

開戶表格 ACCOUNT OPENING FORM (個人 / 聯名帳戶 INDIVIDUAL / JOINT account)
帳戶類別 TYPE OF ACCOUNT

- 個人帳戶 Individual Account
- 聯名帳戶 Joint Account
(聯名帳戶的每名帳戶持有人均需填妥開戶表格)
(Each of the joint account holders shall complete the Account Opening Form)

[客戶資料聲明 CLIENT INFORMATION STATEMENT]
個人資料 Personal information

中文姓名 Name in Chinese :

英文姓名 Name in English :

出生日期 Date of Birth :

性別 Sex :

身份證/護照號碼 ID card / Passport no. :

國籍 Nationality :

住宅地址 Residential address (請以中英文正楷填寫 in English BLOCK letters and in Chinese) :

- 自置 Own 與父母同住 with Parents 親屬樓宇 Relative's 宿舍 Quarters
 租用 Rented 按揭 Mortgaged
 (每月租金 Monthly rental \$ _____) (每月供款 Monthly installment \$ _____)

永久地址 (如與上述不同, 請以中英文正楷填寫)

Permanent address (if different from the above stated, in English BLOCK letters and in Chinese) :

住宅電話號碼 Home tel. no. :

手提電話號碼 Mobile phone no. :

傳真號碼 Fax no. :

電郵 Email :

就業情況 Employment Status

- 全職 Full-time employed 兼職 Part-time employed 自僱 Self-employed
 現未有就業 Not currently employed 退休 Retired 學生 Student
 家庭主婦 Housewife 其他 Others (請註明 please specify: _____)

任職公司名稱 Employer's name :

公司地址 Office address (請以中英文正楷填寫 in English BLOCK letters and in Chinese) :

職位 Position :

服務年期 Years of service :

業務性質 Nature of business :

公司電話號碼 Office tel. no. :

傳真號碼 Fax no. :

財務概況 Financial Profile

估計年度收入 Estimated Annual Income (港幣 HK\$)

- 少於 less than \$200,000 \$200,001 - \$500,000 \$500,001 - \$1,000,000
 \$1,000,001 - \$5,000,000 大於 more than \$5,000,000

估計資產淨值 Approximate Net Asset Value (港幣 HK\$)

- 少於 less than \$500,000 \$500,001 - \$1,000,000 \$1,000,001 - \$5,000,000
 \$5,000,001 - \$10,000,000 大於 more than \$10,000,000

資金來源 Source of Wealth

- 收入儲蓄 Saving from Earnings / Bonus 投資回報 Return on Investments
 退休金 Pension 繼承 / 饋贈 Inheritance / Gift
 其他 Others (請具體說明 Please specify : _____)

投資概況 Investment Profile

風險屬性 Risk Profile

- 保守型 Conservative 穩健型 Stable 平衡型 Balanced 進取型 Growth

投資目標 Investment Objective

- 固定收益 Fixed income 總回報 Total return 價值增長 Value growth
 長期 Long term 中期 Medium term 短期 Short term

投資經驗 Investment Experience

- 少於 1 年 Less than 1 year 1 - 3 年 years 3 年及以上 3 years or more

衍生商品投資經驗 Investment Experience in Derivative Products

Have you traded 5 or more transactions in any derivative or structured products, whether traded on an exchange or not, within the past 3 years?

過去三年間是否曾進行 5 次或以上之衍生或結構性產品交易(包括上市/非上市產品)?

- Yes 是 No 否

其他 Others

通訊地址 Correspondence address :

- 住宅地址 Residential address 永久地址 Permanent address 公司地址 Office address
 其他 Others (請註明 please specify)

寄出結單 / 帳單至 Confirmation / Statement send to :

- 通訊地址 Correspondence address 電郵 Email

銀行名稱 Bank Name :

銀行帳戶號碼 Bank account no. :

與聯名帳戶持有人的關係 Relationship with Joint Account Holder(s) (只適用於聯名帳戶 for Joint Account only)

簽署安排 Signing arrangement (只適用於聯名帳戶 for Joint Account only)

有關決定吾等帳戶操作(包括提款及資產轉移)之有效文件, 吾等決定必須按照以下簽署方式處理:

