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| **开户申请表(特殊单位及其分户管理资产申请期货、股票期权开户适用）** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 分户管理资产名称（如有产品备案函，则填写产品备案函中全称）：\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  资金账号：期货\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ 股票期权\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ 证券现货\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  合同编号：期货\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ 股票期权\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ 证券现货\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **一、申请账户类型** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **账户分类** | | | | □期货 □股票期权 □证券现货 □其他\_\_\_\_\_\_\_\_ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **期货交易编码** | | | | □上海期货交易所 □大连商品交易所 □郑州商品交易所 □广州期货交易所 □上海国际能源交易中心  □中国金融期货交易所（□交易 □套保 □套利 ） □其他\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **期货交易者适当性品种** | | | | 中国金融期货交易所（□股指期货 □国债期货 □股指期权）  上海国际能源交易中心（特定品种期货【□原油 □非原油】 □特定品种期权-原油）  上海期货交易所 （□商品期权）  大连商品交易所 （□商品期权 □特定品种期货 ）  郑州商品交易所 （□商品期权 □特定品种期货）  广州期货交易所 （□商品期权 □特定品种期货）  指定品种：\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **证券账户** | | | | □沪A股东账号 □深A股东账号 *（默认普通深A，非专用深A）*  *（如使用已有深A，请填上）* | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **衍生品合约账户** | | | | □上海证券交易所 □深圳证券交易所*（默认普通账户，特殊业务需使用专用深A账户申请）* | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **二、客户基本资料** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **特殊单位客户名称***（管理人全称）* | | | | | | | | | | | | |  | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **特殊单位客户及其分户管理资产类型***（投资者类型）* | | | | | | □ 证券公司  □ 自营 □ 集合资产管理计划 □单一资产管理计划  □证券投资基金  □ 封闭式基金 □ 开放式基金（不包括ETF） □ 保本基金 □ETF □债券基金（短期理财债券基金除外）  □场内对冲业务  □场外期权 □收益互换 □收益凭证  □ 基金公司  □ 证券投资基金  □ 封闭式基金 □ 开放式基金（不包括ETF） □ 保本基金 □ ETF □ 债券基金（短期理财债券基金除外）  □ 私募资产管理计划  □单一资产管理计划 □集合资产管理计划  □ 信托公司  □ 信托公司单一信托产品 □ 信托公司集合信托产品  □ 保险公司  □ 保险资产组合  □ 证券投资基金  □ 封闭式基金 □ 开放式基金（不包括ETF） □ 保本基金 □ ETF □ 债券基金（短期理财债券基金除外）  □ 合格境外机构投资者  □ 人民币合格境外机构投资者  □ 私募基金管理机构  □ 私募证券投资基金 □ 私募股权投资基金 □ 私募创业投资基金 □ 私募商品基金 □ 其他  □ 期货公司  □ 私募资产管理计划（□期货类 □综合类）  □ 单一资产管理计划 □ 集合资产管理计划  □ 期货公司资产管理子公司（□期货类 □综合类）  □ 私募资产管理计划  □ 单一资产管理计划 □ 集合资产管理计划  □ 期货公司风险管理子公司  □ 合作套保  □ 场外衍生品业务  □“保险+期货”类业务 □ 与商业银行开展的场外衍生品业务 □场内对冲业务  □ 做市机构  □ 基本养老保险基金  □ 企业年金、职业年金基金  □ 养老金产品 □ 证券投资组合  □ 银行  □ 商业银行 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 交易编码对应名称 | | | | | |  | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 附加码 | | | | | |  | | | | | | | | | | | | | | | | | | | | | | 账户规模  *（单位万元）* | | | | | | | | | | | |  | | | | | | | | | | | MOM产品资产单元 | | | | | | | | □是□否 | | | | | | |
| 投资品种 | | | | | |  | | | | | | | | | | | | | 投资比例  *（%）* | | | | | | | | | | | | | | |  | | | | | | | | | | | | 存续期 | | | | | 年 月 日至 年 月 日 | | | | | | | | | | | | | | |
| 分户管理资产对应的现货账户 | | 沪市股东卡：  深市股东卡： | | | | | | | | | | | | | | | | | | | | | | | 许可证编号  *（仅QFII/RQFII填写）* | | | | | | | | | | | | | | | | |  | | | | | | 许可证有效期  *（仅QFII/RQFII填写）* | | | | | | | | | | | | | |  | | | |
