

個人／聯名帳戶 Individual/Joint Account
現金帳戶開戶資料表格 Cash Account Opening Information Form

選擇帳戶類別 Selection of Account Type : 個人 Individual 聯名 Joint

網上交易服務 Internet Trading Services : 是 Yes 否 No

本公司專用 For Office Use Only	
帳戶號碼 Account No. :	開戶日期 Date Opened :
	____/____/_____ DD MM YYYY

*為必填項，塗改處需本人加簽 Mandatory, endorsement is required for any changes

個人／聯名戶口第一持有人資料 INDIVIDUAL / PRIMARY JOINT ACCOUNT HOLDER INFORMATION

1. *客戶名稱 Client Name(s) : 先生 Mr. 太太 Mrs. 女士 Mdm. 小姐 Miss

(a) *中文 Chinese :

(b) *英文/拼音 English / Pinyin :

(與護照/身份證一致 as in the passport / ID card)

*姓氏 Last Name or Surname:

*名字 First or Given Name:

2. (a) *身份證／護照號碼* ID. Card / Passport No. :

(b) *國籍 Nationality :

3. (a) *出生日期及地點 Date & Place of Birth (日 DD/月 MM/年 YYYY)

/ / ()

(b) *婚姻狀況 Marital Status :

單身 Single 已婚 Married 其他 Other _____

4. *現時住宅地址 Current Residential Address (不接受郵政信箱 P.O. Box is not accepted.) :

室 / 樓層 / 大廈 / 街道 / 地區
Room / Floor / Building / Street / District

城市 City

省 / 州 Province / State

國家 Country

郵政編碼/郵遞區 Post Code/ZIP Code

住宅電話號碼 Home Tel No. :

*手提電話號碼 Mobile Phone No. :

5. 通訊地址 (如與以上有異) Correspondence Address (if different from above):

室 / 樓層 / 大廈 / 街道 / 地區
Room / Floor / Building / Street / District

城市 City

省 / 州 Province / State

國家 Country

郵政編碼/郵遞區 Post Code/ZIP Code

6. *電子郵件地址 E-mail Address:

7. *僱主／公司* (若自僱，請填行業名稱) Name of Employer / Company(if self-employed, please fill in name of business) :

*職業／職位 Occupation / Job Title :

(請註明職稱 Please specify the job title)

辦事處電話號碼 Office Tel No. :

辦事處傳真號碼 Office Fax No. :

8. 公司地址 Office Address :

(郵編 Postal Code:)

客戶財務資料 CLIENT FINANCIAL INFORMATION

9. 收入來源 Source of Income (港幣 HK\$) : (可選擇下列一項或多項 Please tick one or more)

薪酬 Salary 租金收入 Rental Income 利息/股息 Interest/Dividend 投資收益 Investment Income 退休福利 Retirement Benefits

家人提供 Family Source 其他 Others(請註明, please specify) _____

10. 估計每年收入 Estimated Annual Income (港幣 HK\$) :

港幣 20 萬元以下 Under HK\$200,000

港幣 20 萬至 50 萬元 HK\$200,000 to HK\$500,000

港幣 50 萬至 100 萬元 HK\$500,000 to HK\$1,000,000

港幣 100 萬至 150 萬元 HK\$1,000,000 to HK\$1,500,000

港幣 150 萬至 200 萬元 HK\$1,500,000 to HK\$2,000,000

港幣 200 萬元以上 Over HK\$2,000,000

11. 估計客戶資產淨值 Approximate Total Net Worth (港幣 HK\$) :

港幣 50 萬元以下 Under HK\$500,000

港幣 50 萬至 100 萬元 HK\$500,000 to HK\$1,000,000

港幣 100 萬至 200 萬元 HK\$1,000,000 to HK\$2,000,000

港幣 200 萬至 500 萬元 HK\$2,000,000 to HK\$5,000,000

港幣 500 萬至 1000 萬元 HK\$5,000,000 to HK\$10,000,000

港幣 1000 萬元以上 Over HK\$10,000,000

12. 住所持有方式 Ownership of Residence :

本人名下 Owned

有借貸 With financing

沒有借貸 Without financing

非本人名下 Not Owned

租住 Rent

與家人同住 Living with family

客戶投資目的及經驗 CLIENT INVESTMENT OBJECTIVES & EXPERIENCE

13. 整體投資計劃，包括短期、中期及長期投資目標 Overall investment plan, including short, medium and long term goals :

