Account Number 帳戶號碼 ： _____

帝峯證券及資產管理有限公司
EMPERIO SECURITIES AND ASSETS MANAGEMENT LIMITED

Account Opening Form 開立表格

(FOR INDIVIDUAL / JOINT ACCOUNT) (個人 / 聯名)

(The Chinese translation of this Account Opening Form is for reference only. The English version of this Account Opening Form is the governing version and shall prevail whenever there is any discrepancy between the English version and Chinese translation)

(本開立表格所提供之中文譯本只供參考，如與英文版本有任何抵觸，須以英文版本為準)

Emperio Securities and Assests Management Limited ("ESAM")
帝峯證券及資產管理有限公司 ("帝峯證券")
CE No.中央編號：BIB127

28/F, AT Tower, 180 Electric Road, North Point, Hong Kong

Tel.電話：(852) 2190 7330 Fax 傳真：2190 7373

Client Information Sheet (Individual / Joint Account)
客戶資料書 (個人 / 聯名)

1.Primary Individual / Joint Account Holder 個人/聯戶帳戶主要持有人

Client Information 客戶資料

Last Name First Name (In English)	姓 名 (中文)	Gender 性別 ❑ Male 男 ❑ Female 女
HKID Card No. / Passport No. 身份證號碼或護照號碼	Date of Birth (dd/mm/yyyy) 出生日期 (日/月/年)	Nationality 國籍
Residential Address 居住地址 ☐ I hereby declare that this address is a valid residential address within the last 3 months 特此聲明此地址為本人最近 3 個月內之有效居住地址		
Correspondence Address 聯絡地址 (Please specify, if different with Residential Address 如與居住地址不同,請註明)		

Home Telephone No. 住宅電話號碼	Mobile Telephone No. 流動電話號碼	Business Telephone No. 商業電話號碼	Fax No. 傳真號碼
E-mail Address 電郵地址			
Education Level 教育程度： ❑ Primary 小學 ❑ Secondary 中學 ❑ College 大專 ❑ University or above 大學或以上 ❑ Others, Please Specify 其他，請說明 _____			
Marital Status 婚姻狀況 ： ❑ 已婚 Married ❑ 單身 Single			

2.Business / Employment Status 業務/受僱狀況

Employment Status ❑ Employment 受僱 ❑ Un-Employment 未受僱 ❑ Self-Employed 自僱 ❑ Student 學生 ❑ Housewife 主婦 ❑ Retired 退休 ❑ Others, Please Specify 其他，請說明 _____		
Name of Current Employer 目前僱主名稱	Job Title 職位	Nature of Business 業務性質
Year(s) of Service 已服務年期	Office Address 辦公室地址	

3.Financial Situation 財務狀況

(a) Approximate Total Net Worth (in HK$)概算總淨值 (港幣計) : _____

(b) Annual Income 年收入

❑ HKD 港幣 0 - 120,000 ❑ HKD 港幣 120,001 – 360,000 ❑ HKD 港幣 360,001 – 600,000

❑ HKD 港幣 600,001 – 1,200,000 ❑ Above HKD 超過港幣 1,200,000

(c) Residential Status 住宅狀況

❑ Owned Property 自有物業 ❑ Rented 租賃 ❑ Mortgaged 抵押物業

❑ Quarters 宿舍 ❑ Live with Family 與家人同住 ❑ Others, Please Specify 其他，請說明_____

If mortgaged, please provide outstanding mortgage loan amount 倘若是抵押物業，請提供尚未償付之貸款金額 HK$: _____

(d) Owned Property(ies) Other Than Residential Property 非住宅自有物業

Property Address 物業地址: _____

(e) Source of fund 資金來源

❑ Salary 薪金 ❑ Income Accumlation 累積收入 ❑ Return of Investment 投資回報

❑ Retirement Fund Reserves 退休金 ❑ Estates 遺產 ❑ Sales of Property 物業收益

❑ Others, Please Specify 其他，請說明 _____

Please provide information for items 4-5, so that Emperio Securities and Assets Management Limited ("ESAM") may offer the best advice to you