We decide that the valid document in connection with the operation (including fund withdrawal and asset transfer) of our account MUST signed in the following manner:

- 由任何單一方帳戶持有人簽署 Singly by either account holder
 由聯名帳戶所有帳戶持有人同時簽署 Jointly by joint account holders

[客戶確認及聲明 CLIENT'S ACKNOWLEDGEMENT, CONFIRMATION AND DECLARATIONS]

閣下是否此戶口最終權益擁有人? Are you the ultimate beneficial owner of the account?	
<input type="checkbox"/> 是 Yes <input type="checkbox"/> 不是，請提供戶口最終權益擁有人資料如下： No, Please provide the information of the ultimate beneficial owner as stated below:	
中文姓名 Name in Chinese :	
英文姓名 Name in English :	
出生日期 Date of Birth :	性別 Sex :
身份證/護照號碼 ID card / Passport no. :	國籍 Nationality :
住宅地址 Residential address (請以中英文正楷填寫 in English BLOCK letters and in Chinese) :	
永久地址 (如與上述不同，請以中英文正楷填寫) Permanent address (if different from the above stated, in English BLOCK letters and in Chinese) :	
住宅電話號碼 Home tel. no. :	手提電話號碼 Mobile phone no. :
傳真號碼 Fax no. :	電郵 Email :

閣下是否獲證券及期貨事務監察委員會根據證券及期貨條例發牌或註冊經營受規管活動之任何人士(包括個人及公司)之僱員? Are you an employee of any person (including individual and corporation) licensed by or registered with The Securities and Futures Commission to carry on a business in regulated activities as defined in the Securities and Futures Ordinance?	
<input type="checkbox"/> 是，請提供資料如下 Yes, please provide the information as listed below : 持牌人士或公司名稱 Name of licensed or registered person / corporation : _____ 持牌人士或公司中央編號 CE no. : _____ 閣下中央編號 Your CE no. : _____ <input type="checkbox"/> 不是 No	

閣下是否尚乘資產管理有限公司的僱員? Are you an employee of AMTD Asset Management Limited?	
<input type="checkbox"/> 是 Yes (僱員編號 Staff no. : _____) <input type="checkbox"/> 不是 No	

閣下是否尚乘資產管理有限公司僱員/董事的親屬? Are you a relative of an employee(s) or director(s) of AMTD Asset Management Limited?	
<input type="checkbox"/> 是，請提供資料如下 Yes, please provide the information as listed below : 僱員/董事名稱 Name of employee / director : _____ 親屬關係 Relationship : _____ <input type="checkbox"/> 不是 No	

於簽署此開戶表格前，敬請：

Prior to signing this Account Opening Form, please:

- (i) 注意所有與尚乘資產管理有限公司（“貴公司”）完成或透過貴公司進行之交易均受客戶協議（定議請參閱下文）之條件及條款所限制；及
note that all transactions to be concluded with or through AMTD Asset Management Limited (AMTD) shall be subject to the terms and conditions of the Client Agreement (as defined below); and
- (ii) 細閱已按照閣下所選擇的語言（英文或中文）而提供予閣下的客戶協議（包括風險披露聲明），提出問題及徵求獨立的意見（如閣下有此意願）。
read the Client Agreement (including Risk Disclosure Statement) which you have been provided in a language (English or Chinese) of your choice carefully, ask questions and take independent advice if you so wish.

本人/吾等確認已收妥貴公司之客戶協議（包括協議所有部份及附錄）、風險披露聲明、客戶資料聲明、開戶表格及其他與是次開戶有關的協議及文件（如適用）（合稱「客戶協議」）及確認客戶協議（包括風險披露聲明）是按照本人/吾等所選擇的語言（英文或中文）而提供，並已邀請本人/吾等閱讀該客戶協議（包括風險披露聲明）及一般衍生工具知識課程（如適用），提出問題及徵求獨立的意見（如本人/吾等有此意願）。

I / We acknowledge my / our receipt of the Client Agreement of AMTD (including all sections thereunder and appendices thereto), the Risk Disclosure Statement, the Client Information Statement, the Account Opening Form and any other agreements or documents related to the opening of the account(s), whenever applicable (collectively the “Client Agreement”) and confirm that the Client Agreement (including Risk Disclosure Statement) were provided to me / us in a language (English or Chinese) of my / our choice and I / we was / were invited to read the Client Agreement (including Risk Disclosure Statement) and General Knowledge on Derivatives Course (if applicable) carefully, ask questions and take independent advice if I / we so wish.