(a) 投資計劃 Investment Plan : 短期 Short 中期 Medium 長期 Long

(b) 可承受風險程度 Risk Tolerance Level : 低風險 Low 中風險 Medium 高風險 High

14. 投資目的 Investment Objective(s) : (可選擇下列一項或多項 Please tick one or more) <input type="checkbox"/> 平穩增長 Stable Growth <input type="checkbox"/> 均衡增長 Balance Growth <input type="checkbox"/> 高速增長 High Growth <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 投機 Speculation <input type="checkbox"/> 其他 Others (請註明, please specify) _____		
15. 投資經驗 Investment Experiences : 投資產品 Investment Products: <input type="checkbox"/> 股票/認股權證 Stocks/Warrants <input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於三年 less than 3 years <input type="checkbox"/> 三至五年 3-5 years <input type="checkbox"/> 五至十年 5-10 years <input type="checkbox"/> 超過十年 Over 10 years <input type="checkbox"/> 期貨/期權 Futures/Options <input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於三年 less than 3 years <input type="checkbox"/> 三至五年 3-5 years <input type="checkbox"/> 五至十年 5-10 years <input type="checkbox"/> 超過十年 Over 10 years <input type="checkbox"/> 債券/基金 Bonds/Funds <input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於三年 less than 3 years <input type="checkbox"/> 三至五年 3-5 years <input type="checkbox"/> 五至十年 5-10 years <input type="checkbox"/> 超過十年 Over 10 years <input type="checkbox"/> 其他 Others: _____ <input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於三年 less than 3 years <input type="checkbox"/> 三至五年 3-5 years <input type="checkbox"/> 五至十年 5-10 years <input type="checkbox"/> 超過十年 Over 10 years		
其他資料 OTHER INFORMATION		
16. 客戶是否安信國際集團(包括安信國際金融控股有限公司及其附屬公司)的僱員或與安信國際集團任何僱員 / 代理人有親屬關係或為其關連人士? Is the Client an employee of Essence International Group (including Essence International Financial Holdings Limited and its subsidiaries) or a relative or an associate of any employee / agent of Essence International Group? <input type="checkbox"/> 是, 請提供僱員 / 代理人姓名 Yes, please provide employee/agent name: _____ <input type="checkbox"/> 否 No 關係 Relationship : _____		
17. (a) 帳戶最終權益擁有人(等)的名稱 Name of ultimate beneficial owner(s) of the account : <input type="checkbox"/> 本身 Self <input type="checkbox"/> 其他 (請提供姓名、國籍、出生日期、身份證明文件號碼、聯絡電話及現時住址): _____ Others (Please provide the name, nationality, date of birth, identification document and its no., telephone no. and current residential address): _____		
(b) 最終負責就本帳戶之交易發出有關指示的人: The person(s) ultimately responsible for giving instructions in relation to transactions under the account : <input type="checkbox"/> 本身 Self <input type="checkbox"/> 其他 (請提供姓名、國籍、出生日期、身份證明文件號碼、聯絡電話及現時住址): _____ Others (Please provide the name, nationality, date of birth, identification document and its no., telephone no. and current residential address): _____ (請填具買賣授權書 Please fill in Trading Authorization)		
18. 客戶是否香港證監會持牌或註冊人士的僱員 / 代理人? Is the Client an employee / agent of a Licensed Corporation or Registered Institution of Hong Kong Securities and Futures Commission? <input type="checkbox"/> 是, 請提供詳情 Yes, please provide details: _____ (僱主姓名及註冊編號 Employer's Name and Reg. No.) <input type="checkbox"/> 否 No		
19. 客戶於安信國際證券開立的其他帳戶資料(包括與客戶有關連人士運作及或持有之帳戶): Particulars of the Client's other accounts with EISHK (including accounts operated / owned by persons related to the Client) : <input type="checkbox"/> 是 Yes, 帳戶號碼 Account No. : _____ 帳戶名稱 Account Name : _____ 關係 Relationship _____ <input type="checkbox"/> 否 No		
結構性及/或衍生工具產品的認識評估 ASSESSMENT ON KNOWLEDGE OF STRUCTURED AND/ OR DERIVATIVES PRODUCTS		
<input type="checkbox"/> 客戶曾接受有關結構性及/或衍生工具產品的培訓或相關課程 The Client has attended trainings or courses in relation to structured and/or derivative product(s)		
<input type="checkbox"/> 客戶現時或之前的工作經驗與結構性及/或衍生工具產品有關 The Client's current or previous work experience is related to structured and/or derivative product(s)		
<input type="checkbox"/> 客戶在過去 3 年內曾執行過 5 宗或以上有關結構性及/或衍生工具產品的交易 The Client has executed 5 or more transactions relating to structured and/or derivative product(s) in past 3 years		
如客戶沒有以上任何一項經驗及認識, 客戶將被視作沒有結構性及/或衍生工具產品認識。在客戶買賣結構性及/或衍生工具產品之前, 客戶需要留意衍生工具產品交易有關之風險 (如附件三- 其他風險披露聲明所述)。 For clients do not have any of the above mentioned knowledge and experience, such clients will be considered as without knowledge of structured and/ or derivatives product(s). Before trading in structured and/ or derivative product(s), the attention of the Client is drawn to the risks associated with structured and/ or derivative product(s) (as described in Third Schedule – Other Risk Disclosure Statement).		
結構性及/或衍生工具產品包括(但不限於) 牛熊證、衍生認股證、股票掛鈎產品、交易所買賣換股債券、交易所買賣基金、期貨及期權與及股票期權等。 Structured and/ or Derivative product(s) includes, but not limited to, Callable Bull/Bear Contracts, Derivative Warrants, Equity Linked Instruments/Notes, Exchange Traded Funds, Futures and Options and Stock Options, etc.		
有關結構性及/或衍生工具產品確認 ACKNOWLEDGEMENT RELATING TO STRUCTURED AND/ OR DERIVATIVES PRODUCT(S)		
本人確認已細心閱讀及完全明白在附件三所載的其他風險披露聲明的內容。如果本人決定買賣該等結構性及/或衍生工具產品時, 本人同意承擔有關風險。本人確認, 在買賣結構性及/或衍生工具產品前, 本人將會進行自我風險評估或尋求獨立專業意見, 並擁有足夠資本承擔有關風險及損失。本人明白, 如客戶並沒有結構性及/或衍生工具產品的知識或經驗, 安信國際證券(香港)有限公司(「安信國際證券」)並不鼓勵客戶進行結構性及/或衍生工具產品買賣。 I acknowledge that I have carefully read and fully understand the content of Other Risk Disclosure Statement as contained in Third Schedule. If I decide to trade the Structured and/or Derivatives Product(s), I agree to bear the risks involved. I confirm that I shall make my/our own risk assessment, or seek independent professional advice before trading in Structured and/or Derivatives Product(s), and that I have sufficient net worth to be able to assume the risks and bear the potential losses for our trades in Structured and/ or Derivatives Product(s). I understand that Essence International Securities (Hong Kong) Limited ("EISHK") does not encourage the clients to trade Structured and/or Derivative Product(s) if they do not have any knowledge or experience relating to the Structured and/or Derivative Product(s)		