請提供 4-5 項的資料，因為據此帝峯證券及資產管理有限公司(“帝峯證券”)才可能會提供予客戶最好的建議

4.Investment Experience and Knowledge 投資經驗及知識

Investment Knowledge 投資知識

❑ None 全無 ❑ Limited 有限 ❑ Some 較好 ❑ Good 良好 ❑ Excellent 專業

Investment Experience 投資經驗

(Please tick the appropriate boxes below to indicate your investment experience (in no. of years) in each type of product

請於下列每一項投資產品選擇 閣下之投資經驗年期)

Year of investment experience 投資經驗年期 / Products 投資產品	Nil 無 (0 分)	Less than 1 year 一年以下 (1 分)	1 to 3 years 一年至三年 (2 分)	3 to 5 years 三年至五年 (3 分)	5 to 10 years 五年至十年 (4 分)	More than 10 years 十年以上 (5 分)
Equities 證券	❑	❑	❑	❑	❑	❑
Warrants 窩輪/ Stock Options 股票期權	❑	❑	❑	❑	❑	❑
Futures and Options 期貨及期權	❑	❑	❑	❑	❑	❑
Leveraged Foreign Exchange Trading 槓桿式外匯交易	❑	❑	❑	❑	❑	❑
Precious metals (e.g. gold, etc.) 貴金屬 (如黃金等)	❑	❑	❑	❑	❑	❑
Mutual Funds 互惠基金/ Unit Trust 單位信託基金	❑	❑	❑	❑	❑	❑
Hedge Funds 對沖基金	❑	❑	❑	❑	❑	❑
Structured Investment Products 結構性產品	❑	❑	❑	❑	❑	❑
Fixed Income Securities (e.g. bonds, etc) 固定收益證券 (如債券)	❑	❑	❑	❑	❑	❑

Score 得分:

Assessment of Investment Experience 投資經驗評估

Total Score 總得分

❑ 0~5 No experience 無經驗
❑ 6~15 Basic Experience 基礎經驗
❑ 16~25 Intermediate Experience 中等經驗
❑ 26~35 Extensive Experience 廣泛經驗
❑ ≥36 Advanced Experience 豐富經驗

Knowledge on derivatives products 衍生產品知識

Do you have any knowledge on derivatives product(s)?

您對衍生產品有沒有知識?

❑ No 沒有

❑ Yes 有

Please choose the best describe the way(s) you acquired your derivatives products' knowledge (can choose more than one)

請問您從以下哪種途徑獲得提及的衍生產品的知識? (可選多項)

❑ Relevant trading experience i.e. executed five or more transactions in derivative products (whether traded on an exchange or not) within the past three years
相關之交易經驗，即過去三年內已進行了五次或以上有關衍生產品之交易(不論是否於交易所進行之交易)

❑ Underwent training or attended courses on derivative products
曾接受有關衍生產品的培訓或修讀相關課程

❑ Current or previous work experience
現時或過去的工作經驗

❑ Licensing that I am a licensed/registered person to carry out regulated activities as defined in the Securities and Futures Ordinance
以證券及期貨條例所定之持牌/註冊人之身份進行有關受規管的活動

5.Client Investment Objectives and Assessment of Risk Tolerance Level 客戶投資目的及可承受風險評估

Client Investment Objectives 客戶投資目的

❑ Hedging 對沖 ❑ Capital Gain 資本增值 ❑ Dividend Income 股息收入 ❑ Speculation 投機 ❑ Arbitrage 套利

❑ Others, please specify 其他, 請說明：_____

Assessment of Risk Tolerance Level 可承受風險評估

1. Which age group do you belong to? 閣下的年齡屬於以下哪個組別?

❑ Between 18 to 20 18 至 20 歲 (1)
❑ Between 21 to 34 21 至 34 歲 (3)
❑ Between 35 to 50 35 至 50 歲 (5)
❑ Between 51 to 64 51 至 64 歲 (4)
❑ 65 or above 65 歲或以上 (1)

2. Your highest education level achieved is 閣下的學歷為

- ❑ Primary School or Below 小學或以下 (1)
- ❑ Secondary School 中學 (2)
- ❑ Post-Secondary (including diploma and associate degree) 預科/專上學院 (3)
- ❑ University(Bachelor Degree) 大學學士 (4)
- ❑ University(Master Degree) or above 大學碩士或以上 (5)