本人/吾等確認本人/吾等已仔細閱讀，充分理解並接受載於客戶協議內（包括風險披露聲明）的所有條款及規定，並同意遵守客戶協議（包括風險披露聲明）可能會不時修訂的所有條款及規定。

I / We confirm that I / we have carefully read, fully understood and accepted all the terms and provisions contained in the Client Agreement (including Risk Disclosure Statement) and shall be bound by the Client Agreement (including Risk Disclosure Statement) as it may be amended from time to time.

本人/吾等進一步確認及同意：

I / we further acknowledge and agree that:

- (a) 若因貴公司之失誤而導致本人/吾等蒙受損失，賠償責任將限於根據證券及期貨條例成立之投資者賠償基金規定的範圍內（如適用）；及
in the event of AMTD default and me / us having incurred a loss as a result thereof, the liability of the Investor Compensation Fund established under the Securities and Futures Ordinance (where applicable) will be restricted to the extent provided for therein, and
- (b) 假若證券寄存於貴公司或根據客戶協議買入並於香港以外持有，本人/吾等便可能不能享有香港法例給予該等證券的同等保障，以及可能不能享有如同在香港持有該等證券的相同權利。
where securities are deposited with AMTD or purchased pursuant to the Client Agreement and held outside Hong Kong, I / we may not be afforded equivalent protection in respect of those securities as that afforded under Hong Kong law and I / we may not have the same right as I / we have in respect of securities held in Hong Kong.

本人/吾等聲明本客戶補充資料上所述的資料為真實、完整及正確。除貴公司收到本人/吾等書面通知更改，貴公司有權依賴上述的資料及聲明作任何目的。如上述所提供的資料有任何更改，本人/吾等承諾將立即通知貴公司。貴公司獲授權於任何時間聯絡有關人士核對上述資料。

I/We represent that the information contained in this Supplementary Information for Client Profile is true, complete and correct. AMTD is entitled to rely fully on such information and representations for all purposes, until AMTD receive notice in writing from me/us of any changes. If there are any changes in respect of the information contained in this information above, I/We undertake to inform AMTD promptly. AMTD is authorized at any time to contact anyone for the purpose of verifying the information provided.

客戶確認，同意及簽署 Acknowledgement, Agreed and Signed by Client

AMTD 客戶姓名 Client(s) Name :	
AMTD 客戶簽署 Client(s) Signature :	
日期 Date :	

[有關《個人資料（私隱）條例》之客戶通知書]

[CIRCULAR RELATING TO PERSONAL DATA (PRIVACY) ORDINANCE]

本人/吾等確認本人/吾等已細閱及明白尚乘資產管理有限公司（AMTD）私隱政策及個人資料收集聲明。本人/吾等確認本人/吾等同意 AMTD 收集及使用本人/吾等的個人資料用於 AMTD 私隱政策及個人資料收集聲明所列明的相關用途，並可透過 AMTD 網址 (<http://www.amtd.com.hk/>) 查閱。本人/吾等確認本人/吾等已明白 AMTD 私隱政策及個人資料收集聲明可不時作出修訂及更新，並且不會就此作出另行通知，本人/吾等亦應不時查閱其更新的版本。本人/吾等已得悉本人/吾等可於辦公時間內致電 AMTD 客戶服務熱線：3163 3288 索取最新的 AMTD 私隱政策及個人資料收集聲明的副本。如欲查閱或更新 AMTD 所收集的個人資料，或要求 AMTD 不再使用本人/吾等的個人資料作直接促銷，本人/吾等應以書面聯絡 AMTD 的資料保護主任，地址：中環干諾道中 41 號盈置大廈 23 及 25 樓。