美國居民/公民自我證明 SELF-CERTIFICATION OF U.S. RESIDENT / CITIZEN

1. 您是否美國稅務居民? Are you a U.S. tax resident?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	2. 您是否美國公民? Are you a U.S. citizen? (如您持有 multiple 國籍身份而其一為美國國籍, 請回答“是”) (If you hold multiple citizenships, tick "Yes" if one of them is U.S.)	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
---	--	--	--

共同匯報標準自我證明 SELF-CERTIFICATION OF COMMON REPORTING STANDARD

請提供以下資料, 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。請列出所有 (不限於 5 個) 居留司法管轄區。

Please 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 Taxpayer Identification Number ("TIN") for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence.

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。如沒有提供稅務編號, 必須填寫合適的理由:

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. If a TIN is unavailable, provide the appropriate reason A, B or C:

理由 A - 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 A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

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

理由 C - 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。
 Reason 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.

	居留司法管轄區 Jurisdiction of Residence	稅務編號 TIN	如沒有提供稅務編號, 請填寫理由 A、B 或 C Please enter Reason A, B or C if no TIN is available	如選取理由 B, 請解釋帳戶持有人不能取得稅務編號的原因 Please explain why you are unable to obtain a TIN if you have selected Reason B
1			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
2			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
3			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
4			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
5			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	