3. What is your primary investment objective? 閣下的主要投資目標是?

- ❑ Capital preservation 資本保本 (1)
- ❑ Regular and stable income 定期及固定收入 (2)
- ❑ Moderate capital appreciation 適度資本增長 (3)
- ❑ Moderate to high capital appreciation 適度至高資本增長 (4)
- ❑ Maximum capital appreciation 最大值資本增長 (5)

4. What is the average percentage of your total net worth that will be allocated for investment or savings purposes (excluding real estate property)?
閣下打算用作為投資或儲蓄用途的款項平均佔閣下總資產淨值的百分比(物業除外)為多少?

- ❑ Less than 5% 少於 5% (1)
- ❑ 5% to less than 10% 5%至少於 10% (2)
- ❑ 10% to less than 20% 10%至少於 20% (3)
- ❑ 20% to less than 30% 20%至少於 30% (4)
- ❑ 30% or above 30%或以上 (5)

5. It is generally true that the longer the investment horizon, the higher the risk an investor can tolerate. What is the expected investment horizon of your entire investment portfolio?
在一般情況下，投資的年期越長，可承受的風險越高。閣下願意進行投資活動的整體投資年期為多久?

- ❑ Less than 6 months 少於 6 個月 (1)
- ❑ 6 months to 1 year 6 個月至 1 年 (2)
- ❑ 1 to 2 years 1 年至 2 年 (3)
- ❑ 2 to 5 years 2 年至 5 年 (4)
- ❑ over 5 years 超過 5 年 (5)

6. Which of the following statements best describes your investment attitude?
下列哪項陳述最能表達閣下的投資取向?

❑ I am not willing to bear a price fluctuation range of more than 5% for financial investment and wish to gain a return slightly higher than the bank deposit interest rate.
本人不願意承受任何多於 5%價格波動的金融投資，並希望獲得稍高於銀行存款利率的回報。 (1)

❑ I am willing to bear a price fluctuation range of around 5% to less than 10% for financial investment and wish to gain a return that is slightly higher than the bank deposit interest rate.
本人願意承受大概 5%至少於 10%價格波動的金融投資，並希望獲得稍高於銀行存款利率的回報。 (2)

❑ I am willing to bear a price fluctuation range of 10% to less than 20% for financial investment and wish to gain a return much higher than the bank deposit interest rate.
本人願意承受大概 10%至少於 20%價格波動的金融投資，並希望獲得遠高於銀行存款利率的回報。 (3)

❑ I am willing to bear a price fluctuation range of 20% to less than 30% for financial investment and wish to gain a return comparable to the average return of the stock market.
本人願意承受大概 20%至少於 30%價格波動的金融投資，並希望獲得媲美一般股票市場的回報。 (4)

❑ I am willing to bear a price fluctuation range of 30% or more for financial investment and wish to gain a return remarkably higher than the average return of the stock market.
本人願意承受 30%或以上價格波動的金融投資，並希望獲得明顯高於一般股票市場的回報。 (5)

7. How would you react if your portfolio fell significantly (e.g. more than 20%) within one day?
如果閣下的投資組合在一天內大幅下跌(例如，超過 20%)，閣下會有何反應?

- ❑ Do not know how to react
不懂得如何應變 (1)
- ❑ Cut loss without any strategic consideration
非策略性地進行止蝕 (2)
- ❑ Would wait to see if investment improves and may cut loss rationally
觀望該投資是否會有改善，可能會理性地進行止蝕 (3)
- ❑ Understand market fluctuations are unavoidable and will not alter the determined investments strategy
了解市場波動是難免的，會繼續進行已定下的投資策略 (4)
- ❑ Undergo in-depth analysis, reallocate your investment portfolio
進行仔細分析，重整投資組合 (5)

8. What is your level of experience with investment products? Please refer to your investment experience assessment result in Investment Experience and Knowledge.
閣下對投資產品的投資經驗屬以下哪一項?請參考第一部分的投資經驗評估結果。