I/We confirm that I/we have already perused and understood AMTD Asset Management Limited (“AMTD”)’s Privacy Policy and Personal Information Collection Statement. I/We confirm my/our consent given to AMTD to retain and use my/our personal data for the purposes as set out in AMTD’s Privacy Policy and Personal Information Collection Statement, which can be accessed on AMTD’s website: <http://www.amtd.com.hk/>. I/We confirm my/our understanding that AMTD’s Privacy Policy and Personal Information Collection Statement could be revised and updated by AMTD from time to time without prior notice to me/us and that I/we should access the same to review any updates from time to time. I/We acknowledge that I/we could obtain updated copies of AMTD’s Privacy Policy and Personal Information Collection Statement by calling AMTD’s Customer Service hotline at 3163-3288 anytime during office hours. To access or update my/our personal data held by AMTD or to request AMTD not to use such personal data in direct marketing, I/we should write to AMTD’s Data Protection Officer at 23/F & 25/F Nexus Building 41 Connaught Rd. Central Hong Kong.

本人/吾等確認本人/吾等已被通知本人/吾等的個人資料包括本人/吾等的姓名、電話號碼、電郵地址及地址將作直接促銷，有關詳情載於 AMTD 私隱政策及個人資料收集聲明，並可透過 AMTD 網址 (<http://www.amtd.com.hk/>) 查閱。在未得到本人/吾等同意之前，AMTD 並不能使用本人/吾等的個人資料作直接促銷。

I/We confirm that I/we have been notified that my/our personal data inclusive of my/our name(s), telephone number(s), e-mail address(es) and address(es) are intended to be used in direct marketing, the details of which are set out in AMTD’s Privacy Policy and Personal Information Collection Statement, which can be accessed on AMTD’s website: <http://www.amtd.com.hk/>, but that such use of my/our said personal data in direct marketing could not take place without my/our consent.

本人/吾等明白本人/吾等應在本通告下方簽署以表明本人/吾等已細閱、明白及同意本通告的內容，並表明本人/吾等同意上述有關使用本人/吾等的個人資料作直接促銷。

I/We understand that I/we should sign at the end of this Notice to indicate that I/we have perused, understood and agreed with the contents of this Notice and to indicate my/our agreement to the aforesaid use of my/our said personal data in direct marketing.

如本人/吾等不接受本人/吾等的個人資料用於直接促銷，本人/吾等將於簽署前在下列空格加上勾以茲反對。

Should I/we find the aforesaid use of my/our said personal data in direct marketing not acceptable, I/we would indicate my/our objection before signing by ticking the box below.

本人/吾等不願意收取 AMTD 推廣資訊/刊物及本人/吾等不同意 AMTD 保留及使用本人/吾等的個人資料作直接促銷。

I/We do not wish to receive ongoing marketing information/materials from AMTD and I/we do not consent to AMTD’s retention and use of my/our personal data in direct marketing.

確認 - 客戶同意及簽署 Acknowledgement – Agreed and Signed by Client

AMTD 客戶姓名 Client(s) Name :	
AMTD 客戶簽署 Client(s) Signature :	

[客戶主任聲明 ACCOUNT EXECUTIVE'S DECLARATIONS]

本人在此確認：

I hereby confirm that:

- 本人已核查上述客戶之身份證明文件之原本，並見證上述客戶之簽名。
I have witnessed the signature and inspected the original identity documents of the above-named client
- 客戶已被提供按照其所選擇的語言（英文或中文）的客戶協議（包括風險披露聲明），本人並且已邀請客戶閱讀該客戶協議（包括風險披露聲明），提出問題及徵求獨立的意見（如閣下有此意願）。
The client has been provided with the Client Agreement (including Risk Disclosure Statement) in the language of the client's choice (English or Chinese); and the client has been invited to read the Client Agreement (including Risk Disclosure Statement), ask questions and take independent advice if the client so wishes.
- 本人已向客戶解釋，假若客戶現受僱於任何從事受規管活動之註冊機構或持牌公司，客戶必須向本公司提供其僱主就是次開納帳戶所發出的同意書。
I have already explained to the client that if the client is currently employed by any registered institution or licensed corporation to carry on regulated activities, the client is required to provide AMTD a written consent from his / her employer in support of this account opening.