聯名戶口第二持有人資料 SECONDARY JOINT ACCOUNT HOLDER INFORMATION		
1. *客戶名稱 Client Name(s) : <input type="checkbox"/> 先生 Mr. <input type="checkbox"/> 太太 Mrs. <input type="checkbox"/> 女士 Mdm. <input type="checkbox"/> 小姐 Miss		
(a) *中文 Chinese :		
(b) *英文/拼音 English / Pinyin : <small>(與護照/身份證一致 as in the passport / ID card)</small>	*姓氏 Last Name or Surname:	*名字 First or Given Name:
2. (a) *身份證/護照號碼*ID. Card / Passport No. :	(b) *國籍 Nationality :	
3. (a) 出生日期及地點 Date & Place of Birth (日 DD/月 MM/年 YYYY) / / ()	(b) *婚姻狀況 Marital Status : <input type="checkbox"/> 單身 Single <input type="checkbox"/> 已婚 Married <input type="checkbox"/> 其他 Other _____	
4. 與個人/第一帳戶持有人資料關係 Relationship with Primary Joint Account Holder : <input type="checkbox"/> 直系親屬 Immediate family 請註明 Please specify: _____ <input type="checkbox"/> 親戚 Relative <input type="checkbox"/> 朋友 Friend <input type="checkbox"/> 其他 Other _____		
5. *現時住宅地址 Current Residential Address (不接受郵政信箱 P.O. Box is not accepted.) : 室 / 樓層 / 大廈 / 街道 / 地區 Room / Floor / Building / Street / District _____ 城市 City _____ 省 / 州 Province / State _____ 國家 Country _____ 郵政編碼/郵遞區 Post Code/ZIP Code _____		
住宅電話號碼 Home Tel No. :	手提電話號碼 Mobile Phone No. :	
6. *電子郵件地址 E-mail Address:		
7. *僱主/公司* (若自僱，請填行業務名稱) Name of Employer / Company(if self-employed, please fill in name of business) :		
*職業/職位 Occupation / Job Title: <small>(請註明職稱 Please specify the job title)</small>	辦事處電話號碼 Office Tel No. :	辦事處傳真號碼 Office Fax No.:
8. 公司地址 Office Address : _____ (郵編 Postal Code: _____)		
客戶財務資料 CLIENT FINANCIAL INFORMATION		
9. 收入來源 Source of Income (港幣 HK\$) : (可選擇下列一項或多項 Please tick one or more) <input type="checkbox"/> 薪酬 Salary <input type="checkbox"/> 租金收入 Rental Income <input type="checkbox"/> 利息/股息 Interest/Dividend <input type="checkbox"/> 投資收益 Investment Income <input type="checkbox"/> 退休福利 Retirement Benefits <input type="checkbox"/> 家人提供 Family Source <input type="checkbox"/> 其他 Others (請註明, please specify) _____		
10. 估計每年收入 Estimated Annual Income (港幣 HK\$) : <input type="checkbox"/> 港幣 20 萬元以下 Under HK\$200,000 <input type="checkbox"/> 港幣 100 萬至 150 萬元 HK\$1,000,000 to HK\$1,500,000 <input type="checkbox"/> 港幣 20 萬至 50 萬元 HK\$200,000 to HK\$500,000 <input type="checkbox"/> 港幣 150 萬至 200 萬元 HK\$1,500,000 to HK\$2,000,000 <input type="checkbox"/> 港幣 50 萬至 100 萬元 HK\$500,000 to HK\$1,000,000 <input type="checkbox"/> 港幣 200 萬元以上 Over HK\$2,000,000		
11. 估計客戶資產淨值 Approximate Total Net Worth (港幣 HK\$) : <input type="checkbox"/> 港幣 50 萬元以下 Under HK\$500,000 <input type="checkbox"/> 港幣 200 萬至 500 萬元 HK\$2,000,000 to HK\$5,000,000 <input type="checkbox"/> 港幣 50 萬至 100 萬元 HK\$500,000 to HK\$1,000,000 <input type="checkbox"/> 港幣 500 萬至 1000 萬元 HK\$5,000,000 to HK\$10,000,000 <input type="checkbox"/> 港幣 100 萬至 200 萬元 HK\$1,000,000 to HK\$2,000,000 <input type="checkbox"/> 港幣 1000 萬元以上 Over HK\$10,000,000		
12. 住所持有方式 Ownership of Residence : <input type="checkbox"/> 本人名下 Owned <input type="checkbox"/> 非本人名下 Not Owned <input type="checkbox"/> 有借貸 With financing <input type="checkbox"/> 租住 Rent 租住 <input type="checkbox"/> 沒有借貸 Without financing <input type="checkbox"/> 與家人同住 Living with family		
客戶投資目的及經驗 CLIENT INVESTMENT OBJECTIVES & EXPERIENCE		
13. 整體投資計劃，包括短期、中期及長期投資目標 Overall investment plan, including short, medium and long term goals : (a) 投資計劃 Investment Plan : <input type="checkbox"/> 短期 Short <input type="checkbox"/> 中期 Medium <input type="checkbox"/> 長期 Long (b) 可承受風險程度 Risk Tolerance Level : <input type="checkbox"/> 低風險 Low <input type="checkbox"/> 中風險 Medium <input type="checkbox"/> 高風險 High		
14. 投資目的 Investment Objective(s) : (可選擇下列一項或多項 Please tick one or more) <input type="checkbox"/> 平穩增長 Stable Growth <input type="checkbox"/> 均衡增長 Balance Growth <input type="checkbox"/> 高速增長 High Growth <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 投機 Speculation <input type="checkbox"/> 其他 Others (請註明, please specify) _____		

15. 投資經驗 Investment Experiences :

投資產品 Investment Products:

- | | | | | | |
|--|---------------------------------|---|---|--|---|
| <input type="checkbox"/> 股票/認股權證 Stocks/Warrants | <input type="checkbox"/> 沒有 Nil | <input type="checkbox"/> 少於三年 less than 3 years | <input type="checkbox"/> 三至五年 3-5 years | <input type="checkbox"/> 五至十年 5-10 years | <input type="checkbox"/> 超過十年 Over 10 years |
| <input type="checkbox"/> 期貨/期權 Futures/Options | <input type="checkbox"/> 沒有 Nil | <input type="checkbox"/> 少於三年 less than 3 years | <input type="checkbox"/> 三至五年 3-5 years | <input type="checkbox"/> 五至十年 5-10 years | <input type="checkbox"/> 超過十年 Over 10 years |
| <input type="checkbox"/> 債券/基金 Bonds/Funds | <input type="checkbox"/> 沒有 Nil | <input type="checkbox"/> 少於三年 less than 3 years | <input type="checkbox"/> 三至五年 3-5 years | <input type="checkbox"/> 五至十年 5-10 years | <input type="checkbox"/> 超過十年 Over 10 years |
| <input type="checkbox"/> 其他 Others | <input type="checkbox"/> 沒有 Nil | <input type="checkbox"/> 少於三年 less than 3 years | <input type="checkbox"/> 三至五年 3-5 years | <input type="checkbox"/> 五至十年 5-10 years | <input type="checkbox"/> 超過十年 Over 10 years |

其他資料 OTHER INFORMATION

16. 客戶是否安信國際集團(包括安信國際金融控股有限公司及其附屬公司)的僱員或與安信國際集團任何僱員 / 代理人有親屬關係或為其關連人士?
Is the Client an employee of Essence International Group (including Essence International Financial Holdings Limited and its subsidiaries) or a relative or an associate of any employee / agent of Essence International Group?

