Account Number 帳戶號碼 ： ____________________

Account Opening Form 開立表格

(FOR CORPORATE ACCOUNT) (公司)

(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 (For Corporate)
客戶資料書 (公司)

1. Corporation Details 公司資料

Name of Client (In English)		客戶名稱 (中文)
Certificate of Incorporation No.註冊證書號碼		Business Registration No.商業登記號碼
Date of Incorporation 註冊日期	Place of Establishment 註冊成立國 / 地區	Business Nature 業務性質 / 經營範圍
Telephone No. 電話號碼	Fax No. 傳真號碼	E-mail Address 電郵地址
Registered Office Address 註冊地址		Principal Place of Business 主要營業地址
Company Chop 公司印章		Correspondence Address 聯絡地址 (Please specify, if different with Principal Place of Business 如與主要營業地址不同，請註明)

2. Director(s) of the Company 公司董事

Name of Director(s) 董事姓名 / 名稱	Date of Birth 出生日期	ID Card / Passport No 身份證號碼/護照號碼	Nationality 國籍	Residential Address 住宅地址	Contact Tel. No. 聯絡電話號碼
		❑ ID Card 身份證 ❑ Passport 護照 ________________			
		❑ ID Card 身份證 ❑ Passport 護照 ________________			
		❑ ID Card 身份證 ❑ Passport 護照 ________________			
		❑ ID Card 身份證 ❑ Passport 護照 ________________			

3. Major Shareholder(s) (Hold more than 25% Shareholding) 主要股東 (持有 25%以上股權)

Name of Major Shareholder(s) 主要股東姓名 / 名稱	Date of Birth 出生日期	ID Card / Passport No 身份證號碼/護照號碼	Nationality 國籍	Residential Address 住宅地址	Contact Tel. No. 聯絡電話號碼	% of Shareholding 持有股權百分比
		❑ ID Card 身份證 ❑ Passport 護照 ________________				
		❑ ID Card 身份證 ❑ Passport 護照 ________________				
		❑ ID Card 身份證 ❑ Passport 護照 ________________				
		❑ ID Card 身份證 ❑ Passport 護照 ________________				

4. Ultimate Ownersip or Control 最終擁有權或控制權 (Please provide details of Ultimate Beneficial Owner(s) or Ultimate Controller(s) if they are different from the above Major Shareholder(s).如最終實益擁有人與上述主要股東不同，請提供最終實益擁有人或最終控制人之資料)

Name of Ultimate Beneficial Owner(s) / Controller(s) 最終實益擁有人 / 控制人	Date of Birth 出生日期	ID Card / Passport No 身份證號碼/護照號碼	Nationality 國籍	Residential Address 住宅地址	Contact Tel. No. 聯絡電話號碼	% of Interest 權益百分比
		❑ ID Card 身份證 ❑ Passport 護照 ________________				
		❑ ID Card 身份證 ❑ Passport 護照 ________________				

5. Financial Situation 財政狀況

Authorized Share Capital 法定股本	Paid Up Capital 已繳股本

Liquid Assets (HKD) 流動資產 (港元), *Tick one only 只選擇一項*

❑ < $1,000,000 ❑$1,000,000 – $5,000,000 ❑$5,000,000 – $10,000,000 ❑$10,000,000 – $50,000,000 ❑ > $50,000,000 (please specify 請說明)：_______

Net Assets (HKD)資產淨值 (港元), *Tick one only 只選擇一項*

❑ < $1,000,000 ❑$1,000,000 – $5,000,000 ❑$5,000,000 – $10,000,000 ❑$10,000,000 – $50,000,000 ❑ > $50,000,000 (please specify請說明)：________

Latest Annual Profit (HKD) 最新年度溢利 (港元) , *Tick one only 只選擇一項*

❑ < $1,000,000 ❑$1,000,000 – $5,000,000 ❑$5,000,000 – $10,000,000 ❑$10,000,000 – $50,000,000 ❑ > $50,000,000 (please specify請說明)：________

Source of Fund 資金來源

❑ Shareholder's Funds 股東資金 ❑ Investment Earning 投資收益 ❑ Business Profit 業務利潤 ❑Others, Please Specify 其他, 請說明：________

貴公司的投資經驗及風險取向是根據貴公司的獲授權人代表貴公司在以下 6-7 項所有問題的答案整合得出，而非基於貴公司的獲授權人就任何個別問題給予的答案。在回答貴公司的投資資料的問題時，應基於貴公司在本行、其他證券行、銀行及金融機構的全部投資經驗及交易。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

