



## MANAGED ACCOUNT AUTHORIZATION 管理帐户授权書

The undersigned hereby authorizes \_\_\_\_\_ as the undersigned's agent and attorney-in-fact (the "Agent"), with the authority to enter into contracts for the purchase, receipt, sale (including short sales) and delivery of, whether directly or indirectly through investments in managed investment products or otherwise, foreign currency contracts, options on foreign currency contracts, and other such forward contracts and options thereon, securities, equity, debt and related investments (collectively "Contracts" ) on margin or otherwise, in one or more of my accounts ("Account") with MB Trading Futures, Inc ("MBTF").

特此在以下签字的批准 \_\_\_\_\_ 于末端合同作为签名的代理和庭外 ("代理人")以参予的当局合同为购买、收据、销售(包括卖空)和交付，直接或间接地通过投资在被管理的投资产品或其他方面，無論外币合同，外币选择權合同和其他同样期货契约和选择，证券、产权、债务和相关投资(共同"契約")，在MB Trading Futures，公司("MBTF")与我一个或一个以上的帐户("帐户")。

In all such transactions, as well as management decisions relating to the Account, MBTF is hereby authorized to follow the instructions of the Agent; the Agent is authorized to act on behalf of the undersigned in the same manner and with the same force and effect as the undersigned might or could with respect to such transactions, the making and taking of deliveries and with respect to all other things necessary or incidental to the furtherance and/or conduct of the Account. MBTF shall have no liability for following the instructions of the Agent, and the undersigned shall never attempt to hold MBTF liable for the Agent's actions or inactions. The undersigned understands that MBTF does not, by implication or otherwise, endorse the operating methods of such Agent. The undersigned hereby releases MBTF from any and all liability to the undersigned or to anyone claiming through the undersigned with respect to damage, losses or lost profits sustained or alleged to have been sustained as a result of MBTF following the Agent's instructions or for any matter arising out of the relationship between the Agent and the undersigned and shall indemnify MBTF from any and all losses, damages, liabilities and expenses, of any kind or nature whatsoever, arising therefrom. The undersigned agrees to hold MBTF harmless and to indemnify it as to any expense, damage or liability sustained by it with respect to any and all acts and practices of the Agent and attorney-in-fact regarding this account, including all losses arising therefrom and debit balance(s) due thereof.

在所有這一類交易，管理決策與帳戶相關，MBTF特此被批准遵守代理的指示；當代理人如在下面簽字及被批准擁有相同力量及效力以利益為前提的交易，對帳所有人傳達，及尊重其他必要或偶發事件。MBTF將不會有責任遵守代理人的指示，並且於末端的簽名，MBTF對代理人的一切行為不負任何責任。特此在以下签字的批准MBTF的豁免權對有通過簽名於末端的任何人宣稱要求關於承受代理人的指示所受的損傷、損失或者失去的利潤，並且保障MBTF從任意損失，損傷、責任和費用，任何任意種類及型式。簽名於末端同意對MBTF無害，並且保障它至於所有費用，因此損傷或責任承受由它任意行動並且真實的實踐關於這個帳戶的代理人和律師，包括所有損失的出現和從帳上借方餘額交付。

This authorization is a continuing one and shall remain in full force and effect until revoked by the undersigned, or an authorized person on their behalf, by written notice given to MBTF, Attention: Compliance Department. Such revocation shall become effective only upon the actual receipt thereof by MBTF, but shall not affect any liability in any way resulting from transactions initiated prior to their receipt. This authorization shall inure to the benefit of MBTF, its successors and assigns. The provisions hereof shall be in addition to and in no way shall it limit or restrict any right that MBTF may have under any agreement with the undersigned. In addition, MBTF is further authorized and directed to deduct from the undersigned's account and pay the Agent the amount of all management fees, incentive fees, advisory fees and/or brokerage commissions to be paid to the Agent upon MBTF'S receipt of invoices from the Agent. The undersigned understands that the Agent is solely responsible for the calculation of such fees and commissions and that MBTF has no responsibility or obligation to determine or verify the amount or accuracy of such fees and commissions. The undersigned hereby agrees to indemnify and

hold harmless MBTF and its affiliates and employees from any loss, damage or dispute arising out of or relating to the calculation and payment of such fees and commissions

這授權是一持續而有力量效力,直到由簽名於末端或者一個授權人取消此授權書,並書面通知給MBTF,注意:責任部門。廢止在任何情況下將僅有效在開始收到收據之後因此由MBTF,但不會影響任何責任起因於在他們的收據之前被創始的交易。這授權將生效對MBTF,它的後繼者有利并且分配。