- 是, 請提供僱員 / 代理人姓名 Yes, please provide employee/agent name : _____ 否 No
 關係 Relationship : _____

17. (a) 帳戶最終權益擁有人(等)的名稱 Name of ultimate beneficial owner(s) of the account :

- 本身 Self
 其他(請提供姓名、國籍、出生日期、身份證明文件號碼、聯絡電話及現時住址) _____
 Others (Please provide the name, nationality, date of birth, identification document and its no., telephone no. and current residential address): _____

(b) 最終負責就本帳戶之交易發出有關指示的人

The person(s) ultimately responsible for giving instructions in relation to transactions under the account :

- 本身 Self
 其他(請提供姓名、國籍、出生日期、身份證明文件號碼、聯絡電話及現時住址) _____
 Others (Please provide the name, nationality, date of birth, identification document and its no., telephone no. and current residential address): _____
 (請填具買賣授權書 Please fill in Trading Authorization)

18. 客戶是否香港證監會持牌或註冊人士的僱員 / 代理人?

Is the Client an employee / agent of a Licensed Corporation or Registered Institution of Hong Kong Securities and Futures Commission?

- 是, 請提供詳情 Yes, please provide details: _____ (僱主姓名及註冊編號 Employer's Name and Reg. No.)
 否 No

19. 客戶於安信國際證券開立的其他帳戶資料(包括與客戶有關連人士運作及或持有之帳戶):

Particulars of the Client's other accounts with EISHK (including accounts operated / owned by person related to the Client) :

- 是 Yes, 帳戶號碼 Account No. : _____ 帳戶名稱 Account Name : _____ 關係 Relationship _____
 否 No

結構性及/或衍生工具產品的認識評估 ASSESSMENT ON KNOWLEDGE OF STRUCTURED AND/ OR DERIVATIVES PRODUCTS

- 客戶曾接受有關結構性及/或衍生工具產品的培訓或相關課程
 The Client has attended trainings or courses in relation to structured and/or derivative product(s)
 客戶現時或之前的工作經驗與結構性及/或衍生工具產品有關
 The Client's current or previous work experience is related to structured and/or derivative product(s)
 客戶在過去3年內曾執行過5宗或以上有關結構性及/或衍生工具產品的交易
 The Client has executed 5 or more transactions relating to structured and/or derivative product(s) in past 3 years

如客戶沒有以上任何一項經驗及認識, 客戶將被視作沒有結構性及/或衍生工具產品認識。在客戶買賣結構性及/或衍生工具產品之前, 客戶需要留意衍生工具產品交易有關之風險 (如附件三 - 其他風險披露聲明所述)。

For clients do not have any of the above mentioned knowledge and experience, such clients will be considered as without knowledge of structured and/ or derivatives product(s). Before trading in structured and/ or derivative products, the attention of the Client is drawn to the risks associated with structured and/ or derivative product(s) (as described in Third Schedule – Other Risk Disclosure Statement).

結構性及/或衍生工具產品包括(但不限於) 牛熊證、衍生認股證、股票掛鈎產品、交易所買賣換股債券、交易所買賣基金、期貨及期權與及股票期權。
 Structured and/ or Derivative product(s) includes, but not limited to, Callable Bull/Bear Contracts, Derivative Warrants, Equity Linked Instruments/Notes, Exchange Traded Funds, Futures and Options and Stock Option, etc.

有關結構性及/或衍生工具產品確認 ACKNOWLEDGEMENT RELATING TO STRUCTURED AND/ OR DERIVATIVES PRODUCT(S)

本人確認已細心閱讀及完全明白在附件三所載的其他風險披露聲明的內容。如果本人決定買賣該等結構性及/或衍生工具產品時, 本人同意承擔有關風險。本人確認, 在買賣結構性及/或衍生工具產品前, 本人將會進行自我風險評估或尋求獨立專業意見, 並擁有足夠資本承擔有關風險及損失。本人明白, 如客戶並沒有結構性及/或衍生工具產品的知識或經驗, 安信國際證券(香港)有限公司(「安信國際證券」)並不鼓勵客戶進行結構性及/或衍生工具產品買賣。

I acknowledge that I have carefully read and fully understand the content of Other Risk Disclosure Statement as contained in Third Schedule. If I decide to trade the Structured and/ or Derivatives Products, I/we agree to bear the risks involved. I confirm that I shall make my/our own risk assessment, or seek independent professional advice before trading in Structured and/ or Derivative Product(s), and that I have sufficient net worth to be able to assume the risks and bear the potential losses for our trades in Structured and/ or Derivatives Product(s). I understand that Essence International Securities (Hong Kong) Limited ("EISHK") does not encourage the clients to trade Structured and/ or Derivative Product(s) if they do not have any knowledge or experience relating to the Structured and/ or Derivative Product(s).