- ❑ No experience 無經驗 (0)
- ❑ Basic Experience 基礎經驗 (2)
- ❑ Intermediate Experience 中等經驗 (3)
- ❑ Extensive Experience 廣泛經驗 (4)
- ❑ Advanced Experience 豐富經驗 (5)

Total Score 總得分:

Assessment of Risk Tolerance Level 風險承受能力評估

Total Score 總得分**

- ❑ ≤8 Conservative 保守
- ❑ 9~15 Moderate 平穩
- ❑ 16~25 Moderate High 平穩進取
- ❑ ≥26 Aggressive 進取

**

Conservative - You are a Conservative investor with a primary aim for capital preservation. You are not inclined to invest in products associated with any risk.
保守 - 閣下是一個保守型投資者，以尋求資本保值為主要目標。閣下不傾向投資於有任何風險的產品。
Moderate – You are a Moderate investor and want to achieve a return higher than the inflation rate and moderate growth of capital. In general, you prefer to take medium investment risk and accept moderate fluctuation of capital values with the possibility of facing occasional high short-term losses.
平穩 - 閣下是一個平穩型投資者，希望達致高於通脹率的回報及溫和資本增長。一般來說，閣下傾向選擇中度投資風險及接受溫和的資本值波動和能面對偶爾短期高損失之可能性。
Moderate High -You are a Moderate High risk tolerant investor. You aim to earn returns substantially higher than the inflation to pursue high capital appreciation. You can accept high fluctuation of capital values and tolerate the risk of your capital falling substantially below your original investment
平穩進取 - 閣下是一個平穩進取型投資者，尋求賺取遠高於通脹的回報以達致高資本增值。閣下能接受資本值大幅波動，亦能承受資本可能跌至遠低於原本投資額的風險。
Aggressive - You are an Aggressive investor and are eager to earn the highest potential returns. Risk minimization is not your primary concern. You can accept leveraged investment and bear total capital loss if the products offer very high return potential.
進取 -閣下是一個進取型投資者，渴望追求最大的潛在回報。把風險減至最低並非閣下的首要考慮。只要產品有非常高的回報潛力，閣下能接受槓桿式投資並可承受資本全數損失。

6.Self-Certification for Common Reporting Standard 共同匯報標準-自我證明表格

Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")
居留司法管轄區及稅務編號或具有等同功能的識辨編號（以下簡稱「稅務編號」）
Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a **resident for tax purposes** and (b) the account holder's TIN for each jurisdiction indicated. Indicate **all** (not restricted to) jurisdictions of residence.
提供以下資料，列明（a）帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區（香港包括在內）及（b）該居留司法管轄區發給帳戶持有人的稅務編號。列出所有（不限於2個）居留司法管轄區。
If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.
如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。
If a TIN is unavailable, provide the appropriate reason A, B or C:
如沒有提供稅務編號，必須填寫合適的理由：

Reason A 理由 **A** : The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

Reason B 理由 **B** : The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason. 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。

Reason C 理由 **C** : TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed. 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

Jurisdiction of Residence 居留司法管轄區	**TIN** 稅務編號	**Enter Reason A, B or C if no TIN is available** 如沒有提供稅務編號，填寫理由**A**、**B**或**C**	**Explain why the account holder is unable to obtain a TIN if you have selected Reason B** 如選取理由**B**， 解釋帳戶持有人不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. $10,000).
警告:根據《稅務條例》第80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第3級（即$10,000）罰款。

7.Foreign Account Tax Compliance Act ("FATCA") 美國《海外賬戶稅收合規法案》

Is Client a United States ("US") Person, Resident of US (Including Green Card Holder) or having US nationality?
客戶是否美國聯邦所得稅所定義的特定美國人、美國公民、美國永久居民 (含綠卡持有人) 或持有美國國籍？
❑ Yes 是
❑ No 不是
Does Client born in US? 客戶的出生地是否美國？
❑ Yes 是
❑ No 不是
Does Client has presence in US over 31 days in the current calendar year or 183 days out of the 3 years period prior to the current tax year?
客戶是否在最近 1 年在美國居留超過 31 個公曆日或在最近一個稅務年度前 3 年內居留美國超過 183 個公曆日？
❑ Yes 是
❑ No 不是
Does Client has any US address? (e.g. residential address, mailing address, P.O. box) 客戶是否擁有美國地址 (如居住地址、郵寄地址、郵政信箱)？
❑ Yes 是
❑ No 不是
Does Client has any US telephone number? (e.g. home, work, mobile, fax number) 客戶是否擁有美國電話號碼 (如住宅、工作、行動、傳真號碼)?
❑ Yes 是
❑ No 不是
Does the Client give standing instruction to ESAM to pay amounts to an account maintained in the US?
客戶會否向帝峯證券發出向某美國銀行帳戶轉帳款項的常設授權指示?
❑ Yes 是
❑ No 不是