| 分户管理资产注册地址  *（仅QFII/RQFII为具体基金申请交易编码时填写）* | | | | | | | | | | | | | | | | | | | | | | |  | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **联系人** | | | | | | 姓名 | | | | | | | |  | | | | | | | | | | | | | | | 证件类型 | | | | | | | | | |  | | | | | | | | | | | | 证件号码 | | |  | | | | | | | | | | | |
| 固定电话  *（格式：区号-电话）* | | | | | | | | | | | | | | | | | |  | | | | | | | | | | | | | | | 手机 | | | | | |  | | | | | | | | | Email | | | | | |  | | | | | |
| **分户管理资产负责人** | | | | | | 姓名 | | | |  | | | | | | | | 证件类型 | | | | | | | | | | |  | | | | | | | | 证件号码 | | | | | | |  | | | | | | | | | | | | 联系电话 | | | | | | | |  | |
| **基金经理1** | | | | | | 姓名 | | | |  | | | | | | | | 证件类型 | | | | | | | | | | |  | | | | | | | | 证件号码 | | | | | | |  | | | | | | | | | | | | 联系电话 | | | | | | | |  | |
| 联系地址 | | | | |  | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **基金经理2** | | | | | | 姓名 | | |  | | | | | | | | 证件类型 | | | | | | | | | |  | | | | | | | | | 证件号码 | | | | | | | |  | | | | | | | | | | | | | 联系电话 | | | | | |  | | |
| 联系地址 | | | | | |  | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **投资顾问** | | | | | | 姓名或名称 | | | | | | | | |  | | | | | | | | | | | | | | | | | | | | | | | | | | | | | 联系电话 | | | | | |  | | | | | | | | | | | | | | | |
| 证件类型 | | | | | | | | |  | | | | | | | | | | | | | | | | | | | | | | | | | | | | | 证件号码 | | | | | |  | | | | | | | | | | | | | | | |
| 联系地址 | | | | | | | | |  | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **份额25%（含）以上的持有人信息（份额持有人为自然人或一般单位，可填多个）** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 姓名或名称 | | | |  | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | 国家及地区 | | | | | | | | | |  | | | | | 证件类型 | | | | | | | | | | | |  | | | | |
| 证件号码 | | | |  | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | 持有份额  *（占比）* | | | | | | | | | |  | | | | | 持有份额  *（金额，单位：万）* | | | | | | | | | | | |  | | | | |
| **份额25%（含）以上的持有人信息（份额持有人为自然人或一般单位）** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 姓名或名称 | | | |  | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | 国家及地区 | | | | | | | | | |  | | | | | 证件类型 | | | | | | | | | | | |  | | | | |
| 证件号码 | | | |  | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | 持有份额  *（占比）* | | | | | | | | | |  | | | | | 持有份额  *（金额，单位：万）* | | | | | | | | | | | |  | | | | |
| **份额25%（含）以上的持有人信息（份额持有人为产品，可填多个）** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 产品管理机构名称 | | | | | | |  | | | | | | | | | | | | | | | | | | | | | | | | | 国家及地区 | | | | | | | | | | |  | | | | | | | | 产品注册地 | | | |  | | | | | | | | | | |
| 统一社会信用代码或机构成立证明文件号码 | | | | | | |  | | | | | | | | | | | | | | | | | | | | | | | | 产品名称 | | | | | | | | | | | |  | | | | | | | | | | | | | | | | | | | | | | |
| 产品编码 | | | | | | |  | | | | | | | | 产品规模  *（币种，单位：万）* | | | | | | | | | | |  | | | | | | | | | | | | 持有份额  *（占比）* | | | | | | | | |  | | | | | | 持有份额  *（金额，单位：万）* | | | | | | | | | | | |  |