Your company's Investment Experience and risk profile is based on overall responses of your company's authorized person's answers of the below items 6-7, rather than the answers given by your company's authorized person to any individual question. When answering questions about your company's investment information, please refer to all of your company's investment Experience and transactions in our company, as well as, those in other securities firms and financial institutions, so that Emperio Securities and Assets Management Limited ("ESAM") may offer the best advice to you

6. Investment Experience & Derivative Products Knowledge 投資經驗及衍生產品認識

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 company's investment experience (in no. of years) in each type of product
請於下列每一項投資產品選擇貴公司之投資經驗年期)

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 your company have any knowledge on derivatives product(s)?
貴公司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)
請問貴公司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

7. 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. The dedicated investment function arrangement of your company 貴公司負責投資決定的安排：

❑ My company is a private company where the investment decision rests with shareholders, directors, partners, Authorized person(s), the person(s) ultimately responsible for giving instructions for the Account or the ultimate beneficial owners. 本公司屬私人公司並由股東、董事、合夥人、獲授權人、就賬戶進行的交易發出指示之最終負責人仕或賬戶最終權益擁有人負責投資決定。 (1)

❑ My company is a substantial company where the investment decision rests with the a dedicated investment function. 本公司屬具規模公司並屬具規模公司並由投資團隊負責投資決定。 (2)

2. What is the average highest education level of your company responsible for Investment decisions in question (1) above are? 貴公司就上述第(1)題負責投資決定的人仕的平均最高學歷為？

❑ 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 company's primary investment objective? 貴公司的主要投資目標是?

❑ 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 company's total net worth that will be allocated for investment or reserve purposes (excluding real estate property)? 貴公司打算用作為投資或儲備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 company's entire investment portfolio?
在一般情況下，投資的年期越長，可承受的風險越高。貴公司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 company's investment attitude?
下列哪項陳述最能表達貴公司的投資取向?

❑ I am/ We are 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/我們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/ We are 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/我們願意承受大概 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/ We are 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/我們願意承受大概 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/ We are 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/我們願意承受大概 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/ We are 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/我們願意承受 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 your company react if your portfolio fell significantly (e.g. more than 20%) within one day?
如果貴公司的投資組合在一天內大幅下跌(例如，超過 20%)，貴公司會有何反應?

❑ 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 company's level of experience with investment products? Please refer to your investment experience assessment result in Investment Experience and Derivative Products Knowledge.
貴公司對投資產品的投資經驗屬以下哪一項?請參考投資經驗及衍生產品認識的評估結果。

- ❑ 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 – Your company 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 – 貴公司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 – Your company 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 - 貴公司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 - Your company 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 - 貴公司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 - Your company 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.辰
進取 -貴公司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。

8. Other Information 其他資料

1. Are any of the Client's shareholders, directors, partners, Authorized person(s), the person(s) ultimately responsible for giving instructions for the Account or the ultimate beneficial owners of the Account a director /employee / representative or a relative / connected party of any director /employee / representative of ESAM? 貴公司之股東、董事、合夥人、獲授權人、就賬戶進行的交易發出指示之最終負責人仕或賬戶最終權益擁有人是否為帝峯證券之董事 / 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) 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

2. Are any of the Client's shareholders, directors, partners, Authorized person(s), the person(s) ultimately responsible for giving instructions for the Account or the ultimate beneficial owner(s) of the Account, either alone or jointly with his / her spouse and his / her related person(s), a Client of ESAM? If so, please provide the account name(s) and number(s). 貴公司之股東、董事、合夥人、獲授權人、就賬戶進行的交易發出指示之最終負責人仕或賬戶最終權益擁有人，及 / 或其配偶及 / 或各自的關連人士是否帝峯證券的客戶？若是者，請提供帳戶名稱及號碼

❑ Yes, Account Number and Account Name are 是，帳戶號碼及帳戶名稱為 ______________________

❑ No 不是

3. Are any of the Client's shareholders, directors, partners, Authorized person(s), the person(s) ultimately responsible for giving instructions for the Account or the ultimate beneficial owner(s) of the Account, either alone or jointly with his/her spouse, in control of 35% or more of the voting rights of a company which is a client of ESAM? 貴公司之股東、董事、合夥人、獲授權人、就賬戶進行的交易發出指示之最終負責人仕或賬戶最終權益擁有人，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

4. Are any of the Client's shareholders, directors, partners, Authorized person(s), the person(s) ultimately responsible for giving instructions for the Account or the ultimate beneficial owner(s) of the Account, , a director or employee or accredited person of an exchange participant of the Stock Exchange or Futures Exchange, or a licensed or registered person of the Securities and Futures Commission ("SFC")? 貴公司之股東、董事、合夥人、獲授權人、就賬戶進行的交易發出指示之最終負責人仕或賬戶最終權益擁有人是否為聯交所或期交所之交易所參與者或證監會之持牌人或註冊人之董事、僱員或認可人士？