供應除之外和絕不它於此限制或者制約MBTF也許根據與簽名於末端的任何協議應有的所有權利。另外,MBTF進一步被批准并且從簽名於末端的帳戶扣除並支付代理人應被支付的一定數量所有管理費、獎勵費、顧問費。依據在MBTF的收據。

簽名於末端瞭解代理人單獨地負責對演算的費用及佣金,并且MBTF沒有責任或義務確定或核實數額或準確性的這樣費用及佣金。特此在下面簽字的同意保障和MBTF和它的會員及雇員從產生損傷或者爭執的這樣費用及在佣金相關或與演算和付款的所有損失。

All statements, notices, correspondence and the like generated in this account shall be sent or given to the Agent at the address shown for this account and to the undersigned at the address indicated in the Customer's Account documents, or to such other person or address as the undersigned may hereafter designate in writing.

所有聲明,通知,在這個帳戶等引起的書信將被送或被提供代理在為這個帳戶顯示的地址和簽名於末端在地址被表明在客戶帳戶文件,或者到作為簽名於末尾在文字也許此後選定的這樣其他人或地址。

In addition, the undersigned has provided MBTF with a copy of any disclosure document, managed account agreement, or other such materials executed by and between Agent and the undersigned that concern the Agent's advice in regards to the Account.

另外,簽名於末端提供MBTF以關於帳戶有關代理的忠告所有透露文件、管理帳戶協議,或其他這樣的資料的拷貝被執行在代理和簽名於末端之間。

## **Section I: Information to complete by account holder**

### **第 I 部分：账户持有人填写内容**

1. What is your relationship to the Account Manager? \_\_\_\_\_  
您和账户经理是什么关系？
2. How do you hear about your account Manager? \_\_\_\_\_  
您如何从账户经理获取消息？
3. What is your compensation to your account manager? (**Please select ONE of the following**)  
您向账户经理提供的报酬是什么？（请在下面选择一项）

Commissions: \$ \_\_\_\_\_ (USD) per Standard 100k USD currency traded (Mark-up is **in addition** to the base commission of \$2.95 per 100K USD currency Traded), **OR**

佣金:\$ \_\_\_\_\_(USD)(美元)每单边标准交易十万USD(美金)額外加收标注。  
基本的佣金為\$2.95每单边标准交易十万USD(美金), 或

Incentive Fee's: \_\_\_\_\_% of net profits (Paid **Monthly** based on net profits per month, the difference between new net equity highs and previous highs excluding deposits / withdrawals), **OR**

奖励费：净利润的 \_\_\_\_\_%（根据每月净利润按月支付。扣除存款/取款后，最新最高净资产与上一最高净资产之间的差额）或

Management Fee's: \_\_\_\_\_ % per month of ending balance (Paid Monthly based on the ending account equity at the close of trading day of each calendar month)

管理费：每月结余的 \_\_\_\_\_ %（根据每个日历月份交易日结束时的账户资产净值按月支付）

4. MB Trading Futures, Inc ("MBTF") cannot require a customer to do any "due diligence" on an account manager ("manager") prior to entering into an agreement with such manager. However, MBTF encourages Customers to take such measures, and asks that Customers acknowledge that they have read and, at the

minimum, considered taking the following Account Manager Checklist steps before entering into any agreement with a manager. **Please acknowledge if you have conducted any of the following.**

MB Trading Futures 公司（以下简称

“MBTF”）不能要求客户在与账户经理（以下简称“经理”）签署协议之前，对账户经理进行任何“尽职调查”。但是 MBTF

鼓励客户采取此类措施，并要求客户确认其已经阅读，并最少考虑过采取以下“账户经理调查表”之步骤，然后再与经理签署任何协议。请确认，您是否已经进行以下任何措施。

\_\_\_\_\_ (Yes/No) Asked the manager to provide you with a disclosure document that, at the minimum, the manager's biography, outlines the investment methodology, the fees charged by the Manager, and the risks associated with the investment

(是/否) 要求经理向您提供披露文件，其相关履历至少说明其投资方法、收费以及与投资相关的风险。

\_\_\_\_\_ (Yes/No) Checked with the NFA BASIC Information <http://www.nfa.futures.org/basicnet>, CFTC, FINRA Brokercheck, SEC or other investment-related regulatory bodies to ensure the Manager has never been denied registration, nor does he/she has any disciplinary history. (Please contact MBTF if you need assistance with such a background check);

(是/否) 登陆 <http://www.nfa.futures.org/basicnet>, 检索 NFA BASIC 信息，咨询美国商品期货交易委员会 (CFTC)、金融业监管局 Brokercheck 记录、美国证券交易委员会 (SEC) 或其他与投资相关的管理机构，确保该经理没有被注册驳回，也没有任何违规记录（如果您需要获得此类背景调查的帮助，请联系 MBTF）；

\_\_\_\_\_ (Yes/No) Asked the Manager to provide you with references from existing clients.