8.Other Information 其他資料

1. Is Client, either alone or with Client's spouse, in control of 35% or more of the voting rights of a company which is a client of ESAM?
客戶是否個人或與配偶共同控制某一公司百分之三十五或以上的投票權,而該公司是帝峯證券的客戶?
❑ Yes, Account Number and Account Name are 是，帳戶號碼及帳戶名稱為 _____
❑ No 不是

2. Is Client's spouse a client of ESAM?
客戶的配偶是否為帝峯證券的客戶?
❑ Yes, Account Number and Account Name are 是，帳戶號碼及帳戶名稱為 _____
❑ No 不是

3. Is Client a director /employee / representative or a relative / connected party of any director /employee / representative of ESAM?
客戶是否任何帝峯證券之董事 / 僱員 / 代表，或與董事/ 僱員 / 代表有親屬關係 / 關聯人仕?

❑ Yes, name of the director(s) / employee(s) / representative(s) 如果是，董事 / 僱員 / 代表之姓名 _____

Name of relative(s) / connected party 親屬 / 關聯人仕姓名 _____

Relationship 關係 _____

❑ No 不是

4. Is Client a director or an employee of a person registered or licensed with HK Securities and Futures Commission?
客戶是否香港證監會持牌人或註冊人之董事或僱員?

❑ Yes, the name of Licensed/ Registered Person 是，持牌或註冊人名稱：_____

❑ No 不是

If yes, has Client obtained approval from such employer to open a securities account with ESAM?
如果是的話，客戶是否已獲得僱主批准於帝峯證券開立證券戶口?

❑ Yes 是

❑ No 不是

5. Does Client have relationship with senior officers / directors / substantial shareholders of any company whose shares are traded on any exchange?
客戶是否與任何地方的交易所上市公司的高級人員 / 董事 / 大股東有任何的關連？

❑ Yes 是，Stock Code 上市編號：_____

Company Name 公司名稱： _____

❑ No 不是

6. Is Client or client's immediate family members Politically Exposed Person ("PEP"), a person connected with PEP, senior government official or senior executive of a state-owned corporation?* 客戶或客戶的直系親屬是否政治人物或與其有關連之人士、高級政府官員或國有企業高級行政人員?*

❑ Yes, 是， Please specify 請述明具體：

Name of PEP 政治人物姓名	Relationship with the client 與客戶之關係	PEP Position and Term 政要職銜及擔任年期	Country 國家

❑ No 不是

* PEP includes (1) with a prominent public function or holding senior public office in any place (which shall include a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official); or (2) as a sub-national political figure in any place (which shall include but not limited to head of regional governments, regional government ministers or large city mayors)
政治人物包括 (1)在任何地方擔任或曾擔任重要的公職(包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事); 或 (2)擔任地方政治人物(其中應包括但不限於地方政府、區域政府部長或大型城市市長)

7. Appointment of Agent to accept service of process 接收法律程式文件送達之代理人之委任
For overseas client, the client hereby appoints_____of_____HK to accept service of process.