美國居民/公民自我證明 SELF-CERTIFICATION OF U.S. RESIDENT / CITIZEN

1. 您是否美國稅務居民? Are you a U.S. tax resident?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	2. 您是否美國公民? Are you a U.S. citizen? (如您持有 multiple 國籍身份而其一為美國國籍, 請回答“是”) (If you hold multiple citizenships, tick "Yes" if one of them is U.S.)	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
---	--	--	--

共同匯報標準自我證明 SELF-CERTIFICATION OF COMMON REPORTING STANDARD

請提供以下資料, 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。請列出所有 (不限於 5 個) 居留司法管轄區。

Please 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 Taxpayer Identification Number ("TIN") for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence.

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。如沒有提供稅務編號, 必須填寫合適的理由:
If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. If a TIN is unavailable, provide the appropriate reason A, B or C:

理由 A - 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 A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

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

理由 C - 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。
Reason 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.

	居留司法管轄區 Jurisdiction of Residence	稅務編號 TIN	如沒有提供稅務編號, 請填寫理由 A、B 或 C Please enter Reason A, B or C if no TIN is available	如選取理由 B, 請解釋帳戶持有人不能取得稅務編號的原因 Please explain why you are unable to obtain a TIN if you have selected Reason B
1			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
2			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
3			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
4			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
5			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	

單據往來地址 ADDRESS FOR CORRESPONDENCE & FORWARDING OF CONFIRMATIONS & STATEMENT

成交單據正本(買賣確認)及對帳單以下列其中一項方式發送 (只可選擇其一)

Original Contract Notes (Trading Confirmations) and Statements to be sent by one of following means. (Please select one only) :

如客戶選用郵寄形式發送，每月將另加額外郵遞服務費 For clients choose mailing services as the delivering method, there shall be an additional postage service fee each month.

- 電子郵件地址 E-mail Address 住宅地址 Residential Address 通訊地址 Corresponding Address

(請注意成交單據及帳單將會寄往第一帳戶持有人 Please note that the contract notes and statements will be sent to the Primary Joint Account Holder)

收款銀行戶口 RECEIVING BANK ACCOUNT

在收到閣下的提款指示後，將款項轉到以下戶口 Funds will be transferred to the following bank account after receiving the Client's fund withdrawal instruction:

銀行名稱 Name of the Bank :

銀行帳戶貨幣/號碼 Bank Account Currency/Number

- 港元 HKD 帳戶號碼 A/C No.: _____
- 人民幣 RMB 帳戶號碼 A/C No.: _____
- 美元 USD 帳戶號碼 A/C No.: _____
- 其他貨幣 Other Currency 請註明 Please specify: _____
- 帳戶號碼 A/C No.: _____

銀行帳戶持有人名稱 (須與客戶的銀行結單及此表格上的名稱相符)

Bank Account Holder's Name (name(s) shown on the Client's bank statements should match with the name of the applicant(s) in this Form)

若為香港以外銀行帳戶，請提供地區及 SWIFT 號碼 (如適用)

For bank accounts outside Hong Kong, please state location of the bank account and SWIFT code (if applicable)

使用個人資料作直接促銷同意書 USE OF PERSONAL DATA IN DIRECT MARKETING CONSENT LETTER

安信國際證券(香港)有限公司(「安信國際證券」)擬使用閣下的個人資料作直接促銷，該等個人資料包括本人/吾等在本開戶資料表格中向安信國際證券提供的及安信國際證券不時獲得的姓名、聯絡詳情、財務背景、統計資料等的個人資料。為此須取得閣下的同意。

Essence International Securities (Hong Kong) Limited ("EISHK") intends to use your personal data in direct marketing. Such personal data includes the name, contact details, financial background and statistical data which are provided to EISHK under this Account Opening Information Form or obtained by EISHK from time to time. EISHK proposes to obtain your consent.

本人/吾等同意安信國際證券向本人/吾等發放關於財務、保險、證券、投資的服務和產品的推廣資料。本人/吾等亦同意安信國際證券及其集團公司分享本人/吾等的個人資料作促銷用途。本人/吾等亦明白和接受安信國際證券及其集團公司可能不時聘請第三方代表安信國際證券及其集團公司提供直接促銷服務，除非本人在下方表示反對：

I/We agree to receive promotional and direct marketing information from EISHK in respect of financial, insurance, securities, investment services and products of EISHK may offer. I/We also agree that EISHK can share my/our personal data with its group companies for marketing and promotional purposes. I/We understand and accept that EISHK and its group companies may, from time to time, engage third parties to provide direct marketing services unless I indicate an objection herein below:

- 本人/吾等反對安信國際證券使用或轉移，不論是否為得益，本人/吾等所有個人資料的種類，給予所有資料承轉人的類別以用作所有促銷產品/服務/設施的類別的直接促銷用途。

I/We object to the EISHK use or transfer, whether for gain or not, of all kinds of my/our personal data to all classes of data transferees, for direct marketing of all classes of marketing subject.

如閣下將來不希望安信國際證券使用或提供閣下的資料給他人作直接促銷，請致電 (852)2213 1000 通知我們。

In the future, if you do not wish EISHK to use or provide your data to other persons for the use in direct marketing, you may exercise your opt-out right by notifying EISHK at (852)2213 1000.