持牌人士姓名 Name of Licensed person :	
持牌人士簽署 Signature of Licensed person :	中央編號 CE no. :
	日期 Date :

[尚乘資產管理有限公司接受及確認]

Accepted and Confirmed by AMTD ASSET MANAGEMENT LIMITED

代表尚乘資產管理有限公司 For and on behalf of AMTD ASSET MANAGEMENT LIMITED	
獲授權董事 / 負責人員簽署 Signed by authorized director(s)/Responsible Officer(s)	見證人簽署(尚乘資產管理有限公司僱員) Signed by witness (Staff of AMTD ASSET MANAGEMENT LIMITED)
日期 Date :	日期 Date :

內部專用 For Internal use only :

Name of Account Executive :	Staff no. :
Name of Referee :	
Account no. :	Account opening date :
Commission received :	
Data input by :	Checked by :

客戶開戶聲明 CLIENT'S DECLARATIONS

致: 尚乘資產管理有限公司

To: AMTD Asset Management Limited

本人/吾等擬申請尚乘資產管理有限公司(貴公司)所提供的投資服務,現附上以下文件以供 貴公司審核本人/吾等之有關開戶申請:

I/we would like to apply for the investment services provided by AMTD Asset Management Limited (AMTD). Below documents are enclosed for AMTD's review on my/our application(s):

(於下列 加有 號的為是次開戶申請所提交的有關文件。)

(Items with into are the documents submitted for this account opening application.)

證券交易 - 現金帳戶 (Securities dealing – Cash Account)

- 客戶資料聲明 (Client Information Statement)
- 客戶確認及聲明 (Client's Acknowledgement, Confirmation and Declarations)
- 有關《個人資料(私隱)條例》之客戶通知書 (Circular relating to Personal Data (Privacy) Ordinance)
- 供查證客戶身分的身份證明文件 (Identity document)
- 供查證客戶身分的住址證明文件 (Address Proof)
- 供查證客戶的 最終實益擁有人 及 主要股東 身分的身份證明文件 (Identity document)
- 供查證客戶的 最終實益擁有人 及 主要股東 身分的住址證明文件 (Address Proof)
- 供查證客戶的 董事 及 獲授權人士 身分的身份證明文件 (Identity document) (如適用)
- 供查證客戶的 董事 及 獲授權人士 身分的住址證明文件 (Address Proof) (如適用)

資產管理全權委托協議 (Discretionary Asset Management Agreement (DAMA))

- 協議的條款及細則 (Terms and Conditions)
- 附表 1 獲授權人士簽署名單 (Authorised Signatory List) (如適用)
- 附表 2 費用附表 (Fees Schedules)
- 附表 3 投資指引 (Investment Guidelines)
- 附表 4 將由管理人管理的資產值 (Amount of Assets to be managed by the manager)
- 附表 5 確認保留回佣和/或非金錢利益(Acknowledgement of Retention of rebates and/or soft dollars)

本人/吾等確認本人/吾等已填妥上述所提供的開戶文件及已於所需簽署的開戶文件上簽署確認,並已參閱有關的內容、條款及細則。

本人/吾等明白有關上述所提交申請 貴公司的投資服務需經 貴公司內部作進一步審核及確認方會生效。本人/吾等明白 貴公司將於收妥上述開戶文件後聯絡本人/吾等覆核是次本人/吾等的投資服務申請。

本人/吾等明白及確認 貴公司有權不接受有關申請。同時,本人/吾等明白及確認有關載於證券交易 - 現金帳戶及資產管理全權委托協議關於申請、拒絕受理、取消及終止協議的條款及細則。

I/we hereby confirm that I/we have filled in all necessary information mentioned in this account opening form and signed for confirmation. I/we have also read all the contents, terms and conditions.

I/we understand that above investment services application will only effective upon the internal review and confirmation of AMTD. I/we understand that AMTD will contact me/us to confirm this investment services application.

I/we understand and confirm that AMTD reserves the right to reject this application. In meanwhile, I/we understand and confirm the terms and conditions of the application, the refusal, cancellation and termination which mention on the Securities Trading - Cash Account and Discretionary Asset Management Agreement.

AMTD 客戶姓名 Client(s) Name :	
AMTD 客戶簽署 Client(s) Signature :	
日期 Date :	