(是/否) 要求经理提供现有客户的参考。

\_\_\_\_\_ (Yes/No) Asked your attorney or accountant to verify the accuracy of any performance record provided to you by the Manager, and review any contractual agreement to be executed by and between you and the Manager

(是/否) 要求您的律师或会计核实经理提供的所有绩效记录，并检查您与经理签署的所有合约

The undersigned customer has the right to request from the undersigned account manager statements on account status, and the undersigned account manager is obligated to provide, upon the undersigned customer's request, such statements on account status using report features as provided by MB Trading Futures.

签约客户有权要求签约账户经理提供有关账户状态的声明，而且签约账户经理有责任根据签约客户的要求，并采用 MB Trading Futures 公司提供的报告标准，为客户出具此类账户状态声明。

I, the undersigned, represent and covenant that I have read and understand this Managed Account Authorization form and Account manager Checklist.

我谨此签字声明并立约如下：我已阅读并了解该“管理账户授权表”和“账户经理调查表”。

**Customer signature: 客户签字：**

\_\_\_\_\_  
Primary Account holder Name 主账户持有人姓名

\_\_\_\_\_  
Signature 签字

\_\_\_\_\_  
Date 日期

\_\_\_\_\_  
Joint Account holder Name 联合账户持有人姓名

\_\_\_\_\_  
Signature 签字

\_\_\_\_\_  
Date 日期

**Section II: Information complete by Account Manager 第 II 部分：账户经理填写内容**

**Account manager Registration Status (账户经理注册状态)**

Please select one of the following which best describes your registration status.  
请在下面选择与您的注册状态最相符的一项。

- I (or my entity) currently register with CFTC and member of NFA. My NFA ID is \_\_\_\_\_  
我（或我的实体机构）目前在 CFTC 注册，并是美国期货协会 (NFA) 的会员，我的 NFA ID 是 \_\_\_\_\_
- I (or my entity) currently exempt from registration with NFA. My NFA ID is \_\_\_\_\_  
我（或我的实体机构）目前豁免 NFA 注册，我的 NFA ID 是 \_\_\_\_\_
- None of the above.** Any Account Manager who selects this option must also complete Account Manager and Limited Trade Authorization Self Attestation.  
**以上都不是。** 选择该选项的任何账户经理还必须填写《账户经理与限制交易授权自我认证表》。

**Account Manager Information 账户经理信息**

1. Account Manager Name or Entity Name 账户经理姓名或实体机构名称 \_\_\_\_\_
2. Current Account Manager Employer 账户经理目前的雇主 \_\_\_\_\_
3. Occupation 职位 \_\_\_\_\_
4. Address 地址 \_\_\_\_\_
5. Email Address 电子邮件地址 \_\_\_\_\_
6. Phone Number 联系电话 \_\_\_\_\_
7. Website Address (if any) 网站地址（如果有） \_\_\_\_\_
8. My relationship to the customer is 与客户的关系 \_\_\_\_\_

**Please link my customer account number 请将我的客户账号 \_\_\_\_\_**  
**to my account username 与我的账户名 \_\_\_\_\_ (account number: 相关联**  
**账号 \_\_\_\_\_)**

<b>Account Manager Signature 账户经理签字:</b>		
_____	_____	_____
Account Manager Name / Entity Name 账户经理姓名 / 实体机构名称	Signature 签字	Date 日期

<b>MBTF Internal Use Only 仅限 MBTF 内部使用</b>	
<b>Office Approval 正式批准</b> : : _____	<b>Date 日期</b> : _____



**Account Manager and Limited Trade Authorization Self Attestation**  
**账户经理和限制交易授权自我认证**

All Account Managers (“Manager”) and Limited Trade Authorization Person (“LTA”) who are not currently registered with CFTC and a member of NFA or granted registration exemption must complete, sign and return this MBTF Account Manager and Limited Trade Authorization Self Attestation Form to MBTF Compliance for review and approval. All Managers and LTAs are subject to a background check by the MBTF New Accounts. Providing inaccurate or misleading information on this form and/or failing to pass a background check will disqualify a Manager or LTA from trading an account on behalf of a MBTF customer.

