



英皇金融集團(香港)有限公司 Emperor International Exchange (Hong Kong) Company Limited

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郵寄文件信封上請註明「英皇金融集團(香港)有限公司」。

For mailing document, please state the name of "Emperor International Exchange (Hong Kong) Company Limited" on the envelope.

本公司專用欄：

FOR OFFICIAL USE ONLY

A/C: _____

AE CODE: _____

客戶資料聲明 CLIENT INFORMATION STATEMENT

公司及合夥帳戶 CORPORATE AND PARTNERSHIP ACCOUNT

*必填 *Mandatory

第一部分 PART I	帳戶類別 TYPE OF ACCOUNT		
*1. <input type="checkbox"/> 公司帳戶 Corporate Account 或 or <input type="checkbox"/> 合夥帳戶 Partnership Account			
*2. <input type="checkbox"/> 電話交易 By Phone Dealing 或 or <input type="checkbox"/> 網上交易 By Online Trading (MT4)			
第二部分 PART II	公司資料 COMPANY INFORMATION		
*公司名稱 *Company Name		*成立地點 *Place of Incorporation	
*商業登記證號碼 *Business Registration No.		*公司註冊證號碼 *Certificate of Incorporation No.	
*成立日期 *Date of Incorporation		*辦公電話 *Office Tel	
圖文傳真 Fax No.		*電郵地址 *Email Address	
*註冊辦事處地址 *Registered Office Address			
辦公地址 Business Address			
*業務類別 *Nature of Business			
<input type="checkbox"/> 工商零售 Commerce / Industry / Retail <input type="checkbox"/> 生產製造 Production / Manufacturing <input type="checkbox"/> 金融業 Financial Services <input type="checkbox"/> 服務行業 Service Industry <input type="checkbox"/> 其他 Others _____			
*開業年數 *Business Opened Year			
<input type="checkbox"/> 少於一年 Less than 1 Year <input type="checkbox"/> 一至五年 1 - 5 Years <input type="checkbox"/> 五年以上 More than 5 Years			
第三部分 PART III	公司帳戶之最終實權擁有人資料 FOR CORPORATE ACCOUNT'S ULTIMATE BENEFICIARY		
* <input type="checkbox"/> 先生 Mr. <input type="checkbox"/> 太太 Mrs. <input type="checkbox"/> 小姐 Miss <input type="checkbox"/> 女士 Ms.		*中文姓名 姓氏 Surname 名字 Given Name *English Name	
*身份證號碼 / 護照號碼 (請遞交副本) *Identity Card No. / Passport No. (Please attach a copy)		*出生日期 (日/月/年) *Date of Birth (DD/MM/YYYY)	
護照屆滿日期 (日/月/年) Passport Expiry Date (DD/MM/YYYY)		護照簽發國家 Issue Place	
*國籍 *Nationality		出生地點 Place of Birth	
*客戶是否擁有美國公民或美國合法永久居民身份? <input type="checkbox"/> 是 (請提供 IRS W-9 表格及美國聯邦納稅人識別碼) <input type="checkbox"/> 否 *Whether the client has a U.S. citizenship or lawful permanent resident status? Yes (Please provide IRS Form W-9 and US federal TIN) No			
*閣下是否為政界人士或與政界人士相關連人士? <input type="checkbox"/> 否 No *Are you a Politically Exposed Person (PEP) or related to a Politically Exposed Person? <input type="checkbox"/> 是 Yes, 請註明 please specific _____			
*住址 *Address			
第四部分 PART IV	董事或合夥人資料 (1) INFORMATION FOR EACH DIRECTORS OR PARTNER (1)		
<input type="checkbox"/> 董事 Director <input type="checkbox"/> 合夥人 Partner			
* <input type="checkbox"/> 先生 Mr. <input type="checkbox"/> 太太 Mrs. <input type="checkbox"/> 小姐 Miss <input type="checkbox"/> 女士 Ms.		*中文姓名 姓氏 Surname 名字 Given Name *English Name	
*身份證號碼 / 護照號碼 (請遞交副本) *Identity Card No. / Passport No. (Please attach a copy)		*國籍 *Nationality	出生地點 Place of Birth
*住址 *Address			