倘若客戶是海外客戶，客戶茲委任_____，地址為_____，為其在香港收法律程式文件之代理人。

Acknowledgement by Client 客户的確認

Opt-out from use of personal data in direct marketing 選擇拒絕在直接促銷中使用個人資料

- ❑ ESAM may itself use your personal data in direct marketing. You should check ("✓") in the box on the left side of this item if you do not wish ESAM itself to use your personal data in direct marketing.
  帝峯證券本身可能會使用閣下的個人資料作直接促銷。如閣下不希望帝峯證券本身在直接促銷中使用閣下 的個人資料，請在此項左邊的方格內加上剔號("✓")。
- ❑ ESAM may, without any direct gain, provide your personal data to other persons for their use in direct marketing and, whether or not such persons are group members of ESAM. You should check ("✓") in the box on the left side of this item if you do not wish ESAM, without any direct gain, to provide your personal data to any other persons for their use in direct marketing.
  帝峯證券可能在沒有直接回報的情況下將閣下的個人資料提供予其他人士，以供該等人士在直接促銷中使用，不論該等人士是否帝峯證券的集團成員。如閣下不希望帝峯證券在沒有直接回報的情況下將閣下的個人資料提供予任何其他人士，以供該等人士在直接促銷中使用，請在此項左邊的方格內加上剔號("✓")。
- ❑ ESAM may provide your personal data to other persons for their use in direct marketing and, in return for money or other property, whether or not such persons are group members of ESAM. You should check ("✓") in the box on the left side of this item if you do not wish ESAM to provide your personal data to any other persons for their use in direct marketing in return for money or other property.
  帝峯證券可能將閣下的個人資料提供予其他人士，以供該等人士在直接促銷中使用(帝峯證券的集團成員)， 以獲得金錢或其他財產的回報。如閣下不希望帝峯證券將閣下的個人資料提供予任何其他人士供該等人士在直接促銷中使用，以獲得金錢或其他財產的回報，請在此項左邊的方格內加上剔號("✓")。

The above represents your present choice whether or not to receive direct marketing contact or information. This replaces any choice communicated by you to ESAM prior to this application. Please note that your above choice applies to the direct marketing of the classes of products, services and/or subjects as set out in The Personal Data (Privacy) Ordinance - Personal Information Collection (Customers) Statement of ESAM ("Statement"). Please also refer to the Statement on the kinds of personal data which may be used in direct marketing and the classes of persons to which your personal data may be provided for them to use in direct marketing and the channel through which you may communicate your consent or opt-out request without charge in relation to the intend use of your personal data.

You hereby confirm that you have read and understood ESAM's notification regarding collection, use and provision of personal data as set out in the Statement.

以上代表閣下目前就是否希望收到直接促銷聯繫或資訊的選擇，並取代閣下於本申請前向帝峯證券傳達的任何選擇。 請注意閣下以上的選擇適用於帝峯證券的「個人資料(私隱)條例 - 個人資料收集(客戶)聲明」(「該聲明」)中所列出的產品、服務及/或標的類別的直接促銷。閣下亦可參閱該聲明以得知在直接促銷中可使用的個人資料的種類，閣下的個人資料可提供予什麼類別的人士作直接促銷用途及閣下可在無需繳費的情況下就閣下的個人資料擬進行之使用傳達同意或拒絕要求的途徑。 閣下在此確認已細閱及明白該聲明，帝峯證券收集、使用及提供個人資料的有關條文通知。

I, the undersigned Client, confirm and agree that: 本人，下述簽署客戶，確認及同意:

(a) information contained in this Client information sheet is true and accurate, unless ESAM receives notice in writing of any change.
資料書均屬真實及正確，除非帝峯證券收到任何客戶資料改變通知。

(b) the information contained in this form is collected and may be kept by the financial institution for the purpose of automatic exchange of financial account information, and such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).
財務機構可根據《稅務條例》（第 112 章）有關交換財務帳戶資料的法律條文，收集本表格所載資料並可備存作自動交換財務帳戶資料用途及把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

*Specimen Signature herein will be used to verify all written instructions given relating to the operation of the Account(s). ESAM is entitled to rely fully on such information and representations for all purpose. ESAM is authorized at any time to contact anyone, including your banks, brokers or any credit agency, for the purpose of verifying the information provided on this Client information Sheet. A copy of ESAM's Client information Sheet is available upon request.