| **注：**  **1、份额持有人为产品的，应按照上述信息要求继续填写该产品的份额25%（含）以上的持有人信息，以此类推，直至持有人为自然人、一般单位或不存在份额25%（含）以上持有人的产品为止,此处可根据实际情况增减表格数量、调整表格层级关系，以完整反映客户的份额持有人情况。**  **2、本单位承诺以上填写内容发生变更时将及时以书面方式通知贵公司。** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **受益所有人信息** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 受益所有人识别标准（请按实际情况依次判定，并在□前打“√”） | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| □公司 | | | | | | | | □直接或间接拥有超过25%（含）公司股权或是表决权的自然人  □通过人事、财务等其他方式进行控制的自然人  □高级管理人员 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| □合伙企业 | | | | | | | | □拥有超过25%（含）合伙权益的自然人 □通过人事、财务等其他方式进行控制的自然人 □高级管理人员  □普通合伙人或合伙事务执行人 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| □信托 | | | | | | | | □信托的委托人、受托人、受益人 □其他对信托实施最终有效控制、最终享有信托权益的自然人 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| □基金 | | | | | | | | □拥有超过25%（含）权益份额的自然人 □基金经理或直接操作管理基金的自然人 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| □境外企业 | | | | | | | | 公司型企业： □直接或间接拥有超过25%（含，注册地为高风险国家或地区按照10%标准）公司股权或是表决权的自然人 □通过人事、财务等其他方式进行控制的自然人 □公司董事会和高级管理人员 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 合伙企业：  □拥有超过25%（含，注册地为高风险国家或地区按照10%标准）合伙权益的自然人 □通过人事、财务等其他方式进行控制的自然人 □高级管理人员 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| □其它 | | | | | | | | □个体工商户经营者 □个人独资企业实际出资人 □不具备法人资格的专业服务机构的负责人 □经营农林渔牧产业的非公司制农民专业合作组织的负责人 □受政府控制的企事业单位法定代表人 □集体所有制企业厂长（经理）  □其他 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **受益所有人身份基本信息** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 姓名 | 证件类型 | | | | 证件号码 | | | | | | | | | | | 证件有效期  *（开始日期-*  *截止日期）* | | | | | | | | | | | | | | 地址（省/直辖市/自治区”、“市/县”、“区”及详细地址） | | | | | | | | | | | | | | | | | | | 持股数量或表决权占比*（%）* | | | | | | | | | 自然人身份类别是否为普通自然人 | | | | | | | |
|  |  | | | |  | | | | | | | | | | |  | | | | | | | | | | | | | |  | | | | | | | | | | | | | | | | | | |  | | | | | | | | | □是  □否\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | | | | | |
|  |  | | | |  | | | | | | | | | | |  | | | | | | | | | | | | | |  | | | | | | | | | | | | | | | | | | |  | | | | | | | | | □是  □否\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | | | | | |
|  |  | | | |  | | | | | | | | | | |  | | | | | | | | | | | | | |  | | | | | | | | | | | | | | | | | | |  | | | | | | | | | □是  □否\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | | | | | |
| 注：1、若超过表格所列，请按照上述格式提供全部人员信息清单。  2、持股数量或表决权占比：是指受益所有人实际持有的非自然人客户的股权比例（填写百分比，最多保留四位小数），在受益所有人判定方式为股权、表决权或权益份额时填写。  3、非普通自然人包括政治公众人士、国际组织高级管理人员及其特定关系人。特定关系人包括政治公众人士、国际组织高级管理人的家庭成员及关系密切人员。  **本机构承诺除上述受益所有人外，不存在其他直接或间接拥有超过25%（含，注册地为高风险国家或地区企业为10%标准）股权、控制权或权益份额，或通过人事、账务等方式对公司进行控制的自然人。** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **三、结算账户** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **开户银行** | | | | | **账户户名** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | **网点名称** | | | | | | | | | | **银行账号** | | | | | | | | **业务名称** | | | | | | | | | | | | | |
| \_\_\_\_\_\_\_\_\_\_\_\_\_银行 | | | | |  | | | | | | | | | | | | | | | | | | | | | | | | | | | | |  | | | | | | | | | |  | | | | | | | | □期货 □证券 | | | | | | | | | | | | | |