第五部分 PART V	董事或合夥人資料 (2) INFORMATION FOR EACH DIRECTORS OR PARTNER (2)					
<input type="checkbox"/> 董事 Director <input type="checkbox"/> 合夥人 Partner						
<input type="checkbox"/> 先生 Mr. <input type="checkbox"/> 太太 Mrs.		中文姓名		英文姓名		姓氏 Surname 名字 Given Name
<input type="checkbox"/> 小姐 Miss <input type="checkbox"/> 女士 Ms.		Chinese Name		English Name		
身份證號碼 / 護照號碼 (請遞交副本) Identity Card No. / Passport No. (Please attach a copy)				國籍 Nationality		出生地點 Place of Birth
住址 Address						
第六部分 PART VI	董事或合夥人資料 (3) INFORMATION FOR EACH DIRECTORS OR PARTNER (3)					
<input type="checkbox"/> 董事 Director <input type="checkbox"/> 合夥人 Partner						
<input type="checkbox"/> 先生 Mr. <input type="checkbox"/> 太太 Mrs.		中文姓名		英文姓名		姓氏 Surname 名字 Given Name
<input type="checkbox"/> 小姐 Miss <input type="checkbox"/> 女士 Ms.		Chinese Name		English Name		
身份證號碼 / 護照號碼 (請遞交副本) Identity Card No. / Passport No. (Please attach a copy)				國籍 Nationality		出生地點 Place of Birth
住址 Address						
第七部分 PART VII	投資者背景及交易經驗 INVESTMENT BACKGROUND AND TRADING EXPERIENCE					
*投資策略及目標 <input type="checkbox"/> 低風險 Low Risk <input type="checkbox"/> 對沖資產 Hedge Assets <input type="checkbox"/> 資產增值 Asset Appreciation						
*Investment Objective and Strategy <input type="checkbox"/> 投機及高回報 High Risk, High Return <input type="checkbox"/> 其他 Others _____						
*年度收入 (港元) <input type="checkbox"/> 少於 Less than \$200,000 <input type="checkbox"/> \$200,000 - \$499,999 <input type="checkbox"/> \$500,000 - \$1,000,000 <input type="checkbox"/> 多於 Above \$1,000,000				*流動資產淨值 (港元) <input type="checkbox"/> 少於 Less than \$300,000 <input type="checkbox"/> \$300,000 - \$1,000,000 <input type="checkbox"/> 多於 Above \$1,000,000		
如果您的年度收入低於\$200,000，請閱讀客戶協議書的「風險披露聲明」。 If Client's annual income is less than \$200,000, please review "Risk Disclosure Statement" in the Client Agreement.				如果您的流動資產淨值低於\$300,000，請閱讀客戶協議書的「風險披露聲明」。 If Client's Liquid Net Worth is less than \$300,000, please review "Risk Disclosure Statement" in the Client Agreement.		
*投資知識 <input type="checkbox"/> 豐富 Excellent <input type="checkbox"/> 良好 Good <input type="checkbox"/> 一般 Fair						
*閣下是否有其他投資經驗？ *Do Client have other investment experience? <input type="checkbox"/> 否 NO <input type="checkbox"/> 是 YES:						
外匯 Forex		年 Yrs	期權 Options	年 Yrs	證券 Securities	年 Yrs
基金 Funds		年 Yrs	債券 Bonds	年 Yrs	商品 Commodities	年 Yrs
				年 Yrs	期貨 Futures	年 Yrs
				年 Yrs	其他 Others	年 Yrs
第八部分 PART VIII	銀行資料 BANK INFORMATION					
請提供閣下的銀行帳戶，以作日後提款之用 For fund withdrawals from Client's Emperor Account, please provide details of Client's bank account						
*銀行名稱 *Name of Bank				*帳戶號碼 *Account No.		
*帳戶持有人 *Name of Account Holder				國際匯款代碼 Swift Code		貨幣 Currency
銀行地址 Bank Address						
第九部分 PART IX	其他資料 OTHER INFORMATION					
*本公司經由以下方法領取帳戶結單： *We will collect the Account statement by:						
日結單 Daily Statement		<input type="checkbox"/> 經由電郵領取 By Email _____		<input type="checkbox"/> 經由郵寄領取 By Mail		
月結單 Monthly Statement		<input type="checkbox"/> 經由電郵領取 By Email (如上電郵 Same as above Email)		<input type="checkbox"/> 經由郵寄領取 By Mail		
*客戶(包含其任何一位董事及/或股東)是否證監會之持牌或註冊人士或該人士之僱員？ *Are you (including any directors and/or shareholders) a person licensed by or registered with SFC or an employee of such person?				<input type="checkbox"/> 是 (請註明) Yes (Please Specify) _____		<input type="checkbox"/> 否 No