客戶聲明 DECLARATIONS BY CLIENT

本人/吾等謹此承諾並確認：

I/We hereby acknowledge and confirm that:

- 本開戶資料表格的資料均屬真實、準確及完整，除非安信國際證券(香港)有限公司(「安信國際證券」)收到我們的書面另行通知，安信國際證券將有權依據這些資料及陳述，作任何用途或目的。客戶授權安信國際證券可在任何時間聯絡任何人，包括客戶的銀行、經紀或任何信貸機構，藉以確定及查證本開戶資料表格內的資料；
The information contained in this Account Opening Information Form is true, accurate and complete. Essence International Securities (Hong Kong) Limited (“EISHK”) is entitled to rely fully on such information and representations for all purposes, unless EISHK receives written notice from us stating otherwise. EISHK is authorized at any time to contact anyone, including the Client’s banks, brokers or any credit agency, for the purpose of verifying the information provided on this Account Opening Information Form;
- 本人/吾等已收到、閱讀及明白證券交易帳戶協議內之條款(包括其附表、附錄及附件(如有)) (「協議」)，而本人/吾等接納並同意受該等條款約束；
I/we have received, read and understood the Terms and Conditions contained therein the Agreement for Securities Trading Account (and the schedules, appendices and annexes thereto, if any) (the “Agreement”), and I/we accept and agree to be bound by them;
- 本人/吾等已獲提供以本人/吾等選擇語言(英文或中文)所撰寫的風險披露聲明；
the risk disclosure statements were provided to me/us in a language of my/our choice (English or Chinese);
- 本人/吾等已獲邀請參閱風險披露聲明，並提出問題及諮詢獨立意見(如有此意願)；
I/we was/were invited to read the risk disclosure statements, and to ask questions and take independent advice if I/we so wished;
- 本人/吾等謹此聲明本人/吾等並非《海外帳戶稅收合規法案》下所定義的美國人士，而且此帳戶下之相關的收入依《海外帳戶稅收合規法案》毋須扣繳稅款。本人/吾等的美國居民/公民自我證明的狀況資料如有變更，本人/吾等須於三十日內主動通知安信國際證券，否則本人/吾等同意該資料會被當作續期。本人/吾等亦同意悉數對安信國際證券因本人/吾等違規或遺漏而蒙受的任何索償、損害、損失、費用及開支作出彌償並保證其利益不受損害。
I/we hereby declare that I/we am/are not a United States resident for Foreign Account Tax Compliance Act (FATCA) purposes, and the income to which the said Account(s) related is not subjected to tax under FATCA. I/We undertake to notify EISHK within 30 days for any change of circumstances stated in the SELF-CERTIFICATION OF U.S. RESIDENT / CITIZEN, without which we agree that the information stated in the SELF-CERTIFICATION OF U.S. RESIDENT / CITIZEN will be deemed renewed. We shall fully indemnify and hold harmless EISHK from and against all claims, damages, losses, costs and expenses whatsoever incurred as a result of such non-compliance or omission;
- 本人/吾等承諾若本人/吾等的共同匯報標準自我證明的狀況資料如有變更，會於三十日內主動通知安信國際證券。本人/吾等亦同意悉數對安信國際證券因本人/吾等違規或遺漏而蒙受的任何索償、損害、損失、費用及開支作出彌償並保證其利益不受損害。
I/we agree to inform EISHK within 30 days upon any changes in the information of the Self-Certification of Common Reporting Standard status supplied to EISHK. We shall fully indemnify and hold harmless EISHK from and against all claims, damages, losses, costs and expenses whatsoever incurred as a result of such non-compliance or omission;
- 安信國際證券須本人/吾等提供自我證明或其他文件以揭示本人/吾等納稅所在地，以作自動交換財務帳戶資料用途。如本人/吾等因任何情況而影響本人/吾等的納稅所在地，或令安信國際證券有理由相信本人/吾等之自我證明有不正確或不可靠時，安信國際證券保留權利可要求本人/吾等遞交新的自我證明及/或額外文件。作為安信國際證券的帳戶持有人，本人/吾等承諾及同意向安信國際證券提供進一步的資料。安信國際證券為遵守香港《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文及/或指引，可能導致收集、儲存、使用及處理本人/吾等的資料。本人/吾等的資料亦可向香港特別行政區政府稅務局披露，從而把資料轉交到本人/吾等的居留司法管轄區的稅務當局。如果本人/吾等未能提供任何所要求的資料，安信國際證券保留採取任何補救措施的權利，包括(但不限於)限制及終止帳戶的運作；
EISHK will request a self-certification and/or other relevant documentation in order to establish our tax residence for automatic exchange of financial account information purposes. If there is any change in circumstances that would affect my/our tax residence or there is reason for EISHK to know that the self-certification is incorrect or unreliable, EISHK reserves the right to request and I/we have the obligation to provide a new self-certification and/or additional documentation. As account holder(s) of EISHK, I/we shall be deemed to acknowledge that further information may need to be provided to EISHK. EISHK’s compliance with the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112) and/or guidance may result in gathering, storing, using, and processing my/our information. My/Our information may also be disclosed to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region, which is further exchanged with tax authorities of another jurisdiction or jurisdictions in which I/we may be resident for tax purposes. Where I/we fail to provide any requested information (regardless of the consequences), EISHK reserves the right to take any action and/or pursue all remedies at its disposal including, without limitation to restrict or terminate the operation of the account;
- 本人/吾等明白根據《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。
I/We understand that 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).
- 本人/吾等已參閱安信國際證券給予客戶有關《個人資料(私隱)條例》的通知(載於證券交易帳戶協議內)，並明白且同意其條款；
I/we have read EISHK’s Notice to Customers on the Personal Data (Privacy) Ordinance (as contained in the Agreement for Securities Trading Account), understand and agree to such terms;
- 倘若中文本與英文本在解釋或意義方面有任何歧義，本人/吾等同意應以英文本為準。
In the event of any difference in interpretation or meaning between the Chinese and English version, I/we agree that the English version shall prevail.