| \_\_\_\_\_\_\_\_\_\_\_\_\_银行 | | | | |  | | | | | | | | | | | | | | | | | | | | | | | | | | | | |  | | | | | | | | | |  | | | | | | | | □期货 □证券 | | | | | | | | | | | | | |
| \_\_\_\_\_\_\_\_\_\_\_\_\_银行 | | | | |  | | | | | | | | | | | | | | | | | | | | | | | | | | | | |  | | | | | | | | | |  | | | | | | | | □期货 □证券 | | | | | | | | | | | | | |
| **四、托（保）管人信息（□同结算账户信息，勾选后下述相应的栏目可以略过不填）** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 托（保）管人名称 | | | | |  | | | | | | | | | | | | | | | | | | | | | | | | | | | | 托（保）管户开户银行 | | | | | | | | | | | | | | | | | |  | | | | | | | | | | | | | | |
| 银行账号 | | | | |  | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **声明：以上为本机构登记的用于期货交易、证券交易、期权交易出入金的投资者银行结算账户，本人/本机构在期货公司的出入金均通过以上账户办理。** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **五、各类费用（交易成本）** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **业务类型** | | | **费用明细** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | **费用标准** | | | | | | | | | | | | | | | | **备注** | | | | | | | | | | | | | | |
| 期货 | | | 交易及交割手续费 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | 交易所手续费基础上加【 】 | | | | | | | | | | | | | | | |  | | | | | | | | | | | | | | |
| 申报费 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | 按照交易所规定收取 | | | | | | | | | | | | | | | |
| 期货期权 | | | 交易及行权（履约）手续费 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | 交易所手续费基础上加【 】 | | | | | | | | | | | | | | | |
| 股票期权 | | | 交易佣金 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | 每张合约\_\_\_\_\_\_\_\_\_\_\_元，双边收取。 | | | | | | | | | | | | | | | |
| 行权佣金 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | 每张合约\_\_\_\_\_\_\_\_\_\_\_元，单边收取。 | | | | | | | | | | | | | | | |
| 证券现货 | | | 交易佣金 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | 成交金额的【 】 | | | | | | | | | | | | | | | |
| （1）本表约定的期货手续费包含了期货交易所收取的手续费，期货交易所收费标准以交易所通告为准，其中申报费是指交易所可以根据下单数量、撤单数量等按照相关标准计收的费用；本表约定的证券和股票期权交易佣金，为全佣金形式，包含经手费和交易结算费，交易经手费和结算及交收服务收费按照交易所和中国结算最新公布的标准执行。（2）期货交易投资者保障基金按照不高于中国证券监督管理委员会相关规定以及每年期货公司分类监管结果收取，本表中期货交易手续费不包含投资者保障基金；（3）中信期货根据金融行业营业税改增值税有关政策的规定按比例收取总手续费（手续费指本表“费用明细”中所列各项费用，下同）的增值税，本表中手续费已包含增值税；（4）遇期货、证券交易所交易规则变化及新品种上市，中信期货有权根据期货、证券交易规则变化等情况单方变更手续费标准，中信期货将按照期货、证券和股票期权合同约定的一种或多种通知方式通知客户相关手续费标准，生效时间以中信期货通知为准，如客户未在规定时间内提出答复或异议，视为客户同意接受甲方通知的手续费标准；（5）如未通过本表约定交割手续费加收比例或加收绝对值，则交割手续费加收比例或加收绝对值标准默认同交易手续费；（6）如因客观情况变化或中信期货政策调整，中信期货可低于双方约定标准优惠收取手续费，优惠期由中信期货决定，优惠期结束后，中信期货可恢复手续费收取标准至不高于双方约定的标准。 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **六、客户归属及产品情况说明** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 期货业务 | | | | | 客户归属部门 | | | | | | | | | | | | | | | | |  | | | | | | | | | | | | | | | | | | | 客户经理 | | | | | | | | | |  | | | | | | | | | | | | | | |
| 证券公司*（如有）* | | | | | | | | | | | | | | | | |  | | | | | | | | | | | | | | | | | | | 证券营业部*（如有）* | | | | | | | | | |  | | | | | | | | | | | | | | |
| 股票期权业务 | | | | | 客户归属部门 | | | | | | | | | | | | | | | | |  | | | | | | | | | | | | | | | | | | | 客户经理 | | | | | | | | | |  | | | | | | | | | | | | | | |