第十部分 PART X	匯率 NOTICE OF EXCHANGE RATE
<p>所有非結算貨幣的存款及提款，均會以當時市場牌價兌換成結算貨幣。英皇有權根據市場情況，在無須預先通知客戶的情況下，更改以上匯率。</p> <p>Prevailing market exchange rates will be used to calculate deposits and withdrawals in currencies other than the settlement currency. These are subject to changes in accordance with market conditions and without prior notice.</p>	
第十一部分 PART XI	*客戶理解及接納聲明 *STATEMENT OF UNDERSTANDING AND ACCEPTANCE BY CLIENT
<ul style="list-style-type: none"> ● 本公司主動邀約英皇之營業代表造訪及 / 或會見本公司； We take initiative to contact Emperor's Account Executive to call upon and / or meet with us; ● 本公司進一步聲明：本公司在訂立任何合約前有主動邀請英皇營業代表造訪本公司； We further declare that, we take initiative to contact Emperor's Account Executive to call upon and / or to meet with me / us before entering into a contract; ● 英皇已通知本公司就任何帳戶與本公司或以本公司名義訂立任何合約前，英皇與本公司必須以英文或中文書面訂立客戶協議，而英皇經以一種本公司完全明白之語言闡釋客戶協議之內容： Emperor has informed us that before any contract is entered into with us or our behalf / behalves under any Account, this Client Agreement is required to be entered into between Emperor and us in writing either in English or Chinese and that Emperor has explained the contents of the Client Agreement in a language which we are fully understand; ● 本公司明白此「客戶資料聲明」、「客戶協議書」及其他開戶文件包括但不限於等均屬於「客戶協議」的一部分已包含並取代所有在開設帳戶之前的任何約定。 We acknowledge that this "Client Information Statement", together with the "Client Agreement", and other account opening forms including but not limited to etc. forms part of the Client Agreement governing the entire relationship between me / us and Emperor in relation to the Account (as defined in the "Client Agreement") and supersede any other agreements, if any, prior to the date of opening of Account. ● 本公司從以下途徑認識英皇之營業代表： We know Emperor's Account Executive through the following method: <input type="checkbox"/> 朋友或親屬介紹。 請註明該人姓名 Introduced by friends or relative. Name of this Person: _____ 如閣下之配偶或親屬為「英皇金融集團（香港）有限公司」之僱員，請註明： Please state that of your spouse or relative is the employee of "Emperor International Exchange (Hong Kong) Company Limited": 姓名： 關係： Name: _____ Relationship: _____ <input type="checkbox"/> 致電轉介 Dial Referral <input type="checkbox"/> 參與講座 Attend a Seminar <input type="checkbox"/> 親臨英皇總行或門市分行 Visit Emperor Headquarter or Branches <input type="checkbox"/> 本公司收到英皇資料後，主動邀請英皇營業代表與本公司聯絡 We take initiative to contact Emperor's Account Executive to call upon and / or to meet with me / us after received the information from Emperor 	
第十二部分 PART XII	*聲明 *CLIENT ACKNOWLEDGEMENT
<p>提交此客戶資料聲明，我確認： By submitting this application form I confirm that:</p> <p><input type="checkbox"/> 本人/吾等已閱讀，理解並完全接受（不時修訂的）客戶協議，其中包括所有的風險披露聲明、客戶資料聲明。 I/We have read, understood and accept in full the Client Agreement (as amended from time to time) included all Risk Disclosure Statement, Client Information Statement.</p> <p><input type="checkbox"/> 本人/吾等了解並接受，本人/吾等的訂單將根據英皇的執行（不時修訂），並且英皇是僅執行的經紀商，不會提供任何性質的投資建議。 I/We understand and accept that my orders will be executed in accordance with Emperor' (as amended from time to time) and that Emperor is an execution only broker and will not provide any investment advice of any nature.</p> <p><input type="checkbox"/> 本人/吾等可以訪問互聯網並同意英皇為本人/吾等提供有關客戶協議變更的信息和/或通過在公司網站上發佈此類信息。 I/We have access to the internet and consent to Emperor providing me with information about changes to the Client Agreement and/or by posting such information on the Company website.</p> <p><input type="checkbox"/> 本人/吾等了解保證金外匯是一種槓桿產品，本人/吾等的帳戶應根據證監會規定使用保證金外匯。本人/吾等確信該產品適合本人/吾等，並且已被告知本人/吾等有能力和尋求獨立的財務建議。 I/We understand that margined FX is a leveraged product and that my account shall utilise margined FX in accordance with SFC regulations. I/We am/are sure the product is suitable for me/us and I/we have been advised of my ability to seek independent financial advice.</p> <p><input type="checkbox"/> 風險披露聲明已按照本人/吾等選擇的語言提供給本人/吾等。 The risk disclosure statement is provided to me/us in a language of my/our choice.</p> <p><input type="checkbox"/> 本人/吾等已被獲邀閱讀該風險披露聲明、提出問題及徵求獨立的意見(如本人/吾等有此意願)。 I am / We are invited to read the risk disclosure statement, to ask questions and take independent advice if I/we wish.</p> <p><input type="checkbox"/> 本人/吾等已滿 18 歲，並確認於此處提供的信息是真實準確的，並且在任何方面都沒有誤導。 I am / We are over 18 and confirm that the information represented here is true and accurate and not misleading in any respect.</p> <p><input type="checkbox"/> 如此處提供的任何信息不正確，本人/吾等同意立即以書面形式通知英皇。 I/We agree to inform Emperor promptly in writing should any of the information provided here cease to be correct.</p>	