*簽署式樣將被用作核證任何賬户運作之書面指示。帝峯證券完全可以依靠這些資料及陳述作任何目的。客戶授權帝峯證券可在任何時間聯絡任何人，包括客戶的銀行、經紀等或任何信貸機構，籍以確定及查證本客戶資料書內的資料。客戶可隨時索閱帝峯證券的客戶資料書副本。

Client Signature / Specimen 客戶簽署 / 簽署樣本

Client Name 客戶姓名：_____

Date 日期 :_____

Declaration by the Licensed Representative(s) of Emperio Securities and Assets Management Limited
帝峯證券及資產管理有限公司持牌代表的聲明

I/We, Emperio Securities and Assets Management Limited ("ESAM") licensed representative(s), hereby declare and confirm that I/we have provided the ESAM's Client Agreement including Risk Disclosure Statement annexed hereto in a language of the Client's choice (English or Chinese) and invited the Client/Joint Client/Corporate Client (authorized signatory) to read the same, ask questions and take independent advice if the Client/Joint Client/Corporate Client (authorized signatory) wishes.

本人/吾等為帝峯證券及資產管理有限公司("帝峯證券")持牌代表，並謹此聲明及確認本人/吾等已按照客戶/聯名客戶/公司客戶(授權代表)所選擇的語言(中文或英文)而夾附提供的帝峯證券的客戶協議包括風險披露聲明，邀請客戶/聯名客戶/公司客戶(授權代表)閱讀該等客戶協議、提出問題及徵求獨立的意見(如客戶/聯名客戶/公司客戶(授權代表))有此意願。

_____	_____	_____
Signature of ESAM licensed representative(s) 帝峯證券持牌代表簽署	Name and CE No. of ESAM licensed representative(s) 帝峯證券持牌代表姓名及 CE 編號	Date 日期

Account Information 帳戶資料

(Please "✓" as appropriate 如適用請加"✓")

Application for 申請	Account Type 帳戶類別	Additional Account Service 附加帳戶服務
❒ Individual Account 個人帳戶	❒ Cash Account 現金帳戶	❒ Internet Trading Service 網上交易服務
❒ Joint Account 聯名帳戶		❒ Professional Investor Account 專業投資者帳戶

Combined Statements/ Monthly Statements / Contract Notes to be sent to (please choose anyone):
綜合成交單/月結單/帳戶結單寄往(請選擇其一)

(a) ❑ E-statement only 只收電子成交單 (b) ❑ E-statement and Hard copy by post 電子及郵寄成交單 (c) ❑ Hard copy by post only 只收郵寄成交單

(a) ❑ English Version 英文結單 (b) ❑ Chinese Version 中文結單

E-mail Address (please specify, if different from Client Information Sheet) 電郵地址 (如與客戶資料書上不同)

_____

(For Joint Account Holder (2)) 聯名帳戶持有人(2))

_____

For Joint Account 聯名戶口專用 ：

Any____of the account holder(s) can authorized to give ESAM oral or written instructions in relation to the purchase or sale of any securities of the Account.

任何____位聯名帳戶持有人士獲授權向帝峯證券發出有關本帳戶買賣之口頭或書面指示。

Any___of the account holder(s) can authorized to give ESAM written instructions to withdraw or transfer any monies, or securities or collateral in the Account.
任何__位聯名帳戶持有人士獲授權向帝峯證券發出有關本帳戶的款項、證券或抵押品之提取或轉移之書面指示。

Receiving Bank Account 收款銀行帳戶

Unless otherwise instructed by you, all monies payable to you are to be credited to the designated bank account
除非客戶另行指示外，須付予客戶的款項將會被轉入指定銀行帳戶

Bank Name 銀行名稱 Bank Account Number 銀行帳戶號碼

_____ _____

Bank Account Holder's Name (name(s) shown on bank statements and this form should match) 帳戶持有人名稱(須與客戶的銀行結單及此表格上名稱相符)

_____

Acknowledgement by Client / Authorized Signatory 客户/授權代表的確認

I/We,_____[name of client/name of authorized signatory]confirm that

本人/吾等_____[客戶姓名/授權代表姓名]確認

(a) This risk disclosure statement was provided to me/us in a language of my/our choice (English or Chinese) and I/we was/were invited to carefully read the Client Agreement including Risk Disclosure Statement, to ask questions and take independent advice if I/we wish.
本人/吾等已按照本人/吾等選擇的語言(英文或中文)獲提供客戶協議並包括風險披露聲明，並已獲邀仔細閱讀該客戶協議及風險披露聲明、提出問題並徵求獨立的意見(如果本人/吾等有此意願) 。