個人/聯名戶口第一持有人簽署 (並作為簽署式樣) Individual /Primary Joint A/C Holder’s Signature (also as Specimen Signature)	聯名戶口第二持有人簽署 (並作為簽署式樣) Secondary Joint A/C Holder’s Signature (also as Specimen Signature)
姓名 Name : 日期 Date : (日 DD/月 MM/年 YYYY)	姓名 Name : 日期 Date : (日 DD/月 MM/年 YYYY)

註：請參閱本開戶表格末頁之開立帳戶所需文件核對表

Note: Please refer to the document checklist in the last page of this Form for account opening accordingly

核證 Certification

(如本表格並非在安信國際證券職員面前簽署，須填寫此欄)

(must be completed where this Form is not signed before a staff member of EISHK)

由香港證監會發牌或註冊之人士或其聯繫人士、安信國際證券的聯繫人士，專業人士 (例如銀行分行經理、執業會計師、律師或公證人) 核證。

To be certified by a person licensed or registered with Hong Kong SFC or his affiliate, an affiliate of EISHK, professional person (such as a branch manager of a bank, certified public accountant, lawyer or notary public).

本人(姓名見下)核證已經與本表格簽署人會晤及核對其身份證或護照正本，他(們)並在本人面前簽署本表格。

I, named below, certify that I have met and identified each of the person(s) who executed this Form before me, and reviewed the original of his/their ID card(s) or passport(s).

簽署 Signature

姓名 Name:

職業 Profession:

日期 Date:

(日DD/月MM/年YYYY)

安信國際證券(香港)有限公司職員聲明 DECLARATION BY ESSENCE INTERNATIONAL SECURITIES (HONG KONG) LIMITED STAFF

本人(姓名見下)，為安信國際證券之職員，謹此聲明，本人：

(i) 已向客戶提供以客戶選擇語言(英文或中文)所撰寫的風險披露聲明(載於協議內)；及

(ii) 已邀請客戶參閱風險披露聲明，並按客戶的意願提出問題及諮詢獨立意見。

I, named below, a staff member of EISHK, hereby declare that I have:

(i) provided to the above-named Client the risk disclosure statements (as contained in the Agreement) in a language of the Client's choice (English or Chinese); and

(ii) invited the Client to read the risk disclosure statement, ask questions and take independent advice if the Client wishes.

以上客戶/聯名客戶簽署乃本人面前簽立*

The above Client/ Joint Client Signature(s) was/were made in my presence*

職員簽署 Signature of Staff

職員姓名 Staff Name:

職員職銜 Staff Designation:

職員CE 編號 Staff CE Number:

日期 Date:

(日DD/月MM/年YYYY)

*如不適用，請刪除。 Delete if not applicable.

本公司專用 FOR OFFICE USE ONLY

Submitted By [Name of AE / Dealer / CS (select if applicable)]: _____ Checked by Risk Management: _____

Reviewed and Approved by: RO: _____ Compliance: _____ Executive Director: _____

Turnover Limit /Credit Limit: _____ Interest Rate: _____ Brokerage: _____ Date: _____

Remark: _____

開立帳戶之文件核對表 DOCUMENTATION CHECK LIST FOR ACCOUNT OPENING

重要事項：所有提交的文件如非正本，必須經認可人士或安信國際證券員工認證後，方為有效。

Important note: All documents submitted must either be an original or a copy certified by a recognized person or staff members of EISHK.

個人 / 聯名戶口 INDIVIDUAL / JOINT ACCOUNT

請提供以下文件本 Please provide the following documents:

1. 個人 / 聯名戶口持有人身份證 / 護照副本
Identity Card(s) / Passport(s) of the Individual/Joint account holder
2. 住宅地址證明 (如：水、電費單 / 銀行結單等, 只接受最近三個月) 或
Proof of Residential Address (e.g. Utilities / Bank Statement, etc. not later than 3 months) or
3. 通訊地址證明 (如適用)
Proof of Correspondence Address (If applicable)
4. 安信國際證券合理情況下需要的其他文件或資料
Any other documents and/or information as EISHK may reasonably requires