保护基金
Limit of coverage / 担保限额:	EUR 100,000 per depositor per institution / 100,000 欧元/存款人/机构
If you have several deposits with the same institution: 如果您在同一机构拥有多项存款:	Cash: All your deposits with the same institution are added together, and the total is subject to the limit of EUR 100,000 / 现金: 您在同一机构所有存款的累加总额, 但上限为 100,000 欧元 Securities: In general, securities will be returned independently of the bankruptcy of an institution. If the institution cannot return the securities, the Guarantee Fund covers losses up to the equivalent of EUR 20,000 per investor. 证券: 一般而言, 机构的破产不影响投资者赎回证券。但如果投资者无法从破产的机构处赎回其所有的证券, 则可从投资者保护基金中获得相当于两万欧元的等值赔偿。
If you have a joint account with one or more other persons: 如果您与一个或多个其他主体拥有共同账户:	The EUR 100,000 limit applies to each individual depositor 100,000 欧元的限额适用于每一位存款人
Repayment period if the institution is not able to meet its obligations: 如机构无法履行义务, 则还款期限为:	7 working days 7 个工作日
Repayment currency / 还款货币:	Euro / 欧元
Contact / 联系方式:	The Guarantee Fund (Garantiformuen) Sankt Annæ Plads 13, 2. tv. 1250 Copenhagen K Telephone / 电话号码 (+45) 33 14 62 45 Email / 电子邮件: gii@gii.dk
Further information / 更多信息, 请访问:	gii@gii.dk

MARKETING CONSENT / 同意市场营销

Please be informed that the marketing consent can be revoked at any time by using the unsubscribe function in our e-mails or by sending an e-mail to your Account Executive or by creating a case in the support portal.

请注意市场营销的同意可随时通过在我们的邮件中点击取消订阅的功能键的方式撤销或者可向您的账户经理写信或在我们的服务支持中登记撤销。

PERSONAL INFORMATION / 个人信息

Personal Information is any information related to an identified or identifiable person including but not limited to name, personal identification number, address etc. as well as account information, entries, investments etc. submitted when registering as a client or later.

个人信息指任何用于识别个人的信息包括但不限于姓名、身份证明号码、地址等以及账户信息、登录、投资等在注册成为客户或之后提交的信息。

GENERAL PRIVACY POLICY / 一般隐私政策

Click [here](#) for information about the Saxo Bank Group's personal data policy.

点击此处获取盛宝银行集团关于个人信息保护政策的相关信息: <https://cn.saxobank.com/legal/privacy-policy/saxo-privacy-policy>

POLITICALLY EXPOSED PERSON (PEP) / 政治敏感人物 (PEP)

Politically Exposed Person (PEP) means a natural person who is or who has been entrusted with prominent public functions and includes the following:

政治敏感人物 (PEP) 是指现正或曾经承担过重要公务职能的自然人, 具体包括:

- A. Heads of State, heads of government, ministers and deputy or assistant ministers;
国家首脑、政府首脑、部长、副部长或部长助理;
- B. Members of parliament or of similar legislative bodies;
议会议员或同等立法机关的组成人员;
- C. Members of the governing bodies of political parties;
政党领导机关的组成人员;
- D. Members of supreme courts, of constitutional courts or of other high-level judicial bodies, the decisions of which are not subject to further appeal, except in exceptional circumstances;
最高法院、宪法法院以及所作裁判结果无需另行上诉审查(但特殊情况下除外)的其他高等司法机关的组成人员;
- E. Members of courts of auditors or of the boards of central banks;
审计院或中央银行委员会的组成人员;
- F. Ambassadors, chargés d'affaires and high-ranking officers in the armed forces;
大使、代理大使以及军队高级官员;
- G. Members of the administrative, management or supervisory bodies of State-owned enterprises;
国有企业行政、管理或监管部门的组成人员;
- H. Directors, deputy directors and members of the board or equivalent function of an international organisation.
国际组织的理事、副理事、委员会组成人员或承担类似职能的其他人员。

No public function referred to in points A.to H. shall be understood as covering middle-ranking or more junior officials.
上述第 (a) 至第 (h) 项的公职人员, 均不包括中层或级别更低的官员

CONNECTED TO A POLITICALLY EXPOSED PERSON (PEP) MEANS FAMILY MEMBERS AND CLOSE ASSOCIATES

政治敏感人物 (PEP) 的关联人员是指家庭成员和密切接触者

Family members' includes the following / 家庭成员"范围如下:

- A. The spouse, or a person considered to be equivalent to a spouse, of a politically exposed person;
政治敏感人物的配偶, 或被视为与政治敏感人物存有配偶关系的人员;
- B. The children and their spouses, or persons considered to be equivalent to a spouse, of a politically exposed person;
政治敏感人物的儿女以及儿女的配偶, 或被视为与政治敏感人物子女存有配偶关系的人员;
- C. The parents of a politically exposed person;
政治敏感人物的父母;

Persons known to be close associates' means / "密切接触者"的范围包括:

- A. Natural persons who are known to have joint beneficial ownership of legal entities or legal arrangements, or any other close business relations, with a politically exposed person;
与政治敏感人物就法律实体或法律安排事项拥有共同实益所有权, 或者任何存有其他密切商业关系的自然人;
- B. Natural persons who have sole beneficial ownership of a legal entity or legal arrangement which is known to have been set up or the de facto benefit of a politically exposed person.
就任何法律实体或法律安排事项拥有单一实益所有权, 但该相关法律实体或法律安排事项是为政治敏感人物的实际利益而专门设立的自然人。