(b) I/we have read and understood the provisions of the attached ESAM's Client Agreement including Risk Disclosure Statement. I/we hereby apply to open a Securities Account with ESAM and agree to be bounded by the ESAM's Client Agreement (receipt of a copy whereof is hereby acknowledged by me/us) as the same may be amended from time to time.
本人/吾等已閱讀過及明白帝峯證券的客戶協議並包括風險披露聲明。現申請開立帝峯證券證券戶口，並同意接受可不時被修改的帝峯證券的客戶協議(謹此聲明本人已收妥其副本)所約束。

(c) I/we confirm that the above information is true and accurate. Unless ESAM receives notice in writing of any change.
本人/吾等確認上述資料均屬真實及正確。除非帝峯證券收到任何客戶資料改變通知。

(d) I/We am/are the ultimate and sole beneficial owner(s) of the Account(s) and is fully responsible for all instructions for the operation of the said Account(s).
本人/吾等是帳戶的最終及唯一實益擁有人，並完全負責為該(等)帳戶運作所發出的一切指示。

x_____x
(Signed by client)(Individual/Joint Account Holder(1))
(Authorized Signatory and Company Chop)
(簽字)(個人/聯名帳戶持有人(1))
(授權代表簽字及公司蓋章)
Date 日期：

x_____x
(Signed by client)(Joint account holder (2))
(簽字)(聯名帳戶持有人(2))
Date 日期：

IF THIS DOCUMENT IS NOT EXECUTED BY THE CLIENT (S) IN FRONT OF THE ABOVE ESAM'S LICENSED REPRESENTATIVE, BELOW SHOULD BE SIGNED BY A SPECIFIED PERSON[1] (if applicable)
若客戶並非在以上之帝峯證券的持牌代表面前簽立此文件，則以下應由指定人士 [1] 簽署(若適用者)
The undersigned person hereby certifies the signing of this document by the above Client and sighting of related identity documents of such Client.
下述簽署人士謹此驗證 客戶簽立文件及其有關的身份證明文件

_____	_____	_____
Witness Name 見証人名稱	Witness Signature 見証人簽署	ID Card/Passport No./CE No 身份證或護照號碼/CE 編號
_____	_____	
Occupation of Witness 見証人職務	Date 日期	

Accepted and acknowledged by

For and on behalf of

Emperio Securities and Assets Management Limited

_____

Authorized Signature/Company Chop

Date: _____

1 Any SFC licensed or registered person, an affiliate of such person, a justice of the Peace, a Branch Manager of Bank, Certified Public Accountant, Lawyer or Notary Public.
任何香港證監會持牌人士或註冊人士、其聯繫人士、太平紳士、銀行分行經理、執業會計師、律師或公證人。

For Official Use Only 只供本公司使用

Name of Account Executive:	AE Code:

Account Type	Commission – by Telephone		Commission – by Internet Trading	
- Securities Cash	Brokerage (%)	Min.	Brokerage (%)	Min.

Credit / Trading Limit		
Applied by (Account Executive / CS):	Approved By (RO / Compliance Manager):	
Remarks:		

CLIENT ON-BOARDING CHECKLIST			
Documents received	1) Check document checklist	☐ Yes	
AML checking	2) Perform Risk Approach Form	☐ Yes	
Account Creation	3) Assign account number to client	☐ Yes	
	4) Create account and input client information in system	☐ Yes	
	5) Check the client with knowledge of derivative products	☐ Yes	☐ No
	6) Input derivative products trading in system	☐ Yes	☐ N/A
	7) Check account with electronic trading	☐ Yes	☐ No
	8) Create electronic trading login ID and generate password to client	☐ Yes	☐ N/A
	9) Create Welcome Letter to client	☐ Yes	☐ N/A
Record keeping	10) Scan a copy of client's specimen signature in System	☐ Yes	
	11) Scan the full set documents	☐ Yes	

Document reviewed by:

Name of Staff:	Signature:	Date:
Remarks:		