第十三部分 PART XIII	*客戶簽署及聲明 *CLIENT'S SIGNATURE AND DECLARATION	
本公司茲確認及同意如下： I/We hereby acknowledge and agree that:		
<div style="margin-top: 10px;"> <p>(a) 本公司同意受英皇客戶協議之條款及條件約束並明白及確認英皇可不時修訂該協議之條款及條件。本公司確認，英皇並不提供任何有關投資、稅務或法律的意見或建議； We agree to be bound by the terms and conditions as currently set forth in the Emperor Client Agreement. Client understands, acknowledges and agrees that Emperor may amend or change the terms of this Agreement from time to time. We also acknowledge that Emperor does not provide any investment, tax or legal advice or recommendations;</p> <p>(b) 本公司乃最終對所發出的指令承擔責任及保證本「客戶資料聲明」所提供的資料均為真實、完整和正確，及願意承擔一切責任； We are the person(s) who is/are ultimately responsible for originating the instructions and will ensure the information in this “Client Information Statement” is true, complete and correct. And we are willing to bear all the responsibility and liability;</p> <p>(c) 本公司乃準備收取交易之商業/經濟利益及/或承擔商業/經濟風險的人及本公司已考慮個人財政狀況及投資風險後才開始此帳戶； We are the person(s) who stand(s) to gain the commercial/economic benefit of the transactions and/or bear the commercial/economic risk and we have considered and understand my/our financial circumstances and investment risk to open this Account;</p> <p>(d) 本公司明白本公司之投資策略及目標有可能與此帳戶風險不同，而本公司仍同意在英皇開立帳戶及承擔有關風險； We understand our investment strategy and target might vary with this Account's risk, but we still agree to open an Account with Emperor and liable for the relevant risks;</p> <p>(e) 本公司已經清楚了解《美匯、港匯及交叉盤之買賣規則》及《外匯買賣、保證金要求、補倉及斬倉指引》；及 We have Declared and understood the (Leveraged FOREX Trading Rules) and (Leverage FOREX Trading, Margin Requirement, Margin Call and Cut-Loss Guideline); and</p> <p>(f) 本公司確認已經收受本協議之「條款及細則」，且已經細閱及接受本協議及所有相關的條款及細則並已就本協議提出問題及尋求獨立的意見（如本公司有此意願）。 We read and acknowledge this Agreement's terms and conditions and have seek for enquiry and taken an independent advice of this Agreement (if we so wish).</p> <p>(g) 本公司於此確認並同意「客戶協議書」中所述之認可、協議、授權、指令、保證及承諾。 We hereby further confirms and consent to such acknowledgement, agreement, authorization, instructions, warrants and undertakings by me/us as specified in the Client Agreement.</p> <p><input type="checkbox"/> 本公司同意英皇使用及/或轉移上述的個人資料作直接促銷之目的。(如有需要，請於方格內加上✓號) We AGREE for Emperor to use and/or transfer the above personal data for direct marketing. (Please ✓ the box if necessary)</p> <p># 中文譯本僅供參考，文義如與英文版本有歧異，概以英文版本為準；如客戶未能如實提供所需資料，客戶需承擔一切責任。 In the event of any inconsistency between English and Chinese version, the English version shall prevail; If Client can't provide the information in good faith, the Client has liable for all responsibility.</p> </div>		
所有董事或合夥人均須簽署 All general partners are required to Sign		
第一董事或合夥人 Primary Director or Partner	第二董事或合夥人 Secondary Director or Partner	第三董事或合夥人 Tertiary Director or Partner
名稱正楷 Print Name: _____ 日期（日/月/年） Date（DD/MM/YYYY）_____	名稱正楷 Print Name: _____ 日期（日/月/年） Date（DD/MM/YYYY）_____	名稱正楷 Print Name: _____ 日期（日/月/年） Date（DD/MM/YYYY）_____
公司印鑑（請在此蓋公章） Corporate Seal（Please affix corporate seal here）		
*第三者見證，本人於下述日期親自填寫（如適用） *In Professional's witness whereof, I have hereunto affixed my hand this by the following date (If applicable)		
見證人簽署 Witness's Signature _____		
名稱正楷 Print Name _____	日期（日/月/年） Date（DD/MM/YYYY）_____	
電話號碼 Phone Number _____	地址 Address _____	