| 产品主要销售单位 | | | | | 中信证券（ ） | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 其他：\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*（请列出）* | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **七、客户声明** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 【仅期货开户需填写此项声明】请问贵单位是否知晓交易所关于实际控制关系账户、程序化交易、异常交易、大户报告的规则并承诺合法合规交易，同时若存在实际控制关系账户或程序化交易情况的，将会主动履行报备义务？ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | □是 □否 | | | | | | | | | | | | | | |
| 【仅期货开户需填写此项声明】请问是否存在贵单位对其他期货账户或其他期货账户持有人对贵单位的期货账户具有管理、使用、收益或者处分等权限，从而对贵单位或其他期货账户持有人交易决策拥有决定权的行为或事实？ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | □否  □是*（需要根据交易所要求进行实际控制关系申报）* | | | | | | | | | | | | | | |
| 请问贵单位是否为您账户的实际控制人？ | | | | | | | | | | | | | | | | | | | | □是 □否,请注明实际控制人信息：  名称：\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_证件类型：\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_证件有效期：\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_证件号码：\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_与实际控制人的关系：\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 请问贵单位是否为您账户交易的实际受益人？ | | | | | | | | | | | | | | | | | | | | | □是 □否,请注明交易实际受益人信息：  名称：\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_证件类型：\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_证件有效期：\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_证件号码：\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_与实际受益人的关系：\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 本分户管理资产开立的期货、证券、股票期权账户是否会使用配资资金进行金融投资？ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | □否 □是 | | | | | | | | | | | | | | |
| 本分户管理资产开立的期货、证券、股票期权账户投入金融投资的资金来源是什么？*（可多选）* | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | □募集资金 □投资收益 □信贷资金、财政资金 □经营收入  □其他*（请详细描述）* | | | | | | | | | | | | | | |
| 本分户管理资产开立的期货、证券、股票期权账户从事金融投资的主要动机是？*（可多选）* | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | □保值，抵御通货膨胀  □为了实现财富稳健增长  □为了实现财富迅速增长  □尝试各种投资工具  □其他*（请详细描述）* | | | | | | | | | | | | | | |
| 本分户管理资产开立的期货、证券、股票期权账户从事投资交易的主要目的和性质是？*（可多选）* | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | □投机 □套保 □套利 □财富管理 □其他 | | | | | | | | | | | | | | |
| 本分户管理资产开立的期货、证券、股票期权账户的投资品种是？*（可多选）* | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | □期货、期权 □资管产品 □其他 | | | | | | | | | | | | | | |
| 本单位有能力承担期货交易、证券交易、股票期权而产生的风险，承诺遵守交易所及中国证券登记结算有限责任公司的各项业务规则，自愿承担上述交易结果。本单位保证资金来源的合法性和所提供资料的真实性，承诺不使用配资资金进行期货交易、证券交易、股票期权交易。本单位承诺严格遵守交易所关于实际控制关系账户、程序化交易、异常交易、大户报告的规则并且合法合规交易。同时承诺若存在实际控制关系账户或程序化交易情况的，将会主动履行报备义务，否则自行承担相关责任。已知晓期货公司的资金风险通知方式为：T日结算后账户资金风险通过中国期货市场监控中心、手机短信进行通知；T日结算后账户无资金风险，T+1日盘中出现资金风险的通过系统通知、手机短信或录音电话等方式进行通知。  本单位已阅读并完全理解风险揭示/说明书、《客户须知》、《期货经纪合同》、《股票期权经纪合同》及证券交易相关协议等开户文件的全部内容，同意并自愿遵守上述文件中所约定的所有条款内容。 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **机构户公章：**  **法定代表人/负责人或授权代表签章：**  **签署日期： 年 月 日** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **八、期货公司/IB营业部签署栏** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **期货公司/IB营业部经办人签字：\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**  **期货公司业务部门/期货公司分支机构/IB营业部负责人签字：\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

**选择，打叉或“/”表示不选择。**