❑ Yes, Please provide details 是，請提供詳情 (Name and Reg. No.姓名及註冊編號) ______________________

Other Information 其他資料：______________________

❑ No 不是

5. Are any of the Client's shareholders, directors, partners, Authorized person(s), the person(s) ultimately responsible for giving instructions for the Account or the ultimate beneficial owner(s) of the Account have relationship with senior officers/directors/substantial shareholders of any company whose shares are traded on any exchange? 貴公司之股東、董事、合夥人、獲授權人、就賬戶進行的交易發出指示之最終負責人仕或賬戶最終權益擁有人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. Are any of the Client's shareholders, directors, partners, Authorized person(s), the person(s) ultimately responsible for giving instructions for the Account or the ultimate beneficial owner(s) of the Account a Politically Exposed Person ("PEP"), a person connected with PEP, senior government official or senior executive of a state-owned corporation?* 貴公司之股東、董事、合夥人、獲授權人、就賬戶進行的交易發出指示之最終負責人仕或賬戶最終權益擁有人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 to PEP 貴公司與政治人物的關係	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 客戶確認

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 Client's personal data in direct marketing. Client(s) 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客戶的個人資料作直接促銷。如客戶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 Client's personal data to other persons for their use in direct marketing and, whether or not such persons are group members of ESAM. Client(s) 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客戶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。如客戶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 Cleint's 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. Client(s) should check ("✓") in the box on the left side of this item if client 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.
帝峯證券可能將客戶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。如客戶不希望帝峯證券將你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 Client(s) 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.
The Client 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.
以上代表客戶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。 請注意客戶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。客戶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，客戶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你的個人資料擬進行之使用傳達同意或拒絕要求的途徑。 本客戶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。

The information contained in this Client information Statement is true and accurate. ESAM is entitled to rely fully on such information and representations for all purpose, unless ESAM receives notice in writing of any change, 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 Statement. A copy of ESAM's Client information Statement is available upon request.
本客戶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，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 Authorized Signature(s) with Company Chop 公司印章及獲授權人簽署

Client's 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
❒ Corporate Account 公司帳戶 ❒ Fund Corporate Account 基金公司帳戶	❒ Cash Account 現金帳戶	❒ Internet Trading Service 網上交易服務 ❒ 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)

____

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)

____

Trading Authorization 交易授權

The following any ________ of the undersigned individuals are authorized to place the oral or written instructions for trades on behalf of client:
下列任何________名授權人士均可對帳戶以書面或口頭形式發出交易指示：

Name of authorized Person 獲授權人士姓名	ID Card / Passport No 身份證號碼/護照號碼	Occupation/Position 職業/職位	Contact Tel. No. 聯絡電話號碼	Specimen Signature 簽名樣式
	❑ ID Card 身份證 ❑ Passport 護照 ____________________			
	❑ ID Card 身份證 ❑ Passport 護照 ____________________			
	❑ ID Card 身份證 ❑ Passport 護照 ____________________			
	❑ ID Card 身份證 ❑ Passport 護照 ____________________			

Signing Arrangement 簽署安排

Any________ of the undersigned individuals are authorized to deposit/withdraw fund/shares to/from the account, give settlement instructions and any other instructions on behalf of client and the specimen signatures appearing against their names are the true signatures of the authorized individuals:
以下任何________名授權人士簽署均可代表公司對帳戶進行資金/股票存入或提取，發出結算指示和其他帳戶有關指示，而授權人士之真實簽名樣本已於其姓名旁邊註明：

Name of authorized Person 獲授權人士姓名	ID Card / Passport No 身份證號碼/護照號碼	Occupation/Position 職業/職位	Contact Tel. No. 聯絡電話號碼	Specimen Signature 簽名樣式
	❑ ID Card 身份證 ❑ Passport 護照 ____________________			
	❑ ID Card 身份證 ❑ Passport 護照 ____________________			
	❑ ID Card 身份證 ❑ Passport 護照 ____________________			
	❑ ID Card 身份證 ❑ Passport 護照 ____________________			

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。

____

Client Authorized Signature(s) with Company Chop 公司印章及獲授權人簽署

Client's Name 客戶姓名：_______________________________

Date 日期 :_______________________________

IF THIS DOCUMENT IS NOT EXECUTED BY THE CLIENT (S) IN FRONT OF THE ABOVE ESAM 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:		