所有账户经理（以下简称“经理”）、目前尚未在 CFTC 注册的受限交易授权人员 (LTA)、NFA 成员或许可注册豁免人员必须填写该《MBTF 账户经理与限制交易授权自我认证表》，签字并将该表返回 MBTF 合规部门，以备检查和批准。所有经理和 LTA 要接受 MBTF 新账户部门的背景检查。如果在该表上填写错误或虚假信息，或是没有通过背景检查，则取消相关经理或 LTA 人员代表 MBTF 客户进行账户交易的资格。

**Please answer YES or NO for the following questions 以下问题，请回答“是”或“否”**

1. \_\_\_\_\_ Are you a resident of the United States or its U.S. territories? 您是美国或美国领土的居民吗？
2. \_\_\_\_\_ Have you been providing investment advice and/or managed brokerage accounts of more than 15 persons during the past 12 months? How do you obtain customers in which you provide investment advice or managed brokerage accounts services? \_\_\_\_\_.  
在过去 12 个月中，您一直提供投资建议和/或管理超过 15 个经纪账户吗？您为客户提供投资建议或管理经纪账户服务，您是如何获得这些客户的？ \_\_\_\_\_.
3. \_\_\_\_\_ Do you only manage brokerage accounts or provide investment advice to family, friends, and/or existing business associates? How many brokerage accounts and/or customers do you have in which investment advice or managed account services are provided? \_\_\_\_\_.  
您只管理经纪账户并只为家人、朋友和/或现有业务关系人士提供投资建议吗？  
您为其提供投资或管理账户服务的账户和/或客户有多少个？ \_\_\_\_\_.
4. \_\_\_\_\_ Do you hold yourself out to the public as a Commodity Trading Advisor, trading account manager, hedge fund manager, investment manager, investment advisor or any similar title that would suggest the offering of investment advice or managed account services including trading? Do you have business cards or stationary that suggests the offering of investment advice or managed account services including trading?  
您的对外公开身份是“商品交易顾问”、交易账户经理、对冲基金经理、投资经理、投资顾问，或拥有任何说明提供投资建议或管理账户服务（包括交易）的类似头衔？你有名片或说明您提供投资建议或管理账户服务（包括交易）的信纸吗？
5. \_\_\_\_\_ Do you maintain a business or home office for customer visitation to discuss any financial or investment related matters? 您拥有方便客户来访，以商讨任何财务或投资相关事宜的业务或家庭办公室吗？
6. \_\_\_\_\_ Do you maintain a listing in the yellow pages, on a social network website or any public directory that suggest, or would suggest, the following services: financial planning, financial services, financial consultants, investment services, investment advisory and/or investment management?

您在工商电话簿、社交网站或任何公共索引目录中设有相关列表吗？以说明提供以下服务：财务规划、财务服务、财务咨询、投资服务、投资建议和/或投资管理。

7. \_\_\_\_\_ Do you receive remuneration from providing investment advice or trading a brokerage account on behalf of a customer in the form of an investment advisory fee, incentive fee, management fee, up-front fee, commission, mark-up/mark-down?  
对提供投资建议或代表客户进行经纪账户交易，您收取投资建议费、奖励费、管理费、预付费、佣金、涨价/跌价等形式的报酬吗？
8. \_\_\_\_\_ Does your primary source of income come from providing investment advice or trading brokerage accounts on behalf of customers? 您的主要收入来源来自提供投资建议或代表客户进行经纪账户交易吗？  
My primary occupation is我的主要职业是\_\_\_\_\_,  
which has the following responsibilities其职责包括\_\_\_\_\_  
My employer contact information is我的雇主联系信息是\_\_\_\_\_
9. \_\_\_\_\_ Do you solicit customers or provide any type of promotional material that (1) describes or explains any financial product (e.g., stocks, bonds, futures currencies, mutual funds); (2) directs a customer to a website, trading blog, social network site, seminar, webinar, lesson, book, magazine, newspaper, newsletters, brochure or cold call scripts that relates to trading or investments; or (3) would be considered a mail or fax solicitation?  
您劝说客户或为客户提供以下任何类型的宣传资料吗？(1)  
任何财务产品（比如股票、债券、期货货币、共同基金）的描述或解释性材料；(2)  
引导客户了解与交易或投资相关的网站、交易博客、社交网络、研讨会、在线研讨会、课程、书籍、杂志、报纸、新闻快讯、宣传手册或陌生推销电话脚本，或是(3) 将考虑发送游说邮件或传真。
10. \_\_\_\_\_ Do your customers provide you with referrals or tell their family or friends about your investment advice managed account or brokerage trading account services?  
您的客户为您提供转介帮助吗，或将您的投资建议、管理账户或经纪账户交易服务的相关内容告诉他们的家人或朋友吗？

**Manager/LTA Signature: 经理/LTA 签字：**

\_\_\_\_\_  
Printed Name 打印姓名

\_\_\_\_\_  
Signature 签字

\_\_\_\_\_  
Date日期

**MBTF Office 办公室：**  **Approval 批准**  **Disapproval** **Date日期:** \_\_\_\_\_